



Jim Chalfant
Telephone: (510) 987-0711
Fax: (510) 763-0309
Email: jim.chalfant@ucop.edu

Chair of the Assembly of the Academic Senate
Faculty Representative to the Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

December 16, 2016

**SUSAN CARLSON, VICE PROVOST
ACADEMIC PERSONNEL**

Re: Senate Review of Proposed Presidential Policy on International Activities

Dear Susan:

As you requested, I distributed for systemwide Senate review the proposed Presidential Policy on International Activities. All ten Academic Senate divisions and six systemwide committees (UCAF, UCAADE, CCGA, UCFW, UCIE, and UCORP) submitted comments. These comments were discussed at Academic Council's December 14, 2016 meeting. They are summarized below and attached for your reference.

Senate reviewers expressed significant concerns about the document, which we understand is intended to provide an updated policy framework for supporting and facilitating international activities at UC, to account for a broader, more contemporary set of issues, including ethics, risk, and compliance. Our concerns are so significant that we request further revision. The main concerns include uncertainty about vague statements and ambiguously defined terms, especially "risk," and how risk is assessed and by whom; concerns and uncertainty about the potential scope of administrative authority, especially the role of Executive Officers to approve international activities; and potential impingements on academic freedom.

"Risk" and Academic Freedom

Several reviewers, including UCM, UCD, UCSB, UCORP, and UCSD, are concerned about how the policy may potentially interfere with the academic freedom of faculty engaged in activities abroad. These concerns stem in part from confusion and concern about what reviewers perceive to be a new requirement for proposers of international activities to perform a risk analysis prior to approval. Many reviewers noted concerns about the ambiguous use of the term "risk," the association of risk with a given international activity, the nature of a risk analysis, and its role in the approval of an international activity. Reviewers noted the potential for unreasonable considerations of risk, based on the perceived potential future political or financial effects of an international activity, to interfere with the approval of an international research activity and therefore with the academic freedom of faculty wanting to do research abroad. They noted that these concerns are particularly relevant for faculty who research politics, social and political unrest, or otherwise unpopular or controversial subjects.

CCGA and reviewers at UCSC, UCSD, UCSB, and UCD request more clarity and guidance about the expected nature and scope of the risk analysis, a clearer articulation of when a formal risk assessment is required, activities of particular concern to UC, the conditions and process for conducting an analysis, the party responsible for the analysis, and the extent of the faculty members' liability for risk. CCGA recommends a structured process aided by risk-analysis personnel. UCSD recommends a statement that "risk analysis should be performed in consultation with the appropriate Risk Management Officer."

We also encourage you to consider UCD's proposed wording for the Section on Political Activity, permitting "faculty actively researching the methods of, or doing fieldwork with a group, in the U.S. or abroad, that is engaged in electoral politics directly or indirectly", as well as UCM's recommendation to move information about mundane international activities into the body of the policy, and specific amendments to the opening purpose statement regarding UC's commitment to academic freedom recommended by UCAF and UCSD.

Administrative Approval of "International Activities"

Several reviewers, including UCD, UCR, UCSC, UCR, UCSB, and CCGA, expressed concern that under the policy, faculty may be required to seek approval from an "Executive Officer" for a broad range of international academic activities, including activities that have traditionally been considered routine and low-risk, such as travel to international meetings and conferences, and field research. Despite wording in the cover letter that the policy is not intended to add to or change approval requirements, some reviewers believe it may increase the role of Executive Officers to approve international activities. UCR, UCSB and others point to inconsistencies between the policy document and the FAQs that add to the confusion. UCSC notes that conferences and field work are part of the normal course and scope of faculty employment. A faculty member is expected to request permission to travel and be absent from campus, but this pertains only to the plan to be absent. Consistent with academic freedom, the specific scholarly activity should not be approved or disapproved, and the faculty member should not be perceived to be asking for permission to work with a specific collaborator, on a specific topic, or using particular methods.

To address the confusion and to help faculty avoid both violations of policy and unnecessary approvals, reviewers recommend adding specific criteria to Section V.F.3.iii describing instances when "international activities" require local Executive Officer approval and the extent to which the policy will affect approvals for routine activities. UCSC and CCGA suggest deleting from the list of international activities requiring Executive Officer approval: "collaborations between faculty and peers overseas; attendance at and participation in meetings and conferences." UCSB and UCFW suggest new language clarifying the authorizing authority, specifying how far in advance the authority needs to be notified, and indicating the expected timeline for a final decision.

Local activities and the role of the Senate

UCIE and CCGA note that the policy should acknowledge the wide variety of structures, offices, and approval policies related to international activities across campuses. Similarly, UCB encourages the policy to specifically exclude campus-based undergraduate study abroad programs, noting that a one-size-fits-all approach will inhibit the pursuits of its undergraduates. UCSF requests clarification about whether the policy covers all students, faculty, and staff who participate in international activities.

Reviewers at UCLA, UCR, and UCSB note that the policy should do more to acknowledge the role of the Academic Senate, shared governance, and faculty consultation, and should clarify the extent to which it will affect local Senate review and approval processes. UCIE adds that the policy does not define circumstances and activities that would include consultation with UCIE and other systemwide Senate committees, or mechanisms that would allow for faculty input into international activities initiated by administrators at the systemwide level. The policy should specify that shared governance calls for appropriate consultation with relevant units of the Academic Senate at any level of approval authority.

Ethical/Legal Guidance

Several reviewers requested additional guidance about expected ethical and/or legal standards when abroad, particularly in locations where the law may conflict or be silent about an activity that is regulated within the US or when a UC policy conflicts with a host institution's policies or local laws, especially in cases of sexual harassment, sexual violence, and other forms of harassment and discrimination. The policy should clarify that UC students, faculty, and staff are subject to University policies while participating in international activities, and are expected to maintain the same ethical standards abroad and at home. UCM and UCAADE suggest that it would be beneficial to add a reference to the Faculty Code of Conduct in the Ethics section of the policy. We also encourage you to consider several specific recommendations from UCAADE for additional language related to diversity and equity in the sections on Principles, Ethics, and Procedures.

Finally, UCR, UCLA, and UCFW recommend that the checklist for proposals that require the approval of the Regents or UC Provost in the appendix should include a timeline.

We encourage the administration to consider these comments and other specific suggestions made by Senate reviewers for improving the clarity of the purpose statement, principles, policy, and FAQs as it refines the policy. We look forward to reviewing a revised version of the policy in the future.

Thank you for the opportunity to opine.

Sincerely,

A handwritten signature in blue ink that reads "Jim Chalfant".

Jim Chalfant, Chair
Academic Council

Encl

Cc: Academic Council
Planning and Research Analyst Landes
Policy Manager Lockwood
Senate Director Baxter
Senate Executive Directors



November 16, 2016

JAMES CHALFANT
Chair, Academic Council

Subject: Draft Presidential Policy on International Activities

Dear Jim,

On November 7, 2016, the Divisional Council (DIVCO) considered the proposed policy cited in the subject line, informed by the commentary of our divisional Committee on Educational Policy (CEP) and Undergraduate Council (UGC).

UGC noted a concern from the perspective of undergraduate education:

... the primary point of concern is how this new policy applies to study abroad programs, for which the structure and approach varies from campus to campus. We would encourage the policy to specifically exclude consideration of these undergraduate study programs, since a one-size-fits-all approach will unnecessarily inhibit the pursuits of our undergraduates.

While CEP endorsed the proposal, it found it needlessly complicated and would prefer a more simplified document.

DIVCO endorsed the proposal without additional comment.

Sincerely,

A handwritten signature in black ink, appearing to read 'R. Powell', with a horizontal line underneath.

Robert Powell
Chair, Berkeley Division of the Academic Senate
Professor of Political Science

Cc: Max Auffhammer, Chair, Committee on Educational Policy
Mark Stacey, Chair, Undergraduate Council
Sumei Quiggle, Associate Director, staffing Undergraduate Council
Linda Corley, Senate Analyst, Committee on Educational Policy



DAVIS DIVISION OF THE ACADEMIC SENATE
ONE SHIELDS AVENUE
DAVIS, CALIFORNIA 95616-8502
(530) 752-2220
academicsenate.ucdavis.edu

November 17, 2016

Jim Chalfant
Chair, Academic Council

RE: Presidential Policy on International Activities

Dear Jim:

The proposed Presidential Policy on International Activities was forwarded to all standing committees of the Davis Division. Responses were received from the Committees on Academic Freedom and Responsibility, Faculty Welfare, International Education, Research, and the Faculty Executive Committee of the College of Letters and Science.

The Committees on Academic Freedom and Responsibility, Faculty Welfare, International Education, and Research support the proposed policy. Academic Freedom and Responsibility recommends adding clarification to Section III.E.2 so that it explicitly permits "faculty actively researching the methods of, or doing fieldwork with a group, in the U.S. or abroad, that is engaged in electoral politics directly or indirectly."

The FEC of the College of Letters and Science commented on several items. Its members expressed concern about the broad scope of "international activities" that require approval from an Executive Officer, as outlined in Section V.F.3.iii. They recommend including more specific criteria for when "international activities" require approval, so faculty can avoid being "in constant violation or constantly needing approval for more mundane international activities as this could delay timely communications and scholarship."

The FEC of L&S recommends two additional clarifications: first, to clarify when a formal risk assessment is required (they also wonder if filing a risk assessment makes "the faculty member liable for the risk in engaging in international activities"); and second, to clarify whether paperwork for approval to travel to domestic versus international conferences would now be different since the latter is an international activity.

The Davis Division appreciates the opportunity to comment.

Sincerely,

A handwritten signature in cursive script, reading "Rachael E. Goodhue".

Rachael E. Goodhue
Chair, Davis Division of the Academic Senate
Professor and Chair, Agricultural and Resource Economics

Enclosed: Davis Division Committee Responses

c: Edwin M. Arevalo, Executive Director, Davis Division of the Academic Senate
Hilary Baxter, Executive Director, Systemwide Academic Senate
Michael LaBriola, Principal Policy Analyst, Systemwide Academic Senate

FEC: College of Letters and Science

November 8, 2016 1:15 PM

During our November 7th L & S FEC meeting we discussed the Propose Presidential Policy on International Activities.

In Section 3 Part iii, faculty expressed concern about the very wide scope of what counted as "international activities" which would require approval from an **Executive Officer** (page 12 of 22):

"These activities are part of the course and scope of the employment, education, and training of faculty, students, and staff, and include: collaborations between faculty and peers overseas; attendance at and participation in meetings and conferences; cooperative study programs; student exchanges; training development programs; faculty research and fieldwork; undergraduate and graduate student research and fieldwork; artistic, cultural, and scholarly exchanges; MOUs; and activities subject to binding legal agreements that are not within the approval purview of the UC Provost or Regents."

We advise against using a very broad interpretation of "international activities." Faculty expressed that either they and/or their colleagues regularly attend international conferences and communicated with international colleagues, and they would not want to have to repeatedly ask for approval to do so. Faculty do not want to either be in constant violation or constantly needing approval for more mundane international activities as this could delay timely communications and scholarship.

It would be helpful if the document included more specific criteria for when approval is required as well as explained why this approval is needed.

It was further unclear when a formal risk assessment is required. Faculty also wondered whether one consequence of filing a risk assessment was to make the faculty member liable for the risk in engaging in international activities.

It was also unclear whether the paperwork needed for approval to travel to domestic conferences would be the same or different from paperwork needed for approval to travel to conferences outside of the United States since the latter is a type of "international activity."

Best,

Kristin H. Lagattuta

UC DAVIS: ACADEMIC SENATE
COMMITTEE ON ACADEMIC FREEDOM AND RESPONSIBILITY

November 3, 2016

RFC: Presidential Policy on International Activities

The committee on Academic Freedom and Responsibility agrees with the majority of the draft policy on international activities. Under section III item E2, Political Activity, the committee would like clarification regarding faculty actively researching the methods of, or doing fieldwork with a group, in the US or abroad, that is engaged in electoral politics directly or indirectly. The committee feels this should be permitted.



Office of the Academic Senate
307 Aldrich Hall
Irvine, CA 92697-1325
(949) 824-2215 FAX

November 17, 2016

Jim Chalfant, Academic Council
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

RE: Systemwide Senate Review of Draft New Presidential Policy on International Activities

Dear Jim,

At its meeting of November 15, 2016, the Irvine Division Senate Cabinet reviewed the draft new presidential policy on international activities. The Council on Educational Policy, Graduate Council, and the Subcommittee on International Education initially reviewed the proposed new policy and identified no concerns. The cabinet's review of the proposed new policy also yielded no concerns.

The Irvine Division appreciates the opportunity to comment.

Sincerely,

A handwritten signature in black ink that reads "Bill Parker". The signature is fluid and cursive, with the first name "Bill" and last name "Parker" clearly distinguishable.

Bill Parker
Irvine Division Senate Chair

C: Maria Pantelia, Chair-Elect, Academic Senate, Irvine Division
Hilary Baxter, Executive Director, Academic Senate
Natalie Schonfeld, Executive Director, Academic Senate, Irvine Division

November 18, 2016

Jim Chalfant
Chair, Academic Council

RE: Systemwide Senate Review: Draft New Presidential Policy on International Activities

Dear Jim,

The Executive Board of the UCLA Academic Senate discussed the Draft New Presidential Policy on International Activities on November 3, 2016. The Executive Board solicited comments from the standing committees of the Senate, as well as the Faculty Executive Committees, to maximize faculty feedback; the individual responses from our various committees are available [online](#).

Senate committees generally supported the policy and agreed that it was good to regularize procedures. However, the following comments were noted:

- Most important, the Committee on International Education expressed concern “that the proposed policy takes no account of the principle of shared governance and makes no mention of the Academic Senate.” The Academic Senate should have a formal role.
- The Faculty Welfare Committee recommends including a proposed timeline for proposal submissions that require Regents or UC Provost approval.
- The Faculty Executive Committee of the David Geffen School of Medicine expressed support of the new policy but suggested, “that the university give assurances that benefits such as health insurance will be available at international sites.”

The Executive Board appreciates the opportunity to opine.

Please feel free to contact me should have any questions.

Sincerely,



Chair, UCLA Academic Senate

cc: Hilary Baxter, Executive Director, Systemwide Academic Senate
Leo Estrada, Immediate Past Chair, UCLA Academic Senate
Sandra Graham, Vice Chair/Chair-Elect, UCLA Academic Senate
Michael LaBriola, Principal Policy Analyst, Systemwide Academic Senate
Linda Mohr, Chief Administrative Officer, UCLA Academic Senate
Shane White, Vice Chair, Academic Council

UNIVERSITY OF CALIFORNIA, MERCED

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

OFFICE OF THE ACADEMIC SENATE
SUSAN AMUSSEN, CHAIR
senatechair@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343
(209) 228-7954; fax (209) 228-7955

November 15, 2016

JIM CHALFANT, CHAIR, ACADEMIC COUNCIL

Re: Draft New Presidential Policy on International Activities

The draft new Presidential Policy on International Activities was distributed to the standing committees of the Merced Division of the Academic Senate and the school executive committees. Comments were received from the Committee on Research (CoR) and Undergraduate Council (UGC); these are appended. The remaining committees appreciated the opportunity to opine but had no comment.

In brief, CoR was pleased to see revisions to the policy that reflected prior feedback, but recommends that clarifying information about mundane international activities be moved into the body of the policy document. CoR also expressed concern about the way "risk" is defined, noting that the policy could interfere with academic freedom by allowing vague concerns over potential future political or financial effects of an international activity to raise unreasonable approval barriers to standard research activities that involve an international component.

UGC recommends a stronger statement of the UC's commitment to ethics, with the goal of communicating that faculty, students, and staff maintain the same ethical standards abroad and at home. With respect to faculty, this might be addressed by explicitly referencing in the policy APM 015 – the Faculty Code of Conduct in the section of the policy relating to Ethics.

We thank you for the opportunity to opine.

Sincerely,

A handwritten signature in cursive script, appearing to read "Susan Amussen".

Susan Amussen, Chair
Division Council

CC: Divisional Council
Hilary Baxter, Executive Director, Systemwide Academic Senate
Laura Martin, Executive Director, Merced Senate Office

UNIVERSITY OF CALIFORNIA

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

ACADEMIC SENATE, MERCED DIVISION
COMMITTEE ON RESEARCH
DAVID C. NOELLE, CHAIR
dnoelle@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 N LAKE RD
MERCED, CA 95343

October 27, 2016

To: Susan Amussen, Chair, Divisional Council

From: David C. Noelle, Chair, Committee on Research (COR)

A handwritten signature in dark ink, appearing to read "D.C. Noelle", is placed to the right of the "From:" line.

Re: Draft Presidential Policy on International Activities

On October 19, 2016, the members of the Committee on Research (COR) discussed the Draft Presidential Policy on International Activities currently undergoing systemwide review. It was noted that an earlier draft of this document had been examined by COR during the last academic year, and comments had been provided at that time.

With regard to the updated draft, the COR membership were pleased to notice changes in response to previous comments, particularly with regard to clarifying the kinds of international activities that are considered sufficiently standard to lack any requirement of prior administrative approval. This clarity largely emerged from an appended FAQ, however, and COR would appreciate seeing this clarifying information about mundane international activities moved into the body of the policy document.

The COR membership also expressed concern about the way in which "risk" is defined in this document, incorporating financial risks and risks to the University's reputation. Since risk is identified as a feature of international activities that could elevate the need for prior approval to higher administrative authorities, potentially all the way to the Board of Regents, COR is concerned that this policy could interfere with academic freedom by allowing vague concerns over potential future political or financial effects of an international activity to raise unreasonable approval barriers to standard research activities that involve an international component. Thus, COR strongly suggests either that these more nebulous forms of risk be more clearly described and operationalized or that these forms of risk be elided from the criteria for elevation to a higher approval body.

COR appreciates the opportunity to opine on this draft policy document.

cc: Senate Office

UNIVERSITY OF CALIFORNIA, MERCED

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

ACADEMIC SENATE, MERCED DIVISION
UNDERGRADUATE COUNCIL (UGC)
Anne Zanzucchi, Chair
azanzucchi@ucmerced.edu

UNIVERSITY OF CALIFORNIA, MERCED
5200 NORTH LAKE ROAD
MERCED, CA 95343
(209) 228-7930; fax (209) 228-7955

October 27, 2016

To: Susan Amussen, Chair, Divisional Council

Re: Draft Presidential Policy on International Activities

The Undergraduate Council has discussed the [Draft Presidential Policy on International Activities](#) and appreciates the attention to ethics and cultural sensitivity. We would recommend, though, a stronger statement of the UC's commitment to ethics. A consideration is that we require of all our faculty, staff, and students who act as our representatives or members abroad must, at the minimum, obey the codes of conduct which govern them on their home campuses. It is important to communicate that we maintain the same ethical standards at home and abroad, as part of our academic activities.

Sincerely,

A handwritten signature in cursive script that reads "Anne Zanzucchi".

Anne Zanzucchi, Chair
Undergraduate Council

Cc: UGC, Senate Office



CHAIR, ACADEMIC SENATE
RIVERSIDE DIVISION
UNIVERSITY OFFICE BUILDING, RM 225

DYLAN RODRIGUEZ
PROFESSOR OF ETHNIC STUDIES
RIVERSIDE, CA 92521-0217
TEL: (951) 827-6193
EMAIL: DYLAN.RODRIGUEZ@UCR.EDU

November 18, 2016

Jim Chalfant, Chair, Academic Council
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

RE: Draft New Presidential Policy on International Activities

Dear Jim,

The UCR Division of the Academic Senate has reviewed the Draft New Presidential Policy on International Activities. What follows is a summary of feedback from the relevant Senate committees that were asked to examine the Draft Policy. Please be aware that I will follow this memo with a shorter addendum in about two weeks that will outline the response of the Committee on Academic Freedom, which was asked, at a later date, to provide feedback on the Policy under the advisement of Executive Council.

The Committee on Research offers two suggestions. First, clarification is needed to address the apparent contradiction between Section F.3.iii and FAQ 1. The former states that permission is required for meeting attendance, collaborations, and so forth; the latter, on the other hand, states that no such permission is required. Second, in FAQ 5, the Committee suggests replacement of the word "should" with more definitive language in the following sentence, in order to convey the importance of abiding by the laws of other sovereign countries: "UC Employees and students should comply with the stricter laws of the non-US country in which they are conducting the activity."

The Graduate Council was concerned about apparent inconsistencies in the proposal particularly on pages 12-13 (iii. Executive Officer) as compared to Section VIII., on page 16. As currently written, an executive officer could require all faculty to obtain the officer's approval for engaging in routine, low-risk activities, such as attending and participating in international meetings and conferences, as well as conducting research and fieldwork. Members of the Council did not feel that an Executive Officer should hold authority over such activities.

UCR's College of Humanities and Social Sciences (CHASS) Executive Committee expressed serious concern about the potential for violations of academic freedom, particularly in the centering of approval power in the "Executive office at the UC location" (p.12, F.3.iii) when dealing with things ranging from "collaborations between faculty and peers overseas" to "artistic, cultural, and scholarly exchanges." The Committee also reiterates the concern that the FAQ section contradicts this provision by advising that such scrutiny is not necessary. Relatedly, the Committee articulated deep reservations about the lack of detail regarding the standards, regulations, and protocols through which the administrative power of

approval is to be governed and limited. One member of the Committee had questions regarding the possibility that there will become an implicit expectation of increased international activity, and whether such an expectation might affect merits and promotions. Finally, the Committee notes that the UC system should consider adapting the use of inclusive, non-gendered pronouns (replacing, for example, him/her with they).

The Committee on International Education articulated some reservations about the Draft Policy's locating of final authority over International Activities in the offices of the UC Provost and UC Regents, and in the lack of clarity regarding the role of the Academic Senate, particularly in the realm of Senate consultation and the protocols therein. At the same time, the committee stated that the proposal does acknowledge the Senate's role in activities that should be under the faculty purview, and also does not infringe on responsibilities and decisions that should be left in the hands of campuses.

The Committee on Planning and Budget unanimously supported the proposal after review and discussion.

Sincerely yours,



Dylan Rodríguez
Professor of Ethnic Studies and Chair of the Riverside Division

CC: Hilary Baxter, Executive Director of the Academic Senate
Cherysa Cortez, Executive Director of UCR Academic Senate Office



Office of the Dean
Riverside, CA 92521
Tel 951.827.5190
Fax 951.827.3188
www.engr.ucr.edu

November 8, 2016

TO: Dylan Rodriguez, Chair
Riverside Division

FR: Thomas Stahovich, Chair 
Executive Committee, Bourns College of Engineering

RE: Presidential Policy on International Activities

The BCOE Executive Committee reviewed the Presidential Policy on International Activities. The committee would like to have clarification of the procedures described in Section V.F.3.iii on the bottom of page 12 of the draft policy. In particular, the committee would like clarification of the procedures that will be used by the executive officer at UC Riverside. For example, will this officer need to approve each international trip taken by a faculty member?

UNIVERSITY OF CALIFORNIA, RIVERSIDE

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

EXECUTIVE COMMITTEE:
COLLEGE OF HUMANITIES, ARTS, AND SOCIAL SCIENCES

RIVERSIDE, CALIFORNIA 92521-0132

November 16, 2016

TO: Dylan Rodriguez, Chair
Academic Senate

FROM: Jason Weems, Chair
CHASS Executive Committee

RE: Systemwide Review of Proposed Policy Draft of the New Presidential Policy on
International Activities

The CHASS Executive Committee discussed the Proposed Policy Draft of the New Presidential Policy on International Activities at our regular meeting on November 16, 2016.

While the Committee understands how the rapid expansion of international initiatives might require a more substantial governing policy, we are troubled by the potential for overreach they enable. We are particularly concerned by the potential for violation of academic freedom standards, especially in regard to the assertion of approval authority by the "Executive office at the UC location" (p.12, F.3.iii) regarding "collaborations between faculty and peers overseas" to "artistic, cultural, and scholarly exchanges." Asserting rights of approval over such basic associations and collaborations strikes us as an inappropriate intervention that could potentially be used to limit the free and open exchange of ideas. (That the FAQ section offers contradictory advice that such minute levels of scrutiny are not necessary only confuses the matter).

Likewise, we note that while the documents go far in delineating the rights of administration to assert approval authority, it does little to enunciate the regulations by which this authority will be governed. What are the standards, for example, by which an Executive Officer might exercise the authority to disallow collaboration?

Another member wondered if the implicit expectation of increased international activity will affect merit and promotion expectations (The Call).

Finally, the Committee notes that the time has come for UC documents to adapt to the use of inclusive, non-gendered pronouns (replacing, for example, him/her with they).

Jason Weems, Chair

UCR CHASS Executive Committee



November 16, 2016

To: Dylan Rodriguez, Chair
Riverside Division

From: Ward Beyermann, Chair, Executive Committee
College of Natural and Agricultural Science

Re: Systemwide Review: Draft Presidential Policy on International Activity


The CNAS Executive Committee at their November 16th meeting discussed the draft on Presidential Policy on International Activity. The Committee expressed concerns about a possible violation of academic freedom associated with the need for Executive Officer approval for routine academic activities that occur oversea and the inconsistency of this statement with text elsewhere in the document.

Yours sincerely,
Ward Beyermann, Chair
CNAS Executive Committee



October 31, 2016

To: Dylan Rodriguez, Chair
Riverside Division

From: Richard Arnott, Chair 
Committee on Research

RE: Systemwide Senate Review: Draft New Presidential Policy on
International Activities

The Committee on Research discussed the draft Presidential policy on International Activities and has two suggestions. The first is in regards to section F/3/iii where it states permission is required to attend meetings, set up collaborations, etc. but in FAQ 1 it states that permission is not required for these activities. The second is in regards to FAQ 5 and the suggestion to strongly consider the use of "should" in the following sentence: "UC Employees and students should comply with the stricter laws of the non-US country in which they are conducting the activity". The Committee felt that "should" is too ambiguous and that more definitive language should be used when it comes to obeying the laws of other sovereign countries.



October 28, 2016

To: Dylan Rodriguez, Chair
Riverside Division

From: Ryan Julian, Chair
Graduate Council

A handwritten signature in black ink, appearing to read "Ryan Julian".

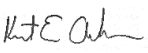
RE: Proposed Presidential Policy on International Activities

The Graduate Council reviewed the proposed Presidential Policy on International Activities at their last meeting. The Council found inconsistencies in the proposal [i.e. pages 12-13 (iii. Executive Officer) vs Section VII1., page 16] with regard to the approval that is needed to attend and participate in international meetings and conferences. As written, an executive officer could decide to require all faculty to get their approval for routine, low-risk activities, such as attending and participating in international meetings and conferences, and conducting faculty and student research and fieldwork. Members of the Council did not feel that an Executive Officer should hold authority over such activities.



November 2, 2016

To: Dylan Rodríguez, Chair
Riverside Division

From: Kurt Anderson, Chair 
Committee on International Education

Re: Proposed Draft Presidential Policy on International Activities

The Committee on International Education reviewed the proposed draft Presidential Policy on International Activities. The Committee noted that the proposal places ultimate control over International Activities in the office of the UC Provost and UC Regents and we have concern that the proposed policy does not clearly delineate the role of the Academic Senate, specifically under what circumstances or through what mechanisms Senate committees should be consulted. However, the Committee opined that the proposal does not appear to unduly burden or supersede activities that should be under faculty purview and that it adequately acknowledges the Academic Senate's role. Furthermore, it does not inappropriately allow UCOP control of responsibility that should be left to campuses.



OFFICE OF THE ACADEMIC SENATE
9500 GILMAN DRIVE
LA JOLLA, CALIFORNIA 92093-0002
TELEPHONE: (858) 534-3640
FAX: (858) 534-4528

November 22, 2016

Professor Jim Chalfant
Chair, Academic Senate
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

SUBJECT: Proposed Presidential Policy on International Activities

Dear Jim:

The proposed Presidential Policy on International Activities was circulated to San Diego Divisional Senate standing committees for review and the San Diego Divisional Senate Council discussed the proposal at its meeting on November 21, 2016. There were a number of questions about the proposal. Ultimately, the San Diego Divisional Senate Council is unable to endorse this policy without further clarification. Our questions and concerns are outlined below.

Reviewers pointed out that the definition of academic freedom contained in the proposed policy could potentially be construed to limit academic freedom. In the opening paragraph, the policy reads that "the University is committed to academic freedom, which includes open access to information, free and lively debate conducted with mutual respect for individuals, and freedom from intolerance." Reviewers are concerned that this statement implies that "mutual respect" and "freedom from intolerance" are part of academic freedom when instead, they are "separate and potentially conflicting principles: the right to free expression and disagreement with others should not be limited by perceptions of whether that speech is 'respectful' or 'tolerant.'" It was suggested that the policy be revised to read "the University is committed to academic freedom, including open access to information, scholars' freedom in research and publication, and teachers' freedom in the classroom in discussing their subject." This proposed language follows AAUP standards and phrasing.

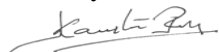
Reviewers also took issue with a number of vague statements within this policy. It was noted that the University is already engaged in many international activities and it is unclear what the impact of this revised policy would be on those existing activities. Reviewers pointed out that there is also insufficient guidance regarding oversight. Section V(F)(iii) references an Executive Officer but it isn't clear who that officer is. Along these lines, the policy also references offices of international affairs on individual campuses, stating that these offices will handle the review of international activities but it was pointed out that the UC San Diego Office of International Affairs isn't necessarily equipped to handle this function. It is unclear what impact this policy will have on an office that is not currently charged with such oversight.

A risk assessment process was also mentioned but it wasn't clear who should be consulted in carrying out such assessments. It was suggested that a statement be included that clearly states that "risk analysis should be performed in consultation with the appropriate Risk Management Officer."

Finally, it was noted that this policy is an update of existing guidelines from 2005, but because the changes from the original version were not highlighted, it was difficult for reviewers to determine what had actually been revised. It was noted that discussions of this policy would have been easier had the changes been highlighted.

Thank you for the opportunity to respond. We hope to see further clarification in future drafts.

Sincerely,



Kaustuv Roy, Chair
Academic Senate, San Diego Division

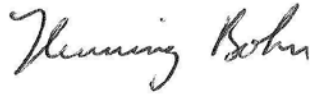
cc: F. Ackerman
H. Baxter
R. Rodriguez

**Academic Senate
Santa Barbara Division**

November 15, 2016

To: Jim Chalfant, Chair
Academic Council

From: Henning Bohn, Chair
Santa Barbara Division



Re: Draft Presidential Policy on International Activities

The Santa Barbara Division distributed the draft Presidential Policy on International Activities to a wide spectrum of Senate councils and committees. Comments were received from the Committee on International Education, Committee on Diversity and Equity, Council on Faculty Issues and Awards, Council on Planning and Budget, Council on Research and Instructional Resources, and the Faculty Executive Committee of the College of Letters and Science. There was considerable overall support of the draft policy among these groups, despite the various concerns raised below.

The Committee on International Education noted the ambiguity of Question 6 in Section VII.6 Frequently Asked Questions (FAQ) and expressed concerns about how issues requiring legal and/or ethical guidance might be addressed in the absence of international laws for any activities that might otherwise have been regulated within the US.

The concerns of the Committee on Diversity & Equity focused on issues related to sexual harassment, sexual violence, and all other forms of harassment and discrimination. In particular, the committee raised the following questions regarding the scope of the University's jurisdiction over international activities covered under the policy. Are UCSB faculty, students, and staff explicitly subject to the University's policies (i.e., Faculty Code of Conduct, Student Code of Conduct, etc.) while participating in these approved programs. If UCSB faculty, students or staff participating in approved international activities are subjected to harassment or sexual violence, or engage in harassment or sexual violence, what happens if UC's policies are in conflict with the host institution's policies or local laws? The committee noted that the draft includes language such as "All partners must work with faculty, students, and staff to ensure compliance with all applicable UC and partnering site policies, and all applicable statutes, regulations, standards, and guidelines in the U.S. and in the site country"; however, members were concerned that "applicable policies," for example, is not sufficiently clear for issues surrounding harassment, discrimination, or sexual violence. It was suggested that Question 7 in the FAQ Section may also partly address these issues, but further clarification was recommended.

The Council on Faculty Issues and Awards reported that it was not obvious to some members how “risk” and “political unrest” (p. 11, Section V.C.) would be explicitly defined or determined. The first question in the FAQ Section lists examples of broad activities without specifics or details. Members suggested that any activities of particular concern to the UC be more explicitly described in the policy. There was also a question as to whether the policy could potentially interfere with the academic freedom of faculty who do research on social and political unrest.

The College of Letters and Science Faculty Executive Committee (FEC) noted that a stated intention in establishing this Policy is to replace outdated guidelines with a policy that codifies and clarifies levels of authority for approving international activities. While the FEC recognizes the value and need for codifying and updating the outdated guidelines, it expected the policy to provide better clarity, for example, on who is the decision-maker when the approval authority is unclear (V.F.3.iv). The FEC also suggested that section IV.C.6 appears to contradict IV.B with regard to authority to implement this policy. It was further noted that sections of the policy still read like Guidelines (e.g., Procedures, Section V, Items A-C).

The FEC acknowledged that campus autonomy in developing international activities has been preserved but would appreciate additional efforts in detailing how campus autonomy will be ensured within this policy and as this policy relates to other UC regulations. Specifically, Section V.F reiterates that the approval authorities listed for international activities do not replace other approval processes, including Academic Senate review. The FEC further states, “Given that we were in tandem examining a proposed expansion of the bylaws governing the University Committee on International Education (UCIE), it strikes us that the Purpose Statement (I.A) of this policy must, at the minimum, be amended to read that this Policy provides “an administrative policy framework for international activities.” Additional specific suggestions are:

- i) the Purpose Statement (I.A) need not reiterate UC’s mission; we suggest that the first paragraph be struck entirely and the section begin with “The purpose of this Presidential Policy....”
- ii) Under I.B (Principles) we suggest that International activities at the University of California need not “contribute to the betterment of humankind,” and so I.B.3 should be deleted
- iii) Under Definitions (II.N) we do not concur that Risk is defined as the “possibility of harm or loss ...that may be mitigated by forethought and preparation.” That final clause should be deleted from the definition.
- iv) Related to point (iii), it appears to us that one purpose of this policy is to ask authorizing units to consider the risks and take steps to mitigate them. That should be clarified in the Policy Purpose.

Graduate Council (GC) voiced concern about the disconnect between the approval authority of the Executive Officer, as stated in section F.3.iii, and the Frequently Asked Questions (FAQ). Specifically, section F. 3.iii. places collaborations between UC faculty and peers overseas under the approval authority of the Executive Officer while the first point under the FAQs states that

these collaborations are routine low-risk activities that do not require approval. GC recommends that the Office of the President better define risk throughout the policy, and clarify the types of activities that do and do not require Executive Officer approval.

The Council on Research and Instructional Resources suggested that the policy place greater emphasis on rigorous Divisional Senate review of international activities with academic content and on specific requirements for review and renewal/sunsetting at designated time intervals.

Cc: Debra Blake, Executive Director, Academic Senate



1156 HIGH STREET
SANTA CRUZ, CALIFORNIA 95064

Office of the Academic Senate
SANTA CRUZ DIVISION
125 CLARK KERR HALL
(831) 459 - 2086

November 17, 2016

James Chalfant, Chair
Academic Council

Re: Draft Presidential Policy on International Activities

Dear Jim,

The UC Santa Cruz Division has reviewed the draft UC Presidential Policy on International Activities. Our Committee on International Education (CIE), Graduate Council (GC), Committee on Planning and Budget (CPB), and Committee on Educational Policy (CEP) have voiced their support of the policy, which will supersede the existing 2005 policy and expand the existing policy beyond establishment of UC-controlled entities in foreign countries to include issues of ethics and risk associated with international activities of UC faculty, staff, and students. Committees expressed appreciation that the revised policy aims to *facilitate* international activities, and its acknowledgement that barriers to international engagement should be low.

Review of the draft policy raised the following recommendations for revisions:

1. Both CIE and Graduate Council raised concern about the discussion of risk in the policy, noting that the nature of risk analysis and the conditions and process for conducting such an analysis might be more clearly articulated in the policy and done in a way that minimally impacts autonomy for the campuses. Specifically:

- Section III.D: It appears that the responsibility of identifying and subsequently considering 'risks' is very open-ended and falls upon the individual UC faculty, staff, or student – which might lead to considerable variation in how meaningful risks are recognized and planned for. If the goal is to minimize risk, a more structured process, perhaps aided by defined risk-analysis personnel, should be considered as a policy directive.
- Section V.C: The requirement that proposers of international activities may need to perform risk analyses without any guidance on the nature and scope of the risk analyses may well lead to significant variation in the level and suitability of the risk analysis. As noted above, if the goal is to minimize unnecessary risk associated with international activities, more guidance or clarity on the level of risk analysis that is needed or expected would be helpful.

2. Both GC and CPB suggest an amendment to improve clarity in Section V.F.3.iii, which lists Executive Officer approval authority for activities that currently may be exempt from requiring approval:

“...These activities are part of the course and scope of the employment, education, and training of faculty, students, and staff, and **may** include: ~~collaborations between faculty and peers overseas;~~

~~attendance at and participation in meetings and conferences~~; cooperative study programs; student exchanges; training development programs; faculty research and fieldwork; undergraduate and graduate student research and fieldwork; artistic, cultural, and scholarly exchanges; MOUs; and activities subject to binding legal agreements that are not within the approval purview of the UC Provost or Regents.”

The word ‘~~may~~’ was added because the list is not exhaustive, and because the local Executive Officer (or his/her designee) at the various campuses may invoke slightly different local policy on the nature of international activities requiring Executive Officer approval. The text “~~collaborations between faculty and peers overseas; attendance at and participation in meetings and conferences~~” was deleted because these kinds of activities are part of the normal course and scope of faculty employment and/or a student’s education and they do not currently nor will they under the revised policy, require formal approval.

Sincerely,



Ólöf Einarsson, Chair
Academic Senate
Santa Cruz Division

cc: Yat Li, Chair, Committee on International Education
Don Smith, Chair, Graduate Council
Abel Rodriguez, Chair, Committee on Planning and Budget
John Tamkun, Chair, Committee on Educational Policy

Office of the Academic Senate

500 Parnassus Ave, MUE 230
San Francisco, CA 94143-0764
Campus Box 0764
tel: 415/514-2696

academic.senate@ucsf.edu
<https://senate.ucsf.edu>

Ruth Greenblatt, MD, Chair
David Teitel, MD, Vice Chair
Arthur Miller, PhD, Secretary
Jae Woo Lee, MD, Parliamentarian

November 18, 2016

Jim Chalfant, PhD
Chair, Academic Council
Systemwide Academic Senate
University of California Office of the President
1111 Franklin St., 12th Floor
Oakland, CA 94607-5200

Re: Review of Proposed International Activities Presidential Policy

Dear Jim,

The San Francisco Division applauds the creation of a Presidential Policy that provides governance to individuals and units across the UC system involved in international activities. As you know, UCSF has a significant international presence, not only through our Global Health Sciences programs, but also has over 600 investigators working on projects in more than 190 countries. With respect to the policy itself, UCSF's Committee on Educational Policy (CEP) made the following comments:

1. CEP assumes that this policy covers not only the creation and governance of units involved in international activities, but also students, faculty, and who participate in these activities. A sentence should be added to clarify this point.
2. As currently written, the Presidential policy does not seem to meet the [UCSF Medical Center's standards for inclusion, diversity, patient protection, and patient care](#) or the [UCSF Principles of Community](#) (see Policy FAQs # 5 and # 7 [p. 17]).

Thank you for the opportunity to review this important draft Presidential Policy. If you have any questions on UCSF's comments, please do not hesitate to let me know.

Sincerely,



Ruth Greenblatt, MD, 2015-17 Chair
UCSF Academic Senate

Encl. (1)

CC: Leslie Zimmerman, Chair, Committee on Educational Policy

November 17, 2016

Ruth Greenblatt, MD, Chair
UCSF Academic Senate
500 Parnassus Avenue,
San Francisco, CA

Re: CEP Response to Proposed Presidential Policy on International Activities

Dear Chair Greenblatt:

The University of California San Francisco Committee on Educational Policy (CEP) has discussed the proposed Presidential Policy on International Activities. While committee members declined to comment on the authored policy, they did have two questions about scope and omissions:

1. CEP members questioned if the policy was intended to cover creation and governance of international activities, but not the students or faculty or staff who would participate in such activities?
 - a. If that was the intention, CEP members request a sentence be added to clarify and identify the policy that does govern employees or students.
2. Separately, the policy as presented—if intended to also govern those students or employees involved in international activities—doesn't seem to meet the UCSF standards for inclusion and diversity, and patient protection and patient care (See FAQs # 5 and # 7 [page 17]).
 - a. In this discussion, committee members discussed the previously-passed policy protecting rights of LGBTQ students and employees in particular African nations. This proposed Presidential Policy—while intending to be broad—seems to suggest such policies are secondary to the foreign country's laws. This could put such students and employees at risk.

Members of CEP appreciate the opportunity to opine on this proposed policy.

Sincerely,

Committee on Educational Policy

Leslie Zimmerman, MD, Chair
Kimberly Topp, PhD, PT, Vice Chair
Marcus Ferrone, PharmD
Karen Hauer, MD, PhD
Miguel Pampaloni, MD

Deborah Johnson, RN, MS, NP
Susan Miller, PhD
Jennifer Perkins, DDS, MD
John Takayama, MD, MPH
Gail Persily, MLIS, Permanent Guest



COORDINATING COMMITTEE ON GRADUATE AFFAIRS (CCGA)

Kwai Ng, Chair
kwng@mail.ucsd.edu

ACADEMIC SENATE

University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

November 18, 2016

ACADEMIC COUNCIL CHAIR JIM CHALFANT

RE: International Activities Policy

Dear Jim,

CCGA reviewed the draft UC Policy on International Activities at its November 2, 2016 meeting. The new draft policy will supersede the existing 2005 policy, and expand the existing policy beyond establishment of UC-controlled entities in foreign countries to include issues of ethics and risk associated with international activities of UC faculty, staff, and students. CCGA appreciates that the revised policy aims to facilitate international activities of UC personnel, including graduate students, by raising consideration of compliance and risk management, in order to minimize risks associated with those activities.

Our review of the draft policy raised the following comments and recommendations for revision:

- 1) Section III.D: The consideration of ‘risks’ associated with international activities is a key feature of the revised policy, though it appears that the responsibility of identifying, and then considering ‘risks’ are very open-ended and fall upon the individual UC faculty, staff, or student – which might lead to considerable variation in the extent that meaningful risks are recognized and planned for. If the goal is to minimize risk, CCGA recommends a more structured process, perhaps aided by defined risk-analysis personnel, should be considered as a policy directive.
- 2) Section V.C: The requirement that proposers of international activities may need to perform a risk analyses, without any guidance on the nature and scope of the risk analyses to perform, may well lead to significant variation in the level and suitability of risk analysis. If the goal is to minimize unnecessary risk associated with international activities, CCGA recommends the policy include more guidance or clarity on the level of risk analysis that is needed or expected would be helpful.
- 3) Section V.F.3.iii: This section lists Executive Officer approval authority for activities that currently may be exempt from need for approval. CCGA recommends slight editing of this section as follows to improve clarity: “...These activities are part of the course and

scope of the employment, education, and training of faculty, students, and staff, and may include: cooperative study programs...”

The word ‘may’ was added because the list is not exhaustive, and because the local Executive Officer (or his/her designee) at the various campuses may invoke slightly different local policy on the nature of international activities requiring Executive Officer approval. The text “collaborations between faculty and peers overseas; attendance at and participation in meetings and conferences;” was deleted because these kinds of activities are part of the normal course and scope of faculty employment and/or a student’s education that do not now require formal approval, and will not under the revised policy - the deleted text is also consistent with language in the FAQ, Section VII.1, that identifies these activities as routine low-risk that did not and do not now require formal approval under this policy.

- 4) Section VI.B.1.j: The draft policy encourages faculty, staff, and students to consult the local UC administrative unit in advance of initiating an international activity. CCGA recommends that confirmation be obtained that the listed administrative units be capable of and prepared to provide guidance under this policy, which may not be the case at present.

Sincerely,



Kwai Ng
Chair, CCGA

cc: Shane White, Academic Council Vice Chair
CCGA Members
Hilary Baxter, Academic Senate Executive Director
Michael LaBriola, Academic Senate Analyst

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

UNIVERSITY COMMITTEE ON AFFIRMATIVE ACTION, DIVERSITY,
AND EQUITY (UCAADE)
Amani Nuru-Jeter, Chair
Email: anjeter@berkeley.edu

ACADEMIC SENATE
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

November 18, 2016

JAMES A. CHALFANT
ACADEMIC COUNCIL CHAIR

Dear Jim:

UCAADE submits the following comments in response to the proposed revisions to the Presidential Policy on International Activities.

In light of the extent of the University's international activities, we commend UCOP for their foresight in amending this policy to ensure the rights, privileges, responsibilities, and protections of UC faculty, students, and staff; protect the reputation of the UC; and manage the risks associated with engaging in international activities.

In consideration of issues related to diversity and equity, we offer the following suggestions:

1. In section I.B. (Principles), add language communicating the principle of being a global citizen, including the responsibility to uphold the values of diversity, equity, and cultural humility in an increasingly diverse and global community.
2. In section III.B. (Ethics), add language communicating the University's standards related to respect for persons and avoidance of exploitation, harassment or discriminatory treatment of others per APM 015 (faculty code of conduct), PACAOS -100 (student code of conduct), and PPSM-12 (non-discrimination in employment).
3. In section V. (Procedures) A. (Academic Oversight), there is language pertaining to "consideration of quality, reputation, resources, business practices, and academic standing, if relevant, of the potential partner." In light of considering the University's reputation, we suggest additional language pertaining to consideration of freedom of the citizenry, civic unrest, or any other issue that undermines the values of UC when considering whether or not to enter into agreement with an international partner.

We appreciate the opportunity to opine on the revised presidential policy.

Thank you,

A handwritten signature in black ink, appearing to read "Amani Nuru-Jeter".

Amani M. Nuru-Jeter, Ph.D.
Chair, UCAADE

cc: Shane White, Academic Council Vice Chair
Hilary Baxter, Academic Senate Executive Director
UCAADE Members



UNIVERSITY COMMITTEE ON INTERNATIONAL EDUCATION (UCIE)
Eduardo Macagno, Chair
Email: emacago@ucsd.edu

The Assembly of the
Academic Senate
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200
Phone: (510) 987-9467

November 18, 2016

JIM CHALFANT
ACADEMIC SENATE CHAIR

Dear Jim,

As it is to be expected, members of the UCIE have responded to the request for comments on the Proposed Draft Presidential Policy on International Activities through the concerns and commentaries provided by their own campuses, where international activities will be initiated and implemented for the most part. (It is important to point out, in this respect, that international activities and programs are based on a range of differing structures and offices in each of the UC campuses, and that the Draft Policy document glosses over this heterogeneity and thereby assumes that communication will be simpler than might be the case.)

As a system-wide Academic Senate committee, however, UCIE notes, for the record, that the proposed Presidential Policy, while placing ultimate control over International Activities in the office of the UC Provost and UC Regents, it does not clearly define circumstances and activities that would lead to consultation with the Systemwide Academic Senate and its committees, UCIE in particular, nor define mechanisms that would allow and facilitate faculty input for international activities initiated administratively at the systemwide level.

Respectfully,

Eduardo Macagno
Chair, University Committee on International Education

cc: UCIE Members
Shane White, Academic Senate Vice Chair
Hilary Baxter, Academic Senate Executive Director
Michael LaBriola, Academic Senate Analyst



UNIVERSITY COMMITTEE ON FACULTY WELFARE (UCFW)

Lori Lubin, Chair

lllubin@ucdavis.edu

Assembly of the Academic Senate

1111 Franklin Street, 12th

Oakland, CA 94607-5200

Phone: (510) 987-9466

Fax: (510) 763-0309

November 18, 2016

**JIM CHALFANT, CHAIR
ACADEMIC COUNCIL**

RE: Proposed Policy on International Activities

Dear Jim,

The University Committee on Faculty Welfare (UCFW) has discussed the proposed Presidential Policy on International Activities, and we suggest two clarifications, both related to timing. (1) The policy should specify how far in advance that the authorizing authority needs to be notified, and (2) it should indicate the expected timeline for a final decision. UCFW feels that including this information will help ensure timeliness, and thus efficiency, in the proposal process

Thanks for your attention to these areas.

Sincerely,

Lori Lubin, UCFW Chair

Copy: UCFW
Hilary Baxter, Executive Director, Academic Senate



UNIVERSITY COMMITTEE ON ACADEMIC FREEDOM (UCAF)
Hugh Roberts, Chair
hroberts@uci.edu

Assembly of the Academic Senate
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200
Phone: (510) 987-9466
Fax: (510) 763-0309

November 17, 2016

**JIM CHALFANT, CHAIR
ACADEMIC SENATE**

RE: Draft Presidential Policy on International Activities

Dear Jim,

UCAF has considered the Draft Presidential Policy on International Activities. We have no comments to make on the main body of the policy, but we suggest that one sentence in the opening paragraph on the policy's "purpose" be emended. The sentence current reads as follows:

The University is committed to academic freedom, which includes open access to information, free and lively debate conducted with mutual respect for individuals, and freedom from intolerance.

UCAF considers that it is unhelpful to suggest that the values of "mutual respect for individuals" and "freedom from intolerance"--however valuable and important they may be in themselves--are "included" in the principle of Academic Freedom. This seems to UCAF to confound separate values and ideas which can sometimes come into conflict. We would suggest the following change:

The University is committed to academic freedom, which includes open access to information, and free and lively debate. The University also values mutual respect for individuals and freedom from intolerance.

Sincerely,

A handwritten signature in black ink, appearing to read "Hugh Roberts".

Hugh Roberts, Chair
UCAF



UNIVERSITY COMMITTEE ON RESEARCH POLICY (UCORP)
Isaac Martin, Chair
Email: iwmartin@ucsd.edu

University of California
Academic Senate
1111 Franklin Street, 12th Fl.
Oakland, California 94607-5200

November 28, 2016

JAMES A. CHALFANT
CHAIR, ACADEMIC SENATE

Re: New Presidential Policy on International Activities

Dear Jim,

The University Committee on Research Policy (UCORP) discussed the Draft Policy on International Activities at its October 10 meeting. The members of UCORP generally expressed sympathy for the aims of the draft policy, and noted with appreciation that some of UCORP's concerns about a previous draft have been addressed satisfactorily. In particular, we were pleased to see that the categories of international activity requiring review have been distinguished unambiguously and the criteria clarified, so that it is now evident that this policy establishes no new barriers to routine international activities conducted as part of the ordinary scope of the employment or education of faculty or students.

UCORP expresses some concern, however, that the definition of "risk" used to determine the appropriate level of review remains vague, and may be overly inclusive. In particular, section V.F.3.i.4. refers to "very high levels of financial or other risk" as a sufficient criterion for the determination that an international activity requires the Regents' advance approval. "Risk" is defined in II.N. to include any "negative occurrence that may be mitigated by forethought and preparation," to whomever it may occur, and section V.C. specifies further that the negative occurrences contemplated by the policy include "damage to reputation." Taken at face value, this policy might be read as infringing on the academic freedom of faculty members to pursue unpopular research, if it is thought that such research carries a "very high" risk to literally anyone's reputation.

UCORP also notes that many international activities contemplated in the policy also must undergo senate review, and suggests the clarification that the proposed policy is not intended to supersede or replace existing senate review procedures for curriculum changes, degree programs, establishment or continuation of organized/multicampus research units, and the like.

Apart from these comments on the draft policy, members of UCORP expressed appreciation for the clarifying text that accompanies the draft policy, including the Frequently Asked

Questions and the policy checklist. When it comes to implementation, some members offered the further suggestion that a graphical decision tree might make the procedures particularly easy for interested faculty to navigate.



Isaac Martin
Chair, University Committee on Research Policy

cc: Senate Vice Chair Shane White
Academic Senate Director Hilary Baxter
UCORP members