Overview

This policy has been developed to provide guidance for all University of Sydney staff with the delegated authority to appoint or engage affiliates for the purpose of ensuring that:

- clear direction is available on the appropriate method and procedures for affiliating them with the University; and
- an affiliate's contribution to the University is acknowledged and they are aware of their role, rights and responsibilities.

Scope

This policy applies to all affiliates of the University.

An affiliate is an individual, who is not a paid staff member of the University, but who is:

- appointed or engaged by the University to perform duties or functions, and / or
- recognised for their contribution to the University.1

The policy and procedures relating to conferred academic titles (for example, Emeritus, Honorary, Visiting) are covered by the Honorary Titles Policy and Procedures.

The policy and procedures relating to the engagement of a person as an independent contractor or consultant are covered by the Engagement of Independent Contractor Policy and Guidelines (under development).

References

This policy complies with the following:

- University of Sydney (Delegations of Authority - Administrative Functions) Rule 2010
- Code of Conduct - Staff and Affiliates
- External Interests Policy 2010
- University Privacy Policy
- Policy on the Use of University Information and Communication Technology Resources (ICT Resources)
- University of Sydney (Intellectual Property) Rule 2002 (as amended)
- Cessation of Employment: Security Considerations
- Honorary Titles Policy and Procedures
- Engagement of Independent Contractors Policy and Guidelines (policy under development)

1 The term “affiliates” refers collectively to “clinical title holders; adjunct, conjoint and honorary appointees; consultants and contractors to the University; holders of offices in University entities; members of Boards of University Foundations, members of University Committees; and any other persons appointed or engaged by the University to perform duties or functions on its behalf” as defined in the University’s Code of Conduct.
Policy

The University values the contribution of affiliates who perform duties or functions on its behalf. The University’s relationship with each affiliate needs to be properly established to ensure that the University complies with obligations to the affiliate and the affiliate clearly understands their rights and role within the University. All affiliations must be approved in accordance with the relevant Delegation of Authority or University policy.

All individuals who are appointed or engaged by the University as affiliates are required to comply with the University’s Code of Conduct, Code of Conduct for Responsible Research Practice (where relevant), by-laws, rules and policies including those with respect to:

- Conflicts of Interest
- Work Health and Safety
- Discrimination and Harassment
- Information and Communication Technology
- Privacy of Personal Information
- Security
- Record-keeping and Reporting
- Use of University Equipment or Facilities.

Copies of the Codes of Conduct, policies and rules can be accessed on the Policy Register.

Where an affiliate’s duties or function are regarded as “child-related employment”, for the purposes of the Commission for Children and Young People Act 1998 (NSW), the provisions of the University’s Child Protection Policy must be complied with.

An affiliate who is not an Australian citizen must hold or obtain a visa type with associated work rights appropriate to the nature of their engagement or visit. Refer to the Visa and Work Rights Policy or Department of Immigration and Citizenship for further information.

Guidelines

Acknowledging and establishing the relationship

Where an individual:

- performs duties and/or functions for the University as a non-employee; or
- contributes to the research productivity of the University; or
- requires access to the University’s systems and/or secure buildings;

The individual’s role and affiliation with the University needs to be properly established – refer to the procedures below.

Affiliation type

Honorary Title Holders

The University may confer an honorary title on a person as recognition of his or her association with, or contribution to, the teaching, research/scholarship/creative/professional work or management of the University.
For the policy and procedures for the conferring of all honorary titles please refer to the [Honorary Titles Policy and Procedures](#).

**Independent Contractors or Consultants**
A person engaged as an independent contractor or consultant, on a fee for service basis, is engaged under a Consultancy Agreement in accordance with the Engagement of Independent Contractor Policy and Guidelines (*under development*).

**Research Affiliates**
A Research Affiliate is an individual who is not an honorary title holder, and who is contributing to the University's research productivity as:
- a named investigator on a grant; and/or
- an author on a publication; or
- a creator of any other form of research output;

and claims an affiliation with the University.

Any person who names or claims an affiliation with the University within a publication or other academic output, should be formally affiliated with the University. If they do not already have a formal affiliation, such as an honorary title, then the individual should be affiliated in accordance with the procedures outlined in this policy. If a situation arises where the affiliation and collection of details is proving problematic please contact the Research Office for further advice and assistance (ph +61 2 8627 8111).

**Research Administrators**
A Research Administrator is an individual who is involved in the management or administration of research information for the University and who requires access to University systems for example, the Research Information Management System (*RIMS*), in order to perform this task. Research Administrators should be formally affiliated with the University pursuant to this policy.

**Other Types of Affiliation**
Detailed policy and guidelines covering other types of affiliation (for example, Research & Teaching Affiliates, Teaching Affiliates, Volunteers, Committee Members, Council Members, Advisory Board Members, Occupational Trainees, Interns, and Academic Collaborators) are currently under development.

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**Affiliation Procedures**

1. **Requirement to recognise and establish an individual’s affiliation with the University, as a non-employee**

   All affiliates need to be issued with a letter and/or contract which acknowledges and defines their role, outlines their responsibilities to the University and the University's responsibilities and obligations to them. The rights and obligations vary with each affiliation type so it is important to clarify the relationship from the outset.

2. **Determine type of affiliation**

   The Faculty or relevant DVC or the VC should determine the nature of the affiliation in accordance with the appropriate policy e.g. Honorary Title Holder, Independent Contractor, Research Affiliate. Assistance is available from [HR Managers and Advisors](#), or the HR Service Centre (Non-Employee team) (ph +61 2 8627 1268).

   - To nominate an individual for the conferral of an honorary title refer to the [Honorary Titles Policy and Procedures](#). For further information concerning the nomination of an individual for a conferral of an honorary title please refer to the relevant Faculty.

   - To engage an individual as an independent contractor refer to the Engagement of Independent Contractor Policy and Guidelines (*under development*). Further information about these
arrangements is available from the HR Managers and Advisors.

- Other types of affiliation - for Research Affiliates and Research Administrators, progress to Step 3 below. (Procedures for various other types of affiliation to be confirmed in the relevant policies - currently under development).

3. University Officer and Affiliate complete Recognition of Affiliation form

A Recognition of Research Affiliation form is completed with the Supervisor/University Officer, including all mandatory identification fields, and clearly indicating the appropriate affiliation type and title.

4. The form is authorised in accordance with the appropriate Delegation or policy and forwarded to the HR Service Centre (Non-Employee team)

The Recognition of Research Affiliation form requires appropriate authorisation, e.g. recognition of a Research Affiliation must be authorised by the Head of School or Head of Department/Unit. Completed and signed Recognition of Affiliation forms are sent to the HR Service Centre (Non-Employee Team). A copy of verification of identity should be provided with the form. The host School, Faculty, DVC or VC will designate the appropriate officer(s) to coordinate the non-employee affiliation and maintenance processes.

5. Letter of Affiliation and creation of an affiliate record on the HR Information System

The HR Service Centre (Non-Employee Team) will create a Letter of Affiliation. The term of the affiliation will be for a period of up to 3 years unless the host Head, DVC or VC nominates otherwise. Where required, the application of the University’s Intellectual Property (IP) Rule will be clarified in the Letter of Affiliation. The affiliate signs the offer, confirming acceptance of the rights and obligations of their affiliation, and returns the original to the HR Service Centre. Upon receipt of the signed letter an affiliate (non-employee) record is created within the HR Information System.

6. Privileges of Affiliation

University Affiliate Card & Library Borrowing

An affiliate may be able to use the electronic services of the University Library to support the performance of functions or teaching and research activities on the University's behalf and will not use the resources for commercial or recreational purposes. Inquiries should be referred to the University Card Services.

University Identity Number

An affiliate who has a record on the University’s HR Information System will be given a University identity number which will enable the provision of a Unikey, an Exchange Email Account and access to University systems and buildings, as determined by the authorised officer.

7. Maintenance of the Affiliation

To ensure timely maintenance of an affiliate record an Expiry Date report is run 2 months prior to the expiry of the term of the affiliation. The information in the report is sent by the HR Service Centre (Non-Employee team) to the designated officer in the host Faculty for advice regarding renewal, or termination, of the affiliation. If the affiliation is to be renewed, a Renewal of Research Affiliation form must be completed and sent to the HR Service Centre (Non-Employee team) prior to the end date of the current affiliation. All system, building access and Library borrowing privileges will cease on the specified end date, unless the affiliation has been authorised to be renewed. This process will ensure that all system, library and/or building access remains current.
1. **Background**

The Affiliates – Policy and Guidelines was developed in response to a review of how the University engages and appoints affiliates.

An affiliate working party was established to develop the policy including representatives from: the Office of General Counsel; SydneyPeople; Research Office; Office of the Provost, OHS and Injury Management; Information and Communications Technology, Card Services and representatives of the following faculties: Agriculture, Food and Natural Resources; Architecture, Design and Planning; Arts; Dentistry; Economics and Business; Education and Social Work; Engineering and Information Technologies; Health Sciences; Law; Medicine; Sydney Conservatorium of Music; Nursing and Midwifery; Pharmacy; Science; Sydney College of the Arts.

2. **Management Responsibility**

Vice-Chancellor and Principal

3. **Implementation Responsibility**

Director, Human Resources

4. **Dates**

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5. **Approval**

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6. **Signatures**

**Approved by:**

**Name**

Dr Michael Spence

**Position**

Vice-Chancellor

**Date**

28 September 2009