

April 9, 2019

TO: International Activities Coordination Group (IACG) + Additional Faculty & Staff from International Engagement Task Force

FR: Lisa & Randy (*send from vcr@berkeley.edu*)

RE: Invitation to Serve: UC Berkeley International Engagement Policy Task Force

Dear colleague,

Over the last year there has been an increasing discussion led by Federal agencies and Congress about the nature of American universities and their engagement with foreign institutions and governments. We expect this oversight and inquiry to continue and increase, with new disclosure and compliance requirements a likely outcome in the near future.

Berkeley has long been at the forefront of international engagement, with a myriad of activities administered by numerous offices. In this growing era of more scrutiny of international activities, we must continue to take the lead in developing policies and practices that comply with sponsors requirements, while ensuring the highest degree of academic freedom.

To address this evolving environment, we are convening a UC Berkeley **International Engagement Policy Task Force**, charged with providing guidance to campus leadership on the critical and timely activities necessary to implement recommendations from two 2018 UC Office of the President Tiger Teams on international students and international agreements, and respond to emerging guidance from UCOP and requests from external agencies.

To align efforts, the Task Force will leverage the structure and expertise of the existing [International Activities Coordination Group \(IACG\)](#), chaired by VP Academic Planning Lisa Alvarez-Cohen, combined with strong faculty representation, including COMS nominees, and additional guidance from VC Research Randy Katz. Aligned with the IACG's existing charge from the Chancellor and EVCP to keep senior administration informed of international activity across campus, the work of the Task Force will become a major focus of the IACG for an interim period (April-December, 2019).

The Task Force is expected to convene 1-2 times before the end of the Spring 2019 semester to identify gaps in campus policies, procedures, and communication needing immediate attention, and will continue to meet monthly thereafter, with full review and recommendations completed by December 1, 2019. Sub-teams will meet on a more frequent basis, including over the summer, to delve into specific topics. Additional information on the timeline and sub-teams/topics is attached. Constitution of the sub-teams will be discussed at the first Task Force meeting.

We would like to take advantage of the IACG's regularly-scheduled April meeting to kick off this effort. The meeting is scheduled for **Thursday, April 18, 12-1:30 PM in the Chancellor's Conference Room in California Hall**. Lunch will be provided.

We invite you to serve on the Task Force and one or more of its sub-groups, to provide this important guidance to our campus leadership and community. Your experiences and expertise will ensure our campus' global vision maintains our campus as an open and free environment while protecting innovation and research.

Please let us know by Monday, April 15 by email if you are able to participate in this important effort.

Thank you in advance,

Sincerely,

Lisa Alvarez-Cohen
Vice Provost for Academic Planning
& Senior International Officer

Randy H. Katz
Vice Chancellor for Research

ATTACHMENT

UC Berkeley 2019 International Engagement Policy Task Force Charge & Timeline

Berkeley has long been at the forefront of international engagement, with a myriad of activities administered by numerous offices. Over the last year, there has been an increasing discussion led by Federal agencies and Congress about the nature of American universities and their engagement with foreign institutions and governments. The National Institutes of Health and Department of Defense among others have increased their review of activities undertaken with their funding, and of Principal Investigators' disclosures around commitments of time and funding sources. We expect this type of oversight and inquiry to continue and increase, with new disclosure and compliance requirements a likely outcome in the near future.

In this growing era of more scrutiny of international activities, we must continue to take the lead in developing policies and practices that comply with sponsors requirements, while ensuring the highest degree of academic freedom.

International Engagement Policy Task Force

In 2018, the UC Office of the President convened two Tiger Teams to review the issues of international students and sensitive information and materials related to international agreements. The resulting joint report made several observations of the current practices and recommendations for enhancements for international activities within the UC System. A matrix of these observations and recommendations, mapped to the pertinent UC Berkeley campus department, has been compiled by the Global Engagement Office. UCOP has since issued additional directives concerning engagement with specific countries, and escalation of inquiries (or suspicion) around foreign engagement.

To address the evolving environment around foreign engagement, Vice Provost for Academic Planning and Senior International Officer Lisa Alvarez-Cohen and Vice Chancellor for Research Randy Katz are convening a UC Berkeley **International Engagement Policy Task Force**. The Task Force is charged with providing guidance to campus leadership on the critical and timely activities necessary to implement the relevant Tiger Team recommendations, and respond to emerging guidance from UCOP and requests from external agencies.

The Task Force will bring together the expertise of the existing **International Activities Coordination Group (IACG)** chaired by VP Alvarez-Cohen, with strong faculty representation and additional guidance from VC Research Randy Katz, for a focused, 9-month effort.

The Task Force is asked to review existing campus policies, and where appropriate, propose new policies, processes, and other areas of improvement. These efforts should build on work undertaken already by the Global Engagement Office and IACG. The Task Force is further charged with developing an implementation, communications and training plan whereby our campus community can become better educated about both requirements and best practices for engagement with, and disclosure of relationships and commitments to foreign entities both to the campus and research sponsors, the need to protect the intellectual property we develop and our pre-publication research results, while embracing the university's core values of maintaining an open and international research and education environment.

We anticipate establishing three sub-teams to advance this work:

- International Agreements & Research Funding
- International Students, Visitors and Travelers
- Communications

Given Congress' and federal agencies' particular focus on international research collaborations, we will ask the International Agreements and Research Funding sub-team to begin meeting as soon as possible, with work continuing over the summer, so that necessary policies, procedures and communications can be put in place as soon as possible.

Meetings and Implementation Timeline

The Task Force is expected to convene 1-2 times before the end of the Spring 2019 semester to identify gaps in campus policies, procedures and communication needing immediate attention, with full review and recommendations completed by December 1, 2019. Sub-teams will meet on a more frequent basis to delve into specific issues. We will plan to use the currently-scheduled monthly meetings of the IACG to convene the full group regularly.

The Task Force is asked to work with the following phases and deadlines:

- **Phase 1 (April-June, 2019):** Bullet-point recommendations for immediate communications to campus, and high level gap analysis of documented policies, procedures, and recommendations for improvement from **research and international agreements** sub-committee - due by **June 14, 2019**.
- **Phase 2 (June-December, 2019):** Development of new policies, procedures, and re-designed processes as recommended by sub-teams, including recommendations for an implementation plan - due by **December 1, 2019**.

Meetings and timeline:

Phase 1:

- **April 8** - Task Force membership invited
- **April 15** – Task Force members confirm participation
- **April 18**, 12-1:30 PM, Chancellor's Conference Room, California Hall - First meeting of the full Task Force (merged with the previously-scheduled IACG meeting) - lunch provided
- **April/May** – International Agreements and Research Funding sub-teams convene 1-2 times to review Tiger Team action items, undertake a gap analysis, and make initial recommendations for immediate communications to campus and documented policies, procedures and areas of improvement. Other sub-teams to meet at least once to identify priorities and create an initial action plan/timeline.
- **Mid- May (TBD)** - Check-in with Co-Chairs. Review initial sub-team progress and recommendations.
- **By June 14** - Action plan/timeline due for all sub-teams; bullet-point recommendations for (or draft of, if possible) immediate communications to campus regarding International Agreements and Research Funding due.
- **June 20** - 12-1pm, Chancellor's Conference Room, California Hall - IACG & Task Force reconvenes to review sub-team progress and initial recommendations

Phase 2:

- June to December –
 - Communications team reviews initial recommendations from sub-teams, begins to draft messaging & communications plan
 - All sub-teams continue to meet individually to recommend new policies, procedures, and re-designed processes and identify additional communications needed during the Fall 2019 semester.
- Full task force continues reconvene monthly on existing IACG schedule (third Thursday of each month from 12-1). Lunch and dial-in details provided:
 - July 18 - 12-1pm
 - August 15 - 12-1pm
 - September 19 - 12-1pm
 - October 17 - 12-1pm
 - November 21 - 12-1pm
- Final recommendations from all subcommittees due by **December 1, 2019**.

International Engagement Policy Task Force
Sub-Team Structure & Tentative Deliverables
4/18/2019

The work of the Task Force will be conducted through five sub-teams:

- International Agreements & Research Funding
- International Students, Visitors & Travelers
- Communications

International Agreements & Research Funding

The International Agreements team will define and document the existing offices, regulations, policies, practices, and conventions governing international agreements, disclosures, and support related to international funding and campus research at Berkeley. These descriptions should include any external entities which interface with these processes (e.g., UCOP policies or offices). Accompanying this document, the team should identify areas where Berkeley's current practices fall short of the Tiger Team's recommendations and determine actions that would enhance Berkeley's ability to encourage international agreements and research, while ensuring risk-appropriate oversight and protection of sensitive information.

Deliverables may include:

- Recommendations for immediate communications to campus regarding currently available resources.
- Recommend a common process for vetting international partnerships, including gifts, contracts, and grants
- Identify current policies and processes carried out by each unit, identify gaps and opportunities for establishing further mitigation risk processes
 - Recommend which, if any, new policy/process are needed and how existing policy/process should be enhanced to improve agreement processing and international partner vetting
- Develop Frequently Asked Questions resource for faculty/staff trying to navigate the landscape of international agreements
- Recommendations for comparing conflict of interest and conflict of commitment forms, including training for PIs
- Recommendations for content of an awareness training for PIs and departments preparing research proposals
- A list of Frequently Asked Questions (FAQ) and responses about relevant University and Federal policies that impact research funding
- Identification of any uncoordinated or non-transparent decision making processes related to research funding, and recommendations for improvement

International Students, Visitors and Travelers

The International Students, Visitors and Travelers team will define and document the existing offices, policies, practices, and conventions welcoming international students, visiting researchers, and visitors to Berkeley, as well as UC Berkeley faculty and staff traveling abroad. The team should articulate risks associated with current practices and gaps between different units. The team should identify areas where Berkeley's current practices fall short of the Tiger Team's recommendations and determine steps for units and/or campus to take that would enhance Berkeley's ability to welcome international visitors while mitigating risk. The team will also consider similar issues surrounding Berkeley faculty, staff and students traveling abroad, and cybersecurity implications during travel.

Deliverables may include:

- Recommendations for immediate communications to campus regarding currently available resources.
- Suggestions for how to centralize (or centrally track) international entity visits to campus
- Recommendations for how to better convey Berkeley's code of conduct and values to short-term visitors (students, researchers, faculty, guests)
- Development of protocols for international visitors on informal assignments, such as auditing classes or short-term work assignments
- Develop recommendations to educate the campus community on cybersecurity control of Controlled Unclassified Information (CUI) on campus
- Develop recommendations on managing export controlled items and information when visiting partners abroad
- Development of protocols for screening international visitors against restricted parties lists
- Suggestions for how to centrally track students, staff and faculty (Berkeley community travelers) when they travel to other countries
- Develop recommendations to educate Berkeley community travelers about resources and strategies to mitigate risk during travel, including cybersecurity risks
- Recommendations for how to increase IP/conduct training among students and enhance student conduct policies related to IP and copyright violations
- Recommendations for faculty and staff training to better support international students campuswide

Communications

The Communications team will define and document the existing methods and messages for communicating international engagement with Berkeley faculty, staff, and students, as well as communication with external entities. The team should make recommendations for the best methods to inform faculty, staff, and students of current and new international engagement guidelines that enhance compliance without compromising academic freedom. The co-chair from each of the teams above will also participate in the communications sub-group.

Deliverables may include:

- Communication to campus about the current international landscape and resources faculty and staff while still emphasizing Berkeley's commitment to academic freedom.
- Review sub-team recommendations and draft campus communications plans
- Develop communication plan/escalation protocol for future urgent international matters across range of issue areas (students/staff/faculty campus climate matters, new policies or reinforcement of protocol/procedures)
- Develop communication plan to educate the campus community on regulations for cybersecurity control of Controlled Unclassified Information (CUI)
- Recommendations of awareness trainings for Berkeley administration, faculty, staff, and students as needed.