



Academic Affairs

Processes and Instructions for department groups

<i>Identify visiting appointment</i>	<i>Error! Bookmark not defined.</i>
<i>Common visitor rank comparison chart</i>	<i>Error! Bookmark not defined.</i>
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External Affiliate, Guest, JPL Affiliate & Volunteer: definition, requirements & process

External Affiliate

Definition (HR website)

Individual employed by or affiliated with an organization who has a formal, written agreement with Caltech where the agreement contemplates that the individuals from the organization will be granted physical or remote access to Caltech facilities and systems.

Note: Access is subject to export control and research security restrictions, determined by where the external affiliate is from (e.g., foreign country) or, if accessing systems only, where the external affiliate is physically located while accessing systems (e.g., foreign country).

Formal agreements include but are not limited to:

subawards, contracts, consulting agreements, facilities use agreements, sponsored research agreements, collaboration agreements and Memoranda of Understanding (MOU)

External affiliate groups include: AWS, Amazon Quantum, Thirty-Meter-Telescope (TMT), California Association for Research in Astronomy (CARA), Glendale Community College or Pasadena Community College work study students, temp employee agencies, and other organizations that have MOUs or contracts with Caltech as described above.

- Appointment duration: up to 2 years (excluding visiting students)
- Group should confirm that there is an existing agreement, memorandum of understanding (MOU) between organization and Caltech/PMA. It is not required for submission, but group should be ready to show proof if HR requests it.

Guest

Definition (HR website)

A guest collaborator is an individual who is **conducting short-term projects, collaborating with institute employees on research, or learning a technique or procedure**. They do not hold a formal appointment or contract with Caltech, are not on the Caltech payroll, and are not volunteering services to the Institute. Instead, they are on campus as a "guest collaborator" of a division/department for a predetermined duration. Please review assignment duration by type of guest collaborators below.

An individual requesting remote access for high-performance computing (HPC) may be processed as a guest collaborator with remote access only. This is allowed if the Caltech sponsor agrees to bear HPC costs, there are no campus visits, and an export control review is conducted for individuals in foreign locations. When submitting the request for the visitor, please indicate the assignment is for remote access only and HPC access.

Who may be a Guest Collaborator

- A **former graduate student or postdoc** needing access to Caltech facilities or systems typically for a period of six months or less to complete activities related to publication of their research conducted while a Caltech student or postdoc. The maximum term is twelve months, subject to renewal.
- A **periodic collaborator** who comes to campus for a month or less per year to **perform research or otherwise collaborate with a Caltech researcher**. The term is twelve months or less, subject to renewal.
- A **researcher** visiting from another institution for six months or less **to learn a technique, procedure or how to use equipment**. The six-month term can be renewed once for a total of twelve months.
- A research collaborator from another institution who only requires remote access. The term of such appointments will be determined on a case-by-case basis depending on the needs of the Caltech faculty sponsor. The maximum term for remote access is 2 years, subject to renewal.

Foreign Nationals may not have guest collaborator status unless they have an appropriate visa status authorizing such activities and they are not working on export controlled or research security restricted projects. The Visa Waiver Program (WT/WB Status) and visa for tourism authorization (B-2) does not authorize an individual to engage in the performance of guest collaborator services at Caltech. **However ISS confirmed that WB (under the ESTA program) and B-1 are allowed as they are for business visits.

Foreign nationals being considered for guest collaborator assignments will be subject to an export control review. For more information on export review, please refer to the [FPQ guidelines](#).

- Appointment duration: 10 days to 1 month (JPLers: see below)
- For collaborators visiting for more than 1 month, see [Visitor](#).

JPL Affiliate

Definition ([HR website](#))

JPL employees get access to the gym, Libraries, Ath, buildings, etc. with their JPL assignments. A Caltech appointment is necessary to access the buildings after hours. Guest is the most appropriate appointment type, unless the JPLer is to be PI or Co-I on sponsored research (see VA).

- Appointment duration for JPL Guests: up to 2 years, unless they are contingent works (e.g., NASA fellows), in that case the end date should match their contract end date.

Volunteer

Definition ([HR website](#))

A volunteer is an individual who donates their services to Caltech, freely and without pressure or coercion, for civic, charitable, or humanitarian purposes without the promise, expectation, or receipt of compensation. A volunteer cannot be paid for their research or services but may be reimbursed for reasonable expenses related to their volunteer activities. To qualify as a volunteer, the individual must be willing to provide research or services according to these guidelines.

Process

New appointment & reappointment

(JPLers, see below)

Processed and tracked through Visitor Appointment Request (VAR) in Access

HR process: 4-6 weeks

1. Admin or sponsor initiates request
 - Sponsor and delegate if applicable receive an email from VAR to submit their information (with direct link)
 - * COO/IPAC/LIGO: The staff member hosting the visitor should be listed as the sponsor (not co-sponsor)
 - Visitor receives an email from VAR to submit their information (with direct link)
2. Sponsor/delegate completes application
 - Sponsor can submit in VAR directly, or
 - Sponsor completes [VAR Faculty Sponsor/Co Sponsor Fillable Form](#) for delegate to enter in VAR
3. Visitor completes application
4. Division reviews and approves/rejects request
5. HR reviews request
6. VAR compliance review
7. HR second review completes the process

New appointment & reappointment for JPLers

1. JPL Affiliate data sheet to complete (see Quick Links for Staff)
 - If contingent worker (e.g., NASA postdoc), include NDA and patent forms
 - Division/Dept approver: AA
2. AA emails hrinfo@caltech.edu and Cc jvarlet
3. HR approves in email

Termination

Appointment will end automatically at end date, unless reappointment information is submitted to the Division. Email access removed 30 days after end date.

End dates of appointments can be tracked in VAR “Expiring Soon” dashboard (JPLers not in VAR, track accordingly)

Immigration

ISS does not provide immigration advice or support for those ranks. You may share this basic information about the visa waiver program and appropriate activities for business visitors so that the appointee can make a personal decision as to how to enter the United States:

- <https://travel.state.gov/content/travel/en/us-visas/tourism-visit/visa-waiver-program.html>
- <https://travel.state.gov/content/dam/visas/BusinessVisa%20Purpose%20Listings%20March%202014%20flier.pdf>

Invitation letter

The Division does not provide an invitation letter. The host (PI/staff) invites the person and is the most suited to talk about the collaborator and research. Below is a sample that was provided by ISS some years ago that the host may use.

RE: Visitor for Business

Dr. NAME

This is to verify that Dr. NAME (IF AVAILABLE: D.O.B. DATE) has been invited to visit the DEPARTMENT, at the California Institute of Technology (Caltech).

The dates of this visit will be from DATE to DATE, or upon the arrival of Dr. NAME. The purpose of this visit will be to allow Dr. NAME to PROVIDE DETAIL (i.e. consult, work on independent research projects, attend meetings, etc.).

During the visit, Dr. NAME will not be employed by Caltech, nor will S/HE receive any salary from Caltech. Caltech anticipates reimbursing Dr. NAME for the expenses S/HE incurs during this visit.

Thank you for your assistance with this matter.

Sincerely,

NAME

TITLE

Visitor & Visiting Associate: definition, requirements & process

Visiting Associate

Requirements

The proposed person for Visiting Associate:

- should be Faculty elsewhere or at equivalent high-level position (e.g., JPL)
- would qualify for membership on the Caltech voting faculty
- should be on campus for more than one month at once, or who will spend the equivalent of one day per week or more on campus over an extended period of time (e.g., JPLers)
- should collaborate closely with the PMA community during their visit; the collaboration should be such that it may lead to paper(s), joint proposal(s)
- should be appointed only for the period of time they are visiting; unless (i) they live in the area and come to campus to collaborate routinely throughout the year (such as is often true for JPLers) or (ii) they visit from abroad more than once a year

If the person fulfills the above requirements, the faculty should request the appointment in a memo (preferred, or new clean email) to the Chair. The faculty's justification should address:

- the appointee's qualifications
- how the person will collaborate on campus with the group, faculty, students, etc.
- if you expect to publish/write proposal jointly
- how long they will be on campus (physically) over the year (JPLers: how many days per week or month)
- the space provided for them during your collaboration, and
- what is the long-term goal and mutual benefit for PMA/Caltech

Note that JPLers can be appointed for up to 3 years at once, then renewed for up to 2 years before the mandatory 5-year review.

Please email the memo to Jessica who will follow up with the Chair for approval before moving forward with the paperwork.

IACC: VA appointments are reviewed every five years. A review requires a sponsor's memo requesting the reappointment, as well as letters of reference.

Visitor

Requirements

The criteria for appointment are as follows:

- a visitor must be nominated by an active professorial faculty member who is a colleague and is responsible for making her or his stay at Caltech mutually beneficial.

- a visitor **must have an established position or relationship** (e.g., on sabbatical, leave, on loan, etc.) with another academic or research institution or other approved organization/entity.
- should be appointed only for the period of time they are visiting; unless (i) they live in the area and come to campus to collaborate routinely throughout the year (such as is often true for UC/Harvey Mudd collaborators) or (ii) they visit from abroad more than once a year.
- Appointment duration: 1 month up to 1 year, renewable

Process

New appointment & reappointment

Part 1

Processed through Visitor Appointment Request (VAR) in Access

HR process: 2-3 weeks

1. Admin or sponsor initiates request
 - Sponsor and delegate if applicable receive an email from VAR to submit their information (with direct link)
 - Visitor receives an email from VAR to submit their information (with direct link)
2. Sponsor/delegate completes application
 - Sponsor can submit in VAR directly, or
 - Sponsor completes VAR Faculty Sponsor/Co Sponsor Fillable Form for delegate to enter in VAR
3. Visitor completes application
4. Division reviews and approves/rejects request
5. HR reviews request
6. VAR compliance review
7. HR second review completes the process

Part 2

Division Personnel Management (DPM) system

Process 4-5 weeks (if no visa is involved)

4. Division submits appointment details DPM and creates Wrike folders and tasks
 - Steps 9-13 are tracked in Wrike; Division updates the status of [Paperwork] V/VA appt [DD-MON-YYYY] task
5. HR issues draft letter
6. Division reviews draft letter
7. HR emails letter to V/VA/Visiting Professor
8. Appointee signs letter
9. HR onboarding (contingent upon work authorization/visa approval if applicable)

Due to the nature of those appointments, the Division will track them more closely.

- * Create and set up Wrike folder (new appointments)
- * Assign V/VA end date reminders
- * Track processing workflow in Wrike

Termination

DFA to be completed (see Quick Links for Staff). Admin, please submit a [Termination form](#)

Immigration

ISS will provide J-1 immigration support for those ranks. If the visitor has more questions, remember that you are not a visa specialist and shouldn't provide guidance on this topic (same for the Division). If you want to provide customer service, you may share this basic information about the visa waiver program and appropriate activities for business visitors so that the appointee can make a personal decision as to how to enter the United States:

- <https://travel.state.gov/content/travel/en/us-visas/tourism-visit/visa-waiver-program.html>
- <https://travel.state.gov/content/dam/visas/BusinessVisa%20Purpose%20Listings%20March%202014%20flier.pdf>

Invitation letter

Visitors and Visiting Associate will receive a contract from HR which could serve as the invitation letter. However, when we receive late notice for such appointment, the letter may not be ready by the time the visitor travels. In that case, feel free to provide them with the invitation letter below.

The Division does not provide an invitation letter. The host (PI/staff) invites the person and is the most suited to talk about the collaborator and research. Below is a sample that was provided by ISS some years ago that the host may use.

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During the visit, Dr. NAME will not be employed by Caltech, nor will S/HE receive any salary from Caltech. Caltech anticipates reimbursing Dr. NAME for the expenses S/HE incurs during this visit.

Thank you for your assistance with this matter.

Sincerely,

NAME

TITLE

