

## PROCEDURE ON VISITORS ENGAGED IN RESEARCH

|   |  |  |
|---|--|--|
| <b>No./Title:</b> Visitors Engaged in Research  | <b>Resp. Office:</b> Office of Research  | <b>Effective Date:</b> November 1, 2020  |
| <b>Category:</b> Compliance   | <b>Last Review:</b> Oct 29, 2020   | <b>Next Review:</b> Oct 28, 2021   |
| <b>Contact:</b> Dr. Steven L. Youngentob, Senior Associate Vice Chancellor for Research |  901.448.2359 |  syoungen@uthsc.edu |
| <b>Related Policies:</b> System Policy RE0002-Policy on Visitors Engaged in Research    |  |  |

### BACKGROUND

The University of Tennessee has introduced a new policy governing the process for designating and approving visitors who wish to engage in research activities at the University, as well as the responsibilities of University faculty, administrative personnel and departments who wish to host a visitor. The new University-wide policy, RE0002, <https://policy.tennessee.edu/wp-content/uploads//policytech/system-wide/re/RE0002-Policy-on-Visitors-Engaged-in-Research.pdf>, takes effect on Nov. 1, 2020. The policy applies to all “visiting researcher” requests made as of November 1, and any renewals on that date and after.

The purpose of the system policy is to put a clear structure in place for how visiting researchers are designated and defined, the overarching responsibilities of University of Tennessee faculty who host such visitors, and the rights and responsibilities of the visiting researcher, themselves. Faculty engaged in research should refer to the system-wide policy for complete details.

The purpose of this procedure is to operationalize the new policy on the UTHSC campuses. Ongoing training on the new visiting researcher process will be conducted with appropriate administrative staff tasked with overseeing the implementation of the system policy. An accompanying visiting researcher training website with step-by-step guidance for faculty to request and host visiting researchers will be launched with the new policy on the November 1<sup>st</sup> effective date:

<https://tennessee.csod.com/samldefault.aspx?returnurl=%252fDeepLink%252fProcessRedirect.aspx%253fmodule%253dlodetails%2526lo%253d6d198df5-f317-4356-ac52-f5e1dafb9024>.

Effective November 1<sup>st</sup>, any faculty member wishing to sponsor a visitor must complete the online training with the requisite passing score, prior to making a request. Beginning Jan 1, 2021, training for the “UT System Policy on Visitors Engaged in Research” will be assigned as part of the annual curriculum for all faculty engaged in research, as well as assigned to all administrative personnel tasked with overseeing the system policy and campus procedure.

### PURPOSE

The goal of the system policy and campus procedure is directed toward financially, legally, and reputationally protecting the university by identifying and monitoring visitors who are conducting research in university laboratories and research facilities.

Under both the UT system policy and UTHSC procedure, the term “visitor” is defined as a privilege accorded to individuals from other universities, institutions, or industry who are temporarily in residence

on our campus for a period of time to, for example, conduct research in a University facility; collaborate with University faculty on specific projects; or observe faculty research.

For the purpose of this UTHSC procedure several key definitions apply:

a. Visitor

Any visiting scientist, visiting scholar, or other unaffiliated individual (e.g., faculty, students, post-docs, industry collaborators, etc.) who is not on the UTHSC payroll and seeks access to UTHSC laboratories or other similar research facilities for the purposes of research and/or collaboration with UTHSC employees. (NB: This procedure does not apply to UTHSC approved vendors or potential vendors including, but not limited to, personnel involved in instrument service and installation, instrument training, equipment demonstration, and sales personnel. As well, unpaid UTHSC affiliated students (e.g., volunteers) who participate in research are not subject to this procedure).

b. Department Head

UTHSC Memphis campus: “Department head” is defined to mean the Associate Dean for Research (ADR) for the Colleges of Nursing, Medicine, Pharmacy, Dentistry, and Health Professions, respectively. In the College of Graduate Health Sciences, the Dean will serve as “department head” for this procedure.

UTHSC Chattanooga, Knoxville, and Nashville campuses: The respective regional campus Associate Dean for each college, where applicable, will serve in the capacity of “department head.”

c. Departmental Business Manager - For each campus and applicable college, “departmental business manager” is defined to mean the senior member of each college’s Office of Finance and Administration.

Please refer to System Policy RE0002 for additional definitions.

## PROCEDURE

### A. Roles and Responsibilities

1. Sponsor

- Any UTHSC faculty member with “regular” employment status, as defined in policy HR0105 may sponsor a Visitor. Faculty should begin the request process as soon as possible, but no less than 15 days before the desired start date.
- In sponsoring a visitor, a faculty member is responsible for compliance with all aspects of System Policy RE0002 and any other requirements imposed by UTHSC or any applicable third party (e.g., granting agency).
- The sponsor must submit a completed Visitor Information Package <https://universitytennessee.policytech.com/dotNet/documents/?docid=775&public=true> to the “Departmental Business Manager,” as per the campus and policy requirements (see policy RE0002 and the information packet for details).

- Prior to submitting a request package, the sponsor must complete the required online training.
- The sponsor should work with the Departmental Business Manager regarding all access requests for the Visitor (e.g., visa sponsorship, campus ID, keys, IT resources, etc). All requests are to be in writing.
- The sponsor is required to communicate to the Departmental Business Manager any change in Visitor status.

## 2. Department Head

- The Department Head is responsible for reviewing the submitted Visitor Information Packet and, in consultation with the appropriate administrative offices (e.g., Human Resources, Finance and Operations, Office of Sponsored Programs, IT security, Export Control), ensure that: (1) the work or collaboration is, for example, compliant with university policy, and any applicable grants or contracts; (2) the University determines whether an agreement with the home institution of the proposed Visitor, regarding the proposed work or collaboration on the University's campus, is needed; (3) the necessary export control and research security reviews are completed; (4) all relevant university policies are followed; and (5) approve all administrative requests related to the Visitor on campus (e.g., campus ID, keys, building access etc).

## 3. Departmental Business Manager

- The Departmental Business Manager shall receive and retain the Visitor Information Package from the Sponsor, as well as retain all relevant documents required by the applicable policies and procedures, forwarding a copy to Human Resources and requesting visa sponsorship from International Affairs if needed.
- The Departmental Business Manager must process all administrative requirements and documents related to the Visitor's time on campus (e.g., Background check request form, initiating and terminating appointment and access, establishing a Friend appointment in IRIS, etc).
- The Departmental Business Manager serves as the point of contact with Export Control and Campus and IT security to request appropriate review.
- The Departmental Business Manager is required to process all requests related to obtaining university ID card, parking passes, keys, building access etc.

## 4. Visitor

- The Visitor shall comply with all applicable University policies and campus procedures.
- The Visitor shall be subject to oversight by applicable campus IRB, IACUC, IBC, conflict of interest and other committees, as deemed necessary by the University.
- The Visitor shall be required to provide any documents and complete any trainings as required by appropriate University oversight committees.

## **B. Failure to Comply**

In the event a Sponsor or Visitor fail to comply with all applicable University policies and campus procedures (and any other requirements imposed by the University, from time to time), the University may:

- Require the Visitor to immediately cease all work
- Deny further access by the Visitor to University laboratories and other similar research facilities
- Require the Sponsor and Visitor to demonstrate compliance with this Policy prior to performing further work at the University
- 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