

POLICY

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Title: Visiting Scholar and Visiting Scientist

Policy Statement

The University of Vermont recognizes the benefits of volunteer faculty appointments for Visiting Scholars and Visiting Scientists for the purpose of scientific and scholarly collaboration. As such, the University encourages collaborations and promotes the free exchange of ideas, scientific progress, and an enriched intellectual environment of discovery for both faculty and students. The University also recognizes that University research resources and facilities as well as University researchers and sponsors need to be protected.

Reason for the Policy

This Policy (i) outlines the invitation process; (ii) implements compliance requirements related to Visiting Scholars/Visiting Scientists (VSS); (iii) provides information on the need for intellectual property (IP) agreements and the process for getting such agreements in place; and (iv) provides guidance on other issues related to VSS's who come to UVM for joint research or collaboration.

Applicability of the Policy

This Policy applies to faculty, staff, volunteers, temporary employees, and other individuals who participate in any activity on behalf of UVM, irrespective of appointment, compensation, or the location of the activity. This Policy does not apply to visiting graduate students. Refer to [UVM's Graduate College policy](#) for additional information.

Definitions

<u><i>Facilities:</i></u>	refers to all elements of UVM's physical infrastructure including, but not limited to, locations in which UVM has a presence, whether on campus or off, whether owned or rented, whether exclusive or shared.
<u><i>Faculty Host:</i></u>	is defined as the UVM faculty member who initiates the application and is ultimately responsible for the collaboration while the VSS is accessing UVM facilities and resources.
<u><i>Host Unit:</i></u>	is the unit (department, college, school, institute, or research lab) in which the majority of the collaboration will take place. In some cases, the host department may be different than the home department of the faculty host.

Resources: refers to UVM's personnel, equipment, supply, technology and intellectual infrastructure including, but not limited to, data and other electronic information, verbal exchanges with graduate students or non-host faculty, computers, computational equipment, access to UVM networks, and internet access.

Visiting Scholar/Scientist (VSS): means one of the following:

- **Visiting Scholar:** an individual who (i) is engaged as a non-salaried volunteer (not as an employee or student of UVM) in activities at UVM that is funded externally; AND (ii) is invited to UVM in order to participate in a short-term (less than one year) educational, research, or other academic project under the supervision of a UVM faculty member. Normally, a Visiting Scholar holds an advanced or terminal academic degree.
- **Visiting Scientist:** an individual who will be collaborating as a non-salaried volunteer with the UVM community on substantial research for a set period and/or on a recurring basis while under the supervision of a UVM faculty member, AND who is not an employee or student of UVM but, rather, is an employee, or trainee of another organization and is funded externally during their UVM appointment as a VSS.

Procedures

General:

Non-salaried appointments are valuable tools that represent a real cost, and potential liability, to the University. They should be extended only when there is a valid academic purpose and need for the appointment. The appointment should be of benefit both to the University and the individual to whom it may be extended. Any UVM employee who wishes to invite a VSS to campus, must obtain written permission from the Office of the Vice President for Research (OVPR) and the Provost's Office following the approval process steps referenced below.

Exceptions:

This Policy does not cover:

- collaborations that do not involve access to UVM campus facilities and resources, or
- visitors who are on campus for an external, hosted/sponsored, or internal one-time event (as defined under UVM's [Facilities and Grounds Use Policy](#)) unless the visitor is also using UVM resources not associated with the conference.

With prior written approval from the OVPR, other exceptions may occur for certain industry partnerships.

Approval Process Steps:

If a Faculty Host has identified a potential VSS, all process steps must be completed prior to the arrival of the VSS. Access will only be granted to UVM facilities and resources once these steps have been completed. Process steps can be found on the [Office of the Provost website for non-salaried Faculty](#), under [Processing a Visiting Scholar/Scientist Appointment](#). This process may be amended from time to time so it is important that the Faculty Host or their designee review the process for newly identified VSS. Faculty Hosts should allow 4-6 weeks for this process.

For VSS that will work in research labs, a [Visiting Scientist agreement](#) ("VSS Agreement") will be put in place by the OVPR.

Conditions of Approval

Once the VSS information has been set-up in Human Capital Management (HCM) systems (i.e., PeopleSoft), and their appointment is visible in the UVM Directory, the VSS will be able to activate the VSS's NetID and visit the CatCard Office with their signed Invitation Letter.

CatCards will be activated for a period specified in the approval but not exceeding twelve months. As indicated herein, Visiting Scholar appointments cannot exceed 12 months. Visiting Scientist appointments may exceed 12 months; however, visits expected to last longer than 12 months must reapply with updated materials and forms prior to reaching their one-year date.

The renewal process will follow the same protocols described above and in the [Processing a Visiting Scholar/Scientist Appointment](#) document.

Termination of Visiting Scholar/Visiting Scientist Status

VSS and Host Faculty are responsible for submitting all application documents for initial approval and for renewals. If renewal documents are not submitted on time, campus and facility privileges for the VSS will automatically expire at the end of the permission period or at the 12-month mark, whichever is sooner.

The University may terminate VSS status at any time, with or without notice, in the discretion of the University. Termination of VSS status also terminates access to UVM facilities and resources. Upon termination, the VSS must disclose any Intellectual Property conceived or reduced to practice during the term of the visit.

In the event the VSS leaves UVM prior to the official expiration of the status, the Faculty Host is expected to report this to the Chair and to the Dean in writing and inform them that the collaboration has ended. If the VSS leaves UVM unexpectedly or for more than two weeks, the Faculty Host must inform the Chair and Dean of the host department and, for a VSS on a visa, OIE. The Chair/Dean's office is responsible to follow standard termination steps to ensure that access to facilities and systems (CATCards, NetID's, keys) is also terminated.

If it is suspected that the VSS has violated the terms of their visa, the Faculty Host shall also notify OIE and, if necessary, the Office of General Counsel.

Agreements and Intellectual Property Rights

Intellectual Property rights and access to UVM resources will be governed by UVM's [Intellectual Property Policy](#) and the terms of the VSS Agreement. VSS will be considered Covered Persons under UVM's Intellectual Property Policy.

VSS status only allows the VSS the access and rights which are specified in the VSS Agreement. For example, VSS are not entitled to (i) any articulation agreements that UVM maintains with other universities or research facilities, (ii) any non-research related access or benefits, (iii) access to additional facilities and resources that are not specified by the VSS Agreement.

Reporting

Issues related to research compliance, intellectual property, research safety, conflicts of interest or commitment, and/or concerns related to foreign influence that arise must be reported by the Faculty Host in a timely manner in writing to the respective department/individual listed under Contacts below and to the Chair and Dean of the host department.

Enforcement

Enforcement of violations to this Policy may include any of the following:

- Withholding of funding for personnel who violate this policy.
- Removal of access rights to UVM facilities and resources.
- Implementation of a corrective action plan.
- Required training.
- Mandated amendments to the agreement.
- Transfer of responsibility for the project or required oversight transfer to another member of UVM's workforce.
- Disciplinary actions, up through and including termination from employment as outlined in any collective bargaining agreements and/or UVM's personnel policies.

Certain violations may also require that the University disclose the violation to funding or other federal agencies.

Personnel have the right to appeal enforcement actions according to UVM's grievance procedures for non-represented staff or according to any collective bargaining agreement for represented employees.

Contacts

Questions concerning the daily operational interpretation of this policy should be directed to the following (in accordance with the policy elaboration and procedures):	
Title(s)/Department(s):	Contact Information:
Sponsored Project Administration	spa@uvm.edu
Innovations (Intellectual Property)	innovate@uvm.edu
Vice President for Research	ovpr@uvm.edu
Controller	controller@uvm.edu
Payroll Services	payroll@uvm.edu
Faculty Affairs	www.uvm.edu/provost/contact-faculty-affairs
CatCard	catcard@uvm.edu
Office of International Education	internationalscholars@uvm.edu

Forms/Flowcharts/Diagrams

- Conflict Management Plan Form (Link forthcoming)
- [Visiting Scholar/Visiting Scientist Agreement](#)
- [Visiting Scholar/Visiting Scientist Application Form](#)
- [Visiting Scholar/Visiting Scientist Checklist for Host Departments](#)
- [Visiting Scholar/Visiting Scientist Disclosure Form](#)
- [Visiting Scholar/Scientist Invitation Letter \(MS Word\)](#)

Related Documents/Policies

- [Background and Reference Checks](#)
- [Facilities and Grounds Use Policy](#)
- [Intellectual Property Policy](#)
- [Processing a Visiting Scholar/Scientist Appointment](#)

Regulatory References/Citations

- None

Training/Education

Training will be provided on an as-needed basis as determined by the Approval Authority or the Responsible Official.

About this Policy

Responsible Official:	Senior Vice President and Provost	Approval Authority:	President
Policy Number:	V. 2.33.1	Effective Date:	March 3, 2022
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