

FCR – *reviews of*
Classified, Proprietary, and Restricted Research
proposals

Responsibilities

Classified, Proprietary, and Restricted Research

1. Basic Principles

The most fundamental commitment of the University is to the **maintenance of an open academic environment** that fosters intellectual creativity, freedom, and the **open dissemination of research results**.

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No. 8

2. Obligation

The policy stated below, except as noted, is intended to eliminate such restrictions [*to an open academic environment*]

2.A.	Unless exception is made using the review process described in <u>Section 3</u> , the University will not enter into any contract or accept any grant which:
1)	Prohibits the open publication or dissemination of research results within a reasonable period of time .
2)	Restricts participation on grounds other than interest or competence.
3)	Restricts access to campus facilities in ways that are judged to disrupt the overall research activity of the University.

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However.....

2. A.Under unusual circumstances *relating to special scholarly expertise of a faculty member* or his or her research activities, or *to the national security*, exceptions may be necessary. In these cases **A REVIEW** of the proposed grant or contract shall be made by the Faculty Council on Research **to ensure that the academic benefits to the University, and the communities it serves, will justify the exception**. The criteria for exceptions and the recommendation and decision procedures shall be formulated by the Faculty Council on Research.

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3. The Review Process

3. A. 2. The policy on classified, proprietary and otherwise restricted research approved by the Faculty Senate and by the faculty calls for the **Faculty Council on Research to make recommendations concerning the appropriateness of entering into research grants or contracts** before final decisions are made concerning their acceptance by the University.

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3. The Review Process.....

3. B. Mandate *[to carry out 3. A. 2. in previous slide]*

1) Review every proposal for a research grant or contract **that carries a provision** expressed or implied that seeks to limit:

- **participation,**
- **access to facilities, or**
- **the freedom of the investigators to publish or not to publish the results of such research in full.**

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3. The Review Process.....

3. C. Criteria for Approval *[by FCR]*

- 1) A proposed research grant or contract that involves restrictions on participation, access, publication or non-publication **will be recommended for approval** only when in the judgment of the Faculty Council on Research **the merits** of the proposed research and the **potential benefits** to be realized **clearly outweigh the disadvantages of the restrictions**. The following criteria shall be used as a basis for judgment; however, **a proposal need not qualify under all criteria *[that follow]***.

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3. The Review Process.....

3. C. Criteria for Approval *[by FCR]*

1.

[one or more of the 3 listed items needed for FCR approval]

a) Involves unique University capabilities.

FCR questions to PI:

1. *What unique capabilities do your program and the UW bring to this proposed project?*

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3. The Review Process.....

3. C. Criteria for Approval *[by FCR]*

1.

[one or more of the 3 listed items needed for FCR approval]

b) Has very substantial scholarly, scientific, or educational benefits.

FCR questions to PI:

2. *Describe the scholarly, scientific, and/or educational benefits of this proposed project.*

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3. The Review Process.....

3. C. Criteria for Approval *[by FCR]*

1.

[one or more of the 3 listed items needed for FCR approval]

c) Constitutes a very substantial public service.

FCR questions to PI:

3. *In what ways does the proposed project provide a public or community service?*

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3. The Review Process.....

3. C. Criteria for Approval *[by FCR]*

Additional FCR questions to PI:

4. *In what ways, if any, will UW students (graduate or undergraduate) be involved in the project? If they participate in the research, will they require security clearance or have restrictions placed on their thesis, dissertation, or other academic activities?*
5. *Does the proposed project engender any restrictions on publications by the PI, members of the research team, students or postdoctoral fellows?*
6. *Are there any 'foreign nationals' working on this project?*

Discussion???

Criteria of Approval:

Change of questions to PIs?

Additional questions to add?

Process of Approval?