

# International Partnerships and Activities Compliance Issues

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# Presentation Overview

- Introduction
  - The Context
    - University of California as a Global Institution
    - UCSD Health Sciences
    - UCSF Global Health Sciences
  - The Challenges
  - The Responses and Lessons Learned
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# Khalifa University of Science, Technology and Research (KUSTAR)

- Assist KUSTAR with the creation of a College of Medicine and Health Sciences
- Would not carry UC brand or issue UC degree
- New College would be research based
- Requires secondment of:
  - Up to four faculty members
  - One administrator

# KUSTAR

- Exchange of faculty, staff and learners for education purposes
- Collaborative research projects conducted by both institutions
- Assist the Health Authority of Abu Dhabi with public health initiatives
- Coordinate clinical training with the UAE state and military hospitals

# KUSTAR Compliance Areas

- Personnel
  - Living arrangements: liability, tax implications
  - Payroll: stipends
  - Benefits: health insurance
  - Return: position return rights, reentry transition

# KUSTAR Compliance Areas

- Research
  - Intellectual property
  - Ethics and privacy
  - Export controls
  - Personnel competence

# KUSTAR Compliance Areas

- Training
  - ACGME accreditation requirements
  - California licensing requirements
  - UAE licensing requirements
  - Visa compliance
  - New postdoc bargaining unit

# KUSTAR Compliance Areas

- Other
  - Dispute resolution
  - Joint degree requirements
  - Accreditation
  - Clinical practice
  - Branding and use of UC mark

# Hospital Management Consulting

- Projects in Libya and Kuwait
- Assist with hospital management
- Create quality assurance / quality improvement infrastructure
- Train hospital administrators and leaders
- Train clinicians and other care providers
- Compliance areas
  - Clinical licensure requirements in California and Libya
  - HR rules and regulations in California and Libya
  - Consulting vs. Management
  - Dispute resolution
  - Export controls

# Challenges of Operating Overseas

- Remote Management and Oversight
- Risk Management and Evaluation
- Finance, Accounting and Controls
- Organizational Structure
  - MOU, Agreements, Registrations, Foreign Entities
  - UC Foreign Affiliate/Operations Guidelines  
<http://www.ucop.edu/ucophome/coordrev/policy/PP081505.pdf>
- Tax
- Employment Matters
- Immigration - Visas
- Facilities
- Contracting – Selecting and Managing Contractors
- US Restrictions
  - Foreign Corrupt Practices Act
  - Export Controls
  - Office of Foreign Asset Controls

# Delegation of Authority – International Activities

The Regents

- Public Corporation established under Article IX, Section 9 of the California Constitution

President

- General Authority delegated to President by Standing Order 100.4 and by Regents Action (July 2002)

Provost or  
Chancellor

- Guidelines for the Establishment and Operation of Foreign Affiliates or Operations (August 2005)
- Specific Authority: DA 2036 Extramural Grants <\$5,000,000

The Regents of the  
University of California

Office of President -  
Provost

UCSF Global  
Health Sciences

Tanzania

Uganda

Affiliate 3

Affiliate 4

# Guidelines - Roles and Responsibilities

## Provost and EVP

- Initial Program Approval
- Approval of Organizational Documents for Affiliates
- General Fund Transfers
- Acceptance of Gifts -Approval of Use of Gift Funds
- Receipt of Annual Filings and Reports
- Approval of Transactions with Foreign Affiliate, Officer or Staff

## General Counsel

- Retention of Outside or Local Counsel
- Approval of Organizational Documents for Affiliates
- Receipt of Annual Filings

## Director of Financial Controls and Accounting

- Establishment of Bank Accounts and Exceptions
- Designation of Persons Authorized to Issue Checks >\$10,000
- Receipt of Annual Report on Bank and Financial Accounts

## EVP – University Affairs

- Acceptance of Gifts
- Approve Gift Solicitation and Acceptance Policies

## Vice President – Budget and Capital Resources

- Approve Leases, Property Management and Capital Improvement Agreements > \$25,000 or longer than one year

# Risk Management

- Contact Campus Risk Manager or Risk Services
- Evaluate Risk – Risk Shifting Mechanisms
  - Insurance Coverage, Endorsements
  - Local Requirements
- Register with the **UC Trips** system prior to departure to ensure life, travel, kidnap and ransom, medical, evacuation and other benefits  
<http://www.uctrips-insurance.org/>
- Information and communication through **IJET**
- Pre-departure liability waivers and releases from program participants
- Pre-departure Field Safety or Contingency Planning

Questions?

