

Auditing Courses for Fall 2020-21 (FACULTY AND DIVISION INSTRUCTIONS)

September 17, 2020

With the implementation of the Institute's new Learning Management System (LMS), Canvas, the auditing process is integral to auditors gaining access to courses. Please refer to these instructions for the auditing process until further notice. Instructions for auditors are posted online at <http://registrar.caltech.edu/current-students/fa-2020-21-term-information/auditing-courses-fa-2020-21>. Feel free to share the link with your postdocs or other prospective auditors.

Under certain limited circumstances, auditing of Fall term courses may be allowed for those of the Caltech community who have a "legitimate educational interest" in the course material. Faculty and instructors are under no obligation to permit auditors. Division Chairs must review and approve auditors before they can join the course. Auditors do not earn credit. The following cases are not considered auditing:

- Seminar series that function both as research seminars (open to investigators and the Caltech community) and seminar courses (with enrolled students), for which non-enrolled participants join live streaming Zoom sessions only and otherwise do not interact with enrolled students. Caltech recommends always checking security settings and keeping software up-to-date for Zoom to prevent unwelcome attendees.
- Faculty/instructors sharing course materials that contain no information about currently enrolled students (e.g., pre-recorded course videos made by instructors only; course notes or written materials).
- Guest speakers/presenters contributing to course instruction.

There are three categories for auditors, which are defined by the below groups. These groups help us identify required approvals and access needs. Before proceeding with the steps of adding them as an auditor, ask them a few questions to determine if they are in Groups 1, 2, or 3. Each group has different processing times and Group 3 must first pay a fee.

Group 1

Students, Faculty, Postdocs, Caltech Staff and other persons who have active Institute assignments and active access.caltech.edu credentials. To ensure access before the course begins, requests need to be submitted by faculty to their Divisions by Friday, September 25. Requests submitted after that date may take 2-3 business days to process.

No fee

Steps for Processing:

1. Send the Division Chair your request with the auditor's name, UID, manner in which they are Group 1 (e.g. graduate student), and email address.
2. The Division Chair will send the approved auditor information to the Provost's Office.
3. The Registrar will review the Provost's Office's list and auditors will be enrolled in Canvas on a rolling basis.

Group 2

Persons formally and currently affiliated with Caltech who do not have access.caltech.edu credentials. Examples of "persons affiliated" are JPL staff, scientific collaborators of active researchers at the Institute, members of the Caltech Associates and members of organizations like the Huntington Library or City of Hope which have formal collaboration agreements with Caltech as well as active assignments. The Provost's Office can verify other affiliations as needed. Setting up Caltech credentials for Canvas

takes a few business days. To ensure access before the course begins, requests need to be submitted by faculty to their Divisions by Wednesday, September 23 at 12:00pm PDT. Requests made after the 23rd will continue to be processed and auditors notified when they can access the course.

No fee

Steps for Faculty:

1. Send the Division Chair your request with the auditor's name, date of birth, manner in which they are Group 2 (e.g. research associate), and email address.
2. The Division Chair will send the approved auditor information to the Provost's Office.
3. The Registrar will review the Provost's Office's list. Auditors in Groups 2 and 3 will have information sent to IMSS to create a Canvas login.
4. IMSS may take 2-3 days to process. Once an account is created in Exeter (Caltech's student information system), the Registrar's Office will enroll them as an auditor and send them information on accessing the course.

Group 3

Persons who have no formal affiliation with Caltech but who have a legitimate educational interest in a course. Requests are subject to the approval of the Division Chairs. Setting up Caltech credentials for Canvas takes a few business days. To ensure access before the course begins, requests need to be submitted by faculty to their Divisions by Wednesday, September 23 at 12:00pm PDT. Requests made after the 23rd will continue to be processed and auditors notified when they can access the course.

Non-refundable fee of \$505 per 'in class' unit

Unit breakdown example for Ae 105abc (3-0-6). In this instance, the fee would be \$1,515.

3 hours in class

0 hours in laboratory

6 hours of homework/outside preparation

*Some PVA performance courses will not incur fees as community member participation was previously a part of the course. All PVA auditors must be approved by the instructor and Director of PVA.

Steps for Faculty:

1. Ask the potential auditor if they are aware there is a fee and make sure that are willing to pre-pay.
2. Send the Division Chair your request with the auditor's name, date of birth, manner in which they are Group 3 (e.g. they are interested in LIGO technology), and email address.
3. The Division Chair will send the approved auditor information to the Provost's Office.
4. The Registrar will review the Provost's Office's list. When Group 3 requests are posted, the potential auditor will be given instructions on paying the fee with the Bursar. Once payment is made, the Bursar will notify the Registrar's Office who will work with IMSS to create their Canvas login.
5. IMSS may take 2-3 days to process. Once an account is created in Exeter (Caltech's student information system), the Registrar's Office will enroll them as an auditor and send them information on accessing the course.

Questions about the auditor enrollment process can be directed to the Registrar's Office at regis@caltech.edu.