

To: Steven Maynard-Moody
From: Gene Rankey

Re: FSRC's Standing Charge 4

Per your request for information in regards to your charge to "Evaluate the execution of the University's Restricted Research Policy (Faculty Senate Rules and Regulations, Article IX) in handling requests for exceptions," I offer the following overview of the Restricted Research Committee.

Our workflow: We are a virtual committee, all of our work is accomplished through Blackboard. Six members from across the university serve on the committee. The chair of the Faculty Senate Research Committee is a non-voting ex officio member.

Applications. The committee is provided with two documents, and any supplementary materials. The two documents include the proposal to the sponsor and an application for the exemption. The application requires a short project description and a rationale for restriction.

We consider two classes of exemptions:

- "Dual use" science or technology that has primarily harmful consequences for human beings. In my two years on the committee, I don't ever recall seeing a "dual use" application, however.
- Restrictions on Research, including A) Extended delay of Publication; B) Total or Indefinite Delay of Publication; C) Limitation of access by foreign scholars, faculty, or staff; or D) Restriction of access to campus facilities.

Deliberation. We review proposals, then discuss them relative to criteria for exemption. Per our charge: "To be granted an exemption, the research must involve of unique University capabilities, have very substantial scholarly or educational benefits, or constitute a very substantial public service such that the merits of the proposed research and the potential benefits to be realized clearly outweigh the disadvantages of the restrictions."

A few general comments on applications over the last few years:

- We see proposals for both Industry and government
- The most common reasons are partial, delayed, or complete limitations on publication
- We also see quite a few that use proprietary data or materials, using unique KU labs or skills
- Our most common reason for approval of exemptions include proposals that lead to development of unique skills, offer a unique experience, yield special connections or access to further data, or a confirmation that the project will lead to additional funding. Whenever students or post-docs are involved, we find that PIs are conscientious and include student awareness of and consent to any publication limitations.

Approval requires a majority in the affirmative for approval

Number of AY 2019-2020 Applications: 9

Number approved: 9

Kindly let us know if you have any questions.