

University of California Policy International Activities

Briefly, international activities that require this high level of approval involve agreements regarding:

- non-health-related corporations, partnerships, and other entities, except for investment purposes
- UC-Health-related joint ventures, partnerships, corporations, or other business entities
- exceptions to approved UC programs and policies or involving obligations for expenditures without an established fund source or which require new facilities construction
- direct financial obligations or commitments to not-previously-approved programs with other institutions or hospitals
- indemnification of third parties
- establishment of international subsidiaries or operations wherein UC shares governance with another entity
- facilities construction or acquisition of real property
- involvement of UC system-wide or UCEAP

For a full policy explanation & FAQ, see <https://policy.ucop.edu/doc/2300651/IAP>

Checklist for Regents, President, or UC Provost’s Approval of International Activity

CHECKLIST – This **Checklist for Regents, President, or UC Provost’s Approval of International Activity** is to be used by campuses and UC locations when preparing a proposal for approval of an international activity, as defined in the University of California’s International Activities Policy, adopted June 23, 2017. This Checklist should accompany all proposals requiring Regents, President, or UC Provost’s approval, and should be submitted to the UC Provost’s office.

PROCESS for obtaining Regents, President, or UC Provost’s approval for an international activity:

- 1) Review the Checklist in advance of developing the project proposal. All topics on the checklist should be **considered** when developing a proposal; some topics may be **inapplicable** and should be so noted (N/A = not applicable).
- 2) Write the proposal.
- 3) Mark the Checklist if the topic is addressed in the proposal or is inapplicable.
- 4) Obtain campus or UC location signatures.
- 5) Submit the Checklist with the proposal to the UC Provost.

DEFINITIONS – Terms in the Checklist are those used in the International Activities Policy. “Location” is the UC entity seeking approval, i.e., UC campus, Office of the President, Division of Agriculture and Natural Resources, or Lawrence Berkeley National Lab. “Site” is the foreign location where the activity will take place. “Executive Officer” is the Chancellor, President, ANR Vice President, or LBNL Director.

SECTION 1 – PROJECT INFORMATION and MISSION. Make sure the project proposal includes the following information if relevant:

General information

- Project title
- Location (UCOP, campus, ANR, or LBNL) proposing the project
- Other UC locations or units involved
- Project status (new or existing) & brief summary of the project
- Type and number of individuals involved, e.g., faculty, graduate students, undergraduates, staff, non-UC participants
- Start and end dates (tentative or confirmed)
- Responsible project leaders (names and titles) and their affiliation, e.g., school, department, Organized Research Unit, Center, etc.
- Unit at the UC location where the project will be administratively managed, e.g., school, department, Organized Research Unit, Center, etc.
- Site partners, e.g., foreign universities, foreign governments, non-governmental organizations.

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Mission

- Academic justification and alignment with the UC mission
- Anticipated benefits to UC and to project partners
- Services to be provided or activities to be conducted
- Planned or possible collaborations, and type of cooperation with project partners
- Description of project governance and organization chart
- Anticipated duration of the program
- Expected outcomes

SECTION 2 – PROJECT PLAN. For each topic below, check which planning matters have been addressed in the proposal.

- | Yes | N/A | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Implementation description and timeline |
| <input type="checkbox"/> | <input type="checkbox"/> | Materials and facilities including real estate leasing or acquisition |
| <input type="checkbox"/> | <input type="checkbox"/> | Structure for day-to-day management and governance, e.g., site advisory committee |
| <input type="checkbox"/> | <input type="checkbox"/> | High level budget and planned funding sources |
| <input type="checkbox"/> | <input type="checkbox"/> | Roles and responsibilities of UC faculty and staff |
| <input type="checkbox"/> | <input type="checkbox"/> | Faculty commitment of time |
| <input type="checkbox"/> | <input type="checkbox"/> | Involvement of students |
| <input type="checkbox"/> | <input type="checkbox"/> | Site staffing sources |
| <input type="checkbox"/> | <input type="checkbox"/> | Dispute resolution process |
| <input type="checkbox"/> | <input type="checkbox"/> | Project review and evaluation |
| <input type="checkbox"/> | <input type="checkbox"/> | Project renewal, sunseting, and/or termination due to unforeseen circumstances, e.g., |
| <input type="checkbox"/> | <input type="checkbox"/> | natural disaster, politics |
| <input type="checkbox"/> | | Other _____ |

SECTION 3 – COMPLIANCE and RISK. For each topic below, check which compliance and risk matters have been addressed in the proposal.

- | Yes | N/A | |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Research compliance, including animal and human subject protection |
| <input type="checkbox"/> | <input type="checkbox"/> | Data security |
| <input type="checkbox"/> | <input type="checkbox"/> | Intellectual Property |
| <input type="checkbox"/> | <input type="checkbox"/> | Health, safety, and security considerations |
| <input type="checkbox"/> | <input type="checkbox"/> | Risk, e.g., illness, injury, accident, natural disaster, damage to reputation, etc. |
| <input type="checkbox"/> | <input type="checkbox"/> | Insurance and indemnification |
| <input type="checkbox"/> | <input type="checkbox"/> | Technology transfer |
| <input type="checkbox"/> | <input type="checkbox"/> | Export/import controls |
| <input type="checkbox"/> | <input type="checkbox"/> | Use of the UC name and logo |
| <input type="checkbox"/> | <input type="checkbox"/> | Conflict of interest or commitment |
| <input type="checkbox"/> | <input type="checkbox"/> | Visa and travel issues |
| <input type="checkbox"/> | <input type="checkbox"/> | Social, cultural, and political considerations |

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- | Yes | N/A | |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Foreign location registration requirements |
| <input type="checkbox"/> | <input type="checkbox"/> | Tax implications for UC and for faculty |
| <input type="checkbox"/> | <input type="checkbox"/> | Professional licensure or certification |
| <input type="checkbox"/> | <input type="checkbox"/> | Site staffing rules and regulations |
| <input type="checkbox"/> | | Other _____ |

SECTION 4 – PROPOSAL REVIEW. Indicate which offices at the campus or UC location have reviewed the proposal prior to submission to UCOP. (All relevant reviews should be noted. Academic and legal review is required for all proposals, as provided in Section V.G.3 of the International Activities Policy):

- Other units involved in the project _____
- Department Chair and/or Dean
- International activities office
- Sponsored Projects
- Graduate Division
- Counsel
- Planning & Budget
- Academic Personnel
- Risk Management
- Export Control
- Executive Officer (Chancellor, President, ANR Vice President, or LBNL Director)
- Divisional Senate or Senate Committee _____
- Other _____

Some proposals require additional review at the Office of the President prior to submitting the proposal to the UC Provost. Please indicate which of the following UCOP offices have reviewed the proposal:

- Office of General Counsel
- Office of Research and Graduate Studies
- Academic Personnel and Programs
- Academic Senate or Systemwide Senate Committee _____
- Other _____

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Acknowledgement of Responsible Parties

Provide the name(s), title(s), and signature(s) of the individual(s) with administrative authority over the proposal, e.g., Department Chair, Dean, ORU Director, Center Director, etc., and the signature of the Executive Officer of the campus or UC location.

Administrative Authority

Name (print) Title

Signature Date

Administrative Authority

Name (print) Title

Signature Date

Executive Officer (Executive Vice-Chancellor and Provost)

Signature Date

Executive Officer (Chancellor)

Signature Date