International Activities: Due Diligence and Tools

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Program Overview

- International MOUs and Agreements
- Regulatory Compliance
- Risk and Travel Insurance Program

Common Questions

- Why pursue international MOUs and agreements?
  - Ensure mutual understanding
  - Document the relationship between parties
  - Tangible benefits
    - Travel
    - Housing
    - Access
- What is the difference between the two documents?

International MOUs and Agreements

Memorandum of Understanding (MOU)

VS

Collaboration Agreement

- Non-binding
- Few details
- Few legal clauses
- Quick and easy review/approval
  - ~Week
- ~80%

- Legally binding
- Highly detailed
- Significant legal clauses
- Lengthy review/approval
  - ~Month
- ~20%

International Affairs: The One-Stop Shop

- Conduct matchmaking for agreement proposals
- Provide guidance on policies/procedures
- Required form
- Templates
- Conduct restricted party screening
- Manage the negotiation, drafting, vetting and approval of agreements
- Bring in other campus experts for consultation (e.g. Export Control Officer)

Some Risks of Not Consulting with OIA

- Inefficiencies
  - Reinventing the wheel
- Omitting required components
  - Regents as responsible party, sunset clause, legal clauses
- The parties are not aware of campus requirements
  - Delegation of authority to sign agreements
  - Campus rules guiding intellectual property, health insurance, visa processing
- Making promises we can't keep
  - On-campus housing, tuition reciprocity
- Lack of due diligence on potential partners
  - Example: import/export controls; prior experience with an institution making promises they don't keep

Potential Impacts on the Collaboration

- Delays
- Re-writing and signing of documents
- Embarrassment
- Financial consequences

Tools to Assist

- Freight Forwarders for shipping
- Export Controls Determinations
- Screening needs
  - Visual Compliance
  - Worldcheck
- iJet

What questions must be asked?

- Special rules/restrictions? Cuba, Iran? China?
- Controlled technology?
- Restricted Parties? SDNs involved?
- Issues with money?
- Shipping and travel issues?
- Political stability of destination?

New Online Resources

- UC Go
- FCPA Course
- International Compliance Site
  - On-campus research with foreign nationals
  - International travel
  - Hand-carrying items abroad
  - International shipping
  - International Collaborations
  - Hosting foreign visitors
  - International screening tools
  - UC's Export Compliance Plan
  - Education and training
  - Export control laws & regulations
  - Export compliance: Frequently Asked Questions
  - Campus Contacts

Search

Home | Resources for... | About Us | International Collaboration | Travel 101 | Project Funding | Tools & Templates

RESOURCES FOR RESEARCHERS

- General Tips
- Planning International Research
- Funding International Research
- Regulatory Guidance
- International Travel
- Tools & Templates

RESOURCES FOR LEARNERS

- General Tips
- Planning Your Trip
- Managing on the Ground
- Returning from Abroad
- Tools & Templates

Welcome

UCGO provides information and resources in support of global health research across the UC system

Researchers

Learners, Trainees, & Graduate Students

Program Staff

International Collaborators

The University of California is a growing force in the area of global health research. To continue on this trajectory of innovation and implementation, efficiencies across all of the university campuses are necessary, not only focusing on research agendas but also on global operation practices. This website is designed as a constant 'work in progress' where new materials and guidelines that are general to all UCs are available for use by researchers, administrators, program staff, and students. Building and sharing tools across all ten campusus is a streamlined, cost-effective approach to support global health research.

If you have any questions or would like to participate in this project, please

RESOURCES FOR INTERNATIONAL COLLABORATORS

- Budgeting & Expenses
- Funding International Research
- International Agreements
- Resources for Collaborators

REGULATORY LINKS

- Working with International Entities
- Clinical Trials.Gov
- NIAID ClinRegs
- Export Controls
- Materials Management

FCPA and Anti-Corruption

BACKGROUND

UNIVERSITY OF CALIFORNIA

TRUST AND REPUTATION

Trust is the most important driver of reputation. It is fundamental to the survival of any organization.

Bribery and corruption destroy trust and damage social and economic development.

The University of California is committed to making a positive difference that benefits our organization and the communities in which we operate.

We therefore have a **zero tolerance** approach to bribery and corruption.

DID YOU KNOW?

According to the 2010 Global Corruption Barometer, one in four people report having paid a bribe in the last year.

THOMSON REUTERS

Before you ship internationally, Do **YOU** know the answers?

INTERNATIONAL SHIPPING CHECKLIST

WHAT

- What is being shipped?
- What is its Export Control Classification Number?
- What is the value of the item(s)?

WHERE

- Where are you shipping to?
- Is the destination permissible for receipt of this item and its end use?
- Is a license required?
- Are there Import restrictions at the destination?

WHO

- Who are you shipping to?
- Are they the ultimate end user?
- Have the individuals and their organization(s) been screened against lists for excluded parties?

WHY

- What is the end use of the item and is the end use permissible without a License?

Who Can I Call?

- For assistance with these questions, call:
- Additional Online Resources: [URL to be provided]
- Retain records of rationale for shipping decisions
- Remember that every export is also an import at the international destination
- Be aware of red flags, such as shipping specialized computer circuits to a bakery
- Be aware that compliance related to shipping hazardous materials and dangerous goods is separate from issues related to export controls

Local Contact • Phone ( ) XXX-XXXX • Room Number • Building

ITAR Case Study

- **Security: UPDATE 4: Supporters of former President Nasheed riot in Male, Maldives, alleging coup d'etat. Violence spreading nationwide. Avoid nonessential travel.**
- This alert affects Maldives
- This alert began 08 Feb 2012 20:46 GMT and is scheduled to expire 15 Feb 2012 23:59 GMT.
- **Updated Information**
  Widespread violence is occurring in Male and multiple atolls of the Maldives following the resignation of former President Mohamed Nasheed of the Maldives Democratic Party (MDP). Riots erupted after Nasheed announced late Feb. 8 that he had been forced at gunpoint to step down and alleged a coup d'etat by now President Mohammed Waheed Hassan and his military and police supporters. Nasheed and approximately 2,000 supporters gathered at Male's Republic Square began throwing firebombs and clashing with police shortly after the announcement. At least two people died and an unknown number of people sustained injuries during the melee, including Nasheed and several government backers who allege they were beaten by police.

  Violence is spreading outside of Male, especially to MDP strongholds in the north and far south. Supporters in several atolls seized control of as many as 10 police stations and burned several government buildings. Unrest is being reported in southern Addu and Thinadhoo and northern Dhidhdhoo and Ihavandhoo.

  Reports indicate that thus far violence is not affecting the main tourist resort areas in the Maldives. However, unrest may continue to spread in the coming days and cannot be ruled out anywhere. As such, several foreign governments have issued travel advisories warning of the risk of travel to the Maldives.

  Background and Analysis
  Nasheed and his supporters are calling for Hassan to immediately step down and for the judiciary to investigate the alleged coup d'etat. At this time, it is unclear if Nasheed has the support to force another government overthrow, although the spreading violence indicates that he could make security conditions poor in the nation for the immediate future. Nasheed has faced growing protests over the past year by opposition members and religious groups. Conditions worsened in January after Nasheed's government arrested a top criminal court judge who freed a government critic after discovering that he had been arrested without a warrant. Despite near-nightly protests, Nasheed's government refused to release the judge, a move that could make the judiciary less-than sympathetic towards the former leader in any coup d'etat investigation.

  Hassan has denied all allegations of a coup and maintains that Nasheed resigned voluntarily. The new leader is calling for a unity coalition to ease politician tensions and has already appointed several top government officials and security figures. The military has also denied all allegations that Nasheed was forced from office.

  Advice
  If in an area where violence breaks out, remain in a secure location until the situation stabilizes. If travel is necessary, avoid all protests, government buildings, military installations, police stations, and political party offices. Stay away from Republic Square, which has been the focal point of all demonstrations in Male. Review contingency plans and maintain contact with your diplomatic mission.

ITAR Case Study

- Coup in Maldives – President has been overthrown
- UC Concerns:
  - Safety of the scientists
  - US Embassy is not concerned about non-US citizens (Two scientists in the group are non-Citizens)
  - UAV's in customs and don't want them to fall into the wrong hands.

Overview of UC Travel Program

TRAVEL INSURANCE	RISK MANAGEMENT SERVICES	TECHNOLOGY
ACE Programs offered to UC: • Business Travel Accident • Student on/off Campus Activities • Study Abroad (EAP) • Blue & Gold Travel Program	• Custom location risk assessments • Incident management team support and briefs during crisis events • Security assistance in the event of a potentially life-threatening situation • Emergency Medical Services i.e. medical referrals, payments, emergency transportation, evacuation or repatriation • Emergency Travel Services • Trip Information Services	• Dedicated UC Travel Risk Hotline • Crisis hotline and security assistance center • Web-based system for tracking global threats, accessing location based risk intelligence and other travel related information • Mobile App • Automated security alerts for travelers • GPS Tracking

Core Service Offering

- **Medical Assistance**
  - medical referral
  - medical monitoring
  - emergency medical evacuation to an adequate facility, medically necessary repatriation and return of mortal remains.
- **Travel Assistance**
  - emergency travel arrangements
- **Security Assistance**
  - crisis hotline and on the ground security assistance
  - access to web-based system for tracking global threats and health or location based risk intelligence.
- **Personal Assistance**
  - pre-trip medical referral information
  - emergency medication
  - embassy and consular information
  - lost document assistance
  - emergency cash advance
  - translator or interpreter access
  - medical benefits verification and medical claims assistance

Register Your Trip

- Automatic trip insurance enrollment
  - Connexxus Travel
    - BCD Travel or UC Travel Center
- Manual registration
  - Reservations made outside of Connexxus
  - UC Away

UC Campus Welcome Email

Dear John,

iJET Intelligent Risk Systems has received your itinerary details for your upcoming trip:

Test trip ABCDEF, From February 7, 2012 to February 7, 2012, United States - China

University of California welcomes you to Worldcue(R) TRAVELER.

UC Travel Insurance coverage applies to UC employees and students while traveling on UC business. For complete details regarding who is covered, please visit UC Risk Services Travel Insurance webpage by Clicking Here.

In case of an emergency while traveling please contact ACE/United Healthcare Global using your insurance card below. If you are unable to view your insurance cards within this email, you may obtain the insurance cards by clicking on the following links:

Faculty and Staff: http://worldcue.ijet.com/tic/clients/UC_Insurance_Faculty_June_2015.png

Students: http://worldcue.ijet.com/tic/clients/UC_Insurance_Student_June_2015.png

UC **Student** Insurance Card:

UC **Faculty and Staff** Insurance Card:

EMERGENCY CONTACT & TRIP BRIEF It is important that we have your current emergency contact information in the event you need to be reached. Please login to your personal TRAVELER web site and go to "Personal Profile" to make sure this information is up-to-date. In addition, from this site you can get up-to-the-minute Travel Intelligence(R) for your destinations, print and annotate your itinerary, and use many other features. Please click the trip brief link below, which contains important security, medical, business and cultural information.

Use the following link to access your account: https://traveler.worldcue.com
Your User Name:

Worldcue Mobile APP Available- You can now access your Worldcue Traveler account while you are abroad through this easily accessible app!

Here is UC's **Welcome Email**. You will get:

- Insurance Information
- Relevant UC links
- Travel Alerts
- A link to update your personal profile and view online tools and intelligence
- A link to a downloadable Trip Brief

Trip Brief

Trip Brief

POWERED BY iJET

Italy (Prepared on Nov 11, 2008 9:27:59 PM GMT)

TRAVEL ALERTS

KEY: CRITICAL WARNING INFORMATIONAL

11/10/2008 - Alitalia personnel disrupt flights in Rome and Milan, Italy, Nov. 10. More strikes threatened. Expect flight delays; confirm flight status.

BEFORE YOU GO: Italy

See Detailed Report below for full information.

Overview: Italy

Security

- Security Overview of Italy
- Bombings: Travelers have not been directly targeted by bombings in Italy.
- Personal Security: Petty crime is a significant concern throughout Italy.
- Transportation Security: Take security precautions when using public transportation and when on the road in Italy.

Health

- Health Planning: Health risks in Italy.
- Immunizations: Recommended immunizations for travel to Italy
- Immunizations: Vaccinations for All International Travelers.

Entry/Exit

- Entry/Exit: Customs export guidelines for Italy.
- Entry Requirements: Entry customs guidelines for Italy.
- Passports: Entry requirements for Italy.

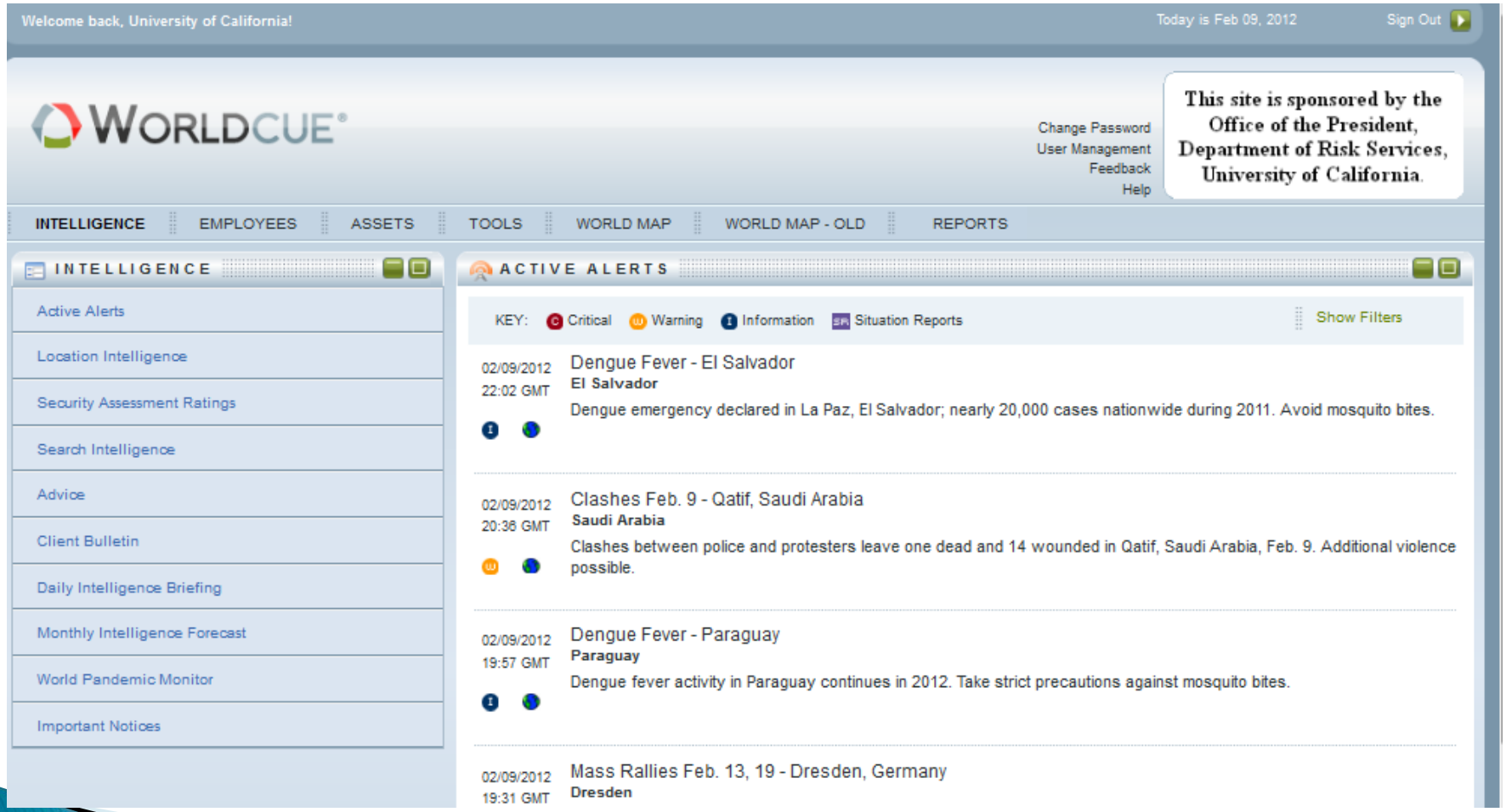
USEFUL NUMBERS FOR ITALY

Done Internet

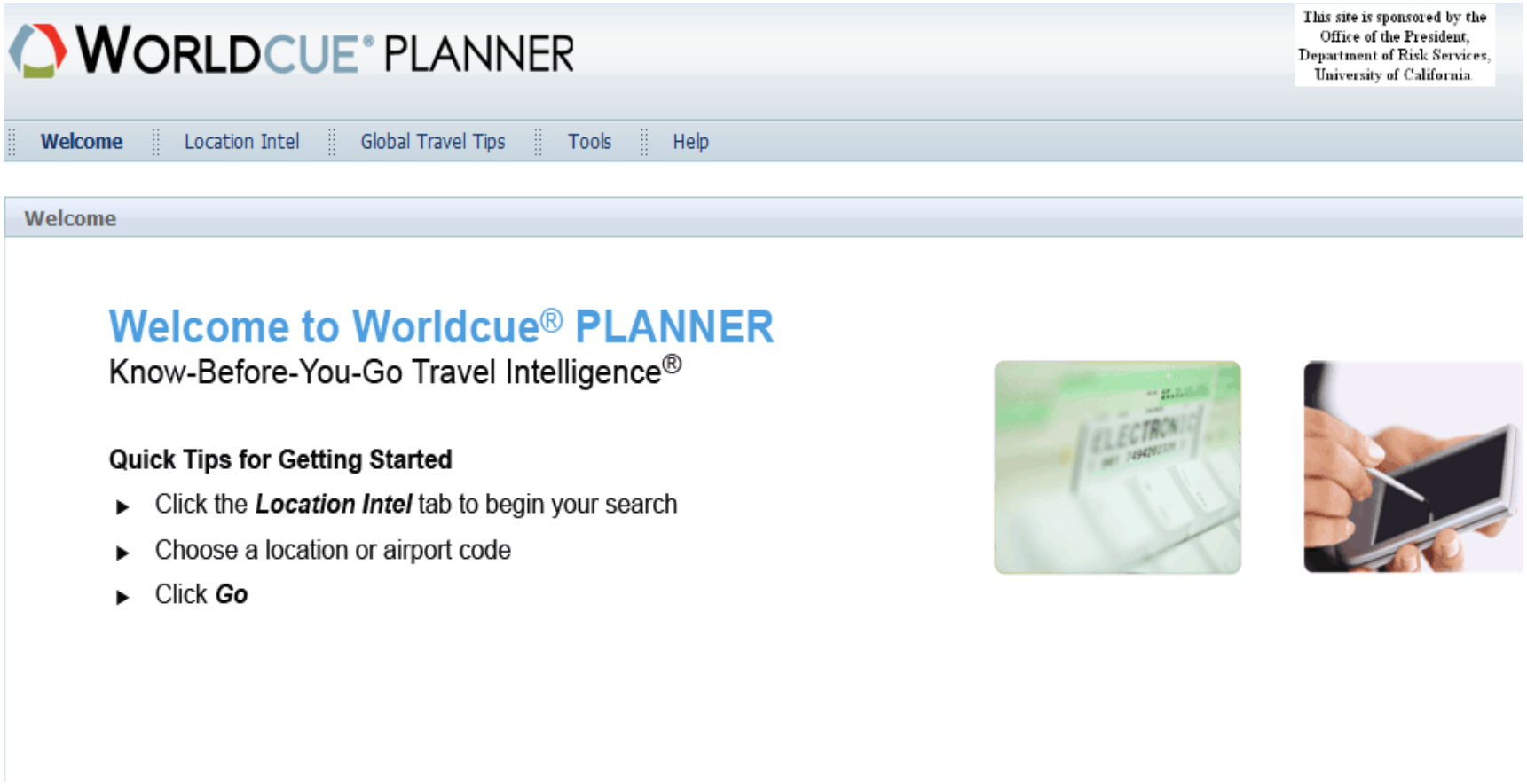
Includes:

- Current ALERTS
- Country/City Overview
- Security, Health and Entry/Exit information
- Useful (in country) phone numbers and Embassy Contacts
- Weather
- Currency Exchange Information
- And more….

Worldcue®GCC **Alerts**



Worldcue®Planner

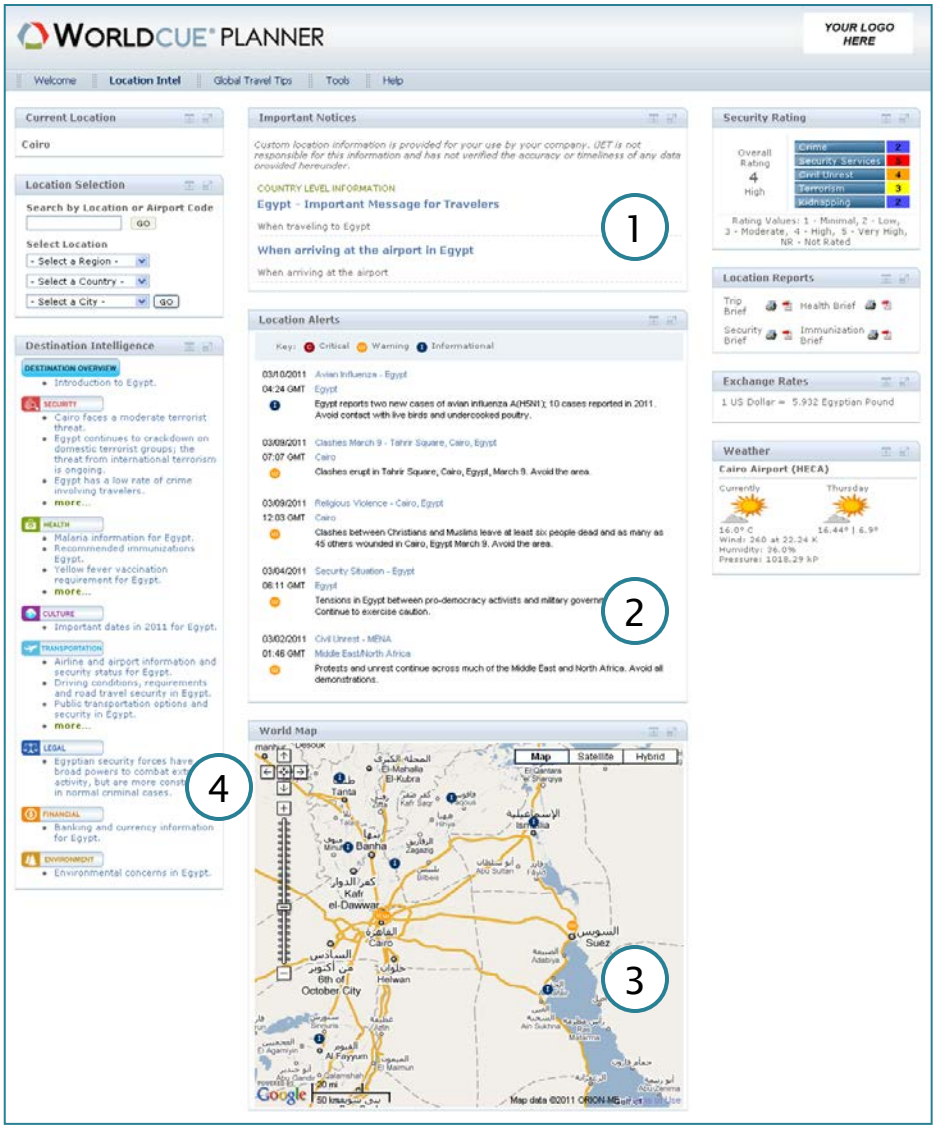


- This tool allows you to plan your trip and mitigate potential travel risks before traveling

Location Intelligence
Worldcue® PLANNER

Searching for “Cairo” populated this sample page with:

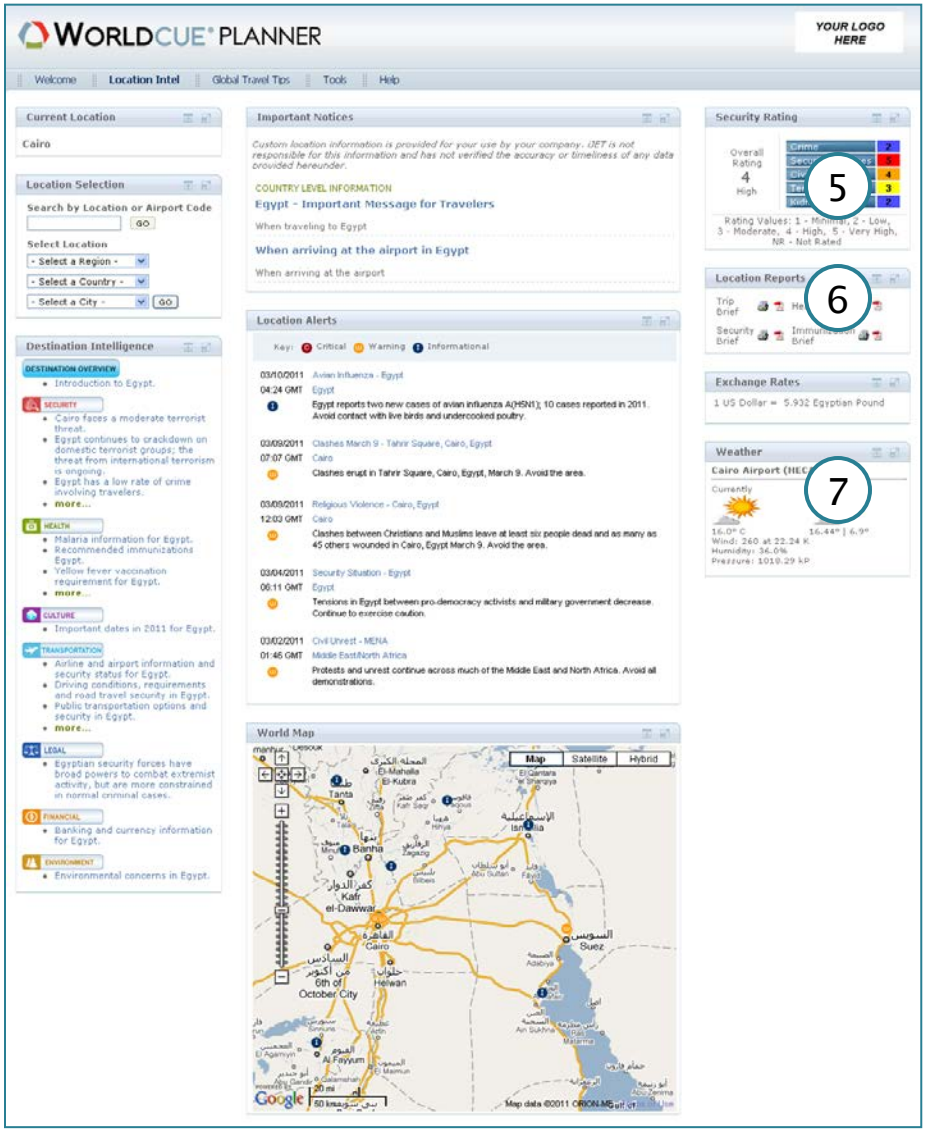
1) **Important Notices** – from your organization on travel protocols related to Cairo, Egypt
2) **Location Alerts** – current events and incidents that may affect your travel plan
3) **World Map** – Google map with active alerts shown
4) **Destination Intelligence** – Destination overview articles and topical intelligence reports related to Cairo



Location Intelligence
Worldcue®PLANNER

5) **Security Rating** – overall, and by category: Crime, Civil Unrest, Security Services, Terrorism and Kidnapping
6) **Location Reports** – including Trip Brief, Security Brief and Health/Immunization Briefs
7) **Exchange Rates, Weather Forecast** and **Time Zones**

Click on any **Location Alert** to open the alert for more information.



Risk and Security Assessments

- LGBT Services
  - International Travel Risk Assessments
- Afghanistan/Pakistan Support
  - Robust assessment for long term projects
- Beirut Threat Assessment
- India Campus Facility/Security Assessment
- Casa de California Facility/Security Assessment

Emergency Response Scenarios

- UC was able to locate, provide guidance, and confirm the safety of employees and students during the following events:
  - 2010 civil unrest in Thailand
  - 2010 earthquakes in Haiti and Chile
  - 2011 Japan earthquake
  - 2011 Arab Spring – Egypt evacuation
  - 2013 Civil Unrest Egypt – Evacuation
  - 2014 Civil Unrest- Israel, Burkina Faso
- Several medical evacuations have also been managed through the travel program.

Top International Destinations

7/1/14 – 6/30/15

COUNTRY	CSAR	TOTAL TRAVELERS
United States	2 - Low	43800
United Kingdom	2 - Low	3838
France	2 - Low	2169
China	3 - Moderate	2019
Germany	2 - Low	1952
Italy	2 - Low	1805
Spain	2 - Low	1638
Canada	2 - Low	1475
Japan	2 - Low	1369
South Korea	2 - Low	1063
Netherlands	2 - Low	1058
Mexico	4 - High	867
Switzerland	2 - Low	676
Australia	2 - Low	608
South Africa	4 - High	545
India	3 - Moderate	511
Taiwan	2 - Low	486
Ireland	2 - Low	485
Brazil	4 - High	484
Singa[illegible]	2 - Low	471

High Risk Travel

7/1/14 – 6/30/15

COUNTRY	CSAR	TOTAL TRAVELERS
Pakistan	5 - Very High	25
Burundi	5 - Very High	13
Sudan	5 - Very High	8
Afghanistan	5 - Very High	6
South Sudan	5 - Very High	6
Palestinian Authority	5 - Very High	3
Iraq	5 - Very High	1
Yemen	5 - Very High	1
Mexico	4 - High	867
South Africa	4 - High	545
Brazil	4 - High	484
Peru	4 - High	398
Kenya	4 - High	272
Israel	4 - High	271
Indonesia	4 - High	175
Colombia	4 - High	135
Ethiopia	4 - High	130
Guatemala	4 - High	96
Ecuador	4 - High	91
[illegible]awi	4 - High	74

Questions?

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Campus Export Control Contacts

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- UCB Scott Fong shfong@berkeleu.edu
- UCD Craig Allison ccallison@ucdavis.edu
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