



## Ownership and Control of Research Results

### No. 13015

**Policy Effective Date:**  
2/7/1994

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6/30/2015

**Policy Owner:**  
Theresa Mayer

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**Affected Parties:**  
Undergraduate  
Graduate  
Faculty  
Staff  
Other

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### 1.0 Purpose

This policy is to protect the rights of the university in regard to ownership and retention of research data, results, and related records.

### 2.0 Policy

The university asserts its rights to the results of research, funded wholly or in part with university resources. In addition, university ownership of intellectual properties is covered in Policy 13000, "Policy on Intellectual Properties." These ownership rights extend to all permanent and visiting faculty, research faculty, classified staff, wage employees, and students.

Normally, the faculty principal investigator or project leader (including the chairs of student thesis and dissertation committees even if not explicitly noted hereafter) is expected to manage the university's ownership of research results and material (this includes all data) in the ways that best advance the standard routes of publication, presentations, and other usual means of dissemination of research results for that particular field. Creation of intellectual properties must be disclosed to the university by the prescribed route.

It is the responsibility of the faculty principal investigator or project leader to preserve the research material and results in the manner that is customary to the field. This includes notebooks and files (independent of whether they are in analog or digital format), samples, specimens, prototypes, etc. that are germane to the veracity and validity of the research claims, but not any of the following: preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues.

In the event that the faculty principal investigator or project leader permanently departs the university, it is the responsibility of that person's department head to determine the disposition of the research materials and results.

It is the responsibility of principal investigators or project leaders to establish appropriate levels of security, confidentiality, and access. Access levels for research data should advance the standard routes of publication, presentations, and other usual means of disseminating research results for that particular field. When appropriate, access to research results and materials will be limited to the university faculty, staff, and students who generate them and/or need access to them for bona fide research or administrative purposes.

The Graduate School may, with the agreement of department heads, major professor(s), and students involved, embargo a thesis or dissertations normally up to one year after successful completion (see the Graduate School Policies section of the Graduate Catalog).



All members of the university community are expected to foster and uphold the principles set forth in the university's Statement of Professional Ethics and Responsibilities (see the Faculty Handbook, as well as the Graduate School Policies section of the Graduate Catalog).

Issues relating to the misinterpretation, incorrect application, or violation of these policies shall be resolved through the appropriate university grievance procedure (see the Faculty Handbook, as well as the Graduate School Policies section of the Graduate Catalog).

### 3.0 Procedures

### 4.0 Definitions

### 5.0 References

1. Code of Virginia Chapter 7, "The Virginia Public Records Act"
2. [Policy 2000](#), "Management of University Records"
3. [Policy 13000](#), "Policy on Intellectual Property"

### 6.0 Approval and Revisions

Recommended by the Commission on Research.  
Approved by University Council: February 7, 1994.  
Approved by the President: February 7, 1994.

Annual review October 3, 2001 by the Vice Provost for Research, Leonard K. Peters. No revisions.

- Revision 1  
This policy dated back to 2001 and made no reference to the possibility of digital files or notebooks. Language has been added referring to digital data. Data management plans are now commonly required by sponsors and revisions have been made to clarify the expectations for faculty members for research conducted here at the university.

Approved by the Commission on Research on April 20, 2015  
Approved by University Council on May 4, 2015  
Approved by the Board of Visitors on June 1, 2015  
Approved June 30, 2015 by University President, Timothy D. Sands