Introducing the Visiting Scholars Policy

Purpose

The purpose of this policy is to establish policies and guidelines relating to the designation, approval, roles, and the overall responsibility for visiting scholars at Iowa State University of Science and Technology.

Background

Iowa State University recognizes that individuals from other universities, institutions, and businesses may wish to visit the university for extended periods of time for reasons including, but not limited to, conducting research in a university facility, collaborating with university faculty on specific projects, and observing university instruction, administration, or faculty research. The designation “visiting scholar” is a privilege accorded to scholars temporarily in residence at the university. The university requires that certain visiting scholars be approved, undergo the appropriate background check, and execute certain agreements.

Definitions

**Individual host** means any university employee who hosts a visiting scholar pursuant to the appropriate approvals set forth in this policy. University undergraduate students, graduate students, and postdoctoral scholars are not eligible to serve as an individual host for purposes of this policy.

**Administrative host** means the designated university representative within a college, department or school, center or institute, or unit where the visiting scholar will be present. The administrative host shall coordinate with the office of the dean of the college, Office of the Vice
President for Research, or equivalent administrator, respectively, when the delegate
administrative host is not the dean/associate dean, VPR, etc.

*University personnel* means any paid faculty or staff in any college, department or school,
center or institute, or unit.

*Visiting scholar*, for purposes of this policy, includes individuals from other universities,
institutions, and businesses who are granted access to university facilities to conduct
collaborative research or to observe university instruction, administration, or research; and
who do not receive financial support from the university for their effort beyond travel and/or
expense reimbursement, where appropriate and applicable. This definition includes visitors
with the designation of “visiting student researcher” as well as unpaid visiting faculty. [Back to
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**Scope**

This policy applies to all university personnel who entertain requests from, or otherwise wish to
host, individuals from other universities, institutions, and businesses to visit any campus or
location of the university and use university facilities to conduct collaborative research or to
observe university instruction, administration, or research. These individuals do not carry an
official status of employment with the university. These individuals must have university hosts,
and in certain cases (that is, where the visiting scholar has access to university facilities for
fourteen (14) consecutive calendar days) require additional university approval for the visit as
provided below. [Back to top](#)

**Exclusions**
The designation of visiting scholar excludes – and therefore this policy does not apply to – any
one or more of the following:

- Individuals who are merely visiting common areas at Iowa State
- University invited speakers/guest lecturers who provide a speech/guest lecture that is
  open to the university community or public or to a university class
- University invited dignitaries or government/diplomatic visitors to ISU
- Enrolled university students (whether registered as a degree or non-degree student at
  Iowa State)
- University employees
- Academic affiliates (i.e., affiliate faculty)
- Independent contractors retained by the university
- University retirees with emeritus status
- University predoctoral scholars enrolled at ISU (Chapter 10 of the Graduate College
  Handbook)
- University postdoctoral scholars (Chapter 10 of the Graduate College Handbook)
- Undergraduate and graduate students from other academic institutions designated
  through ISU procedures as interns
- Employment candidates visiting campus as part of the selection process;
- Individuals visiting Ames Laboratory (including those in the contributors program)
- Members of university recognized advisory or review boards whose visit to the
  university relates to their service on that board. [Back to top](#)
POLICY

All university personnel who wish to host individuals from other universities, institutions, and/or businesses as a “visiting scholar” at the university must comply with this policy, and all other applicable laws and university policies.

Section I – Visiting Scholar Designation

A. Visiting Scholar Overview

All individuals from other universities, institutions, and/or businesses who are granted access to university facilities to conduct collaborative research or to observe university instruction, administration or research; and who do not receive financial support from the university for their effort beyond travel and/or expense reimbursement, including health insurance where required by the university, where appropriate and applicable, must be recommended by an administrative host prior to coming to ISU. When the proposed visit to the university is for fourteen (14) consecutive calendar days or more, the visitor must be approved by the Office of the Senior Vice President and Provost for the designation of visiting scholar prior to coming to ISU. Back to top

B. Criteria for Designation

This designation is appropriate for qualified individuals from industry, government, or other institutions who wish to visit the university and engage in activities under the purview of this policy. The designation of visiting scholar is appropriate for faculty from other academic institutions who are invited to Iowa State University during a period of leave from the home institution, including for a period of sabbatical. (Any unpaid visiting faculty appointment at Iowa State University as managed through this visiting scholar process differs from employment as paid visiting faculty – see Faculty Handbook 3.3.4.) This designation also includes visiting student researchers on leave from their student enrollment (and degree program) from an institution other than the university who wish to conduct research in residence at the university. Back to top

The following are the minimum eligibility criteria for a visiting scholar designation at the university:

1. The proposed visiting scholar must be visiting from, and affiliated with, an outside (U.S. or foreign) university, institution, or business.
2. The proposed visiting scholar must have a bachelor’s degree or equivalent.
3. The individual host and administrative host must agree to serve as the hosts of the proposed visiting scholar, and agree to the responsibilities of each as provided below.
4. The visiting scholar must agree to pay an administrative charge upon arrival.
5. The proposed visiting scholar may be required to undergo a successful background check and export control review. The background check and export control review must be completed prior to granting such visiting scholars access to university facilities.
6. If the proposed visiting scholar is intending to arrive on a J-1 visa sponsored by the university, additional criteria must be met. Consult with the International Students and Scholars Office to learn more about the minimum requirements for a J-1 visa.
Requests for exceptions to the minimum eligibility criteria above must be made in writing and submitted to the Office of the Senior Vice President and Provost for approval. As a condition of their visit, visiting scholars, regardless of the duration of the visit, may also be required to purchase personal health insurance through the university. Back to top

C. Duration of Designation
Visiting scholar designations are for a maximum period of one year. Upon recommendation of the administrative host and approval by the Office of the Senior Vice President and Provost, visiting scholar designations may be renewed up to a full second year, although shorter extensions are possible. An extension beyond two years must be approved by the dean of the college, vice president for research or equivalent administrator, where applicable, and the Office of the Senior Vice President and Provost and will be granted only for extraordinary and compelling reasons.

Visiting scholar designations for those in J-1 status sponsored by the university are subject to the durational limits of their status. Consult with ISSO (issoscholar@iastate.edu) regarding extensions or renewals (if applicable) for such visiting scholars. Back to top

D. Application and Approval Requirements for Visiting Scholars

1. Visiting Scholars Present for Less Than Fourteen (14) Consecutive Calendar Days

When a university employee wishes to host a visiting scholar for less than fourteen (14) consecutive days, the individual host and the administrative host must ensure compliance with the following:

a. Criteria for designation for the proposed visiting scholar (Section I.B.);

b. Submission of a fully executed conflicts of interest and commitment disclosure by the proposed visiting scholar in the event the visiting scholar will be responsible for university research during the visit;

c. Submission of an intellectual property agreement signed by the proposed visiting scholar in the event the visiting scholar will be creating intellectual property in university facilities;

d. Submission of a Visiting Scholar Request Form and required attachments;

e. Consultation with ISSO (issoscholar@iastate.edu) for all proposed international visiting scholars on a J-1 visa sponsored by the university;

f. Consultation with the university’s Export Compliance Office for all proposed international visiting scholars who are not in J-1 status sponsored by the university;

g. Responsibilities of individual and administrative hosts and applicable university departments (Section II); and

h. Responsibilities and privileges of visiting Scholars (Section III).

Upon completion of all applicable documents and consultation with the applicable university departments (e.g., Export Compliance Office) and review by the administrative host, the administrative host will determine the eligibility of the proposed visiting scholar. The administrative host will provide notice of final approval of the visiting scholar to the individual host and any other necessary and appropriate university units. All visiting scholars must pay an administrative charge upon arrival. Back to top
2. **Visiting Scholars Present for Fourteen (14) Consecutive Calendar Days or More**

When a university employee wishes to host a visiting scholar for fourteen (14) consecutive days or more, the individual host shall coordinate with the administrative host to ensure compliance with the following:

a. Criteria for designation for the proposed visiting scholar (Section I.B);

b. Joint issuance of a letter of invitation. The individual host and the administrative host must jointly issue a letter of invitation to the proposed visiting scholar, subject to prior determination of eligibility by the Office of the Senior Vice President and Provost as indicated below. All letters of invitation must comply with the visiting scholar letter of invitation requirements. A template for the letter of invitation and its required attachments (the Visiting Scholar Agreement and the conflict of interest and commitment disclosure) can be found here;

c. Submission of a fully executed Visiting Scholar Agreement by the proposed visiting scholar;

d. Submission of a fully executed Conflicts of Interest and Commitment Disclosure by the proposed visiting scholar in the event the visiting scholar will be responsible for university research during the visit;

e. Submission of a Visiting Scholar Request Form and required attachments;

f. Consultation with ISSO (issoscholar@iastate.edu) for all proposed international visiting scholars requiring J-1 status sponsored by the university;

g. Consultation with the university’s Export Compliance Office for all proposed international visiting scholars who will not hold J-1 status sponsored by the university;

h. Responsibilities of individual and administrative hosts and applicable university departments (Section II); and

i. Responsibilities and privileges of visiting scholars (Section III). Back to top

Upon review of all applicable documents and consultation with the applicable university departments (e.g., Export Compliance Office), the Office of the Senior Vice President and Provost will determine final eligibility of the proposed visiting scholar. If a proposed visiting scholar does not meet the requirements for approval, the Office of the Senior Vice President and Provost will notify the individual host and the administrative host. A letter of invitation shall only be issued after eligibility has been reviewed and approved by the Office of the Senior Vice President and Provost.

If approved by the Office of the Senior Vice President and Provost, the university will designate the visitor a visiting scholar and only then should planning for the visit proceed. The Office of the Senior Vice President and Provost will provide notice of final approval of the visiting scholar to the individual host, the administrative host, and any necessary and appropriate university units. All visiting scholars must successfully complete the university background check and export control review, and pay an administrative charge upon arrival. Back to top

E. **Documentation of Designation**

Regardless of the duration of the visit, all visiting scholar designations will be entered and maintained in the university’s designated management system, as well as by the administrative
host. The Office of the Senior Vice President and Provost will maintain record of visiting scholar
designations for visits to the university fourteen (14) consecutive calendar days or more.

Section II – Responsibilities of Individual and Administrative Hosts and
Applicable University Departments

A. Individual Host
Regardless of the duration of the visit, the individual host is responsible for hosting and
facilitating the visit and ensuring that the visit concludes satisfactorily. The individual host must
agree to provide ongoing oversight in conjunction with the administrative host for the full
duration of the visit. At the conclusion of the visit, the individual host is responsible for
notifying the administrative host, ISSO (if applicable), and the Office of the Senior Vice
President and Provost (if applicable) of the visiting scholar’s departure from the university.
Failure to comply with these responsibilities may impact the ability of the individual host to
host future visiting scholars. Back to top

B. Administrative Host
The administrative host or their designee is responsible for obtaining the signature of the
proposed visiting scholar on any required agreements or documents (e.g., Visiting Scholar
Request Form and required attachments and Conflicts of Interest and Commitment Disclosure)
for all visiting scholars present for fourteen (14) consecutive calendar days or more and must
ensure that all required documentation, if necessary, is prepared and submitted to the
appropriate offices. The administrative host shall consult with the office of the dean of the
college, Office of the Vice President for Research, or equivalent administrator when the
delegate administrative host is not the Dean/Associate Dean/VPR, etc. for approval and
signature of required documents as applicable.

The administrative host is responsible for providing space for the visiting scholar, if appropriate,
and for orienting the visiting scholar to applicable university policies and university resources.
The administrative host must ensure that authority for use of university facilities/equipment or
access to university facilities/equipment is appropriate and issues the appropriate authorization
letters, if applicable. Back to top

In addition, the administrative host is responsible for ensuring that the visiting scholar:

1. Is aware of all applicable university policies and applicable local, state, and federal laws
while visiting Iowa State and reports any violations of university policy or the law in
accordance with university policy and procedure;
2. Receives all required university training (e.g. non-discrimination and anti-harassment,
health and safety for the facilities and equipment, if any, they will use or other
mandatory training);
3. Understands that proprietary work for his or her home organization may not be carried
out in university facilities during the visit, unless the university has entered into a
written agreement with the visiting scholar and/or the visiting scholar’s home institution
to perform such work;
4. Ensures the visiting scholar signs the university’s intellectual property agreement, if applicable (see Section II.F.); and

5. Returns all issued office or laboratory keys, computer equipment, the university ID card (if one is issued – see Section III), and all credentials upon completion of the visit.

The administrative host also is responsible for ensuring that any concerns expressed about the visiting scholar or by the visiting scholar regarding the conduct of university personnel, student(s), or other visiting scholars are addressed in accordance with university policy and procedure. Upon conclusion of the visit, the administrative host is also responsible for coordinating with the individual host to notify the Provost Office of the visiting scholar’s departure, including notifying ISSO as required for international visiting scholars.

C. International Students and Scholars Office

Regardless of the duration or purpose of the visit, ISSO is responsible for reviewing all requests for J-1 visa documents and for issuing those documents as appropriate. Under the approval of the U.S. Departments of Homeland Security and State, only certain individuals within ISSO are authorized to issue J-1 visa documents and are responsible for enforcing compliance with federal rules and regulations governing legal immigration status in the United States. All international visiting scholars must check in with the ISSO on or before their first day of program activity. Consult ISSO or contactissoscholar@iastate.edu for details.

D. Export Compliance Office

Regardless of the duration or purpose of the visit, in order to comply with federal export control laws and regulations, all proposed international visiting scholars are subject to an export control review prior to arrival.

The required export control review will occur via the Export Control Worksheet process. International visiting scholars not requiring visa support from the university must have an Export Control Worksheet on file at least thirty (30) days prior to arrival at university facilities.

If, in the determination of the university export compliance officer (“UECO”), any proposed international visiting scholar covered under this policy creates a significant export compliance risk, the UECO may, at the UECO’s sole discretion, require internal approvals and assurances from the Individual and/or administrative hosts prior to approving such visits in consultation with the dean of the college, Vice President for Research or equivalent administrator, where applicable. The UECO reserves the right to withhold approval for any proposed international visiting scholar covered under this policy if, in the opinion of the UECO, the visit would result in any violations or significant risk of any violations of U.S. export control laws or regulations or the proposed visit requires any license or approval which the UECO determines is unlikely to be timely issued due to the nature of the applicable controls and/or limited time available to seek such license or approval.

E. Conflicts of Interest and Commitment

Regardless of the duration of the visit, the administrative host for any proposed visiting scholar must ensure that the proposed visiting scholar complies with the requirements of the Conflicts of Interest and Commitment Policy which includes submitting a Conflicts of Interest and...
Commitment Disclosure to the Conflict of Interest Program in the Office of Research Ethics in the event that the visiting scholar will be responsible for research in any university research activities. The Office of Research Ethics will notify the Office of the Senior Vice President and Provost on the review and determination of the Conflicts of Interest and Commitment Disclosure submitted by proposed visiting scholars. Back to top

F. Intellectual Property

Regardless of the duration of the visit, the administrative host for any proposed visiting scholar must ensure that the visiting scholar submits the appropriate intellectual property related agreements with the university.

For visiting scholars visiting the university for less than fourteen (14) consecutive days, the administrative host must ensure that the proposed visiting scholar who will be creating intellectual property in university facilities (e.g., conducting research) during the visit executes the university’s intellectual property agreement.

For visiting scholars visiting the university for fourteen (14) consecutive days or more, the administrative host must ensure that the visiting scholar executes and returns the Visiting Scholar Agreement that addresses intellectual property, among other terms.

Section III – Responsibilities and Privileges of Visiting Scholars

Regardless of the duration or purpose of the visit, a visiting scholar is subject to and required to observe all rules, regulations, and requirements of the university, and all applicable State and Federal laws, including, but not limited to, conduct, confidentiality, conflicts of interest, ethical behavior, responsible conduct of research, equal opportunity, compliance, safety, and health.

Visiting scholar status is a privilege, not a right, and an individual holds this status at the pleasure of the university. The status may be revoked at any time (even during the term of the designated status) by the university in its sole discretion, without the necessity of a reason. Similarly, there is no right to a renewal of the status at the end of the term of the visit.

The visiting scholar designation does not permit the use of Iowa State University resources, except in compliance with all university policies.

Visiting scholars are not employees of the university and, therefore, are not entitled to financial support, compensation, or other benefits available to university personnel. Visiting scholars may, however, may be eligible for expense reimbursement, where appropriate and applicable. Back to top

Visiting scholars also are eligible for the following:

- Access to university facilities and resources (e.g., libraries, laboratories, etc.), as deemed appropriate by the applicable university facilities and resources in consultation with the administrative host and in accordance with university policies. The administrative host is responsible for informing the visiting scholar prior to arrival about the approved access to university facilities and resources.
• **Office space**, if deemed appropriate by the administrative host. The administrative host is responsible for arranging access to the appropriate office or laboratory key(s). Administrative hosts should be cognizant of the need to be cautious about issuing such access and must consider export control, conflict of interest, and other factors. Upon the completion of the visiting scholar’s term at the university, the administrative host must ensure all keys issued to the visiting scholar are returned.

• **Iowa State email address**, the primary purpose of which is to enable visiting scholars to send and receive electronic university correspondence. Upon completion of the visiting scholar’s term at the university, the university will disable the Iowa State University email address and all Iowa State University information technology access assigned to the visiting scholar.

• **University identification card** (ISU Card), issued by the ISU Card Office to all visiting scholars. The primary purpose of the ISU card is to enable visiting scholars to use university publicly accessible facilities, such as the Library. Upon completion of the visiting scholar’s term at the university, the administrative host or their designee must collect the ISU card from the visiting scholar and destroy it.