



# Academic Affairs

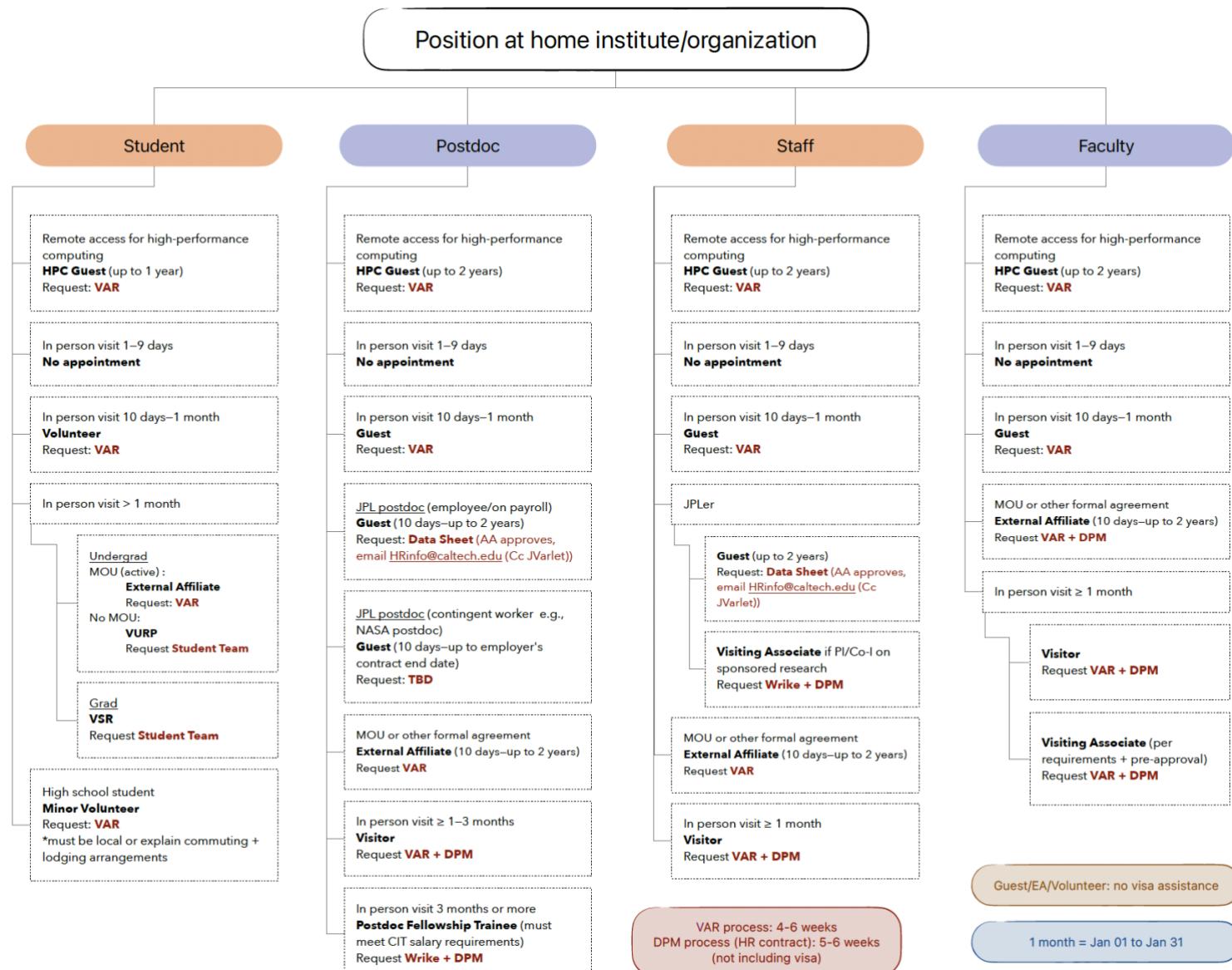
Processes and Instructions for department groups

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## Identify visiting appointment



## Common visitor rank comparison chart

	Guest	External Affiliate	Visitor	Visiting Associate
Appointment duration	10 days – 1 month	10 days – 2 years	1 month – up to 1 year (renewable)	Up to 3 years for locals or non-locals visiting CIT more than once/year (>52 days/year) Duration of visit for non-locals visiting CIT once a year (>1month)
Host (PD/Student cannot)	Faculty, Emeritus, Res. Prof., Staff	Faculty, Staff	Faculty (Emeritus, Res. Prof., Staff may co-host only)	Faculty (Emeritus, Res. Prof., Staff may co-host only)
CIT email, ID card, Building access, Gym, Library	Yes	Yes	Yes	Yes
Caltech Directory	No	Yes	Yes	Yes
Salary/Health benefits eligible	No	No	Yes	Yes
Immigration support	No	No	Yes	Yes
Athenaeum	No	No	No	Yes
Faculty Housing when available	No	No	Yes	Yes
PI/Co-I on grants	No	No	No	JPLers only are permitted to be PI or Co-I on sponsored research (NSF incl.)
COI to complete yearly	No	No	Yes	Yes
DC approval	No	No	No	Yes
IACC review	No	No	No	Every 5 years/60 months of active appointments
Processing timeline	Up to 2 weeks	Up to 2 weeks	2 – 5 months	2 – 5 months
Publishing affiliation	No	No	Yes w/host faculty or faculty's group	Yes w/host faculty or faculty's group
President's letter of hire	No	No	Yes	Yes
Onboarding	No	No	ISS if applicable + HR	ISS if applicable + HR
Termination form (DFA)	No	No	Yes	Yes

# External Affiliate, Guest & Volunteer: definition, requirements & process

## External Affiliate

### Definition (HR website)

Caltech maintains formal relationships with other organizations in the scientific and business community. These relationships may be focused on scientific endeavors, or they may be more business oriented and in the joint interest of both Caltech and the external organization. In some cases, the employees of these external organizations work on campus alongside Caltech employees. In other situations, Caltech has an agreement with the organization to process their medical and dental benefits. Individuals who work for these organizations are identified for campus purposes as External Affiliates.

An External Affiliate is an individual whose working group/organization has a formal working relationship with the Institute.

- Appointment duration: up to 2 years (excluding visiting undergrads)
- 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)

Caltech maintains informal relationships with other organizations and individuals in the scientific and business community. Individuals who are conducting short-term projects or collaborating with Institute employees on research projects are identified for Caltech purposes as Guests.

A Guest is on campus as a "guest" of an Institute Department or Division for a predetermined length of time up to a two-year maximum (renewable). Although Guest usually identifies individuals who are conducting short-term projects or collaborating with Institute employees on research, this term may also include closely-allied ancillary groups needing campus access, such as JPL employees working with research projects on campus.

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

## JPLers

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.

## Process

### New appointment & reappointment

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

HR process: 2-3 weeks

1. Admin or sponsor initiates request
  - o Sponsor and delegate if applicable receive an email from VAR to submit their information (with direct link)
  - o Visitor receives an email from VAR to submit their information (with direct link)
2. Sponsor/delegate completes application
  - o Sponsor can submit in VAR directly, or
  - o 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. Data Sheet to complete  
Division/Dept approver: AA
2. AA emails [hrinfo@caltech.edu](mailto: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.

## 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: 1month 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
  - o Sponsor and delegate if applicable receive an email from VAR to submit their information (with direct link)
  - o Visitor receives an email from VAR to submit their information (with direct link)
2. Sponsor/delegate completes application
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#### 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
  - o 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. 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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Thank you for your assistance with this matter.

Sincerely,

NAME

TITLE