

Information

Sponsoring Visiting Researchers/Scholars for Research Purposes

Effective

January 1, 2017

Number

RES-1.06

Applicability

This policy applies to the University of Louisville community (administrators, faculty, staff, employees, students or other authorized University individuals) who wish to serve as hosts for visiting researchers/scholars employed or affiliated with another organization for a specific period of time to collaborate on a defined research or scholarly project. This policy does not apply to individuals visiting the University who: 1) are accompanied by authorized University personnel for a visit for a purpose outside of research or a scholarly project, 2) do not need access to facilities or resources not open to the general public, 3) are not performing "hands-on" research or teaching, and 4) will receive or require compensation or financial support, in any form, from UofL. Examples of these visits include campus tours, conferences, collaboration meetings, presentations on a topic generally related to the area of research being done at the University, or other activities that do not require direct, hands-on research associated specific project.

Administrative Authority

Executive Vice President for Research and Innovation

Responsible Unit

Research Security

300 E. Market, Suite 300, Louisville, KY 40202

Phone: 502-852-7247

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History

Revision Date(s): November 2016; August 2017; January 21, 2022; January 9, 2023; August 23, 2024; October 7, 2024; March 9, 2026

Reviewed Date(s): August 2017; December 15, 2022; March 9, 2026

Categories

Reason for Policy:

From time to time, University of Louisville ("University" or "UofL") full-time administrators, faculty, staff, employees, or other authorized University individuals may wish to serve as hosts for visiting researchers/scholars employed or affiliated with another organization for a specific period of time to collaborate on a specific research or scholarly project and who will require independent access to University facilities and/or resources in ways that are not available to the general public (NOTE: this includes fully remote access to resources if University login is required). Additionally, the reason for this policy is to describe the requirements, authorizations, and agreements necessary to host these individuals. The information included in this policy covers individuals who are not compensated through a salary or hourly rate by the University and thus may not be tracked in the traditional sense, for whom it is necessary to establish guidelines.

Statement:

I) Program Overview. UofL's Visiting Scholar Program is a formal initiative that allows scholars, researchers, or professionals from other institutions—both domestic and international—to engage in research, collaboration, or academic activities at the

host university on a particular project for a specific period, usually ranging from a few months to a year.

a) Purpose of a Visiting Scholar Program. UofL's Visiting Scholar Program is designed to:

- i) **Facilitate Research Collaboration** - Visiting Scholars contribute to and benefit from ongoing research projects, fostering cross-institutional and interdisciplinary partnerships.
- ii) **Enhance Academic Exchange** - scholars bring fresh perspectives, expertise, and knowledge, enriching the intellectual environment of the host institution.
- iii) **Promote Internationalization** - strengthen global connections, support cultural exchange, and enhance their reputation.
- iv) **Support Professional Development** - scholars gain access to university resources, faculty mentorship, and networking opportunities, advancing their own academic or professional careers.
- v) **Encourage Knowledge Transfer** - the exchange of ideas, methodologies, and innovations benefits both the Visiting Scholar and the University.

b) What the Visiting Scholar Program is Not. UofL's Visiting Scholar Program is:

- i) **Not an Employment Position** - Visiting Scholars are not considered employees of the university and do not receive a salary, benefits, or work authorization from the host institution.
- ii) **Not a Degree-Seeking Program** - Visiting scholars are not students; they do not enroll in courses or work toward an academic degree from the host university.
- iii) **Not a Faculty Appointment** - While they may collaborate with faculty members, visiting scholars do not hold teaching responsibilities or faculty titles unless specifically arranged.
- iv) **Not an Internship or Training Program** - The program is intended for established scholars or professionals, not students or trainees seeking structured professional development or hands-on job training.

v) **Not a Guaranteed Path to Employment** - Participation as a Visiting Scholar does not lead to automatic hiring or a permanent academic appointment at the university.

vi) **Not a Substitute for Paid Labor** - The program is not a way to obtain unpaid work from individuals who should otherwise be compensated. Visiting Scholars should engage in independent research or collaborative projects, not perform tasks that would typically require an employee or compensated researcher.

These distinctions help ensure that the program remains focused on academic collaboration and research engagement rather than employment, education, or training.

II) Visiting Scholar Program Requirements.

1. It is the policy of the University that Visiting Scholars must complete and maintain the appropriate clearances, certifications, trainings, and agreements that are applicable to their activities while at the University.
2. All Visiting Scholars who have access to University research, facilities and/or resources not generally available to the public (including remote access) must have prior approval from the Faculty Sponsor's department or division head, Human Resources, and ORI, and the International Center, if applicable. Access to research data, materials, and/or facilities at the University may require additional approval depending on the nature of the data, materials, and/or facilities contained in the request (e.g. IRB approval, export control, etc.).
3. Approval for a Visiting Scholar requires the full execution of the Visiting Scholar Agreement ("Agreement"). All Visiting Scholars (or their home institution/employer, if applicable) must sign the Agreement prior to the commencement of their activities at UofL and/or being permitted access to University resources. The Office of Research Integrity - Division of Research Security will coordinate with the Faculty Sponsor on completing the Agreement and facilitating the signature process upon receipt of the Visiting Scholar/Researcher Application. Only authorized officials of the University, with express authority (e.g. signature authority) from UofL may sign the Agreement on behalf of UofL.
4. Visiting Scholars are not considered employees of the University, and therefore, as non-employees, they do not have official authority to represent, operate or have access (either physically or remotely) to the University's facilities not

available to the general public (including but not limited to University buildings, labs, offices, research sites, and/or other core facilities), equipment, materials, or sensitive/proprietary data without proper University approval. At a minimum, the applicable Department Head Faculty Sponsor, ORI, [Department of Enterprise Risk & Insurance](#), and [Information Technology Services \(ITS\)](#), must be aware of the presence and activities of these Visiting Scholars in writing. Visiting Scholars are subject to all applicable University rules, policies, procedures, and guidelines as well as all state and federal laws and regulations.

5. Faculty Sponsors.

1. Each Visiting Scholar must have a Faculty Sponsor willing to accept responsibility for the Visiting Scholar and may not be on sabbatical, or extended leave for the duration of the Visiting Scholars visit. The Faculty Sponsor is responsible for securing all approvals, including, but not limited to, submission of the "Visiting Scholar Application."
2. Gratis faculty members cannot serve as Faculty Sponsors.
3. Faculty Sponsors must ensure that the invitation of a Visiting Scholar is justified based on benefit and contribution to the University. The status of Visiting Scholars is a privilege and not a right. The University has the authority to rescind the approval of the visit, revoke the invitation, or deny its renewal or extension in its sole discretion.
4. Faculty Sponsors hosting a Visiting Scholar who is a Foreign Person must be current on or complete the appropriate export control and research security training prior to the arrival of the approved Visiting Scholar. The training will be assigned to the Faculty Sponsor by ORI.
5. The Faculty Sponsor is responsible for ensuring that the Visiting Scholar completes all required training and complies with all applicable laws, regulations, and University policies and procedures. Failure to meet these obligations may result in the revocation of the Visiting Scholar's access and university approval.

6. Payments & Reimbursement of Expenses.

1. Visiting Scholars who are invited to come to the University to collaborate or participate on research, scholarly, and/or clinical activities will not be paid a salary, compensation or otherwise receive financial support from the University as they are not an employee of the University and cannot represent themselves as such. Invitations to Visiting Scholars does not extend to spouses or dependents. If a Faculty Sponsor desires to invite a researcher to UofL who will require compensation or financial support,

please contact HR; however, submission of the Visiting Scholar Application is still required

2. Visiting Scholars are expected to have financial support from their home institution, employer, government, or other external funding sources. The University does not provide salary, stipends, or financial assistance, and Visiting Scholars may be required to verify that they have adequate funding for the duration of their stay, including living expenses, travel expenses, and health insurance.

7. **Criminal Background Check & Restricted Party Screening.** All Visiting Scholars will undergo a criminal background check. The expense of running a criminal background check is the responsibility of the department of the Faculty Sponsor. Due to federal requirements, all Foreign Persons require a restricted party screening by ORI prior to arrival on campus and may be asked to provide their most recent curriculum vitae or resumé and a photocopy of their passport via the Visiting Scholar Application.
8. **Duration of Visit.** All Visiting Scholars are required to comply with this policy regardless of the duration of their visit. While Visiting Scholars frequently visit the University during the summer intercession, depending upon the nature of the schedule at their home institution, they may be on campus at any time throughout the academic year. For the purposes of this policy, the duration of the visit shall be no more than twelve (12) months.
 1. In the event that the nature, purpose, location, or duration of the visit changes, the Faculty Sponsor shall inform the department head or director, dean, and ORI, and secure approval for the revised program 30 business days prior to the expiration of the initial approval deadline. For approved visits shorter than 30 days, notification should occur within 2 business days after the need for a change has been identified. A new Visiting Scholar Application must be submitted outlining the revised program and it may be necessary to execute a revised or amended Agreement.
9. In the event that a Visiting Scholar will have access to or be involved with a sponsored project that requires all project personnel to receive prior approval from the sponsor, the Faculty Sponsor is responsible for obtaining and must receive such approval from the sponsor in writing prior to the Visiting Scholar commencing work on the project.
10. **Travel Visas.** If the appointee is a Foreign Person, the individual must have an appropriate visa as required by the U.S. Department of State. This visa must be

active for the entire duration of the Visiting Scholars visit and permit the Visiting Scholar to work on the project associated with their visit. The Office for International Student and Scholar Services is responsible for overseeing and managing the U.S. Department of State's J-1 Exchange Visiting Scholar Program for Visiting Scholars that require a travel visa as an International Professor, Research Scholar, or Short-Term Scholar. Visiting Scholars that require visa sponsorship should contact the International Student and Scholar Services office; however, submission of the Visiting Scholar Application is still required.

11. **Training and Certifications.** It is the requirement of the University that all Visiting Scholars complete the appropriate training and certifications needed for the nature of the work they will complete during their visit. Depending upon the nature of the project, the Visiting Scholar's country of origin, and export control regulations additional permissions may need to be addressed. Due to the requirements and time necessary to secure approval for work on controlled and sensitive projects, Faculty Sponsors are strongly encouraged to balance the necessity of including Visiting Scholars on these types of projects. Faculty Sponsors should plan for a minimum of six (6) weeks for ORI to secure necessary export control licenses for a Visiting Scholar, if the Visiting Scholar will be working on a controlled project or accessing controlled technology and/or information. Additional information about training requirements can be found [here](#). Visiting scholars who will be at the University for a time period greater than two weeks and who will be working in a department of the University which is included in the University's HIPAA-governed healthcare component (as designated by the Privacy Office) must complete the University's approved HIPAA training.
12. **Secured Access and Access to Specialized Resources.** Although Visiting Scholars are not employees of the University, Visiting Scholars may be granted access to certain University facilities, data and/or resources to the extent necessary to complete the purpose of their visit. Visiting Scholars should have appropriate University identification and approved programmed access to necessary secured areas and specialized resources. No Visiting Scholar shall share identification/access with permanent faculty, staff, and/or students. In addition to programmed access, some specialized resources (lab areas, equipment, etc.) have additional training requirements prior to use. Faculty Sponsors must contact the respective facility or lab managers to ascertain what requirements must be fulfilled before access is granted. For authorizations related to classified/sensitive research It should be noted, that in some

instances, the approval process for these specialized projects can take months. For assistance in these areas, contact the ORI and Information Security Compliance Office.

13. Each Visiting Scholar must have a Faculty Sponsor willing to accept responsibility for the Visiting Scholar and may not be on sabbatical, or extended leave for the duration of the Visiting Scholars visit. The Faculty Sponsor is responsible for securing all approvals, including, but not limited to, submission of the "Visiting Scholar Application."
14. Gratis faculty members cannot serve as Faculty Sponsors.
15. Faculty Sponsors must ensure that the invitation of a Visiting Scholar is justified based on benefit and contribution to the University. The status of Visiting Scholars is a privilege and not a right. The University has the authority to rescind the approval of the visit, revoke the invitation, or deny its renewal or extension in its sole discretion.
16. Faculty Sponsors hosting a Visiting Scholar who is a Foreign Person must be current on or complete the appropriate export control and research security training prior to the arrival of the approved Visiting Scholar. The training will be assigned to the Faculty Sponsor by ORI.
17. The Faculty Sponsor is responsible for ensuring that the Visiting Scholar completes all required training and complies with all applicable laws, regulations, and University policies and procedures. Failure to meet these obligations may result in the revocation of the Visiting Scholar's access and university approval.

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1. Visiting Scholars who are invited to come to the University to collaborate or participate on research, scholarly, and/or clinical activities will not be paid a salary, compensation or otherwise receive financial support from the University as they are not an employee of the University and cannot represent themselves

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2. Visiting Scholars are expected to have financial support from their home institution, employer, government, or other external funding sources. The University does not provide salary, stipends, or financial assistance, and Visiting Scholars may be required to verify that they have adequate funding for the duration of their stay, including living expenses, travel expenses, and health insurance.
3. In the event that the nature, purpose, location, or duration of the visit changes, the Faculty Sponsor shall inform the department head or director, dean, and ORI, and secure approval for the revised program 30 business days prior to the expiration of the initial approval deadline. For approved visits shorter than 30 days, notification should occur within 2 business days after the need for a change has been identified. A new Visiting Scholar Application must be submitted outlining the revised program and it may be necessary to execute a revised or amended Agreement.

Related Information:

Obtaining a Cardinal Card

Instructions for obtaining a [Cardinal Card](#), with programmed access, for the visiting individual:

- Faculty Sponsor should submit a request to Card Operations on UofL letterhead from the school, signed by the Dean, with a copy being sent to the ORI;
- Letter should include: Visiting Scholar's name, purpose of the card (ex. door access, library card, etc.), areas necessary for the Visiting Scholar to gain access, and expiration date.

Sponsored Accounts

- [UofL Policy for Sponsored Accounts](#)
- [Sponsorship Request for Computer Accounts](#)

Immigration and VISA Requests

- [International Student and Scholar Services](#)
- [VISA Request Forms](#)

Signature Authority

- [University Contract Review and Approval and Signature Authority Policy](#)

Definitions:

1. *Faculty Sponsor*: a full-time faculty, staff, employee, administrator of the University irrespective of discipline, regardless of pay or leave status.
2. *Foreign Person(s)*: an individual who is not a citizen of the United States or a national of the United States and has not been lawfully admitted to the U.S. for permanent residence, as defined in 8 U.S.C. § 1101(a)(20); or A foreign principal, as defined in 22 U.S.C. § 611(b).
3. *ORI*: means UofL's Office of Research Integrity or their designee.
4. *Visiting Scholar*: an individual employed or sponsored by another organization (usually a university, industry, or government agency) and who typically hold a PhD, MD, or equivalent terminal degree in their discipline or have received equivalent professional recognition. A Visiting Scholar has been invited and approved by the University to come to campus or granted remote access to University data, facilities, and/or resources, for a period of time to collaborate on specific research, clinical, or other scholarly activities.

Forms/Online Processes:

[Visiting Scholar Application](#)

[Visiting Scholar/Researcher Agreement](#)