



UNIVERSITY OF MINNESOTA
BOARD OF REGENTS POLICY

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Academic

OPENNESS IN RESEARCH

Adopted: December 9, 2005

Amended: February 12, 2010

Supersedes: (see end of policy)

OPENNESS IN RESEARCH

SECTION I. SCOPE.

This policy applies to research conducted at the University of Minnesota (University) by University faculty, staff, students, visiting researchers, and volunteers, except as provided in Section II.

SECTION II. EXCLUSIONS.

This policy shall not apply when:

- (a) the research is performed by faculty members on leave from the University or serving as consultants; or
- (b) the research involves services performed as an external sale, provided that the results of such services either may be published freely in the aggregate or may be used to guide the design of broader research activities.

SECTION III. GUIDING PRINCIPLES.

In carrying out its mission of research and discovery, the University strives to sustain an open exchange of ideas in an environment that embodies the values of academic freedom and responsibility. Absent compelling reasons, the University shall not accept restrictions on participation in University research or on the dissemination of the results of University research. The University cooperates with research sponsors in the orderly publication of research results, subject to appropriate restrictions on the use of publications or of the University's name for commercial purposes.

SECTION IV. ACCEPTANCE OF RESEARCH AGREEMENTS.

The following provisions shall govern the acceptance of research grants and contracts by the University:

Subd. 1. Disclosure of the Research Relationship. The University shall not accept support from any source for research under a contract or grant that prohibits the disclosure of:

- (a) the existence of the contract or grant;
- (b) the identity of the sponsor or the grantor and, if a subcontract is involved, the identity of the prime contractor if the results of the research must be reported to the sponsor, grantor, or prime contractor; and
- (c) the purpose and scope of the proposed research in sufficient detail (i) to permit informal discussion concerning the wisdom of such research within the University and (ii) to inform colleagues in immediate and related disciplines of the nature and importance of the potential contribution to the disciplines involved.

Subd. 2. Open Dissemination of Research Results. The University shall not accept support for any research under a contract or grant if the contract or grant limits the full and prompt public



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dissemination of results or specifically permits the retroactive classification of results as nonpublic, except for reasons found compelling through a review process specified in administrative procedures.

Subd. 3. Retroactive Restrictions on Research Results. If a sponsor imposes restrictions on the disclosure of research results after the research has begun, the University shall reevaluate whether to continue the work. In the reevaluation, the University shall apply the provisions of this policy and a review process specified in administrative procedures.

Subd. 4. Use of Facilities. University facilities shall not be available for research that violates this policy. Any exceptions shall be considered through a review process specified in administrative procedures.

SECTION V. PUBLICATION.

The following provisions shall govern the publication of research results:

Subd. 1. University's Right to Publish. The University reserves the right to publish and present research results, individually and in collaboration with other researchers. When a research sponsor requests prior review, the University shall provide an opportunity for review of the manuscript or presentation materials and will consider suggested modifications prior to publication.

Subd. 2. Attribution. Publications by the University shall properly acknowledge the financial support and other contributions of research sponsors.

Subd. 3. Brand and Trade Names. Publication and presentation of research results by either the University or the sponsor shall not include commercial brands or trade names unless such brand or trade name is essential to the description of the research.

Subd. 4. Publicity. Research grants and contracts may provide that University researchers must obtain prior written approval from the sponsor for any prepublication publicity regarding the research results.

Subd. 5. Authorization for Research Sponsor to Publish. If the University elects not to publish research results, the research sponsor may publish them with the University's consent, which shall not be unreasonably denied.

SECTION VI. USE OF UNIVERSITY NAME.

The name of the University shall not be used in any way by research sponsors for advertising purposes.

SECTION VII. DELEGATION OF AUTHORITY.

The president or delegate is authorized to adopt and amend administrative policy and procedures to ensure implementation of this policy.

Supersedes: Publication of Investigation Results Dated July 19, 1940 and Research Secrecy Dated July 10, 1969.