

**Memorandum of Understanding (LIGO- M050292-00-M)**  
**between the**  
**Caltech Relativity Theory Group (CaRT)**  
**and the**  
**Laser Interferometer Gravitational Wave Observatory (LIGO)**  
**August 15, 2005**

The purpose of this Memorandum of Understanding (MOU) is to establish and define a collaborative relationship between the Caltech Relativity Theory Group (CaRT) and the Laser Interferometer Gravitational-Wave Observatory (LIGO). Both parties to this agreement share the broad goals of developing the instruments and techniques for detecting and studying gravitational waves, and subsequently using them as an astrophysical probe. Under this MOU, the CaRT Group will be a member group of the LIGO Scientific Collaboration.

1. The Caltech Relativity Theory Group (CaRT) consists of Professor Kip S. Thorne, who will serve as Principal Investigator for research in LIGO, and several graduate students and postdocs. The focus of the work done by the CaRT Group under this agreement will be those aspects of this group's work that deal with: a. Advanced detector design and modeling, b. LIGO noise modeling and control, c. LIGO data analysis and foundations for it. This agreement does NOT include our group's extensive research on the modeling of gravitational wave sources and numerical relativity foundations for that modeling.
2. LIGO comprises two parts: the LIGO Laboratory and the LIGO Scientific Collaboration. These two entities report to the LIGO Directorate, consisting of the LIGO Director, the LIGO Scientific Collaboration Spokesperson, and the LIGO Laboratory Deputy Director. The design and construction of the LIGO Observatories were carried out by California Institute of Technology (Caltech) and the Massachusetts Institute of Technology (MIT) under a Cooperative Agreement between the National Science Foundation (NSF) and Caltech. The LIGO Oversight Committee supervises the realization of LIGO.
  - A. The LIGO Laboratory is responsible for the operation of the LIGO Observatories, the development and implementation of future detector systems, and participates in all aspects of the research with the LIGO detectors. LIGO is a system of three interferometric Fabry-Perot antennas, two of them 4 kilometers long and the third one 2 kilometers long, aimed at the simultaneous detection of gravitational waves in the frequency range

40-6000 Hz. LIGO Observatories are located in Hanford, Washington and in Livingston Parish, Louisiana (USA) and began observations in the year 2002. The LIGO Laboratory is funded through a Cooperative Agreement between the National Science Foundation and Caltech, with the portion of the LIGO Laboratory at MIT funded through a subcontract from Caltech.

- B. The LIGO Scientific Collaboration (LSC) is organized as a separate entity from the LIGO Laboratory. It includes scientists from the LIGO Laboratory, and those from collaborating institutions, and has its own governance and leadership (which includes the LSC Spokesperson as a member of the LIGO Directorate). The Collaboration ensures equal scientific opportunity for individual participants and institutions. It organizes the research, publications, and all other scientific activities. The Collaboration reports to the LIGO Directorate for final approval of its research program, technical work, observational physics publications, and talks announcing new observations and physics results. This will be done through regular reports to the Directorate and its Program Advisory Committee. The organization of the LSC and its governance are defined in its Charter.
3. As a member group of the LSC, the CaRT Group will participate in the governance of the LSC and in setting its policies and procedures, as defined in the LSC charter. Similarly, it agrees to abide by the policies and procedures adopted by the LSC and posted on its website (<http://www.ligo.org/policies.html>), concerning publication, data access, software standards, and so on.
  4. Membership in more than one collaboration active in the same area of research may present complications. Members of the LSC contemplating joining other gravitational wave collaborations or participating in data analysis efforts with collaborations outside a framework established by the LSC should inform and consult with LSC and the LIGO Laboratory to ensure that no conflicts of interest exist.
  5. The LSC is the primary advocate of interferometric gravitational wave research in the U.S. To function effectively in this role, it needs to be informed in advance about major new initiatives. The CaRT Group agrees to inform the LSC of any major new proposals related to LIGO to be submitted to the NSF, and to consult with the LSC concerning the best approach to support the overall LIGO program. The final decision about the scope of any such proposal shall remain the prerogative of the CaRT Group.
  6. LSC Service Functions - Participation in the LSC brings with it responsibility for service functions to support the overall effort in achieving high detector sensitivity and high data quality. In particular, each LSC group is expected to assist in the staffing of scientific monitoring shifts during organized data runs. The staffing of these shifts is notable for both its importance and the travel burden it places on scientists. This burden makes an equitable shift allocation mechanism necessary.

A nominal guideline is that each LSC group should staff a fraction of the shifts comparable to its FTE fraction devoted to LSC activities. Kip S. Thorne (CaRT Group) will be responsible for interaction with the designated LSC Shift Organizer with respect to the CaRT Group's Service Function commitments.

Groups making extensive contributions to the LSC in other service efforts that involve a substantial travel burden may request a reduction in their nominal share of shift staffing. Those efforts can include:

- Commissioning and instrument improvement
  - Participation in on-site detector characterization investigations
  - Development/operation of analysis software/hardware infrastructure and validation of analysis software that requires travel away from the home institution.
7. Each party to this agreement continues to be responsible for all support of its staff including travel costs associated with the activities under this agreement. Exceptional support of travel by the other institution may be allowed for travel requested by that institution.
  8. Attachments to this MOU will be prepared annually to define the specific activities and responsibilities of the CaRT Group and to define any resources to be provided by the LIGO Laboratory to the CaRT Group in support of those activities.
  9. CaRT Group will provide an annual status report on its activities in support of LIGO. The report will consist of a summary status on research by topic as indicated in the Attachments for that period including progress against the milestones if any, significant accomplishments such as new insights/discoveries or publications, issues of concern if any, and an indication of invested time by each member of the group. The report will be due one month before the close of the period of performance under the Attachments in question.
  10. The LSC will review the progress report against the Attachments from the previous year and assess the Attachments for the up-coming year annually, under its established procedure, and recommend acceptance or rejection of each Attachment by the LIGO Director and the LSC Spokesperson.
  11. A list of CaRT Group members will be updated at least every six months. CaRT Group members and appropriate contact information will be provided in electronic form as Attachment Z to this Memorandum of Understanding. In cases where individuals who leave the group have had access to LIGO data and this access should be terminated, the CaRT Group Principal Investigator is responsible for timely notification to the Directorate and to the computing committee so access may be revoked.
  12. The LIGO Laboratory is responsible for obtaining NSF approval of collaborative Memoranda of Understanding where required. All Memoranda of Understanding will be provided to NSF for their information.

13. The rights to intellectual property developed under this Attachment using LIGO Laboratory resources will be subject to the National Science Foundation Grant Policy as indicated in Section 730, Intellectual Property.
- A. In the event a patentable invention is conceived or first actually reduced to practice during the work of a member(s) of the CaRT Group at LIGO Laboratory facilities, he/she will:
    - i) make prompt disclosure of the invention to the Director of the LIGO Laboratory; and
    - ii) cooperate with LIGO Laboratory and supply all information and execute all papers including invention reports, records of invention, patent applications and powers of attorney, necessary and proper to fulfill the obligations of the LIGO Laboratory to the U.S. Government sponsor.
  - B. The ownership of inventions conceived solely by members of the CaRT Group at LIGO facilities shall be owned by the Aaaa University, although the LIGO Laboratory shall be granted a license to use such invention for noncommercial research purposes at LIGO facilities. Inventions that are conceived by both members of the CaRT Group and LIGO Laboratory staff as part of the LIGO project shall be jointly owned and any income from commercial licensing shall be shared in proportion to the number of joint inventors from each institution.

In all other regards, the rights to intellectual property developed by members of the CaRT Group under this Attachment will be in accordance with the policies of Caltech University.

14. This MOU supersedes the previous MOU between the LIGO Laboratory and the CaRT group (LIGO- M950019-00) and its amendments and attachments. This MOU will remain in force until the parties mutually agree to terminate it, or until it is terminated in accordance with LSC procedures.

Approved:

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Barry Barish  
LIGO Director

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Kip S. Thorne  
Principal Investigator  
CaRT Group

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Peter Saulson  
LSC Spokesperson