

## Policy regarding the management of the Affiliates Process

### Purpose and Context

The University allows an arrangement by which individuals who are not payrolled employees but have a relationship with the University may have access to university buildings, systems and information. This is known as an Affiliate arrangement. In each school or service, to manage the process of Affiliates, there are staff who take on the roles of Affiliate Sponsors, Affiliate Authorisers, Affiliate Administrators and local Process Managers. This policy sets out the responsibilities and requirements pertaining to the management of the Affiliates process and these roles within that management process.

### Scope

This policy details the responsibilities, requirements and roles related to the management of the Affiliates process, but it does not discuss the specifics relating to the administration of that process nor the system (Top Desk) that underpins it.

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## 1.0 Introduction

- 1.1 This policy sets out the circumstances by which an individual who has a relationship with the University and who may undertake activities with university staff, but is not on the University payroll, may have access to university buildings, systems and information through the Affiliates arrangement.
- 1.2 This policy sets out how the Affiliates arrangement is managed and details the roles and responsibilities that staff undertake who are involved in the Affiliates arrangement in schools and services.
- 1.3 In terms of overall management of the Affiliates arrangement, the Head of Schools' Administration is the general Business Process Owner and the notional System Owner, although the process technically sits within the Computing and Library Services' Top Desk System.
- 1.4 The Business Process Owner is supported in the governance of the Affiliates Arrangements Policy and Process by the University Secretary, the Director of Human Resources and the Director of Digital Information. Issues relating to policy or key process matters would be discussed and resolved / agreed collectively by these senior staff. This is to ensure important matters have been given fully comprehensive and informed consideration.

## 2.0 What is an Affiliate?

- 2.1 An Affiliate is a private individual who has a relationship with the university through a member of staff or because of activities or key relationships in which the university chooses to be involved. These activities may be teaching, research or business related. The affiliate arrangement is normally an unpaid one, and certainly this is not for individuals who are on the payroll. However, there are instances where affiliates are individuals who are paid for work at the University through invoices. One example would be external consultants or contractors.
- 2.2 Any person who is paid via the University Payroll system is a member of staff and therefore is not an affiliate. Paid staff would include Part Time Hourly Paid Lecturers, who would not be affiliates.
- 2.3 Students of the University would not normally be Affiliates in this context, but there are some limited exceptions. One example of this exception would be students who undertake a placement within a university department as part of their sandwich course.
- 2.4 There are no specific “types” of Affiliates nor any categories that may be applied at the point of application. This is to allow flexibility and to recognise that relationships can be varied. However, to give an indication of what types of relationships are frequently cited in applications, the following are given by way of examples (and is not an exhaustive list):
- Placement Students undertaking a placement within the university.
  - University conferred Emeritus Professors.
  - University conferred Visiting Professors or Fellows.
  - Researchers collaborating on projects (who are independent or are employed by other institutions).
  - Staff from other organisations who are working on franchise arrangements.
  - Agents or “Temps” from Employment Agencies.
  - External Consultants e.g.: UNIAC.
  - Members of organisations with whom the University has a formal and long-term relationship, e.g.: Study Group.

### **3.0 Tenures of Affiliates**

- 3.1 An Affiliate arrangement is not a permanent state for any individual.
- 3.2 Currently, the minimum tenure for any single Affiliate instance is four weeks.
- 3.3 Currently, the maximum tenure for any single Affiliate instance is five years.
- 3.4 Affiliate tenures are not able to be arranged for longer periods of five years in a single instance, but they can be immediately renewed for a further specified period. This would be normal in the case, say, of an Emeritus Professor. This allows for checks to be made that the individual wishes for that affiliate arrangement to be renewed and it also allows for a change in sponsor, if the previous one is no longer available or appropriate.
- 3.5 Affiliates Sponsors and Authorisers are responsible for making the decisions about an appropriate period of tenure for every affiliate and each instance should be judged on its own merits and match closely to the execution of the activity the affiliate is involved in.
- 3.6 The limits of the periods of tenure, as noted in points 3.2 and 3.3 above, will be reviewed periodically (normally every three years) by the governance group as outlined in point 1.4 above.
- 3.7 Schools and Services have access to information within the Top Desk system that allows designated staff to check the tenures of Affiliates, to assist them in managing that relationship and being alert to when the tenures are due to end.

### **4.0 The role and responsibility of an Affiliate**

- 4.1 An Affiliate, although not a paid member of staff, is a member of the University community and as such will be expected to conduct themselves within that context just like any other member of the university community.
- 4.2 As part of the application process, an individual who wishes to become an Affiliate must agree to abide by the University's Terms and Conditions, which include Computing Regulations, the Information Security Policy, the Data Protection Policy and the Freedom of Speech and External Speakers Policy.

- 4.3 It is expected that individuals who are invited to sign up to the University terms and conditions, as part of the Affiliates application process, do so promptly. If no confirmation is received following a period of 21 working days after the invitation email was issued, or, if an individual declines to accept the terms and conditions, then the application process is terminated at that point, and the University will take it no further. Any individual who wishes to change their mind and accept the terms and conditions will have to understand that the application process will need to be restarted and that this may cause delay to their university associated activities.
- 4.4 Affiliates will be expected to undertake and pass all mandatory training in the same way that all staff are required to do. This is an important part of assimilating individuals into the university community, setting out expectations and providing clear guidance on conduct. In summary, it is important for affiliates to undertake mandatory training to ensure they are suitably equipped to navigate and interact within our community and systems. Health and safety training is vital if the Affiliate is on-site. Other training would be at the discretion of the Affiliate Sponsor and would also be dependent on the activities the Affiliate is involved in within their relationship.
- 4.5 Details of the mandatory training requirements can be found on the Affiliates Users Teams Site. Sponsors can normally get this information through their Affiliates Administrators.
- 4.6 Where mandatory training is not completed by an affiliate, then the normal practice is for the affiliate account to be disabled and any privileges withdrawn.
- 4.7 Normally, the affiliate relationship will end as per the end of tenure date. As previously noted, it may be renewed, however it can also be terminated early if the relationship comes to a premature end and can be at the request of the Affiliate themselves, their Sponsor, or the School/Service Affiliate Authoriser or other appropriate senior manager.

## **5.0 The role and responsibilities of an Affiliate Sponsor**

- 5.1 The Affiliate Sponsor is normally a member of university staff who wishes to arrange and take responsibility for an affiliate relationship with any given individual. In very rare circumstances a person working within the University as an affiliate may act as sponsor for arranging another affiliate, however this situation would need to be ratified by a senior member of staff in the relevant area (e.g.: a Head of Service, Dean or School Operations Manager)
- 5.2 The Sponsor initiates the affiliate application process, and in doing so will need to talk the applicant through the process, explain what the role and responsibilities of being an affiliate means and discuss with them what personal information is required as part of the application process. In completing the online application, the Sponsor will need to explain what the purpose of the affiliate relationship is and where possible to detail the benefits of it to their work, their department and the organisation. The Sponsor needs to be very clear about what type of access they wish their affiliate to have, and to understand what the mandatory training requirements will be. They also need to have considered what other training might be required before they embark on this journey and to have secured approval from their line manager.
- 5.3 In completing the affiliate application process, the Sponsor is party to personal information of the affiliate. When the Sponsor asks for the affiliate's information, it is important to explain that this is needed for the Authoriser to consider the application - including confirming identification details where relevant - and that it will also be used to administer the affiliate's record. It is important to inform the affiliate that such information will be processed in accordance with data protection legislation. The affiliate will be given further information about this once the application has been approved. Sponsors must keep this data secure and confidential as required by the law and must observe the university's requirements as set out in the University's Data Protection Policy. The Sponsor must securely dispose of any personal information that is collected as part of the application process, once it has been uploaded into the system.
- 5.4 In completing the affiliate application process, Sponsors may consider if their affiliate belongs to one of a small number of trusted organisations and these are listed on a drop-down list within the application form. This list is deliberately small and relates normally to organisations that have a long standing and formal contract or relationship with the University at a senior level. The only benefit to this is that the Sponsor would not have to upload evidence of proof of address nor photo ID of the affiliate. Other personal information (date of birth and address) would still be required as this is used during the affiliate relationship to manage their record.

- 5.5 Once an affiliate relationship is approved, the Sponsor should provide the affiliate with an induction, and ensure they undertake all the mandatory training that is required by the university. If the mandatory training is not undertaken, it is normal for school or service managers to chase this up with the Sponsor, and if the matter is not resolved within a satisfactory period, (the tenure of the affiliate arrangement will dictate the urgency of the completion of mandatory training) the Sponsor will be advised that the affiliate relationship will be terminated and any system or building access removed from the affiliate.
- 5.6 Throughout the full tenure of the affiliate relationship, the Sponsor is expected to oversee the activities and interactions of the affiliate and to ensure the relationship operates optimally for the organisation. The Sponsor would be expected to manage any interpersonal issues that may arise between the affiliate and any member of the university community, and to recognise that ultimately the relationship can be discontinued if necessary.
- 5.7 At the end of an affiliate relationship, the Sponsor would be responsible for ensuring the affiliate is aware (ideally in advance) of the end of the tenure and to receive back from them any items that belong to the University that the affiliate might have used during the relationship period. This would include any ID cards or keys that were issued.
- 5.8 The Sponsor would be able to request a renewal for the affiliate, if that was required.
- 5.9 If, for whatever reason, a Sponsor could not continue in that role for a live and ongoing affiliate arrangement, then the Sponsor should nominate a replacement sponsor from their area or department. They should then alert the Affiliates Local Process Manager or Affiliates Administrator. These staff will ensure the necessary changes are made within the Top Desk System.

## **6.0 The role and responsibilities of the Affiliate Authoriser**

- 6.1 In each School or Service there would be an Affiliate Authoriser. Ideally two, to provide cover for each other, but also ideally no more than three in each area. This allows for the ensuring consistency and understanding of approach and better management of the ongoing work around this activity.
- 6.2 The main role of the Affiliate Authoriser is to accept or reject the applications for Affiliates put through by their colleagues, acting as sponsors. This means considering carefully the request and if necessary, contacting the Sponsor to get more detailed information.

- 6.3 It is expected that the member of staff undertaking the role of Affiliate Authoriser will be someone in a senior position in their school or service and who has the knowledge and understanding of their area to be able to make appropriate decisions about whether to accept or refuse an affiliate application. It is a standard management role, and needs no extra resource, it would be undertaken by an appropriate member of staff, as described above, as part of their normal duties. It is not expected that this activity would be too onerous or time consuming.
- 6.4 It is important for the Authoriser to recognise that an Affiliate status should not be given by default. It should only be given where it is necessary for the Affiliate to carry out duties in association with their relationship with the University. Nor should an Affiliate status be given as a reward for other benefits that a person might bring to the University.
- 6.5 The Authoriser also will encounter personal data belonging to the Affiliate. They must keep this data secure and confidential as required by the law and they must observe the University's requirements as set out on the University's Data Protection Policy.
- 6.6 The Head of School or Service may decide that the Affiliate Authoriser also undertakes the role of the local Affiliate Process Manager for their area. It makes sense for this to be the same role because the Authoriser knows the particulars of the Affiliates because they have approved them.

## **7.0 The role and responsibilities of the local Affiliate Process Manager**

- 7.1 The Head of School or Service (or nominee) will determine who within their area is their local Affiliate Process Manager. This may be an Affiliate Authoriser, or it may be another member of management staff. For example, in Schools, normally this role would be undertaken by the School Operations Manager. This is a "champion" role like other champion roles in schools and services (e.g.: Data Protection Champion) and would not require any additional resource.
- 7.2 The Affiliate Process Manager is responsible for the following:
- Ensuring the school or service has appropriately trained Affiliate Process Administrators.
  - Ensuring there is an appropriate method of record keeping for detailing the affiliates and their sponsors in their area.
  - Ensuring that Sponsors are reminded about mandatory training and induction requirements for their Affiliates.
  - Making regular checks on the Affiliates lists and informing Sponsors at least a month in advance that Affiliate tenures are coming to an end.
  - Running reports from the system to manage the affiliate data and ensure that records on the system are properly completed, and any old records / overdue records are followed up and terminated as necessary.

- Liaising with the University Affiliates Business Process Owner regarding any queries and responding to their requests for affiliate periodic record checks.

7.3 The local Affiliates Process Manager may also be the manager who received details of where mandatory training has not been undertaken and who liaises with Sponsors to ensure this is remedied. They may also instigate the termination of an affiliation if the requirements for mandatory training are not met.

7.4 Once appointed, the local Affiliates Process Manager should make themselves known to the Business Process Owner to get a better understanding of the checking requirements and the associated reports that are available to them.

## **8.0 The role and responsibilities of the Affiliates Process Administrator**

8.1 The role of the Affiliates Process Administrator is pivotal in the Affiliates Process because this role is responsible for putting the details through the system for colleagues in Computing and Library Services to create an accurate affiliate account. This role also has access to run reports and check the data in the system.

8.2 Normally, this role would be undertaken by a staff member in a school or service who undertaken administrative work, and this would be part of that work. There is no expectation that extra resource to support this activity is required.

8.3 In some schools or services, the Affiliates Authoriser role, the Administrator role and the Process Manager role may exceptionally be undertaken by one staff member solely. This is not ideal but is recognised as necessary where available staffing is limited.

8.4 The Affiliates Process Administrator should be provided with appropriate training on the system to ensure that they are able to undertake the system processes confidently and competently. The Administrator must ensure that all relevant records are properly completed and that any personal information that is stored in the system as part of the initial application process is deleted once the application has been approved and the account fully created.

8.5 As part of the Affiliates process, Affiliates Administrators will encounter personal data belonging to the Affiliate. They must keep this data secure and confidential as required by the law and must always observe the requirements as set out in the University's Data Protection Policy.

8.6 Under the direction of the local Affiliates Process Manager, the Administrators should ensure they have an overall log of the affiliates for their school or service, detailing the name and area of the affiliate the tenure and the sponsor. This information can be downloaded in report form from the system. This information should be discussed with the local Process Manager on a regular basis (monthly is advised where an area has many affiliates) so that Sponsors can be informed in a



timely manner about relationships that are due to terminate and can prepare their affiliate for that event.

- 8.7 Any queries about the data should be checked with the local Affiliates Process Manager and escalated where necessary to the Affiliates Business Process Owner.

## **9.0 Monitoring and oversight of Affiliate Accounts**

- 9.1 In order to ensure that the affiliate accounts are appropriately complete and that there are no instances of erroneous accounts, a process of periodic checks must take place.
- 9.2 The local Affiliates Process Manager in conjunction with their Affiliates Administrators should be undertaking regular audits of their own data and advising Sponsors accordingly. Ideally these are monthly but should certainly be quarterly.
- 9.3 Alongside this, the University Affiliates Business Process Owner will arrange for reports detailing the tenures of affiliates to be run on a termly basis and sent to the local Affiliates Process Manager. The local Affiliates Process Manager will check these records and confirm back to the University Affiliates Business Process Owner, as to what action has or will be taken to rectify any queries or highlighted issues.
- 9.4 Any erroneous or overstaying accounts will be flagged up by the local Affiliates Process Manager to the relevant Affiliate Sponsor with the view that these accounts will be deactivated and the relationship terminated. Sponsors will be given five working days to respond. If there is no response after this time the termination will be instigated. Sponsors who respond and request an extension will be asked to follow the renewal request process.
- 9.5 The University Affiliates Business Process Owner will complete a final check, one month after issuing the original list to ensure all outstanding actions have been checked and completed.

## **10.0 The Affiliates Process Technical System**

- 10.1 The process for making an application for an affiliate is done via Top Desk. This can be accessed via the Staff Hub, and is found under the “Online Systems” tab.
- 10.2 Authorisers and Administrators are routinely attached and directed to the Teams site “Affiliates System Users Group Forum” and it is within this Teams site that process guidance, and procedural documentation can be found.
- 10.3 Computing and Library Services manage the Affiliates technical process within the Top Desk system and a specific Analyst Developer has been assigned to support the process within the system and to deal with any system related queries. They also provide appropriate system training and support.

10.4 Outside of the system, any queries related to business process should be directed to the Affiliates Business Process Owner.

### **11.0 Support for the Affiliates Process**

11.1 Annually, or as required, there is a Teams based forum arranged by the Affiliates Business Process Owner to which all Authorisers, Administrators and Local Affiliates Process Manager are invited to attend.

11.2 Line Managers of Affiliates Administrators should allow some time to ensure training can be secured for the Affiliates Process / System.

11.3 The Affiliates Business Process Owner will make routine checks of the data termly to look for data issues that highlights any training needs.

11.4 Any process related queries should be directed to the Affiliates Business Process Owner for a response. If the Affiliates Business Process Owner subsequently identifies a system issue, they will raise this directly themselves with IT Support.

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