

THE UNIVERSITY OF ALABAMA IN HUNTSVILLE

FEDERAL INVESTIGATORS VISITS

Number 07.04.03

Division Office of Research Security (ORS)

Date October 3, 2013

Purpose To provide guidance regarding the circumstances when faculty, staff and students are contacted by a Federal Agent for the purposes of arranging an in-person visit.

To inform faculty, staff and students that the Office of Research Security (ORS) is available to attend the interview and provide location for the visit with Federal Investigators.

Policy The University of Alabama in Huntsville engages in interactions with Federal Investigators. The term “federal investigators”, as used in this policy, may apply to agents of the Federal Bureau of Investigation, the Drug Enforcement Agency, the Department of Homeland Security, and similar officials who have jurisdiction to investigate criminal activity. The term “federal investigators,” as used in this policy, may also apply to employees of the Offices of Inspector General of the Department of Defense, the National Aeronautics and Space Administration, the National Science Foundation, federal auditors or other similar officials who have jurisdiction to investigate financial or scientific misconduct. It is the policy of The University of Alabama in Huntsville to cooperate fully with all duly authorized federal investigators, provided that appropriate security and privacy safeguards are respected. This policy also applies to unannounced visits by Federal Investigators, however, does not apply to normal background investigations.

Procedures When federal investigators make an unannounced visit, UAH employees should treat the federal investigators with courtesy, politeness and respect.

Ask to examine the agent's identification and credentials to ensure that they are genuine. Write down the agent's name and phone number. Obtain a business card (if feasible) and find out why he or she is there.

Then, ask the agent to wait while you contact the Office of Counsel (256-824-6633) or the Office of Research Security (256-824-6444). The UAH offices will contact each other after the initial employee call. Someone will likely send a representative to accompany the agent while he or she is on campus.

UAH employees should refrain from answering questions until after you have spoken with the Office of Counsel or the Office of Research Security.

UAH employees have a right to decline to speak with a federal investigator at all, or to wait until a UAH representative is with you. If the federal investigator refuses to wait, accompany the federal investigator and take notes of what he or she asks and does.

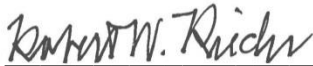
If the federal investigator requests to take anything from the premises, make copies as possible and make a list of the other items.

Any UAH faculty, staff or student receiving an announcement that a federal investigator will be coming to the UAH campus at a particular time shall immediately notify the Office of Counsel or Office of Research Security of the date and time of the appointment.

Review

The Director of Office of Research Security will be responsible for the review of this policy every four years (or whenever circumstances require).

Approval



Chief University Counsel

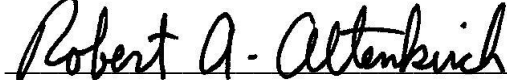


Security Administrator Office of Research Security



Vice President for Research and Economic Development

APPROVED:



President