



University Policy: Classified Research

Policy Category: Research

Subject: Classified Research Using University Resources

Responsible Executive: Provost

Office Responsible for Review of this Policy: Vice Provost for Research

Procedures: As described below

Related University Policies: Proposal Submission Policy and Process for Sponsored Projects; Distinguishing Between Gifts and Sponsored Projects; Principal Investigator Eligibility on Sponsored Research Projects; Principal Investigator's Handbook (PDF)

I. SCOPE

This document establishes the policy that governs classified research on AU property, as well as the use of university resources for the conduct of classified research. This policy applies to both sponsored research and non-sponsored research activities. AU faculty and staff may engage in classified research so long as it does not involve AU resources in any manner (e.g., land, laboratories, equipment, students, supplies, etc.).

II. POLICY STATEMENT

American University is dedicated to the maintenance of a scholarly environment in which a core value is the creation and dissemination of new knowledge. University resources (e.g., land, laboratories, capital equipment, students, supplies, etc.) may not be used to conduct research that bears a security classification from the U.S. Government, such as top secret, secret, or confidential without prior approval.

American University, consistent with its educational mission and tax-exempt status, is dedicated to the broad dissemination of scholarly work in whatever form. In the case of classified sponsored research, the Office of Sponsored Programs, when negotiating sponsored research agreements and contracts, will negotiate the publication of scholarly results from such classified work during the contract review and negotiation phase (including

pre-publication and security review). If the external sponsor does not allow for publication under any circumstance, American University retains the right to turn down such work.

Applications for research grants customarily will not be accepted when all or any portion of the intended research bears a security classification from the U.S. Government or if there is a reasonable likelihood that all or any portion of the intended research will bear a federal security classification in the future, unless prior university approval has been obtained.

If all or any portion of ongoing research bears a federal security classification, the research may be terminated, unless approval for continuation is obtained from the university. Nothing in this policy precludes American University from seeking to have the security classification removed.

This policy does not preclude American University faculty and staff from participating in classified research *not* supported by American University resources (e.g., land, laboratories, equipment, resources, students, etc.) provided that they have the requisite security authorization(s) in hand prior to initiating and continuing research.

There are rare circumstances in which the pursuit of new knowledge may involve critically important areas of inquiry that are restricted for national security reasons. In such cases, when the principle of openness of a scholarly community is balanced against the best interests of society, exceptions to this policy are allowed. Exceptions to this policy but must be approved by the Vice Provost for Research after consultation with the dean of the appropriate academic unit and the Provost.

VII. EFFECTIVE DATE AND REVISIONS

This Policy is effective as of February 1, 2016.