RSP 404: Classified Research

Purpose

To identify the circumstances under which the university will accept agreements requiring access to government classified information.

Sources

Arizona Board of Regents Policy Manual - 3-202

Policy Statement on Classified and Proprietary Research, prepared by the Ad Hoc Academic Senate Committee on Classified and Proprietary Research, December, 1984

Policy

General

Arizona State University is committed to an extensive and varied research agenda, which assumes that the university’s role in society requires that research and teaching are vigorously pursued and fully integrated. Thus, faculty research advances knowledge, enriches teaching, and serves the community.

This principle of the indivisibility of teaching and research limits the amount of confidential research appropriate for a university environment because of the requirements for secrecy and restrictions on publication inherent in government sponsored classified research. This research policy outlines the limited circumstances under which classified research projects may be undertaken by university investigators.

This policy governs research carried out on-campus or off-campus and research that becomes classified while a project is underway. In addition, it governs both classified projects and unclassified projects that require access to classified information.

1. The university will not accept a grant or enter into a contract with terms that indefinitely prohibit the disclosure of research results, unless:

   a. the project represents a critical public service or serves to protect national security

   and

   b. the university is uniquely qualified to provide the required services because of personnel,
facilities, location, or other special consideration

2. No theses or dissertations will be accepted in fulfillment of degree requirements that cannot be freely published or disseminated. Students participating in classified projects must be fully informed about the potential restrictions on publication of research if results developed from work on these projects are in any way associated with classified research.

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**Classified Material Management Group**

**Authority of the Management Group (MG)**

Under ABOR policy 3-202, ABOR and ASU have established a Classified Materials Management Group (MG), with responsibility for reviewing, approving, and overseeing classified research projects. The MG includes a regent, the university president, the vice president for research and economic affairs, the associate vice president for research, the director of research administration, and the vice president and general counsel. Under no circumstances will the university enter into a classified research agreement without a quorum of the Management Group certifying that the contemplated project satisfies the above criteria.

**Annual Report**

The vice president for research and economic affairs shall prepare an annual report to the Academic Senate that lists each active grant or contract governed by this policy. To the extent permitted by law, the report shall include:

1. title of the project
2. name of the principal investigator (PI)
3. source(s) of funds for support of the project
4. confirmation that the criteria and procedures set forth in this policy were followed in the review process
5. reasons for the Management Group’s decision
   and
6. recommendations, if any, concerning classified research policy.

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**Cross-Reference**

For additional information, see [RSP 101](http://www.asu.edu/aad/manuals/rsp/rsp404.html), “General Research Policy.”