

# Visiting Academic Staff Appointment Procedures

## *Change History*

<b>Version</b>	<b>Reviewed by</b>	<b>Date</b>
5.0	HR Policy Group	February 2022
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## INTRODUCTION

The following procedures relate to the appointment of Visiting Academic and Clinical Staff in the categories of Professor, Associate Professor, Senior Lecturer, (Clinical) Senior Lecturer, Lecturer and (Clinical) Lecturer. There is a separate procedure for designating short-term visiting researchers (*see* Section 10 below).

This policy and procedure does not form part of any employee's contract of employment. It may be amended from time to time with consultation with recognised trade union representatives if appropriate.

Visiting academics involved in teaching should also refer to the *Code of Practice for Associate Tutors, Guest Speakers and Visiting Academics involved in Teaching*.

The responsibility of managing the following processes will be held by an allocated staff member or department within the respective Faculty. An example of this is the Executive Assistant to the Executive Dean of the Faculty.

## TITLES

1. The following titles are used for the appointment of visiting staff:
  - Visiting Professor
  - Visiting Associate Professor
  - Visiting Clinical Associate Professor
  - Visiting Senior Lecturer
  - Visiting Clinical Senior Lecturer
  - Visiting Lecturer
  - Visiting Clinical Lecturer
  - Visiting Research Fellow
  
2. In determining the level of appointment, the decision will take account of the relevant experience, seniority, qualifications and/or publications (where appropriate) of the appointee, together with the nature of the duties and the planned contribution to the University. Professors and Associate Professors will be assessed on a similar basis to that used in making substantive appointments at the same level (see Annex A).

Occasionally, it is difficult to decide the appropriate level of an appointment. In such cases the final decision will be taken by the Executive Dean of the Faculty.

## PERIOD OF APPOINTMENT

1. Appointments are usually made for three years but may be for a shorter period if the Faculty wishes. All appointments are renewable subject to agreement of the proposal by the Executive Dean of Faculty. Appointments can start at any time of the year but will be concluded normally on either 31 August or 31 January in the appropriate year and this will

be confirmed by letter.

## TERMS OF APPOINTMENT

1. Visiting Academic Staff cannot be employees of the University: this includes part-time employment entered into contractually. The appointment is an honorary one.
2. Appointments are offered on the basis that the duties attaching to them will be agreed between the Executive Dean of Faculty (or, by delegated authority) and the appointee. In practice, Visiting Academic Staff are engaged in a wide range of activities including teaching, research, contract funding and external liaison etc. Any teaching responsibilities must be in line with the *Code of Practice for Associate Tutors, Guest Speakers and Visiting Academics involved in Teaching*.
3. There is no University honorarium attached to Visiting Academic Staff appointments. Faculties may reimburse reasonable out of pocket expenses from their own funds subject to meeting the terms of the current University Expenses Policy.
4. Visiting Academic staff must familiarise themselves with the University Intellectual Property Code and the Health and Safety policy before commencing their appointment and ensure they comply with these for the duration of their appointment. In accepting their appointment, the visiting Academic has agreed to be bound by the terms of the University Intellectual Property Code and its associated confidentiality provisions, and if they are involved in teaching the University's Academic Regulations. The Intellectual Property Code of Practice can be viewed via the following link: <https://www.surrey.ac.uk/innovation/our-innovators/our-intellectual-property-code> or <https://www.surrey.ac.uk/sites/default/files/2020-12/intellectual-property-code.pdf>

Specifically, the visitor must be made aware of the 'Managing IP created by visitors to the University' section under the above referenced code of practice. This include critical information regarding the impact of IP creation/collaboration and details the relevant process for making declarations in this regard. Please refer to the code of practice for further information. Please note, it is both the responsibility of the Visitor and the engaging Academic to ensure that the Visiting Staff member is aware of this term.

Any concerns in regard to IP should be raised to the Technology Transfer Office in the first instance via [trustedresearch@surrey.ac.uk](mailto:trustedresearch@surrey.ac.uk).

5. Visiting Academic Staff should conduct themselves in a professional and orderly manner during their appointment. Any occurrences of misconduct will be assessed by the Executive Dean of the Faculty or the Head of School to determine whether the appointment/offer should be withdrawn subject to a one month notice period. Please note; a title may be withdrawn by the Vice-Chancellor at any time.
6. The relevant Executive Assistant or delegate will organise an email account and access to the University Library for the duration of the appointment.
7. All visiting staff/appointments must ensure they have the eligibility to enter and remain in the UK for the duration of assignment. Where necessary, the Academic may require appropriate Academic Visitor VISA Entry Clearance. Faculties are also reminded of the need, in some cases, to obtain Tier 5 Certificate of Sponsorships for Visiting Staff before they commence their appointment. Information on Certificate of Sponsorships and UKVI rules can be obtained from the HR Operations team. All eligibility to work documents must be verified and recorded by the relevant HR department/ Executive Dean of Faculty's Executive Assistant.

Please note that all visiting appointments will need to obtain an ATAS certificate if they are visiting under one of the topics listed [here](#). The ATAS certificate will need to be obtained by the visitor directly from [here](#). Although the certificate is not required to enter the country it will need to be checked by the University prior to any research commencing. Research will not be able to begin until the certificate has been provided. Therefore, it is strongly encouraged that the ATAS certificate is obtained prior to travelling to the UK. Please see further info under section 4.7.

Overseas visitors are not eligible to transfer from visiting status to employee of the University as this is against UKVI / Home Office Guidelines.

8. Faculties should make every effort to ensure that academic members of staff are aware that they may not invite foreign nationals to the University of Surrey on a visiting appointment without first investigating, with the Executive Dean of Faculty through HR Operations or the Executive Assistant of the relevant Faculty, the appropriateness of the appointment.

### **ALL APPLICATIONS**

1. Applications should be made on the most recent version of the VSAC form. There are three forms, one for new appointments: VSAC1, one for re-appointments: VSAC2 and a separate one for Visiting Research Fellows: VSAC3.
2. Applications can be submitted at any time during the year to the Executive Dean of Faculty.
3. Applications should be authorised by the Executive Dean of Faculty or in his/her absence the previously authorised delegate.
4. CVs should give details of publications rather than simply listing the number of publications.
5. Any appointment which relates to a University, rather than a Faculty appointment, should be submitted to the Vice-Provost Research & Innovation (where the appointment is focused on research) or the Vice-Provost Education (where the appointment is mainly focused on teaching and learning) in line with the timeline outlined in section 2.1.
6. Appointments can also be made directly by the President and Vice-Chancellor and by the Provost and Executive Vice-President, providing that the terms of appointment and process outlined in this policy and procedure are adhered to. In such instances the Offices of the President and Vice-Chancellor and of the Provost and Executive Vice-President should liaise with the HR Department regarding completion of all necessary checks and recording of data on the new appointee.

### **4.7 ATAS Condition for visiting researchers**

#### **ATAS and the UK National Security and Investment Act 2021 (referred to as NSIA)**

1. The ATAS Condition may apply for overseas visitors coming to the University. An individual will be subject to the ATAS condition where the following apply:  
The individual will be taking part in, or undertaking research at, Postgraduate level or above, as part of permitted academic activity, in a relevant subject to [ATAS](#). This includes:
  - Gathering information and facts for a specific project which directly relates to their employment overseas, or to support independent research
  - Taking part in formal exchange arrangements with UK counterparts
  - Carrying out research for their own purposes or as a group; and
  - The individual is not an exempt national

It is the host University's responsibility to check whether the visitor is subject to the ATAS condition.

If the individual is subject to the ATAS condition, the individual must apply for and obtain a valid ATAS certificate **before the research starts**. It is strongly recommended that the visitor obtains an ATAS certificate prior to travelling to the UK. Once a valid ATAS certificate has been issued, the individual must provide this to the host University and proof will be kept in secure electronic filing during the appointment and 2 years after to enable availability for any future audit.

Visiting appointments on a visitor visa who will be attending meetings, conferences, seminars or interviews, or giving speeches, and will not be undertaking research during their time in the UK, will not need to apply for an ATAS certificate.

2. A visitor from outside of the UK who is working on a dual-use technology will need to make sure that they have the following:
  - a. appropriate permission from the local Government to export that technology from that country; and;
  - b. once arrived in the UK, that they understand they are highly likely to need an export control license from the UK Government to export any new IP arising related to the dual-use technology back to their country.
3. The NSIA will apply to Visiting staff who are operating in one of the 17 defined areas put indicated by the Department for Business, Energy & Industrial Strategy, the areas are be viewed via the following link: <https://www.gov.uk/government/publications/national-security-and-investment-act-guidance-on-notifiable-acquisitions/national-security-and-investment-act-guidance-on-notifiable-acquisitions>

If operating in one of these areas the Visiting Academic and the engaging Surrey Academic will need to keep the University fully informed, via the Technology Transfer Office ([trustedresearch@surrey.ac.uk](mailto:trustedresearch@surrey.ac.uk)), of who owns and control s the output of the Visitor Staff members research.

Further information on NSIA, what falls within its remit and how to make a notification can be found via the following link: <https://www.gov.uk/government/publications/national-security-and-investment-act-guidance-for-the-higher-education-and-research-intensive-sectors/national-security-and-investment-act-guidance-for-the-higher-education-and-research-intensive-sectors>

If the requirements of NSIA are not followed the University will be entitled to end the Visiting appointment as it sees fit.

### NEW APPOINTMENTS

1. Guidance on levels of appointment to the Visiting Academic Staff Appointments Procedures is given in Annex A. This is particularly helpful when deciding on the appropriate title for non-academic applicants and Faculties are asked to refer to this.
2. Existing members of staff may not be submitted for visiting appointments.
3. Retiring members of staff being submitted for visiting appointments will not normally be considered for a visiting title higher than the title held on retirement (*i.e.* a Associate Professor should not be submitted for Visiting Professor status).
4. Departing members of staff being submitted for visiting appointments will not normally be considered for a visiting title higher than the title held on departure **unless** the position for

which they are leaving the University is one which would, under the guidance in Annex A of the Visiting Academic Staff Appointments Procedure, normally support such a title.

5. Referees for all applications should be external and not internal.
6. E-mail references are acceptable. It is not necessary to take up references for former members of staff if the date of their new appointment is within 6 months of their departure date.

#### **RE-APPOINTMENTS**

1. The VSAC2 form should be used for re-appointments. This form should outline the achievements of the visiting member of staff in relation to their role at the University over the previous period. This may be in bullet form if that is more convenient.
2. An updated CV should be provided for any individual whose original being submitted for re-appointment for a 2<sup>nd</sup>, 4<sup>th</sup>, 6<sup>th</sup>, (*etc.*) time (*i.e.* after the first re- appointment, every 2<sup>nd</sup> and alternate re-appointment thereafter must have an updated CV).
3. Also included on the VSAC 2 form should be an indication of the number of journal and conference publications, where applicable, in the CV supplied.
4. In addition to the VSAC 2 form being signed off by the Faculty Executive Dean, the relevant Head of School or Department must be informed of any potential extensions to current visiting academic appointments.

#### **PROCEDURE FOR NEW APPOINTMENTS**

1. Visiting Academic Staff are normally appointed to Faculties and the Executive Dean of Faculty is responsible for authorising proposals for new appointments. Visiting staff may be assigned to a specific grouping within a Faculty, if appropriate.
2. Proposals for new appointments should be submitted to the Executive Dean of Faculty using a *pro-forma* VSAC1. This completed *pro-forma* outlining case for the appointment must be accompanied by:  
  
the curriculum vitae of the nominee;  
  
a list of publications, where applicable, and any other relevant background material;  
  
two external references from referees who can testify to the candidate's suitability for appointment. It is the Faculty's responsibility to identify appropriate referees and to take up the references. Care should be taken in acquiring references (*see* paragraph 5.5).
3. On receipt of completed proposals, the Executive Dean of Faculty will review and make a decision on the applications within one month of the deadline.
4. Executive Deans of Faculty should bear in mind the guideline that at the time of initial appointment the number of visiting professorships in a Faculty should not normally exceed the number of substantive professorial appointments.
5. When an appointment is approved, the Executive Assistant or delegate will write to the applicant offering the appointment. The file of the appointee is held by the Faculty. The Faculties will hold a central log of visiting academics and generate the required email address and Library access.
6. By the 1<sup>st</sup> November in each year, the EA to the Executive Dean of the Faculty is required to

inform the Secretariat Officer of the details of: Newly appointed visiting staff and their addresses.

Those visiting staff whose appointments have ceased (and the end date).

Those visiting appointments that have been extended and the new end date of the appointment.

This information is important as some visiting staff will be eligible to attend Court of University meetings and graduation, and this recording allows them to be invited to these events as appropriate.

### **VISITING ACADEMIC STAFF APPOINTMENTS ON RETIREMENT**

1. It will not be 'normal' or 'standard' procedure to appoint retired members of staff as Visiting Academic Staff.
2. Where Visiting Academic Staff appointments for retired members of staff are of immediate benefit to the Faculty and/or University, an application should be submitted in the normal process.
3. Visiting Academic Staff appointments made immediately upon retirement will normally be in the same grade as that of the employee's former employment.

### **PROCEDURE FOR EXTENSIONS OF RETIRED VISITING ACADEMIC STAFF**

1. If a Faculty decides to request an extension of the appointment, a completed form (VSAC2) must be submitted as per the normal process indicating clearly and briefly a factual account of the member's contributions to the University activities in the previous period. An indication of the nature and extent of his/her expected future involvement should also be included. There is no further requirement for references.

### **SHORT TERM APPOINTMENTS (Visiting Researchers)**

A Faculty may wish to host a visiting academic for a short period not exceeding one year. This will normally be a post-doctoral candidate with sabbatical leave from an overseas institution who wishes to spend a period in a Faculty/Department engaged in research. Such an academic will be designated a Visiting Researcher. (Form VSAC3).

1. The Visiting Researcher must be appropriately qualified and must be financially self-supporting. Faculties may contribute to modest out of pocket expenses (subject to the current University Expenses Policy). They must not pay any form of salary or stipend which would constitute employment. The Faculty may provide fund for travel, accommodation and subsistence costs upon a funding grant from an external research council. Should a visa be required for entry to the UK please refer to section 3.7 and section 4.7 above.
2. The Executive Dean of Faculty or the Head of School should authorise these appointments and satisfy themselves that the individual concerned is suitably qualified and that all necessary arrangements, including visas and eligibility to work, have been made well in advance of their arrival. It is the responsibility for the Faculty to maintain a file on the individual that should include the following:  
curriculum vitae of the visiting staff member; the proposed dates of appointment;

the general area of research; confirmation of the visitor's main source of funding, where appropriate.

3. There is no requirement for references, but Faculties are expected to have satisfied themselves about the suitability of candidates.
4. The Faculty issues the relevant letter of appointment and ensures that the Visiting Researcher is recorded on the Faculty Visiting Academic spread sheet. All paperwork associated with the appointment and extension of visiting staff appointments is held in the relevant faculty.



## **ANNEX A**

### **VISITING ACADEMIC STAFF APPOINTMENTS - A GUIDE TO TITLES**

#### **Visiting Professor**

A Senior Academic, public servant/official, or business person who has risen to the very top of his/her profession and whose appointment will enhance the reputation of the University at the highest levels. If the visitor was a member of the University of Surrey staff; they would be a credible candidate for the award of a Personal Chair and hold Directorships of, or lead major research teams in organisations with which the University enjoys a close working relationship in research or hold similar positions in local organisations with which the University has close working relationships in the areas of teaching or research infrastructure support.

If the candidate comes from an academic background, the candidate should show 'sustained outstanding achievement in terms of quality and quantity in at least two of these principal areas, one of which must be research. Performance in the remaining third area should be at least at the level expected of their current post and the applicant has made an outstanding international contribution to the advancement of their subject recognised by their peers.

#### **Visiting Associate Professor**

A senior academic, public servant/official, or business person who is near the top echelons of his/her profession and whose appointment will help enhance the reputation of the University at a senior level.

If the candidate comes from an academic background the candidate should show evidence of sustained excellence in their contribution in terms of quality and quantity in at least two of the principal areas, one of which must be research. Performance in the remaining area should be at least at the level expected of their current post.

#### **Visiting Clinical Associate Professor**

This title is available to clinically qualified (GMC) individuals with NHS-funded or grant-supported contracts of Consultant status or Principals in general practice, or other individuals of comparable experience working in the clinical setting who can demonstrate distinction in scholarship or research and/or can demonstrate significant contribution to the advancement of their subject and the educational activities of the University the University at a level equivalent to that of the University teaching track staff and/or to the research activity of the university.

#### **Visiting Senior Lecturer/Lecturer**

An academic, public servant or business person whose personal knowledge, experience and/or influence will add to the reputation of the University. This title may be offered to non-clinically qualified individuals not directly funded by the University who make a significant contribution to the education activities of the University at a level equivalent to that of the University teaching staff and/or to the research activity of the university.

#### **Visiting Clinical Senior Lecturer**

This title is specifically for clinically qualified (GMC) individuals with NHS-funded or grant-supported contracts of Consultant status or Principals in General Practices, or other individuals of comparable experience working in the clinical setting. Visiting Clinical Senior Lectureships will be offered to individuals who

make a significant contribution to the educational activities of the University at a level equivalent to that of the University teaching staff and/or to the research activity.

### **Visiting Clinical Lecturer**

This title is for individuals not funded directly by the University who are pursuing a career in academic medicine, who demonstrate ability and who are, or would be involved in, teaching and/or research for the University. The title might be appropriate for specialist registrars (SpRs) and individuals on training fellowships undertaking research for a research doctorate.

### **Visiting Lecturer (Teaching focus)**

This title may be offered to individuals working in areas associated with the School's teaching. The title is offered in recognition of a significant contribution to teaching within the University, for example, a contribution to a course of lectures.

### **Visiting Research Fellow**

This title may be offered to individuals in areas associated with the University's research. The title is offered in recognition of a significant contribution to research within the University e.g. supervision of graduate students, a major contribution to research in collaboration with University staff.