

Research Visitors

Northwestern University - Office for Research - University Research Institutes and Centers (URIC)

All Research Visitor appointments are initiated through the Research Visitor Appointment Recommendation Form. All foreign nationals and affiliations must be screened against U.S. government “Restricted Party Lists”. Please note that Remote appointments from sanctioned countries are not authorized. No oral or written offer of appointment may be extended until all required approvals have been received, and no payroll action initiating the appointment can be taken until all conditions in the appointment process have been satisfied.

- [Institutional Research Visitors Policy*](#)
- [Research Visitors Appointment Recommendation Form](#)
- [Research Visitors Appointment Workflow](#)
- [Template for Research Visitors Appointment letter](#)

(*) The institutional Research Visitors Policy is currently being reviewed and updated.

Contacts:

If you have any questions on the Research Visitor's appointment process, please contact Research HR Administration | barbarab@northwestern.edu and/or researchvisitors@northwestern.edu

SUBMISSION PROCEDURES

All Research Visitor appointments are initiated through the Research Visitor Appointment Recommendation Form and given final approval by Research HR Administration • Office for Research

Research Visitor includes the following titles:

- [Visiting Scholar](#)
- [Visiting Research Collaborator](#)
- [Visiting Pre-doctoral Fellow](#)
- [Research Affiliate](#)

University Research Institutes and Centers (URIC) must submit requests to barbarab@northwestern.edu, researchvisitors@northwestern.edu, including the following:

- Recommendation (RVA) form, including legal name as listed in the biographical passport.
- Affiliation/Sponsoring Entity Letter.
- Research Statement: A brief letter from the Sponsoring PI (no more than one page) that details how the Visiting Scholar would contribute to research activity within the department and gain new skills through their collaboration with Northwestern faculty.
- Visitor's current CV.

Northwestern Export Controls & International Compliance • Office for Research

Export Controls & International Compliance (ECIC) conducts screening of both *foreign nationals and affiliations* against all publicly-available restricted party lists and can be consulted for assistance.

Please note that Remote appointments from sanctioned countries are not authorized.

Pre-screenings are available upon request sent to researchvisitors@northwestern.edu

Office of International Student and Scholar Services (OISS)

If the appointee is a foreign national, the individual must have an appropriate visa as required by the U.S.

Department of State. This visa must be active for the entire time the Visitor will hold a Northwestern appointment.

The Office of International Student and Scholar Services (OISS) provides assistance in obtaining the necessary visa to extend an offer for a foreign national to be appointed as a Research Visitor. As obtaining a visa is a lengthy process, OISS should be contacted as early in the appointment process as possible.

Appointment, Onboarding (NetID, Email, Northwestern ID-Wildcard...), and Termination

A Northwestern NetID and email address is automatically created for a new employee once the hire is processed by HR.

The initiating department/center should follow the appointment procedure for routing the Position Data/Appointment Form to HR-Ops and follow hiring/onboarding process.

Research Visitor appointments requiring co-terminus employment by, or sponsorship of, an external entity must be terminated as soon as such employment or sponsorship ends. Termination Position Data/Appointment Form must be submitted to HR-Ops if a Research Visitor appointment is cancelled, terminated prior to its end date.

Additional Responsibilities of the Principal Investigator (PI), initiating center:

- Sending a copy of the Research Visitors Appointment letter to barbarab@northwestern.edu and or researchvisitors@northwestern.edu.
- Informing the Research Visitor that he/she is subject to all Northwestern University policies;
- Ensuring that the Research Visitor and any accompanying family members have adequate medical insurance coverage during the period of appointment; Northwestern University Visiting Scholar Plan (VSP) is now offered by Cigna Studywell/Cigna Global Health Benefits and administered by Gallagher Benefit Services (GBS). For additional information, please contact at 888-441-3719 or email UniversityServices.GBS.NUVSBP@ajg.com.
- Directing the Research Visitor to complete the Visitor and Volunteer Lab Agreement form.
- Providing proper oversight to the Research Visitor, registering the Research Visitor to Laboratory Research Safety Profile (LUMEN), and assuring completion of the requisite training expected of all lab scientists for that lab at Northwestern.
- Notifying the Institutional Review Board Office and Institutional Committee on Animal Use and Care Office if the visitor's research will involve working with human and/or animal subjects. Policies and training are applicable to Research Visitors engaged in research utilizing human participants or animals in research.
- Notifying the Research Visitor of the Policy on Reporting Suspected Child Abuse and Neglect and acknowledge their status as a Mandated Reporter; Research Visitors, regardless of citizenship or place of residence, must complete the Illinois Department of Children and Family Services (DCFS) Paper Acknowledgement of Mandated Reporter Status (Printable PDF).
- Ensuring the Research Visitor completes the University's "Harassment and Discrimination Prevention" online course ID: HRD783-200, available through myHR Learn.

DEFINITIONS

Visiting Scholar

An individual sponsored or employed elsewhere, usually by another university, industry or government agency. Visiting Scholars typically hold a PhD, MD, or equivalent terminal degree in their discipline or have received equivalent professional recognition. *The sole purpose of such a Visiting Scholar appointment is to conduct research at Northwestern.* Visiting Scholars are at Northwestern for one year or less; appointments may be renewed. Visiting Scholars are usually paid by their sponsoring organization. Visiting Scholars are not paid a salary or employed by Northwestern. Visiting Scholars must provide documentation from his/her sponsoring entity at the time of the initial appointment and prior to each reappointment. In some cases, a living allowance may be provided. Such funding is considered financial aid for living and/or travel expenses and is not tied to services rendered to Northwestern.

Visiting Research Collaborator

An individual who may periodically visit Northwestern in order to learn research techniques, use specialized facilities and/or collaborate with Northwestern faculty. Visiting Research Collaborators must have current, paid employment at the start-up company of an existing Northwestern faculty member. Visiting Research Collaborators cannot simultaneously have Northwestern faculty, staff or student status. Visiting Research Collaborators are appointed for only one year at a time. These appointments are renewable. Visiting Research Collaborators must provide documentation of paid employment at the Northwestern faculty start-up company at the time of initial appointment and prior to each reappointment.

Visiting Pre-doctoral Fellow

An individual who is a current doctoral degree-seeking graduate student from another institution who is studying at Northwestern for a short period, working with faculty to learn research techniques or to use specialized facilities. Visiting Predoctoral Fellows are not employed or paid a salary by Northwestern, nor do they have Northwestern student status. Visiting Pre-doctoral Fellows must provide documentation of enrollment at the time of initial appointment and prior to each reappointment. In some cases, a living allowance may be provided. Such funding is considered financial aid for living and/or travel expenses and is not tied to services rendered to Northwestern.

Research Affiliate

Research professionals employed by Affiliated Institutions. Research Affiliates are not paid by or employed by Northwestern, although they may be involved in collaborative research with Northwestern investigators in Northwestern facilities. They typically hold the PhD, MD, or equivalent terminal degree in their discipline or have received equivalent professional recognition. Research Affiliates may be appointed for a term of up to three years; such positions are always dependent upon their continued employment at the Affiliated Institution. [An institution with which the University has a formal affiliation, such as Chan Zuckerberg Biohub Chicago, excluding Argonne National Laboratory].

NAISE Institute Fellow

A visiting scientist/researcher from Argonne National Laboratory who may be a principal investigator, co-investigator or key personnel on a Northwestern University grant. Argonne Institute Fellows may be appointed for periods of three years or up to five years if the individual is named on a grant of that duration; appointments are renewable. These appointments are subject to any overarching contract or agreement between Northwestern University and Argonne National Laboratory in effect during the course of the appointment.

Foreign National

An individual who is not a United States citizen, permanent resident alien of the United States (i.e., “green card holder”), lawfully-admitted temporary resident alien or refugee, or other protected individual as defined by 8 U.S.C. 1324b(a)(3).

Living Allowance

Funds provided to a Research Visitor to assist in covering the cost of living while resident at Northwestern University during the Research Visitor appointment. A Living Allowance is never tied to services rendered to Northwestern and is usually paid from non-restricted funds. A Living Allowance may be paid from restricted funding only when explicitly allowed by the sponsor or donor.

Research Statement

A brief letter from the Sponsoring PI (no more than one page) that details how the Visiting Scholar would contribute to research activity within the department and gain new skills through their collaboration with Northwestern faculty.

Affiliation/Sponsoring Entity Letter

A written statement on official letterhead from appointee’s sponsoring institution that confirms, 1) the appointee’s status per the institution (i.e. employed, retired, student status/expected graduation date, etc.) and 2) the intention of sponsorship throughout the duration of the specified appointment period. The letter should include the name and contact information of an individual from the sponsoring institution who can be contacted for verification.

RESOURCES

If you have any questions on the Research Visitors Policy, you may send an e-mail to barbarab@northwestern.edu.

Barbara Beeuwsaert coordinates the RVA intake, Restricted Party Screening.

Visiting Scholars

Data Definition
<p>Visiting scholars are sponsored or employed elsewhere, usually by other universities, industry, or government agencies. Visiting scholars typically hold the PhD, MD, or equivalent terminal degree, or have received equivalent professional recognition. They are at Northwestern for one year or less to study with Northwestern faculty, learn research techniques, use specialized facilities, or collaborate with faculty investigators; this appointment may be renewed. Visiting scholars may serve as co-investigators on grant applications or funded projects, but they may not serve as Northwestern principal investigators. They may not teach in their duties as a visiting scholar and there is no expectation of service for the University.</p> <p>Visiting scholars are not employees of the University and are usually paid by their sponsoring organization. Under certain circumstances visiting scholars may be provided with supplemental funding from University funds. Such funding is considered financial aid for living and/or travel expenses and is not tied to services rendered to Northwestern.</p>

Eligibility Checklist
<input checked="" type="checkbox"/> POSITION TYPE: NON
<input checked="" type="checkbox"/> POSITION CATEGORY : VSC
<input checked="" type="checkbox"/> BENEFITS ELIGIBILITY: No , should carry insurance from supporting agency or covered by Risk Management
<input checked="" type="checkbox"/> Paid appointment: Unpaid
<input checked="" type="checkbox"/> Signature required, Home Department
<input checked="" type="checkbox"/> JOBCODE: 100007 (Visiting Scholars)

Rules
<ul style="list-style-type: none">• The appointment is approved by the School. The <i>Recommendation for Research and Visitor appointment</i> is approved by the Office for Research.• All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site.• All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy.

Visiting Scholar

Individual who is visiting Northwestern and is appointed for one year or less. Visiting Scholars may be assigned as a Co-Investigator but may not be the Principal Investigator on a project. Visiting Scholars are compensated in one of two Cases:

1. Paid by their home institution, and the PI is at Northwestern;
2. Paid by their home institution but reimbursed to that institution through a formal contract with Northwestern, and the PI is at Northwestern. This typically occurs when the PI has transferred to Northwestern from another institution, but the scholar remains at the former institution.

Health Insurance: The individual's home institution should be providing health insurance. If the individual is a non-resident, health insurance requirements should be vetted with the International Office during the appointment process.

Primary Appointment					
Work or Training Requirements	Job Code	Position Type/Category	Pay Group	Expense Account	Chargeable to a Sponsored Award?
None	100007	NON/VSC	OTH	N/A	Rare; only allowed via a subcontract to the home institution (see Case #2 above).

Supplemental (Non-Services) Payment					
Allowed?	Job Code	Position Type/Category	Pay Group	Expense Account	Chargeable to a Sponsored Award?
Yes. Living expenses must be paid by the home institution or external source, but Northwestern may provide an additional living supplement, <i>except</i> in Case #2 above.	106384	NON/SUP	MON	78080†	If living stipends are allowed by the sponsor; effort report <i>is not</i> generated.

Additional Compensation for Services	
Allowed?	Rules
Sometimes	Additional compensation is allowed <i>only</i> in Case #1 above, and may be provided via a Special Pay Form. In Case #2, all compensation must be included in the formal contract between Northwestern and the home institution.

Visiting Pre-doctoral Fellows

Data Definition
<p>Visiting pre-doctoral fellows are current degree-seeking graduate students from other institutions who are studying at Northwestern for short periods – working with faculty to learn research techniques or to use specialized facilities. Visiting pre-doctoral fellows are not employees of the University and are unpaid.</p> <p>Under certain circumstances, visiting pre-doctoral fellows may be provided with supplemental funding from University funds. Such funding is considered financial aid for living and/or travel expenses and is not tied to services rendered to Northwestern. In some cases visiting pre-doctoral fellows may be paid from sponsored programs through a subcontract to their home institution. Please see the policy on visiting pre-doctoral students from other US institutions of higher education and Northwestern sponsored programs for additional information.</p>

Eligibility Checklist
<input checked="" type="checkbox"/> POSITION TYPE: NON
<input checked="" type="checkbox"/> POSITION CATEGORY: VSC (Visiting)
<input checked="" type="checkbox"/> BENEFITS ELIGIBILITY: No
<input checked="" type="checkbox"/> Paid appointment: Unpaid (May receive a scholarship on a separate appointment)
<input checked="" type="checkbox"/> Signature required, Home Department
<input checked="" type="checkbox"/> JOBCODE: 100016 (Visiting Pre-Doctoral Fellow)

Rules
<ul style="list-style-type: none">• The appointment is approved by the School's Dean's Office. The <i>Recommendation for Research and Visitor</i> appointment is approved by the Office for Research.• All research staff and visitors are subject to Northwestern University's policies on intellectual property, including the Patent and Invention Policy, which gives the University rights in inventions and discoveries made under conditions of employment or from use of University facilities, resources, or support. The policies regarding intellectual property are available at the Innovation and New Ventures web site.• All research staff and visitors are subject to Northwestern University's Conflict of Interest Policy.

Visiting Pre-Doctoral Fellow

Pre-doctoral candidates at another institution that are visiting Northwestern and are not paid directly by Northwestern payroll. Payment for a Visiting Pre-Doctoral Fellow may occur via one of the following Cases:

1. Paid by their home institution, and the PI is at Northwestern;
2. Paid by their home institution, and the PI is located at the home institution;
3. Paid by their home institution but reimbursed to that institution through a formal contract with Northwestern, and the PI is at Northwestern. This typically occurs when the PI has transferred to Northwestern from another institution, but the student remains at the former institution.

For more information regarding visiting pre-docs, see: <http://www.research.northwestern.edu/policies/visiting-predoctoral-students.html>.

Health Insurance: The individual's home institution should be providing health insurance. If the individual is a non-resident, health insurance requirements should be vetted with the International Office during the appointment process.

Primary Appointment					
Work or Training Requirements	Job Code	Position Type/Category	Pay Group	Expense Account	Chargeable to a Sponsored Award?
None	100016	NON/VSC	OTH	N/A	Rare; only allowed via a subcontract to the home institution (see Case #3 above).

Supplemental (Non-Services) Payment					
Allowed?	Job Code	Position Type/Category	Pay Group	Expense Account	Chargeable to a Sponsored Award?
Yes. Living expenses must be paid by the home institution or external source, but Northwestern may provide an additional living supplement, <i>except</i> in Case #3 above.	106382	NON/SUP	MON	78050†	If living stipends are allowed by the sponsor; effort report <i>is not</i> generated.

Additional Compensation for Services	
Allowed?	Rules
No	If compensation must be provided directly by Northwestern, the employee should be classified as a regular paid employee, not a visiting pre-doctoral fellow.