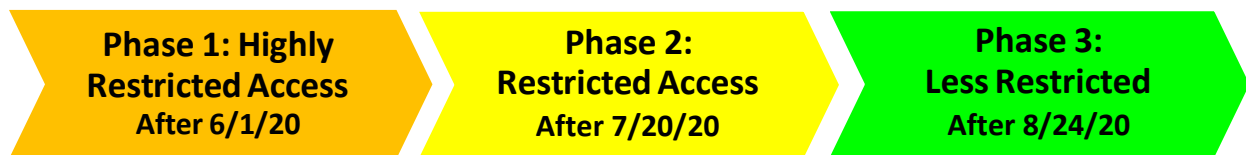


## Research Reactivation Phases

**Version 3.1 (Aug 26, 2020)**

Described below are phases of activity that will be used to guide the reactivation of research on campus by Yale faculty, staff, and trainees (graduate students, postgrads, postdocs). These phases are designed to allow for the gradual resumption of research activity across the entire campus with appropriate public health protections as pandemic risks wane (Phase 1 -> Phase 2 -> Phase 3). They will also be used to tighten campus access if increased risks re-emerge (Phase 3 -> Phase 2 -> Phase 1). Shifting between phases will be triggered by university administration with guidance from public health experts. In summary, the phases are:



Please note that the university conditions and requirements described below are based on current public health guidance and State reopening rules. The conditions and requirements may change over time as the state of virus transmission evolves and more evidence-based mitigation measures emerge.

### **Phase 1 – Highly Restricted and Research Access Limited**

If campus access is *absolutely essential* for the research activity to be carried out, it can be done on campus, with strict public health precautions. If the work can be done remotely (e.g., from home), it *must* continue to be performed remotely. Time on campus is limited to the minimum necessary to perform the research. Strict physical distancing, face masks, symptom monitoring and other strong safety measures for limiting virus spread are in place.

### **Phase 2 – Restricted Access, All Forms of Research Permitted**

All forms of research activity permitted in a researcher's primary working space, such as an office or lab, even if the activity could be performed off campus, so long as physical distancing, reduced occupancy, and other measures for limiting virus spread are possible and adhered to. Access to offices and other campus facilities for activity that could be performed from home is permitted, but with appropriate safety measures, including limits related to physical distancing and use of personal protective equipment (PPE) enforced. Certain forms of on-campus and some off-campus work, including human subjects research, laboratory research and access to specialized facilities requires authorized safety plans. Working remotely (from home) remains strongly encouraged.

### **Phase 3 – Restricted Operations, New Trainee Research Resumes On-Campus**

In conformance with prevailing public health guidance, an expansion of on campus activities is permitted, including new trainee research and some in-person gatherings, but with limits on event size. Restrictions on activities due to physical distancing, dedensification of campus facilities, heightened personal hygiene and use of PPE will remain in place. These restrictions will continue to limit activities that require close physical proximity, such as large meetings or person-to-person training that would otherwise violate physical distancing restrictions.

## Research Reactivation Phases

### **Phase 1 – Highly Restricted and Research Access Limited**

Adjustments may be made to these measures in accordance with ongoing federal, state, and local public health guidance.

#### Overall restrictions:

- If research can be done remotely, it *must* continue to be done remotely.
- Research that *requires* access to campus or local field sites because it is the *only place* that work can be done is possible, with explicit permission.
- Gradual resumption of access to physical library collections, beginning with collection scanning and a book pick-up service.
- Outside visitors for seminars, colloquia, and other short-term visits are prohibited.
- No in-person group meetings, seminars, colloquia.
- No on-campus or field work research activities permitted by undergraduates.
- No congregating in common areas (lunch rooms, meeting rooms, lounges), and surfaces should be disinfected before and after every use.
- All international and domestic travel for business is prohibited by Yale policy, consistent with [Yale](#) and [CDC guidelines](#).

#### Public Health precautions:

- All trainees, faculty and staff must monitor daily for symptoms of COVID-19 using a [Daily Health Check](#) through a [web form](#). Anyone experiencing symptoms of COVID-19 must stay at home and contact their health care provider.
- If ill, stay home and seek medical advice from your health care provider or [Yale Health](#).
- All trainees, faculty and staff should exercise heightened [personal hygiene](#), including frequent [hand washing](#) and covering coughs and sneezes.
- Cloth face coverings should be worn in all public spaces.
- Virus testing performed following guidance set by Yale and local, State, and Federal government public health agencies, which may be adjusted as conditions change.
- All trainees, faculty and staff must complete [training on COVID-19](#) health and safety practices before returning to campus.

#### Work precautions:

- Physical distancing:
  - Measures will be employed to limit the density of people (e.g., trainees/faculty/staff) in research environments. When more than one person occupies a room, physical distancing is required, with at least a 6 foot separation between people, and no more than 50% of normal occupancy. When practicable, one person per research bay. Areas used/occupied by a given investigator in the lab should be clearly delineated and disinfected by the investigator before and after each use.
- Temporal distancing:

- Shift work may be used to limit the density of people occupying a work area on campus at a given time. For instance, early morning and late afternoon 6-hour work shifts with gaps between shifts would facilitate physical distancing practices and permit greater utilization of on-campus research facilities
- Pre-existing Personal Protective Equipment (PPE) requirements for the lab/research environment remain in place. Otherwise, while in the laboratory, trainees, faculty, and staff are required to wear a surgical face mask. In general, N95 respirators and medical grade masks are reserved for healthcare workers. Cloth face coverings are appropriate only for public spaces.
- Lab staff are responsible for disinfecting surfaces and equipment in labs, following [EHS's cleaning and disinfection guidelines](#).
- Heightened cleaning and disinfection of common areas performed by custodial staff.

#### Registration to access campus for research:

- All faculty are required to register themselves and their trainees and staff in order to access campus for research.
- For shared research environments, such as labs:
  - Faculty propose safety plans for individual labs and field sites as well as laboratory personnel (trainees, staff), which are registered through [EHS Integrator](#). Faculty safety plans are reviewed and approved by Department Chair/Center Director (or their faculty designee), cognizant Dean and the Provost's office. Notice of approval and authorization to return to campus will be issued by email through [EHS Integrator](#).
  - Department Chair/Center Director articulates safety plans for department common areas such as local core facilities (e.g., glass wash, shared equipment rooms) and common lounges and bathrooms. These plans are reviewed and approved by the cognizant Dean and the Provost's office.
- For individual research environments, such as offices:
  - Faculty planning on sustained research in an individually-occupied office because it is the *only place* that work can be done (e.g., on-campus access *required* for sensitive data sets) must propose research plans through [EHS Integrator](#) for review and approval by cognizant Dean and the Provost's office. Notice of approval will be issued by email through [EHS Integrator](#).
- International travel is prohibited by Yale policy, and non-essential domestic travel should be postponed or avoided, consistent with [Yale](#) and [CDC guidelines](#). Local research and field work is permissible if the local travel and field work can be performed safely and appropriate sample handling and other behaviors abide by all prevailing distancing and other University, State, and Federal safety guidelines locally and at the field site. These [guidelines](#) may change quickly, depending on conditions locally and at the field site.
  - Faculty are required to register their domestic travel and field work plans through [EHS Integrator](#), and include specifics describing how the work can be performed in accordance with public health guidance and that appropriate measures are being taken to minimize the possibility of reintroducing the virus to our local setting or that of the field. Sufficient details should be included regarding shut down/contingency plans for research activities at the remote field site if they become impossible due to changing conditions

- locally or at the field site.
- These plans will be reviewed by an [Off-Campus Research and Field Work Committee](#) commissioned specifically to appraise these requests, and subject to further review and approval by the cognizant Dean and the Provost's office.
- In-person human subjects research is not permitted, except in a clinical or hospital setting where the subject must be present for otherwise necessary medical care and the research aspects of the visit are carried out concomitantly with that care.
  - Faculty are required to register their in-person human subjects research through [EHS Integrator](#), and include specifics describing how the work can be performed in accordance with safety and public health guidance.
  - In-person human subjects research will be phased in as clinical care expands.
  - In-person human subjects research safety plans will be reviewed by a [Human Subjects Research Committee](#) commissioned specifically to appraise these requests, and subject to further review and approval by the cognizant Dean and the Provost's office.

## **Phase 2 – Restricted Access, All Forms of Research Permitted**

Adjustments may be made to these measures in accordance with ongoing federal, state, and local public health guidance.

### Overall restrictions:

- All forms of research are allowed on campus or in the field as long as physical distancing and other phase-specific limits are maintained. Faculty, trainees, and staff should continue to perform their work off campus whenever possible.
- Outside visitors for seminars, colloquia, and other short-term visits are prohibited.
- Vendors, monitors and many sponsored identities performing critical functions must be [approved for access to campus](#) and follow regulations typical for Yale employees, including training and daily health checks. Anyone experiencing symptoms of COVID-19 must stay at home and contact their health care provider.
- In-person meetings should be avoided unless necessary. Six-foot physical distancing *must* be maintained at such gatherings. Indoor meetings must not exceed the COVID-19 specific occupancy limits for the spaces in which they are held.
- Congregating in common areas (lunch rooms, meeting rooms, lounges) are strongly discouraged and must conform to physical distancing restrictions. Surfaces should be disinfected before and after every use.
- No on-campus or field work research activities are permitted by undergraduates.
- International travel is prohibited by Yale policy and non-essential domestic travel should be postponed or avoided, consistent with [Yale](#) and [CDC guidelines](#).

### Public Health precautions:

- Every individual that accesses campus must complete online [COVID-19: Return to Yale Campus](#) training prior to returning to campus.
- Each person who comes to campus is required to conduct a [Daily Health Check](#) using a [web form](#). Anyone experiencing symptoms of COVID-19 must stay at home and

- contact their health care provider.
- Face coverings must be worn at all times, including during the entry and exit of all indoor common spaces and public areas on campus. In individual offices, when solely occupied with the door closed, face coverings may be removed.
- All, faculty, staff, and trainees should exercise heightened [personal hygiene](#), including frequent [hand washing](#) and covering coughs and sneezes.
- Individuals must practice 6-foot physical distancing at all times when on campus. All shared spaces must also be limited to no more than 50% of normal occupancy.
- Bathrooms are temporarily restricted to one occupant at a time. New signage has been placed to remind users of this restriction. Electric and hand dryers have been replaced with paper towels.
- Use of community refrigerators, microwaves, toasters, coffee makers, and other appliances is strongly discouraged.

#### Work precautions:

- Physical distancing:
  - Measures will be employed to limit the density of people (e.g., trainees/faculty/staff) in an office or research environments. When more than one person occupies a room, physical distancing is required, with at least a 6-foot separation between people, and no more than 50% of normal occupancy.
  - When practicable, one person per research bay or office. Areas used/occupied by a given researcher in the lab or office should be clearly delineated and disinfected by the researcher before and after each use.
- Temporal distancing:
  - Shift work may be used to limit the density of people occupying a single work area on campus at a given time. For instance, early morning and late afternoon 6-hour work shifts with gaps between shifts would facilitate physical distancing practices and permit greater utilization of on-campus research facilities.
- Pre-existing Personal Protective Equipment (PPE) requirements for the lab/research environment remain in place. Otherwise, while in the laboratory, trainees, faculty, and staff are required to wear a surgical face mask. In general, N95 respirators and medical grade masks are reserved for healthcare workers. Cloth face coverings are appropriate only for public spaces.
- Lab staff are responsible for disinfecting surfaces and equipment in labs, following [EHS's cleaning and disinfection guidelines](#).
- Heightened cleaning and disinfection of common areas performed by custodial staff.

#### Returning to campus for research:

- All faculty, staff and trainees are required to complete COVID-19 training before returning to campus.
  - Faculty with academic or research programs that require the use of specialty lab facilities, perform field research or human subjects research, must develop individual safety plans and use the [EHS Integrator](#) system to apply for authorization to return to campus to use these facilities. Those research activities approved for Phase 1 research reactivation are (automatically)

approved to continue in Phase 2.

- All off-campus research and field work will require an application to be submitted through the [EHS Integrator](#) and approval from the [Off-Campus Research](#) and [Field Work Review Committee](#). Certain types of off-campus research and fieldwork may be eligible for exemption of EHS Integrator registration in Phase 2, such as research in archives or collections or scientific fieldwork involving a single researcher where physical distancing is easily accomplished. Review the [self-assessment](#) to determine if your research is exempt and follow outlined [best practices](#).
- All researchers performing in-person human subjects research that was not approved during Phase 1 reactivation should submit a research reactivation application with a laboratory safety plan through [EHS Integrator](#). Review and authorization of the safety plan by the [In-Person Human Subjects Research Committee](#) is required before any human subjects research resumes. The location of the research as well as appropriate PPE may also be subject to review and approval by EHS.
- For non-laboratory spaces, such as offices, the relevant school, division or department will communicate the local safety plan for occupying these spaces.

### Phase 3 – Less Restricted Operations, New Trainee Research Resumes On-Campus

Adjustments may be made to these measures in accordance with ongoing federal, state, and local public health guidance.

#### Overall restrictions:

- Posted Yale, state, and federal guidelines concerning physical distancing, PPE, and symptom monitoring will be enforced.
- [Domestic and international travel](#) will conform to [Yale](#), [State](#) and [CDC guidelines](#).
- Consistent with laboratory safety plans and individual school policies, on-campus research by undergraduates and new graduate students is permitted.
- Visitors to Yale planning to stay for at least a semester are permitted, but outside visitors for seminars, colloquia, and other short-term visits are prohibited.
- All vendors, monitors and many sponsored identities performing critical functions must be [approved for access to campus](#) and follow regulations typical for Yale employees, including training and daily health checks. Anyone experiencing symptoms of COVID-19 must stay at home and contact their health care provider.
- In-person meetings should be avoided unless necessary. Six-foot physical distancing *must* be maintained at such gatherings. Indoor meetings must not exceed the COVID-19 specific occupancy limits for the spaces in which they are held.
- University-sponsored gatherings should follow [university guidelines](#) and take place virtually, unless there are compelling reasons to do otherwise. In-person gatherings

outside the academic program, on or off campus, may be no larger than 10 people. Per Yale and State guidelines, rooms, floor, and buildings are limited to either 1 person per 150 square feet or 50% of usual occupancy or less. Classrooms, lecture halls and other rooms will have posted 'COVID-19 Occupancy' limits that must be adhered to.

#### Public Health precautions:

- Every individual that accesses campus must complete online [COVID-19: Return to Yale Campus](#) training prior to returning to campus.
- Each person who comes to campus is required to conduct a [Daily Health Check](#) using a [web form](#). Anyone experiencing symptoms of COVID-19 must stay at home and contact their health care provider.
- Face coverings must be worn at all times, including during the entry and exit of all indoor common spaces and public areas on campus. In individual offices, when solely occupied with the door closed, face coverings may be removed.
- All, faculty, staff, and trainees should exercise heightened [personal hygiene](#), including frequent [hand washing](#) and covering coughs and sneezes.
- Individuals must practice 6-foot physical distancing at all times when on campus, and follow posted COVID-19 occupancy restriction for common rooms. Limit rooms, floors and buildings to either 1 person per 150 square feet or 50% of usual occupancy or less.
- Bathroom occupancy restricted according to posted signage.
- Use of community refrigerators, microwaves, toasters, coffee makers, and other appliances is strongly discouraged.

#### Work precautions:

- Physical distancing:
  - Measures will be employed to limit the density of people (e.g., trainees/faculty/staff) in an office or research environments. When more than one person occupies a room, physical distancing is required, with at least a 6-foot separation between people, and no more than 50% of normal occupancy or 1 person per 150 square feet.
  - When practicable, one person per research bay or office. Areas used/occupied by a given researcher in the lab or office should be clearly delineated and disinfected by the researcher before and after each use.
- Temporal distancing:
  - Shift work may be used to limit the density of people occupying a single work area on campus at a given time. For instance, early morning and late afternoon 6-hour work shifts with gaps between shifts would facilitate physical distancing practices and permit greater utilization of on-campus research facilities.
- Pre-existing Personal Protective Equipment (PPE) requirements for the lab/research environment remain in place. Otherwise, while in the laboratory, trainees, faculty, and staff are required to wear a surgical face mask. In general, N95 respirators and medical grade masks are reserved for healthcare workers. Cloth face coverings are appropriate only for public spaces.
- Lab staff are responsible for disinfecting surfaces and equipment in labs, following

[EHS's cleaning and disinfection guidelines.](#)

- Heightened cleaning and disinfection of common areas performed by custodial staff.

Returning to campus for research:

- All faculty, staff and trainees are required to complete COVID-19 training before returning to campus.
  - Faculty with academic or research programs that require the use of specialty lab facilities, perform field research or human subjects research, must develop individual safety plans and use the [EHS Integrator](#) system to apply for authorization to return to campus to use these facilities. Those research activities approved for Phase 1 or Phase research reactivation are (automatically) approved to continue in Phase 3.
    - All off-campus research and field work will require an application to be submitted through the [EHS Integrator](#) and approval from the [Off-Campus Research](#) and [Field Work Review Committee](#). Certain types of off-campus research and fieldwork may be eligible for exemption of EHS registration in Phase 2, such as research in archives or collections or scientific fieldwork involving a single researcher where physical distancing is easily accomplished. Review the [self-assessment](#) to determine if your research is exempt and follow outlined [best practices](#).
    - All researchers performing in-person human subjects research that was not approved during Phase 1 reactivation should submit a research reactivation application with a laboratory safety plan through [EHS Integrator](#). Review and authorization of the safety plan by the [In-Person Human Subjects Research Committee](#) is required before any human subjects research resumes. The location of the research as well as use of appropriate PPE may also be subject to review and approval by EHS.
  - For non-laboratory spaces, such as offices, the relevant school, division or department will communicate the local safety plan for occupying these spaces.



**Note: Phase 0 – Critical Research Operations Only** are the conditions that existed as the COVID-19 pandemic spread (03.2020 – 05.2020). These measures may need to be employed again if pandemic conditions worsen substantially as part of a research ramp down.

### **Phase 0 – Critical Research Operations Only**

- *Only* critical research activities allowed on campus.
- Registration for critical research and campus access granted by petition of the PI and vetted by the Department Chair, cognizant Dean, and the Provost's office.
- Research kept to the minimum necessary to prevent catastrophic loss of experiments or critical research on COVID-19. Noncritical research performed remotely or put in hibernation.
- Associated on campus research facilities and core operations (e.g., Animal Research Facility, Gene Sequencing Facility) function at the minimum level necessary to support critical research and to maintain research infrastructure for the eventual reactivation of campus research operations.
- If research can be done remotely (at home), it *must* be done remotely.
- Travel for field work permitted only in exceptional cases for critical research and upon specific petition by the PI to Department Chairs, cognizant Dean, and the Provost's office. Such field work must fall under the above definition of critical research, and travel and work must be conducted in accordance with all local (i.e., at the field site) and state COVID-19 regulations, and the other requirements specified here.
- In-person human subjects research not permitted, except if it qualifies for a critical research exception (e.g., ongoing therapeutic trials, clinical research on COVID-19).
- Physical distancing:
  - Measures must be employed to limit the density of people (e.g., trainees/faculty/staff) in research environments. When more than one person occupies a room, physical distancing is required, with at least a 6 foot separation between people. When practicable, one person per research bay. Areas used/occupied by a given investigator in the lab should be clearly delineated and disinfected before another investigator occupies that area.
- Temporal distancing:
  - Shift work can be employed to limit the density of people occupying a work area on campus at a given time. For instance, early morning and late afternoon 6-hour work shifts with gaps between shifts would facilitate physical distancing practices and permit greater utilization of on-campus research facilities.
- PPE requirements. Existing PPE requirements for the lab/research being conducted remain in place. Otherwise, a water-resistant face mask is required, which EHS can provide. In general, N95 respirators and surgical masks are reserved for healthcare workers. Specialized PPE may be required for COVID-19 research, as specified by EHS. Cloth face coverings are appropriate only for public spaces.

- [Strong cleaning/disinfectant regimens](#). Lab staff are responsible for disinfecting equipment and surfaces in labs. Heightened common area cleaning by custodial staff.
- All faculty, staff, and trainees should self-monitor frequently for [symptoms of COVID-19](#). If ill, stay home and seek medical advice from your health care provider or [Yale Health](#).
- Virus testing of those working on campus to the greatest degree reasonably practicable.