

**Humanities Divisional Policy/Procedures for
Research Affiliates and Visitors
June 2011**

Prologue

Scholarly visitors and affiliated researchers contribute greatly to the intellectual life of the University. Hosting visiting scholars and providing formal affiliations with the Humanities faculty community are normal functions of the Division and its academic units. However we should carry out these normal functions mindful of two objectives:

- That the visits result in a good experience at UCSC for the visitors.
- That the considerable effort required by staff and faculty to support such visits results in a positive contribution from the visitors to UCSC and the Humanities Division.

With those aims in mind, this document lays out the Division's policies and procedures for hosting and sponsoring research associates and visitors. This document does not apply to visitors from other UC Campuses who hold appointments at those campuses (for these visitors, refer to additional compensation policies)

Categories of Research Affiliates and Visitors

Qualified individuals can be hosted or temporarily affiliated with the Division in one of three categories:

1. Short Term Visiting Scholars (Non-Employees who may receive honoraria) – individuals visiting for generally less than one month as participants in conferences, workshops, or presenters.
2. Affiliated Visiting Researchers (Without Salary Employees in the appropriate without salary title) – qualified individuals who are in residence at UCSC for more than one month and up to three years in order to pursue an independent research project of their own or to collaborate with faculty and research projects supported by the Division.
3. Research Associates of the Division (Without Salary Employees) – qualified individuals residing in the area for whom an academic unit wishes to sponsor a formal research affiliation.

These three categories are capacious enough to cover all the possible cases. The process for proposals of sponsorship, responsibilities of the hosts and sponsoring units, and expectations of support vary. The process for international visitors has different timelines and requirements in order to meet the University's obligations as a visa sponsor.

Every visitor must have an individual faculty host, who proposes the visitor to a sponsoring unit and agrees to serve as the liaison for arranging the visit and as the primary contact for the visitor during the stay. The sponsoring unit is responsible for arranging the visit and determining the level of support that they will provide during the visit. The sponsoring units in the Division are the academic Programs, Departments, Humanities affiliated Colleges, and the IHR.

Short term visiting scholars (Non-Employees who may receive honoraria)

Short-term visitors have no formal affiliation with UCSC. They are the guests of their individual faculty, department, program, Humanities affiliated College, or research unit hosts. Any support provided to the visitor during their visit is the responsibility of the sponsoring unit (generally the faculty host's department or the IHR where the visit is associated with one of the IHR's sponsored projects).

International short-term visiting scholars enter the country on an appropriate visa that allows for payment (if that is the intention), which is consistent with provision of honoraria or reimbursement of expenses. The University is not responsible for tracking their location.

Affiliated Visiting Researchers (Without Salary Employees)

Qualified longer-term visitors can be given a formal affiliation with the University through a non-salaried appointment as a Research Associate or Fellow under APM 355 (See Attachment A). This requires a formal proposal to the Division (through APO) from a sponsoring unit and approval from the Dean.

Sponsoring units determine the processes by which faculty hosts can propose and the units approve sponsorship of an affiliated visiting researcher. It is the responsibility of the sponsoring unit to manage their sponsorships within reasonable limits on calls on staff and faculty time and unit resources.

Units must propose the visiting appointment at least **one month in advance** of the visit for US citizens and **three months in advance** of the visit for international visitors. The formal process for appointment for an international visitor includes the process for sponsorship of a J-1 Exchange Visitor visa. A preliminary itinerary during the period of the visit must be filed with the proposal and updated if travel plans change during the visit (forms are available through International Student and Scholar Services website: <http://iss.ucsc.edu/>).

The appointment as a Research Associate or Fellow provides a formal affiliation with UCSC. The visitor receives a university ID with some library privileges and is eligible to purchase services that are generally available to university affiliates (e.g. bus passes, OPERS cards, parking passes, etc.). See Appointment Request form for the range of service agreements that can be made by sponsoring units.

Research Associates of the Division (Without Salary Employees)

The Research Associate and Fellow titles can also be used to provide a formal affiliation with a department or the IHR for qualified individuals who may be in longer-term residence in the area. Research associates contribute in multiple ways to the scholarly community of departments and to sponsored research projects.

Sponsoring units proposing such appointments should describe the benefit to the unit and the Division of the affiliation and the level of support, if any, agreed to by the unit. The appointment can be renewed on an annual basis. These appointments do not involve visa sponsorship.

Process Map

1. Faculty member gets inquiry or idea of sponsorship of a visitor or affiliate and decides whether they wish to host the visit. If so...
2. Faculty host follows the sponsoring unit's procedure for approval of sponsorship.
3. Sponsoring unit determines the category of visitor and proceeds accordingly. Short-term visitors are the responsibility of the sponsoring unit and no Divisional notification is required.
4. For affiliated visitors and associates the unit should give the Division a "heads up" notice of their intent to make a proposal and confirm the materials required for submission.
5. Depending upon the visitor's visa status, the unit submits a complete review file to Humanities APO one-to-three months in advance of the start of the visit.
6. The review files consists of:
 - a. Humanities Division Document Inventory for Appointment to the Without Salary Visiting Scholar, Research Fellow, and Research Associate titles (and all documentation required on that form);
 - b. Visiting scholar Appointment Request form
 - c. The Appointment Request Form must be signed by the chair/director/provost of the sponsoring unit and the faculty/staff research partner (e.g., faculty sponsor). Approval notification will be the appointment letter (see below)
7. Following Divisional review and approval a formal appointment letter is sent to the visitor with a copy to the unit. The appointment letter will outline all terms and conditions of employment and will include an acceptance form, attesting his/her understanding of these terms and conditions. Responsibility for managing the visit remains with the sponsoring unit.

Forms and this procedure can be found at the Humanities AHR website, under the section titled: Academic Without Salary Appointments:

<http://humanities.ucsc.edu/about/divisional-services/academic-human-resources/index.html>

APPOINTMENT AND PROMOTION
Non-Salary Research Positions

APM - 355

355-4 **Definitions**

a. **Research Associate**

Research Associate is a non-salaried appointment for visiting scholars and scientists of distinguished standing who may be recommended by departments for such association with the University.

b. **Research Fellow**

Research Fellow is a non-salaried appointment for visiting fellows who come to the University, for example, as a National Research Council Fellow; a Social Science Research Council Fellow; a Commonwealth Fund Fellow; a Rockefeller Foundation Fellow; or as traveling fellows from other universities, etc.

355-10 **Criteria**

In judging a candidate for appointment, the following criteria are applied:

a. **Research Associate**

The candidate must hold the degree of Ph.D. or possess training substantially equivalent to that required for the Ph.D., and must have demonstrated exceptional fitness in independent research in addition to that required for the Ph.D. degree.

b. **Research Fellow**

The candidate must hold the degree of Ph.D. or possess training equivalent to that required for the Ph.D., but need not have had experience as an independent research worker aside from research for the doctoral degree.

355-24 **Authority**

The Chancellor is authorized to approve appointments to the positions of Research Associate and Research Fellow.