Policy Name: Policies and Procedures for Classified Research

Purpose for creation of policy: No policy on classified research currently exists and with the increase in the University of Louisville’s research enterprise as well as the increase in potential funding for security related projects, it was determined that the university needed to have a policy in place.

Consequences, if any of not following the policy: At this time, no sanctions process is specified. However, approval to pursue the project may not be granted if the policy and procedures are not followed.

Original author / office: Research Advisory Committee

Original document (is this draft replacing another document): No previous document exists

When will it undergo review again: The Research Integrity Committee will review it at its next meeting

To whom does the policy apply: Any researcher conducting classified research

Is there an appeal process: At this time, no appeals process is specified

Specified time for comment from Executive Committee Faculty Senate: Feedback is requested from the Executive Committee by May 31, 2004
I. Introduction

It is the policy of the University of Louisville to encourage the greatest possible freedom of communication of ideas and information in all areas of academic endeavor. However, in some instances, academic inquiry produces results, the full and immediate disclosure of which would be detrimental to the national security of the United States. In such cases, it may be appropriate for the University to accept certain limitations on the conduct and communication of the research. The process by which the University of Louisville shall decide whether to sponsor a particular classified research project proposed by a member of its faculty is included in this policy.

II. Definition

Classified research is defined as a research project, or that portion of a project, that has a security classification established by a United States federal agency. Among the factors to be considered in determining whether a particular classified research project is acceptable to the University are the academic merit of the proposed research, the compatibility of the proposed research with the mission of the University, the nature of the restrictions placed on communication of research results, and the contribution of the proposed research to the benefit of humanity.

III. Policies

The University will not approve classified research contracts for which the identity of the sponsor and the general nature of the research cannot be revealed to the public. It is the responsibility of a scholar to reveal in publications and presentations of research results the identity of the sponsors of that research.

Classified research may not be taken into account in any faculty personnel action, such as decisions about promotion and tenure or contract renewals, until the research has been declassified. It is the policy of the University to discourage the participation of undergraduate, graduate or postgraduate students in classified research. No part of a thesis or dissertation submitted for an advanced degree at the University may be classified.

Sponsors of classified research projects will finance the unique security costs, including that for storage of data that are required for conduct and security of the project.

IV. Procedures

A faculty member desiring to engage in classified research is required to submit a written “unclassified” proposal to the dean of the appropriate school for consideration. This “unclassified” proposal will contain at least the following information:
The dean will forward the proposal, along with the dean's recommendations, to the Vice President for Research. The Vice President for Research will review the proposal under the advisement of the Research Advisory Council and, if deemed appropriate, an ad hoc Classified Research Committee will be appointed to fully evaluate and approve the proposal. The Classified Research Committee will be composed of at least five members with the appropriate security clearances and expertise to evaluate the project, of which at least a majority must be full-time faculty of the University of Louisville.

The ad hoc Classified Research Committee will transmit their recommendations, arrived at by majority decision, to the Vice President for Research. Approval by both the ad hoc Classified Research Committee and the Vice President for Research will be required for University approval of and participation in the proposed research. Should the recommendations of the Committee and the Vice President for Research differ; the final decision will be made by the President of the University.

Each classified research project will be reviewed annually by the ad hoc Classified Research Committee that conducted the initial review to assure that the research is being conducted in a manner consistent with University policies and standards.

The Vice President for Research shall annually inform the University community of the classified research projects being conducted at the University of Louisville. The information provided shall include the general nature of the research being conducted, the sponsor, and the funding level.

Portions of this policy were modified from the Classified Research policies of the Universities of Colorado, Virginia and Kansas.