

## Research

Functional Lead: VPAA

Division: Research

Responsible Office: Director of Research

Reference: (a) SACSCOC Principles of Accreditation

(b) Title 32, Code of Federal Regulations, Part 219, Protection of Human Subjects

(c) Title 5, United States Code, Section 552, Public information; agency rules, opinions, orders, records, and proceedings

(d) DODI 3200.12 DOD Scientific and Technical Information Program

(e) United States Marine Corps Human Research Protection Program Policy and Procedures 28 Sep 2016

1. Purpose. This section defines the expectations and procedures for Marine Corps University (MCU) faculty, staff, and students when conducting academic research.

2. Background. Research conducted by MCU's faculty, staff, and students is a critical part of the intellectual climate of the University and a part of many faculty and academic staff members' specified scholarly duties. Research brings new knowledge into the classroom and the hands of decision-makers and contributes to the reputation of the University. Additionally, the ability of MCU's faculty and research staff to build robust research agendas is an important factor in the University's approach to recruiting and retaining high quality personnel. MCU's schools and organizations support and manage research in different ways.

3. Policy

a. Academic integrity and transparency

(1) All research conducted by MCU faculty, staff, students, and contractors must be conducted in accordance with the principle of academic integrity.

(2) To the maximum extent possible, researchers should strive to be transparent about their research efforts. Research transparency enhances the intellectual climate of the University, advances its outreach efforts by facilitating the exchange of ideas, and improves the discoverability of the work of MCU personnel. Transparency begins while research is ongoing through informal discussions with students and colleagues and more formal activities, such as presentations at conferences or symposia. Transparency once research has concluded continues to involve discussions and presentations, but may also include publication/dissemination of research results and, in some cases, sharing resources, such as bibliographies and data sets.

(3) Additionally, per reference (d), most research outcomes, data management plans, and datasets from research using government funds need to be posted on the Defense Technical Information Center's portal. In cases where MCU personnel receive external research support, researchers must ensure that external stakeholders are aware of this requirement.

b. Research review requirements, including research involving humans or personnel records

(1) Marine Corps University complies with federal law and Marine Corps regulations regarding the protection of human subjects. If your research plan involves gathering information from/about people (e.g., interviews, surveys) or access to private or identifiable data (e.g., personnel data), then your project requires an applicability review by the USMC Institutional Review Board (IRB) prior to contacting people to participate (recruitment) and data collection. If the project is determined to be HSR, the researcher will need to develop a research protocol for IRB approval to ensure sufficient protections are in place for participants, research data (storage and retention), and research findings. Full details are available in the Institutional Review Board and Human Subjects Research Policy on the business regulations site.

(2) Research using certain methods or involving certain categories of participants may be subject to other Marine Corps and DoD review requirements. It is the researcher's responsibility to identify required reviews and take any necessary actions. Additional information about these requirements may be available from MCU's IRB representatives.

c. Requirement for Public Sharing of Research Outcomes. In accordance with reference (d), outcomes from scientific or technological research funded in whole or in part by DoD must be publicly shared. In practice, this policy means that reports and publications (after a 12 month embargo) from scientific or technological research must be posted on the Defense Technical Information Center portal (<https://discover.dtic.mil/>).

d. External research support or endorsements

(1) Formal external interest in MCU research may take the form of sponsorship, funding, or endorsement. In some cases, an outside organization may request research be conducted by MCU faculty, staff, or students. In others, the interest may arise during the design of the project or while it is being conducted. These expressions of interest or offers of support do not necessarily constitute tasking, but care should be taken to ensure that the researcher(s) and the external stakeholder have a shared understanding of the research process and planned outcomes.

(2) Research outcomes that do not contain controlled information are publicly releasable, whether directly from the researcher(s), through publication, or through FoIA requests. Agreements with external stakeholders should clearly state the researcher(s) intentions regarding release and circulation of research outcomes and potential future uses of data and reports. If the researcher(s) will produce outcomes solely for the use of the stakeholder and cede release decisions to the stakeholder, the details of this arrangement should be documented (e.g., will release of all research outcomes be determined by the stakeholder or just release of one or more specific outcomes, will the researcher have the ability to use the data for other scholarly or applied purposes, etc.).

(3) Publication of research outcomes. If the researcher(s) anticipate publishing research outcomes or expect that they may develop publications in the future based on data from the

project, these expectations should be specified in the agreement with the stakeholder. Note that any publication requiring copyright must be developed in accordance with MCU's copyright protection policy.

(4) Control of data and research records. As is common in academic settings, MCU researchers may maintain data, records, and other research materials for use and reference over the course of their careers. Researchers should specify their intent regarding these materials and also describe what access, if any, the stakeholder will have. Additionally, data and certain other records from projects involving human subjects must be protected in accordance with the policies described earlier in the chapter. These protections may preclude stakeholder access to data and certain other materials. If the research involves human subjects, the possibility of restrictions on stakeholder access should be included in the documentation.

(5) Resources and Support. If the stakeholder will provide funds, logistical or other support, or endorsements, the details of the resources and support should be included in the documentation. Additionally, if the researcher(s) will be devoting time or resources to the project that exceed what is considered normal for their positions, this should be documented, along with any required University approvals. For some projects, it may be necessary to document other expectations and agreements, such as project timeline, due dates for research outcomes, or required consultation sessions (see sponsored projects in the links below).

(6) Documenting agreements with external stakeholders. Regardless of the form or timing, a sponsor, funder, or endorser will expect to have a stake in the research. It is critical that the researcher(s) and stakeholder(s) clarify and document expectations prior to agreeing to an arrangement. This documentation protects both the researcher(s) and the stakeholder. Documentation of the agreement may take any form appropriate to the project (email, letter, Memorandum for the Record, or Memorandum of Agreement), but should explicitly address the following topics:

(a) Stakeholder influence on design and review of results. As is appropriate in an academic institution, most MCU research is conducted under the University's policies of academic integrity and academic freedom, meaning external stakeholders do not control the design and results will not be altered based on stakeholder concerns. This should be clearly stated in documentation. Alternatively, if these policies will not apply, the role of the stakeholder in influencing research design and results should be clearly specified. (Note: Projects in which researchers cede control of the project design and/or results to a sponsor can be perceived as violating scientific/scholarly integrity and reflect negatively on the researchers and the institution. Such agreements should be made only under special circumstances and should be carefully documented.)

(b) Release of research outcomes. Research outcomes containing classified or controlled unclassified information (CUI) must be handled in accordance with the policies applicable to the specific information category. In coordination with the Sponsored Projects Council, it is the researcher's responsibility to determine applicable policies and required reviews. Additional information may be available from the University's Security Manager and/or

Foreign Disclosure Officer. Research outcomes categorized as CUI must be marked with any required distribution statement and also should include a statement regarding which exemption to the Freedom of Information Act (FoIA) supports restrictions on release.

(7) External funds for research. To accept funds from a different Marine Corps organization, other government agency, or non-governmental source, MCU faculty, staff, or students must make arrangements with the University's fiscal office. Some funding sources may also require legal review. Additionally, if the researcher needs to expend resources through a contract, it may be necessary to work with the Regional Contracting Office.

(8) The Sponsored Projects Council will help researchers to determine what reviews and processes are required in order to accept and expend funds, but the individual researcher is ultimately responsible for ensuring compliance with all necessary reviews and processes.

#### 4. Procedures

a. Additional guidelines and processes related to research will be posted on the MCU Business Regulations Google site as they are developed (see related policies and forms below).

#### Related Policies and Forms:

Academic Freedom and Non-attribution  
Academic Integrity  
Copyright Protection Policy  
Faculty Council  
Faculty Development  
Faculty Regulations  
Human Subjects Research and Research Approval Policy  
Professional Development Off-site Program  
Quality Enhancement Plan  
Speaker's Bureau  
Sponsored Projects  
Research and Sponsored Projects  
Strategic Plan  
Title 10 Employee Regulations

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