THE UNIVERSITY OF TENNESSEE

Policy Number: RE0002

Policy on Visitors Engaged in Research

The following Policy is applicable to any Visitors, as defined in Section 1.

1. Defined Terms

As used in this Agreement, the following terms have the meanings specified below:

  a. Background Check – For U.S. citizens, a standard background check obtained from an approved company using the individual's Social Security Number; for non-U.S. citizens (including green card holders), a background review conducted on the basis of the individual's U.S. travel authorization and the individual's date of birth.

  b. Departmental Business Manager – The individual designated as the department business manager or equivalent of an academic department or business unit without regard to the job title of the employee, or such individual's designee.

  c. Department Head – The individual designated as the department head, department chair, division chief, director, or equivalent of an academic department or functional head of a business unit without regard to the job title of the employee, or such individual's designee.

  d. Visitor Information Packet – Collection of documents including an information form, the Agreement for Visitors, and Intellectual Property Agreement for Visitors Engaged in Research. Click link for the current Visitor Information Packet.

  e. Sponsor – A University employee with "regular" employment status as defined in policy HR0105 who proposes a Visitor.

  f. Termination Date – The ending date of the time period that the Visitor will be on campus as provided in the Visitor Information Packet per Section 2(c)(iv) below or as amended in writing.

g. Visitor – Any visiting scientist, visiting scholar, or other unaffiliated individual (e.g., faculty, students, post-docs, industry collaborators, etc.) who is not on the University payroll and seeks access to University laboratories or other similar research facilities for the purposes of research and/or collaboration with University employees.

2. <u>Sponsor Responsibilities</u>

   a. Every proposed Visitor must have a Sponsor who is responsible for the Visitor for the duration of his/her time at the University.

   b. The Sponsor is responsible for ensuring compliance with this Policy and any other requirements imposed by the University or any applicable third party contract obligations.

   c. The Sponsor shall submit a completed Visitor Information Packet to the Departmental Business Manager prior to the proposed Visitor working in a University laboratory or other assigned workspace. These forms and agreements will require a proposed Visitor to agree to certain terms and provide, at a minimum, the following information:

      i. The name, date of birth, citizenship, U.S. travel authorization information (if applicable), address, home institution/organization, and other identifying information about the proposed Visitor, which will allow the University to (a) add the individual to IRIS and/or other appropriate University database(s); (b) conduct an appropriate Background Check on the individual; (c) perform an export control review on the individual and his/her home institution; and (d) take other appropriate steps to approve and monitor the individual's work at the University.

      ii. A full resume or CV (in English).

      iii. A brief summary of the proposed Visitor's anticipated work at the University.

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iv.   The time period that the proposed Visitor will be on campus.

v.   Identification of any specific grant, contract, or research project(s) on which the proposed Visitor will be working while at the University.

vi.   An explanation of all contractual relationship(s) and/or financial arrangement(s) between the University and the proposed Visitor and his/her home institution/organization including/or all external sponsorships (including scholarships, fellowships, etc.).

vii.   A list of all equipment, materials, and samples the Visitor plans to bring to the University or receive after arrival.

3.   Departmental Responsibilities

a.   The Department Head is responsible for reviewing the Visitor Information Packet and ensuring the following processes are completed:

i.   Determining whether the work or collaboration with the proposed Visitor would violate the terms of any current University grant or contract, including but not limited to any restrictions on access to data by non-employees under such agreements;

ii.   Determining whether the University should execute an agreement with the home institution of the proposed Visitor regarding the proposed work or collaboration on the University's campus and materials or information that might derive from the work or collaboration;

iii.   Ensuring that the necessary export control and research security reviews are completed with regard to the proposed Visitor, as required by this Policy.

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b.   In fulfilling these responsibilities, the Department Head shall consult with other University offices, including but not limited to the appropriate sponsored research office, human resources office, information technology office, risk management office, international office, and the Office of General Counsel.

c.   The Departmental Business Manager shall be responsible for retaining a copy of all documents required by this Policy for the Visitor and forwarding a copy to the campus human resources office.

d.   The Departmental Business Manager shall be responsible for delivering the completed Background Check request form to the campus human resources office for processing.

4.   Export Control & Research Security Reviews

a.   After receiving the Visitor Information Packet the Departmental Business Manager shall contact the campus export control and research security offices to request an appropriate review for the proposed Visitor and the home institution of the Visitor.

b.   The campus export control and research security offices or Department Head shall report their findings in writing to the Departmental Business Manager.

c.   If the campus export control office determines that the proposed Visitor should not work at the University based upon export control concerns, or that a license and/or specific export control restrictions are required for such work, then the Visitor shall not be allowed to work at the University unless appropriate export control restrictions are imposed, including (if required) a technology control plan. The Sponsor is responsible for ensuring compliance with any applicable export control restrictions.

d.   If the research security office determines that the proposed Visitor should not work at the university based upon national security or other concerns,

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or that a mitigation plan must be agreed upon prior to such work, then the Visitor shall not be allowed to work at the University unless appropriate measures are agreed upon. The Sponsor is responsible for ensuring compliance with any mitigation plan set in place for a proposed Visitor.

5.   University Policies and Campus Procedures

    a.   The Visitor shall comply with all applicable University policies and campus procedures.

6.   Compliance and Oversight Requirements

    a.   The Visitor shall be subject to oversight by campus IRB, IACUC, IBC, conflict of interest and other committees as deemed necessary by the University.

    b.   The Visitor shall be required to provide any documents and complete any trainings as required by appropriate University oversight committees.

7.   Access to University Computers, Networks, and Other Information Technology Resources

    a.   All Visitors must be entered into IRIS in a Friend position. IRIS entry will generate a Net ID and UT email address. Request for access to a University-owned computer or access to other information technology resources shall be submitted in writing to the Departmental Business Manager by the Sponsor.

    b.   The Departmental Business Manager will terminate the Visitor's IRIS appointment and related Net ID access on the Termination Date. The Sponsor shall notify the Departmental Business Manager if the Termination Date is changed to ensure appropriate termination of IRIS appointment and related Net ID access.

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8. University Identification Cards, Parking Passes, and Building Access

    a. All Visitors must obtain the designated campus photo-identification card.
    b. All physical access requests for the Visitor including campus identification cards, parking passes, keys/access cards for buildings, or other similar requests shall be submitted in writing to the Departmental Business Manager by the Sponsor and approved by the appropriate Department Head.
    c. The Departmental Business Manager will terminate the Visitor's card reader access and collect his/her key on the Termination Date. The Sponsor shall notify the Departmental Business Manager if the Termination Date is changed to ensure appropriate termination of card reader access and key collection.

9. Failure to Comply with University Policies and Campus Procedures

    a. If the Visitor works in a University laboratory or other similar research facility without having fully complied with all applicable University policies (including this Policy) and campus procedures (and any other requirements imposed by the University from time to time), the University may:

        i.   Require the Visitor to immediately cease all work;

        ii.   Deny further access by the Visitor to University laboratories and other similar research facilities;

        iii. Require the Sponsor and Visitor to demonstrate compliance with this Policy prior to performing further work at the University; and/or

        iv.   Take any and all other actions deemed appropriate in the sole discretion of the University, including but not limited to any appropriate actions under University Human Resources policies.

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10.   Campus implementation

    a.   The chief research officer of each campus must develop and adhere to procedures that implement and demonstrate compliance with this Policy and update such procedures as the need arises.

    b.   Initial procedures and any subsequent revisions must be shared with the Vice President for Research of the University of Tennessee System.