



OFFICE OF THE PROVOST AND
EXECUTIVE VICE PRESIDENT FOR ACADEMIC AFFAIRS

OFFICE OF THE PRESIDENT
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

September 15, 2016

CHANCELLORS
LBNL DIRECTOR WITHERELL
ACADEMIC COUNCIL CHAIR CHALFANT
ANR VICE PRESIDENT HUMISTON

Re: Draft Presidential Policy on International Activities – Systemwide Review

Dear Colleagues:

Enclosed for your review is a draft Presidential Policy on International Activities.

Because of a marked increase in global activities by UC campuses, UC's current foreign activities policy, the [2005 Guidelines for the Establishment of Foreign Affiliate Organizations and Foreign Operations](#), has become out of date. The 2005 Guidelines cover only the establishment of UC-controlled entities in foreign countries but do not address broad issues of ethics, risk, compliance, and campus autonomy. For these reasons a new policy has been drafted and is submitted for your review. When it is finalized, the Presidential Policy on International Activities (Policy) will supersede the 2005 Guidelines and will cover the full breadth of activities that come under the umbrella of global engagement.

A draft of the Policy underwent preliminary review earlier this year when it was distributed for Management Consultation. In response to comments received, the statement of purpose was expanded upon and language was added that emphasized that the proposed Policy does not impose any new or alter any current approval or authorization requirements for international activities. Also approval authority levels were further clarified. These changes emphasize campus autonomy to determine approval and oversight procedures.

The purpose of the Policy is to support and facilitate international activities undertaken by UC campuses and locations. By offering a policy framework and by clarifying legal and compliance issues, the Policy will aid the expeditious establishment of international activities and their effective operation. The International Activities Policy provides essential information to undertake such activities and to succeed at them.

The Policy sets forth the issues that proposers should consider in advance of embarking on an international activity. Such activities can and do present risk. By alerting project proposers to issues of compliance and risk, the Policy protects participants and the University, and maintains UC's fiduciary responsibility as a public institution.

September 15, 2016

Page 2

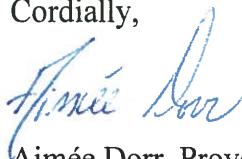
The Policy covers all international activities, not just those memorialized in an agreement, MOU, or other writing, and the Policy's principles apply to all UC faculty, students, and staff. The Policy also covers all clinical and health care operations conducted at foreign sites as part of UC's mission of teaching, research, and public service.

The Policy's single appendix, the International Activity Checklist, is for proposals that require Regents or UC Provost approval. It lists the information that proposers should include in or consider when drafting a proposal for an international activity. The Checklist directs proposers to list those campus departments that reviewed the proposal before submission to UCOP so that the Regents and the UC Provost can be assured that all relevant legal and compliance matters have been addressed. Campuses are encouraged to apply the Checklist or a similar tool to international activities that do not require Regents or UC Provost approval, i.e., proposals that require campus-level approval only. This will assist faculty and investigators when seeking campus-level approval, and will alert them to the compliance and risk issues they should consider when undertaking an international activity. Implementation and guidance will be drafted after the Policy is issued.

Systemwide Review is a public review distributed to the Chancellors, the Director of the Lawrence Berkeley National Laboratory, and the Vice President of Agriculture and Natural Resources, requesting that they inform affected employees and the general University community about policy proposals. Systemwide Review includes full Academic Senate review. Employees should be afforded the opportunity to review and comment on the draft policy, available online at <http://www.ucop.edu/academic-personnel-programs/academic-personnel-policy/policies-under-review/index.html>. Attached is a Model Communication which may be used to inform non-exclusively represented employees about the draft Policy. The Labor Relations Office at the Office of the President is responsible for informing bargaining units representing union membership about policy proposals.

Thank you in advance for reviewing the draft International Activities Policy. All constructive comments are welcome and will be considered. The systemwide review period is 90 days; please submit your comments by December 14, 2016 to Rebecca Landes at rebecca.landes@ucop.edu. If you have questions about the review process or other matters please contact Rebecca at (510) 987-9556.

Cordially,



Aimée Dorr, Provost

Executive Vice President for Academic Affairs

Enclosures: Draft Presidential Policy on International Activities
Model Communication for Review by Non-Exclusively Represented Employees

September 15, 2016

Page 3

cc: President Napolitano
Executive Vice Chancellors/Provosts
President's Advisory Group
Vice Chancellors for Research
Vice Chancellors/Vice Provosts of Academic Personnel/Academic Affairs
Graduate Deans
Undergraduate Deans
Academic Planning Council
Senior Vice President Gulbranson
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Vice Provost Carlson
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Assistant Vice Chancellor Schlesinger
Associate Chancellor Giorgio
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Deputy General Counsel Gibbs
Chief of Staff Grossman
Executive Director Baxter
Interim Executive Director Lee
Chief Risk Officer Lloyd
Academic Personnel Directors
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Deputy/Compliance Officer Lane
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Director Greenspan
Director Jennings
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Director Nolan
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International Activities Policy Working Group