

# HARVARD

## UNIVERSITY POLICY



### Harvard Sponsored Role Policy

Originally Issued:\* July 15, 2021

Last Revised:\* September 22, 2022

Responsible Office:\* Identity and Access Management Services (IAM), HUIT

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#### Policy Statement

This document describes the policy and practices for assigning a Harvard Sponsored Role to an individual through HUIT Identity and Access Management (IAM) systems. Harvard Sponsored Roles were defined to describe non-employee, non-student affiliations an individual may have in the Harvard community that support granting the individual access to resources, both digital and physical, under an appropriate level of oversight by the University. Harvard Sponsored Roles are necessary to clearly differentiate affiliations to the University that are distinct from employee, student or alumni roles.

This policy clarifies the responsibilities of participants in the Harvard Sponsored Role process for the stewardship of the sponsored role data at the University and the use of access granted to individuals by their action.

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#### Reason for Policy

Because Harvard Sponsored Roles grant individuals digital and physical access to University resources, it is important that sponsored identity and role data be accurate and consistently maintained over time. The type of services for which an individual is eligible is partially dependent on the type of sponsored role (e.g., vendor vs. family member), so it is important that individuals are classified into the correct role type to ensure only access to appropriate resources is granted.

There are circumstances under which a sponsored role is not an appropriate means to grant access due to the level of risk associated with the access and the potential liability to the University and/or individuals. This policy clarifies when a Harvard Sponsored Role is an appropriate means for granting access and outlines cases in which sponsored roles may not be used.

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#### Who Must Comply

This policy applies to all administrative groups and/or persons who sponsor, approve, create or administer sponsored roles at Harvard University. All Harvard University schools, tubs, local units, affiliate institutions, allied institutions and University-wide initiatives must comply.

If this policy conflicts with any other University Policy, term, external regulation, or law, the more restrictive provision will apply.

Harvard University schools, tubs and local units may have related Local Policies as long as they are consistent with and meet the minimum standards set by University Policies.

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## Policy Guidance

The statements below summarize key policy guidance dispersed throughout this policy document.

- Sponsors must select an appropriate role type that captures the nature of an individual's relationship with the University and makes it possible to generally categorize individuals with sponsored roles into groups.
- Each sponsored role type is associated with an Affiliation and Assurance tier, which indicates the strength of affiliation the individual has with Harvard and the types of systems and resources to which the individual may be granted access.
- Roles must be sponsored by an active, paid administrator or an active ladder faculty member employed by Harvard. At HMS, unpaid faculty are not eligible *unless* appointed in a pre-clinical department (e.g., HHMI faculty member in a pre-clinical department).
- When requesting, renewing or updating a sponsored role, sponsors must describe the individual's role and duties at Harvard for which they are endorsing the role, attest to the individual's legitimate business reason for accessing University resources, agree to actively support University guidelines related to conduct, and commit to maintaining the role data promptly.
- Harvard Sponsored Roles are granted for a maximum term and renewal length based on the role type.
- Harvard Sponsored Role requests must be approved by someone other than the sponsor. In some cases, two levels of approval are needed depending on the role type requested.
- Participants in the sponsored role process will be required to complete Harvard Sponsored Role policy training in order to request and manage sponsored roles.
- Harvard Sponsored Roles may not be used to extend access to services or resources (e.g., email, file shares) for departing employees
- Harvard Sponsored Roles for the purpose of research collaboration are permitted in limited circumstances as described under [Research Collaboration](#) in the Guidance for Classifying Harvard Sponsored Roles section below. In specific units where research collaborator sponsored roles are supported, appropriate documentation and secondary approval is required.
- Harvard Sponsored Roles may not be used in place of a formal appointment where individuals performing similar roles and duties hold an appointment.

This Policy applies to all Harvard Sponsored Roles as of July 15, 2021 when the policy went into effect. Requirements for documentation and approval apply to new sponsored roles and roles being updated or renewed on or after July 15, 2021.

## Responsibilities

### I. Participants in the Harvard Sponsored Role Process

The following table describes the participants in the Harvard Sponsored Role process and the eligibility criteria for individuals to serve in these roles. Responsibilities for each of these participants is detailed below. ***Although an individual may be eligible to serve as a sponsor and approver within the process, each sponsored role requires a separate approver and sponsor and no individual may serve as both for the same sponsored role.***

Role	Description	Eligibility Criteria
Sponsor	A person with standing at the University to request access for an individual via a Harvard Sponsored Role and attest to the individual's legitimate business reason for requiring access. Sponsors can initiate requests for new Harvard Sponsored Roles. They can also view sponsored roles and sponsored role requests, and initiate requests to update personal information and role data for any individuals/roles for which they are listed as the Sponsor.	<p>Active, paid employees of Harvard in Employee Class:                      A (Admin &amp; Professional)                      F (Senior Faculty)                      J (Junior Faculty)                      O (Other Academic)                      S (Support Staff)</p> <p>Active, unpaid employees of Harvard in Employee Class:                      F (Senior Faculty)                      J (Junior Faculty)</p> <p>At HMS, unpaid faculty are not eligible <i>unless</i> appointed in a pre-clinical department (e.g., HHMI faculty member in a pre-clinical department).</p>
Sponsor Delegate	A Sponsor can designate an individual to administer Harvard Sponsored Roles on their behalf. This individual is known as a Sponsor Delegate. Sponsor Delegates can initiate requests for new sponsored roles. They can also view sponsored roles and sponsored role requests, and initiate requests to update personal information and role data for any individuals/roles for which they are listed as the Sponsor Delegate. While Sponsor Delegates can initiate requests, they cannot attest or approve requests on behalf of the Sponsor.	<p>Active, paid employees of Harvard in Employee Class:                      A (Admin &amp; Professional)                      F (Senior Faculty)                      G (Graduate Students)                      J (Junior Faculty)                      O (Other Academic)                      S (Support Staff)                      U (Service &amp; Trade Hourly)</p> <p>Active, unpaid employees of Harvard in Employee Class:                      A (Admin &amp; Professional)                      S (Support Staff)</p>

<p>Local Approver</p>	<p>An individual designated by a school, unit or department to review and approve Harvard Sponsored Role requests. All sponsored role requests must be reviewed and approved by a designated Local Approver for the school, unit or department. Local Approvers are granted permissions to review and approve requests based on department-level security. Local Approvers may also view sponsored roles and sponsored role requests and initiate requests to create or update Harvard Sponsored Roles in their designated school, unit or department.</p>	<p>Active, paid employees of Harvard in Employee Class:                  A (Admin &amp; Professional)                  O (Other Academic)                  S (Support Staff)</p>
<p>Central Approver</p>	<p>An individual designated by Harvard University to review and approve Harvard Sponsored Role requests for specific role types following local approval. Only certain types of sponsored roles require central approval. Central Approvers are granted permissions to review and approve requests based on sponsored role type and department. Central Approvers may also initiate requests to update sponsored roles for which they have Central Approver permissions.</p>	<p>Active, paid employees of Harvard in Employee Class:                  A (Admin &amp; Professional)                  O (Other Academic)                  S (Support Staff)</p>
<p>Administrator</p>	<p>An individual designated by a school, unit or department to review, audit and initiate updates on Harvard Sponsored Role data for their unit. Administrators can view sponsored roles and sponsored role requests and initiate requests to create or update sponsored roles. Administrators are granted permissions to review and update sponsored role data based on department-level security.</p>	<p>Active, paid employees of Harvard in Employee Class:                  A (Admin &amp; Professional)                  F (Senior Faculty)                  I (Teaching Assistants)                  J (Junior Faculty)                  L (Part-Time Service &amp; Trade)                  O (Other Academic)                  S (Support Staff)                  U (Service &amp; Trade Hourly)                  Y (Internal Post Docs)</p> <p>Active, unpaid employees of Harvard in Employee Class:                  A (Admin &amp; Professional)                  S (Support Staff)</p> <p>Individuals with an active Harvard Sponsored Role</p>

Reviewer	An individual designated by a school, unit or department to review Harvard Sponsored Role data for their unit. Reviewers can view sponsored roles and sponsored role requests but are not be able to initiate requests based on this role. (Users with a reviewer role may be able to initiate requests based on other eligibility, for example, if they are eligible to be a Sponsor or are listed as a Sponsor Delegate.) Reviewers can be granted permissions to review sponsored role data based on department-level security, role type and/or company.	In order to serve as a Reviewer, an individual must be an active employee of Harvard University or an individual with an active Harvard Sponsored Role.
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## II. Responsibilities of Participants

### A. Sponsor

By sponsoring a Harvard Sponsored Role for an individual, Sponsors assume the following responsibilities:

1. Ensure the role request complies with the Harvard Sponsored Role Policy and other applicable Harvard policies.
2. Ensure that the role description, role type and role duration accurately reflect the sponsored individual's legitimate business reason to obtain access to University resources.
3. Agree to maintain the role data including promptly updating data if anything changes, renewing the role if required, and terminating the role when the sponsored individual leaves or is no longer qualified to have the role, the nature of the work changes and the sponsored role is no longer appropriate, or there is no longer a business need for the role.
4. Agree to actively support University guidelines related to conduct and assist the University with communicating to an individual in the event of a conduct-related incident.
5. Arrange for sponsorship of the role to be transferred to another authorized sponsor or for the role to be terminated if the Sponsor departs Harvard or switches to a role which no longer allows them to fulfill the responsibilities of a Sponsor for the individual.

### B. Sponsor Delegate

Sponsor Delegates administer Harvard Sponsored Roles on behalf of a Sponsor. Sponsor Delegates assume the following responsibilities for any Harvard Sponsored Role requests they process:

1. Ensure the Harvard Sponsored Role request complies with the Harvard Sponsored Role Policy and other applicable Harvard policies.

2. Ensure that the role description, role type and role duration on the request accurately reflect the sponsored individual's legitimate business reason to obtain access to University resources.
3. Agree to maintain the role data including promptly updating data if anything changes, renewing the role if required, and terminating the role when the sponsored individual leaves or is no longer qualified to have the role, the nature of the work changes and the sponsored role is no longer appropriate, or there is no longer a business need for the role.

#### **C. Local Approver**

When reviewing and approving a Harvard Sponsored Role request, Local Approvers are responsible for ensuring the following:

1. The requested role type and duration complies with the Harvard Sponsored Role Policy and represents a legitimate use case for a sponsored role rather than an appointment.
2. The services requested (e.g., ID card, email) are appropriate based on the responsibilities outlined.
3. The School/Unit and Department on the request accurately reflects the sponsoring unit.
4. The attesting Sponsor is eligible to sponsor the role and the role dates align with the Sponsor role dates (e.g., an employee whose term is ending on 6/30 should not be permitted to sponsor a role through 9/30).
5. The ID description fields do not contain a job title.
6. Approval of the Harvard Sponsored Role request will not create a duplicate sponsored role (role type, school/unit, and sponsor are unique from existing active roles, and/or dates do not overlap).

#### **D. Central Approver**

When reviewing and approving a Harvard Sponsored Role request, Central Approvers are responsible for ensuring that the requested role type complies with the Harvard Sponsored Role Policy and other applicable Harvard policies.

#### **E. Administrator**

Administrators are responsible for reviewing and auditing Harvard Sponsored Role data for their school, unit or department and either directly initiating requests to create or update Harvard Sponsored Role data or coordinating with Sponsors and/or Sponsor Delegates to update Harvard Sponsored Role data. Harvard Sponsored Role Administrators assume the same responsibilities as Harvard Sponsored Role Sponsor Delegates when initiating sponsored role requests.

#### **F. Reviewer**

Reviewers are responsible for reviewing and auditing Harvard Sponsored Role data based on their permissions and coordinating with Administrators, Sponsors and/or Sponsor Delegates to update Harvard Sponsored Role data as needed.

## **G. Authorized Requestor**

Each school/tub is responsible for designating one or more Authorized Requestors for the Harvard Sponsored Role Portal. Authorized Requestors are responsible for requesting access for a certain group of individuals within a school/tub or for individuals across an entire school/tub, depending on local policies and procedures. Authorized Requestors must determine the minimum level of system access necessary for each designated user to perform his or her required job duties. Authorized Requestors must send all requests to IAM using established practices and must maintain documentation to support those requests.

Each year, Authorized Requestors must review the list of users and their associated access for appropriateness, making changes where needed. Authorized Requestors must sign off on final lists for their respective areas.

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## **Procedures**

### **I. Guidance for Classifying Harvard Sponsored Roles**

When a sponsored role is assigned to an individual it must use a predefined role type. These role types are intended to capture the nature of an individual's relationship with the University and make it possible to generally categorize individuals with sponsored roles into groups. The type of services for which an individual is eligible is partially dependent on the type of role, so it is important that individuals are classified into the correct role type to ensure only access to appropriate resources is granted. Each sponsored role type is associated with an Affiliation and Assurance tier, which indicates the strength of affiliation the individual has with Harvard and the types of systems and resources to which the individual may be granted access. A sponsored role may be held concurrently with an employee, student, alumni or other sponsored role when it represents a distinct and independent affiliation.

If an individual's relationship with the University does not appear to fit into any of the predefined role types, contact the local human resources office for your school or unit for guidance. If the local human resources office, in consultation with Faculty/Academic Affairs (as appropriate), agrees that the use case is not supported by the predefined role types it may escalate the request to the IAM team for review.

#### **A. Individually Sponsored Roles**

Most Harvard Sponsored Roles are requested and sponsored by an individual who takes responsibility for the affiliation and is recorded as the Sponsor as part of the assignment process. A list of Harvard Sponsored Role types that are sponsored by individuals along with descriptions and examples can be found in [Appendix A: Individually Sponsored Role Types](#).

Some individually sponsored role types are restricted to use only by certain units at the University. A list of these role types can be found in [Appendix B: Restricted Sponsored Role Types](#).

## B. Departmentally Sponsored Roles

There are some types of sponsored affiliations for which a named individual sponsor is not required in the IAM systems. These affiliations are fed from and updated by external source systems.

A list of Harvard Sponsored Role types that are sponsored by departments can be found in [Appendix C: Departmentally Sponsored Role Types](#).

## C. Inappropriate Use of Harvard Sponsored Roles

There are certain use cases for which a Harvard Sponsored Role is not appropriate. These are detailed below.

### 1. Research Collaboration

In most Harvard schools and units if an individual is in a lab actively participating in research or is requesting access to otherwise inaccessible Harvard materials in conjunction with the ongoing work of a Principal Investigator, they should have a formal appointment rather than a Harvard Sponsored Role. There are two exceptions to this:

- a) An industry collaborator (e.g., consultant/vendor) who will be collaborating on research pursuant to an IP agreement between Harvard and the outside vendor that has been approved in place of the standard Visitor Participation Agreement and Acknowledgement of Risk and Release of Claims documents.
- b) A research collaborator in a school or unit that supports centralized approval of Research Collaborator roles.

The Research Collaborator role type will only be available for selection in schools and units where centralized approval is supported. Ordinarily, Research Collaborators are expected to have paid employment outside of Harvard. Research Collaborators should have a legitimate and documented research-related business reason to access university space or resources. Requests for Research Collaborator roles must include the following documentation as attachments:

- a) Signed Visitor Participation Agreement (VPA) or documentation of a signed electronic Participation Agreement (PA) collected prior to employment or affiliation outside of Harvard. Note: Visitors from the Massachusetts Institute of Technology (MIT) are not required to submit a VPA form provided they have first signed MIT's own IP agreement (the "IPIA"), with the exception of MIT undergraduates, who must submit a VPA form. If you are unable to determine whether a visitor from MIT has signed the IPIA, contact OTD by e-mail at [otd@harvard.edu](mailto:otd@harvard.edu) for assistance.
- b) Signed Acknowledgement of Risk and Release of Claims (if accessing one of Harvard's laboratories). Note: Employees of one of the 15 teaching hospitals and institutes associated with the Harvard Medical School are not required to complete this form.



- c) A signed and counter-signed form, letter or document outlining the scope of activities and the nature of the collaboration and relationship with Harvard. This document must specify that the sponsored individual is not an agent or employee of Harvard.

## **2. Extending Access for Departing Employees**

Harvard Sponsored Roles may not be used to extend access for departing employees or other Harvard affiliates who wish to retain access to email, file shares or other resources to which their employee role granted them privileges. Continuing access beyond the standard grace periods allotted carries significant risk as it is difficult to restrict access to specific services (e.g., just email) as long as an individual continues to have an active role at the University, and it may create the misimpression that the individual remains a University employee or agent. For departing individuals, appropriate arrangements should be made to facilitate transition (e.g., transfer of email or research files consistent with University off-boarding policies) in advance of the departure date. If a departing affiliate has a legitimate business need to retain access to services following their departure, units should consult with Human Resources or Academic/Faculty Affairs about when an unpaid appointment through a formal appointment process may be appropriate. An exception may be made for departing researchers and research trainees to continue on as Research Collaborators in schools or units that support centralized approval of these roles as long as all requirements of the Research Collaborator role and any additional school-specific requirements are met.

## **3. In Place of a Formal Appointment**

If the role and duties the individual is performing are consistent with those performed by other individuals in the school/unit with an appointment (paid or unpaid) the sponsor should pursue an affiliation through a formal appointment process rather than through a Harvard Sponsored Role. Exceptions to this are made for contingent workers hired through Fieldglass, consultants with a formal statement of work, and vendors paid through a contracted service provider.

## **4. Minors Covered by the Policy for the Safety & Protection of Minors**

Any minor being overseen by the [Policy for the Safety & Protection of Minors](#) should not be given a Harvard Sponsored Role. Minors working on campus or participating in an internship or development opportunity should be given a formal appointment as a temporary employee or intern (note that unpaid interns must meet the test for intern/trainee status under the Fair Labor Standards Act; consult with your local Human Resources office). Please see the [Policy for the Safety & Protection of Minors](#) for additional information regarding minimum standards and expectations for minors who participate in activities on campus.

## II. Harvard Sponsored Role Policy Training

All Participants in the Harvard Sponsored Role process (e.g., Sponsors, Sponsor Delegates, Local Approvers, etc.) will be required to complete Harvard Sponsored Role policy training in order to request, approve and manage Harvard Sponsored Roles.

## III. Harvard Sponsored Role Portal Access

Access to the Harvard Sponsored Role Portal will be granted to eligible participants in the Harvard Sponsored Role process only after the participant has completed Harvard Sponsored Role Policy training. All Harvard Sponsored Role Portal access requests must originate from tub-appointed Authorized Requestors. All data and information stored in the Harvard Sponsored Role Portal is considered confidential and must be handled in accordance with the University's [Information Security Policy](#).

## IV. Harvard Sponsored Role Review and Approval Procedure

### A. Requesting a New Harvard Sponsored Role

#### 1. Step 1: Preparer Completes Request

Any individual who is eligible to sponsor a Harvard Sponsored Role or serve as a Sponsor Delegate can prepare a request for a new Harvard Sponsored Role. On the request, the preparer will be required to provide information to confirm the sponsored individual's identity (legal name and date of birth) as well as a description of the person's role and duties at Harvard for which they are requesting a sponsored role. *To avoid creation of duplicate identities or overwritten identities, it is critical that the legal date of birth and name be collected and entered in the Harvard Sponsored Role Portal. Fake data should never be entered when requesting a Harvard Sponsored Role.* All sponsored role requests will be required to include Role Type, School/Business Unit, Department, Role Start and End Dates and Sponsor information. Certain role types will require additional information. For example, requests for Vendor sponsored roles will require inclusion of Company information. Specific requirements are detailed in the Notes section of Appendices A and B, which describe individually sponsored role types. On the request, the preparer may also request that the sponsored individual be granted specific services such as an ID card. An explanation will be required for any services requested. Upon submitting the request into the approval workflow, the preparer will be required to attest that the request complies with this policy and that the information submitted reflects the sponsored individual's legitimate business reason to obtain access to University resources.

#### 2. Step 2: Sponsor Review

After a request to create a Harvard Sponsored Role is submitted into the approval workflow, the request will require review and approval by the Sponsor. Following review of the request, the Sponsor will be required to attest that the request complies with this policy, that the information submitted reflects the sponsored individual's legitimate business

reason to obtain access to University resources, and that the request is an appropriate use case for a sponsored role. In addition, the Sponsor is required to confirm that they accept responsibility for maintaining the Harvard Sponsored Role data, for supporting University guidelines related to conduct, and for transferring sponsorship or terminating the sponsored role in the event that they depart Harvard. If the Sponsor prepared and submitted the request, these attestations will be included with the initial submission and will not require a separate step.

### **3. Step 3: Local Approver Review**

Following review and approval by the Sponsor of the role, the request must be reviewed and approved by a Local Approver. When reviewing a request, the Local Approver is expected to verify all requirements outlined in the Local Approver responsibilities section above. An individual may not serve as the sponsor and approver for the same sponsored role. Thus, every request will need to have two distinct users involved in initiation, sponsorship, and approval. If a user has multiple roles that would authorize them to initiate, sponsor, and approve requests, the system will prevent the user from approving a request they both initiated and sponsored.

### **4. Step 4: Central Approver Review**

Certain Harvard Sponsored Role types require review by a central office. The Central Approver is responsible for ensuring that the Harvard Sponsored Role request complies with this policy and other applicable Harvard policies.

## **B. Request to Update or Terminate an Existing Harvard Sponsored Role**

Sponsors, Sponsor Delegates, Local Approvers and Administrators can initiate requests to update data on a sponsored role or terminate a sponsored role from the My Sponsored Roles Dashboard in the Harvard Sponsored Role Portal.

Requests to update data on a Harvard Sponsored Role will follow the same approval workflow as requests to create a new Harvard Sponsored Role with each approver responsible for reviewing and attesting to the request in the same way.

Requests to terminate a Harvard Sponsored Role (either on the current date or any date prior to the existing role end date) are not required to go through an approval workflow. The change will be effective as soon as the request is submitted.

## **V. Access to Systems and Services**

As noted above, each Harvard Sponsored Role type is associated with an Affiliation and Assurance Tier, which indicates the strength of affiliation the individual has with Harvard and the types of systems to which the individual may be granted access. Assurance Tiers align with the risk levels for Harvard Systems outlined in the [Information Security Policy](#). For example, Harvard Sponsored Role

types in the Medium Assurance Tier may be granted access to Low- or Medium-risk systems, but not High-risk systems.

Eligibility for services such as an ID card or Harvard email address is partially determined by the sponsored role type insofar as certain role types are not eligible for specific services. Any restrictions in service eligibility are outlined in Appendices A, B, and C, which describe Harvard Sponsored Role types in detail. If a sponsored individual requires access to a centrally governed service (ID card, Office 365 Email, SharePoint, OneDrive, Teams, Google University), the preparer must indicate this on the request to create the sponsored role and provide an explanation for the request. Approval of the Harvard Sponsored Role request will include approval of the requested services. Once approved, preparers will still need to follow the normal onboarding procedure for their school/unit to ensure that services are provisioned per the request.

Any individual whose role meets the definition of a Sponsored Role must be given access to resources via the Harvard Sponsored Role process and not through other mechanisms (e.g., guest accounts). When renewing Harvard Sponsored Roles, access must not be renewed until all required paperwork is completed and the sponsored role extension has been approved and finalized in the Harvard Sponsored Role Portal.

## **VI. Harvard Sponsored Role Auditing**

Sponsors, Sponsor Delegates and Local Approvers will receive monthly emails listing all sponsored individuals within their purview. These individuals along with Administrators and Reviewers can also see a list of sponsored individuals in their purview at any time by visiting the My Sponsored Roles Dashboard in the Harvard Sponsored Role Portal. It is expected that Sponsors, Sponsor Delegates and Local Approvers review all sponsored individuals in their purview at least monthly and promptly process changes to sponsored role or individual data as required.

## **VII. Harvard Sponsored Role Compliance Monitoring**

Each school/tub is expected to implement a process for periodically monitoring compliance with the Harvard Sponsored Role policy. In addition, IAM will monitor Harvard Sponsored Role data and contact schools/tubs if questionable uses are identified.

If a participant in the Harvard Sponsored Role process is found to be creating or approving sponsored roles in violation of the Harvard Sponsored Role Policy, it may result in disciplinary action. In addition, IAM, in consultation with the participant's school/tub, may revoke system access and the ability to sponsor, administer and approve Harvard Sponsored Roles.

## **VIII. Terminating Harvard Sponsored Roles with Ineligible Sponsors**

Sponsors are responsible for arranging for sponsorship roles to be transferred to another authorized sponsor or for the role to be terminated if the Sponsor departs Harvard or is in a role which is no longer authorized to serve as a sponsor for Harvard Sponsored Roles. Local Approvers, Administrators and Sponsor Delegates may also initiate transferring of Harvard Sponsored Roles from an ineligible sponsor to an eligible sponsor.

Effective January 15, 2022, IAM automatically updates the role end date of any Harvard Sponsored Role with an ineligible sponsor if sponsorship is not transferred within 10 days of the current sponsor becoming ineligible. After 10 days the role end date will be set to 45 days from the date the sponsor became ineligible unless the current role end date is earlier than this date. This window provides time for units to identify a new sponsor and update the sponsorship and role end date on the Harvard Sponsored Role if it should continue while limiting the duration of sponsored roles associated with ineligible sponsors.

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## Definitions

**Employee Class:** A major grouping of employees in PeopleSoft. Employee Class defaults from job code and helps inform benefits eligibility and costing for payroll transactions.

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## Contact/Responsible Offices

This Policy has been developed with input and contributions from the following offices along with local Human Resources, Faculty Affairs and Academic Affairs offices in the schools:

- Harvard Human Resources
- Office of Faculty Development & Diversity
- Office of the General Counsel
- Office of Labor and Employee Relations
- Office of the Vice Provost for Advances in Learning
- Office of the Vice Provost for Research

These offices will be engaged in regular review of and revisions to this Policy.

Identity and Access Management Services (IAM), Harvard University Information Technology is responsible for maintaining this Policy and acting as a resource for schools and units with questions regarding this Policy. It will also provide centralized training resources regarding this Policy.

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## Revision History

07/15/2021: Policy Implemented

08/09/2021: Policy revised to expand eligibility for Sponsor, Sponsor Delegate and Administrator roles based on business impact to schools and units. Visitor role reinstated to support University coronavirus policy. Updated link to HSR Portal Information and User Guides.

09/22/2021: Policy revised to limit Sponsor eligibility for unpaid faculty at HMS to only unpaid faculty appointed in a pre-clinical department and to update allowability of Participation Agreements (PAs) in lieu of Visitor Participation Agreements (VPAs) for certain Research Collaborator sponsored roles.

01/02/2022: Policy revised to reflect new process to update end dates on sponsored roles where the associated Sponsor is no longer eligible to serve as a sponsor. Central Approver role expanded to allow initiation of update requests on sponsored roles for which a user has Central Approver permissions.

07/01/2022: Updated Policy Statement to distinguish sponsored roles from the associated identities and clarify purpose of sponsored affiliations. Clarified that a sponsored role may be held concurrently with other roles when it represents a distinct and independent affiliation. Clarified expectations around collection of legal date of birth and name when requesting sponsored roles. Updated initial max term length on Tenant and Vendor roles.

09/22/2022: Updated policy to reflect the transition from the term Person of Interest (POI) to Harvard Sponsored Role. Removed outdated language about role clean-up activities due to policy implementation and earlier revisions.

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## **Related Resources**

[Affiliation and Assurance Tiers](#)

[Contingent Workforce Program](#)

[Harvard Sponsored Role Portal Information and User Guides](#)

[HMS Resources Related to Harvard Sponsored Roles](#)

[Independent Contractor Policy](#)

[Information Security Policy](#)

[Policy for the Safety & Protection of Minors](#)

[Minors in Labs Policy](#)

[Research Policies & Guidance](#)

[Guidance for Use of the Harvard Participation and Visitor Participation Agreements](#)

[Research Data Security](#)

[Staff Personnel Manual](#)

[Payment Categories and Hiring Methods for Individuals Classified as an Employee](#)

[Types of Employment](#)

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## **Appendices**

[Appendix A: Individually Sponsored Role Types](#)

[Appendix B: Restricted Role Types](#)

[Appendix C: Departmentally Sponsored Role Types](#)

## Appendix A: Individually Sponsored Role Types

Unless otherwise noted, the maximum term and renewal lengths for individually sponsored role is one year and the role information will be set to restricted and will not appear in Harvard directories. The Assurance Tiers indicated below align with the risk levels for Harvard Systems outlined in the [Information Security Policy](#), e.g., Harvard Sponsored Roles in the Medium Assurance Tier may be granted access to Low- or Medium-risk systems, but not High-risk systems.

Role Type	Description	Examples	Assurance Tier	Notes
Academic Advisor	An academic advisor to a Harvard student with no other Harvard affiliation	A thesis advisor from outside of Harvard who needs my.harvard access. An advisor for medical school applications who needs access to various systems.	Medium	
Consultant	Someone providing consulting services, either independently or through a firm	A sole-proprietor technology consultant advising Harvard. An employee of a consulting firm engaged on a project at Harvard. An <a href="#">independent contractor</a> approved through HR.	High	It is expected that Consultants have an executed Consulting Agreement and Statement of Work with the sponsoring department. Independent contractors must be approved through HR. Individuals hired through Fieldglass should be given Contingent Worker roles, not Consultant roles.
Contingent Worker	A contingent worker hired through Fieldglass/Yoh	A temp from an agency such as Randstad. A contract developer or business analyst from an IT staffing agency. A contract financial analyst from a financial staffing agency.	High	The max term for agency temps in overtime-eligible jobs is 3 months, except for backfills, which may extend to 6 months. All Contingent Worker role are approved through Harvard HR. Directory settings for individuals with Contingent Worker roles will default to Harvard visible. Sponsors can request to restrict this.
External Administrative Affiliate	An individual from outside Harvard partnering on an administrative initiative or process	A registrar from another school who needs access to my.harvard to assist with managing cross-registration. A member of a board or committee from an external institution.	High	External Administrative Affiliate roles are not eligible for Harvard email.
External Core Customer	External customers of shared-use core facilities or fee-for-service research facilities	Customers of the Mouse Behavior Core, MicRoN facility, or Neurobiology Imaging Facility. Users of the Center for Nanoscale Systems or Harvard Center for Biological Imaging.	High	External Core Customers are expected to sign a User Agreement and/or Memorandum of Understanding (MOU) prior to receiving a sponsored role. In addition, if accessing one of Harvard's laboratories and not an employee of one of the <a href="#">15 teaching hospitals and institutes associated with HMS</a> , Core Customers must sign an Acknowledgement of Risk and Release of claims. Core Customers are not eligible for Harvard email.
Family Member/ Family Support	Family members or support providers for Harvard affiliates who need physical access to Harvard housing or daycare	A spouse or partner of a professor, resident tutor or proctor living in undergraduate housing. A family member of a child enrolled in a campus Child Care Center. HBS Partners. A long-term caregiver or dog walker for a resident in Harvard housing.	Low	The associated Harvard affiliate is required on requests. The initial term length may be up to three years as long as the role end date does not extend beyond the Harvard affiliate's role end date. Family Member/Family Support roles are not eligible for Harvard email.

Field Education Supervisor	A non-appointed supervisor of a student in a field education placement	A church pastor overseeing an HDS student's in-field study.	Medium	Field Ed Supervisors with ongoing relationships with HDS are given appointments following completion of a one-year course. Field Ed Supervisors supervising a student on a one-off basis are given a sponsored role. Completion of the course is not required. Field Education roles are not eligible for an ID card.
Incoming Employee/ Transfer	An individual with an accepted job offer who needs an active role to facilitate the onboarding process	An incoming employee who cannot come to campus in advance of their start date to complete their I-9. An interdepartmental transfer for whom the new school/unit would like to establish accounts.	Medium	The Incoming Employee role is to enable units to begin the onboarding process so that appropriate accounts are established and a new employee can begin work <b>on their start date</b> . Incoming employees should not be accessing resources and may not be asked to complete work in advance of their start date. The max initial term length for Incoming Employee roles is 21 days (14 days in advance of start date to 7 days after start date).
Interschool Affiliate	An active affiliate who needs access to resources in a School/Unit other than the one where their primary affiliation resides	An FAS faculty member teaching a class at the Law School who needs access to HLS resources. A Central Admin employee who supports one of the Schools. A student in a joint degree program who needs access to resources in their joint school.	High	Interschool Affiliates are not eligible for an ID card or email address through this role. It is expected that these services would be provided through their primary affiliation.
Security	A company representative of a security-service provider	A Securitas or Watts security guard working at Harvard.	High	Company name is required on requests. All Security roles are approved through HUPD.
Tenant	An individual requiring physical access to property leased or rented from Harvard	An employee of a company leasing lab space from the University. A resident of Harvard University Housing with no other affiliation.	Low	Building is required on requests. The max initial term length for Tenants is two years. Tenants are not eligible for Harvard email.
Vendor	A company representative of a service provider to Harvard	A technician for a company such as Siemens, Ricoh or Verizon. An employee of a Harvard Child Care Center. Employees of roofing, moving or other service companies hired by Harvard.	High	Company name is required on requests. The max initial term length for Vendors is 13 months.
Visitor – COVID	A visitor who is on campus for more than 7 days and must enroll in the University's COVID testing program per coronavirus policy guidance.	A participant in the Ceramics or Dance program. A participant in a weekly lecture series.	Low	The max initial term length for Visitors is 6 months. Visitors are not eligible for an ID card or Harvard email.
Volunteer	An individual 18 years of age or older volunteering their services or donating their time for University activities	A club or Shared Interest Group volunteer for Harvard Alumni Association, a volunteer guide at the Harvard Arboretum	Low	Sponsors should consult with their local human resources offices prior to making arrangements for volunteer services to ensure that individuals are appropriately classified as volunteers. Additional information on volunteers may be found at the <a href="#">Office of the General Counsel's frequently asked questions</a> (restricted access).



## Appendix B: Restricted Role Types

The role types below are restricted in use to the units outlined in the Notes section.

Role Type	Description	Assurance Tier	Notes
AA&D Affiliate	An affiliate of Alumni Affairs & Development requiring access to HarvardKey-protected development systems	High	<i>For Alumni Affairs &amp; Development (AA&amp;D) use only.</i> AA&D Affiliate roles are not eligible for an ID card or Harvard email. Role limited to 3 years.
Dependent	Health care dependent (spouse, partner, or adult child) of a Harvard Affiliate who is receiving care at Harvard University Health Services	High	<i>For Harvard University Health Services (HUHS) use only.</i> The associated Harvard affiliate is required on requests. Dependent roles are not eligible for Harvard email.
HMC Employee	An employee of the Harvard Management Corporation (HMC)	High	<i>For Office of the Controller, Financial Administration Department use only.</i> HMC Employee roles are not eligible for Harvard email. Role limited to 1 year.
Hospital Administrator	An administrator at a Harvard-affiliated hospital requiring access to Harvard resources. For example, a UGME administrator at BCH who needs access to Tableau reports about medical students rotating at their hospital. A BIDMC employee serving as department administrator for a clinical department who needs access to PeopleSoft hire forms and the HMS faculty search portal.	High	<i>For Harvard Medical School (HMS), Harvard School of Dental Medicine (HSDM) and Harvard Chan School of Public Health (HSPH) use only.</i> Hospital Administrator roles are not eligible for an ID card or Harvard email. Role limited to 1 year.
Other	A sponsored affiliation that does not fall into any of the predefined role types	Medium	<i>For Identity and Access Management Services use only.</i> Role limited to 1 year.
Overseer	A Member of the Board of Overseers or former Corporation Member	High	<i>For Office of the Governing Boards use only.</i> Role end date aligns with Board term.
Partner of Deceased Retiree	The partner of a deceased retired Harvard employee	Low	<i>For Harvard Human Resources (HHR) use only.</i> Partner of Deceased Retiree roles are not eligible for Harvard email. Role limited to 3 years.
Research Collaborator	Individuals who do not hold a Harvard appointment or employment but who are participating in an active research collaboration with a Harvard-based researcher and have a legitimate and verified business need to access Harvard research space, data or systems to conduct their collaborative research work.	High	<i>A list of schools that support Research Collaborator roles may be found in the <a href="#">Quick Guide to Harvard Sponsored Role Types</a> in the IT Help Portal. In all other schools/units, consult with faculty affairs/academic affairs regarding an appropriate appointment type.</i> Requests must include a signed Visitor Participation Agreement or documentation of an electronically signed Participation Agreement, a signed Acknowledgement of Risk and Release of claims (if accessing one of Harvard's laboratories and not an employee of one of the <a href="#">15 teaching hospitals and institutes associated with HMS</a> ) and a signed and counter-signed form or document outlining the scope of work, nature of the collaboration and relationship with Harvard. All Research Collaborator roles are approved centrally. Role limited to 1 year.

## Appendix C: Departmentally Sponsored Role Types

The role types below are only created through feeds from source systems.

Role Type	Description	Assurance Tier	Notes
Delegate Payer	A delegate set up by a student in my.harvard to view the student account and make payments	Low	Role fed directly from my.harvard. Role end date aligns with affiliated student's role end date. Delegate Payer roles are not eligible for any services including ID card or Harvard email.
HLS External Affiliate	Role granted to HLS Full Time Faculty, Visiting Faculty or Lecturer on Law between paid appointments to support ongoing HLS affiliation	High	For Harvard Law School (HLS) use only. Role fed by the HLS Faculty Information System. Oversight provided by HLS Office of Academic Affairs.
Retiree	A retired Harvard employee	Medium	Role is system generated based on employment status feed from PeopleSoft. No end date. Role terminates upon retiree death. Retiree roles are not eligible for Harvard email.
Smithsonian Employee	An employee of the Smithsonian Astrophysical Observatory (SAO)	High	For use by the SAO only. Roles are fed directly from the SAO. Role end date aligns with term if applicable. Smithsonian Employee roles are not eligible for Harvard email.