



## Affiliates Policy

Last updated: 6 August 2015 (19 April 2018 administrative amendment)    Policy Assigned to: Director, Human Resources

### 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.<sup>1</sup>

### References

- [University of Sydney \(Delegations of Authority - Administrative Functions\) Rule 2016](#)
- [Code of Conduct - Staff and Affiliates](#)
- [Research Code of Conduct](#)
- [External Interests Policy 2010](#)
- [Privacy Policy 2013](#)
- [Policy on the Use of University Information and Communication Technology Resources \(ICT Resources\)](#)
- [Intellectual Property Policy 2016](#)
- [Cessation of Employment: Security Issues Policy and Procedures](#)
- [Honorary Titles Policy 2013](#) and [Honorary Titles Procedures 2013](#)
- [Supervision of Higher Degree by Research Students Policy 2013](#)
- [Procurement Policy](#)
- [Visa and Work Rights Policy](#)
- [Workforce Engagements and Payments Policy 2016](#)
- [Working with Children Policy 2014](#)

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<sup>1</sup> 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 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, Research Code of Conduct (where relevant), by-laws, rules and policies including those with respect to:

- conflicts of interests
- 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 is engaged in "child-related work", for the purposes of the *Child Protection (Working with Children) Act 2012 (NSW)*, the provisions of the University's [Working with Children Policy 2014](#) 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 Home Affairs](#) 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 award of all honorary titles, refer to the [Honorary Titles Policy 2013](#) and [Honorary Titles Procedures 2013](#).

### **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 [Procurement Policy](#).

### **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, contact Research Support 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 Integrated Research Management Application (**IRMA**), in order to perform this task. Research administrators should be formally affiliated with the University pursuant to this policy.

### **Supervisors of Higher Degree by Research Students**

A supervisor of higher degree by research students is appointed under the [Supervision of Higher Degree by Research Students Policy 2013](#) for the term of the student's candidature. If a proposed supervisor is not a staff member and holds no other formal affiliation to the University, they must be affiliated pursuant to this policy prior to appointment.

## **Affiliation Procedures**

### **1. Requirement to recognise and establish an individual's affiliation with the University**

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. Assistance is available from [HR Advisors](#) or the [HR Service Centre](#).

- To nominate an individual for the award of an honorary title refer to the [Honorary Titles Policy 2013](#) and [Honorary Titles Procedures 2013](#). For further information concerning the nomination of an individual for the award of an honorary title please refer to the relevant Faculty.
- To engage an individual as an independent contractor refer to the [Procurement Policy](#). Further information about these arrangements is available from [HR Advisors](#).
- Other types of affiliation - for research affiliates, research administrators and supervisors of higher degree by research students, progress to **Step 3** below.

### **3. University officer and affiliate complete the relevant affiliation form**

For research affiliates, 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.

For a supervisor of higher degree by research students a [Higher Degree by Research \(HDR\) Supervisor Affiliate form](#) is completed. Assistance is available from the [Higher Degree by Research Administration Centre](#).

### **4. The form is authorised in accordance with the appropriate delegation or policy and forwarded to the HR Service Centre**

The [Recognition of Research Affiliation form](#) and [HDR Supervisor Affiliate form](#) require appropriate authorisation, e.g. recognition of a research affiliation must be authorised by the Deputy Dean, Deputy Head of School or Deputy Head of School within a faculty. Completed and signed Recognition of Affiliation and HDR Supervisor Affiliate forms are sent to the HR Service Centre. A copy of verification of identity should be provided with the form. The host School, Faculty, University School, DVC or VC will designate the appropriate officer(s) to coordinate the affiliation and maintenance processes.

### **5. Letter of affiliation and creation of an affiliate record on the HR Information System**

The HR Service Centre 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 Policy will be clarified in the letter of affiliation. The affiliate signs the affiliation letter, 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 record is created within the HR Information System.

### **6. Privileges of Affiliation**

#### **University affiliate card and Library borrowing**

A research or honorary 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](#). Please note that library privileges are not automatically provided to supervisors of higher degree by research students.

#### **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 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](#) or [HDR Supervisor Affiliate form](#) must be completed and sent to the HR Service Centre 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.

# Administration

## 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. The policy was amended in August 2015 to incorporate supervisors of higher degree by research students. An administrative amendment was made to the policy in August 2016 to reflect the new Intellectual Property Policy 2016. Further administrative amendments in March 2017 to update links to forms and replace the Graduate Studies Office with the HDR Administration Centre. In June 2017 amendments were made to align with University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016, and with the organisational design changes.

## 2. Management Responsibility

Vice-Chancellor and Principal

## 3. Implementation Responsibility

Director, Human Resources

## 4. Dates

Approval (version 1)	28/09/2009
Effect	28/09/2009
Review	6/08/2015
Effect	6/08/2015

## 5. Approval

Version 1	28/09/2009
Version 2	6/08/2015

## 6. Signatures

### Approved by:

Name

Ms Sara Watts

Position

Vice-Principal (Operations)

Date

6 August 2015

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