

HARVARD UNIVERSITY POLICIES ON INTERNATIONAL PROJECTS AND SITES

I. Introduction

Harvard University is today a global university. Every year, thousands of foreign scholars come to Cambridge and Boston to study and to pursue careers in research and teaching. More faculty across the University are looking to develop intellectual capital in an international context. Increasingly, more students are choosing to spend time abroad.

In addition, Harvard derives great benefit from activities that are taking place outside of the country. Since the late 1990s, the number of international sites has increased, with the Business School taking the lead in creating several research centers around the world, the David Rockefeller Center for Latin American Studies operating a university-wide center in Santiago, and researchers at the Medical School and School of Public Health setting up projects in many third world countries.

For the University to remain a global leader in teaching and research, it is essential that it should continue to engage internationally and maintain a significant and vibrant presence outside of the United States. Harvard must foster an international commitment to scholarly creativity, openness to new ideas, the recruitment of the best scholars wherever their country of origin, and advancements in the humanities, sciences, and associated disciplines in the professions. The opportunities for Harvard to engage internationally are practically limitless.

With benefits, of course, there are also risks attendant on Harvard's increasing presence abroad, some of which include:

- the physical safety of faculty and students who spend anywhere from a few days to an entire year in foreign countries;
- the protection of Harvard's name and identity;
- the compliance by Harvard and its agents with the laws, regulations, and customs of foreign jurisdictions;
- the management of operational logistics in remote locations; and
- adherence to the high standards of accountability that are established here in Cambridge and Boston.

Such risks are inevitable and should never discourage Harvard from seeking educational and research opportunities abroad, but they do indicate the need for University-wide oversight and coordination of international activities.

Since 1997, the University has had in place a set of guidelines on establishing remote locations. Those guidelines are university policy. They require:

- clarity in the purpose and scope of international activities;
- adherence to Harvard's core academic purposes;

- rigorous oversight of such activities; and
- the need for cross-Faculty interests and concerns to be taken into account.

The University and its Schools will benefit if they can leverage their resources effectively, share information about and coordinate international activities, and minimize the exposure of the University's activities to unnecessary risk.

II. Strategic Considerations

Harvard's international projects, including sites, should enhance the educational and research activities of professors and students, but not substitute for proper endeavors that take place on the Boston and Cambridge campuses. The Schools should continue to propose and develop new ideas for international activities in line with the University's academic mission and the mission of each School. There will be substantial variation in the focus and nature of these activities throughout the world, consistent with the diverse interests of the different Schools and of the faculty and students.

The international activities of the University advance one or more of the following aims:

- Seeking to ensure a worldwide leadership role for Harvard across all fields of knowledge;
- Facilitating the research of its faculty in any country in developing scholarship in the humanities, the social sciences, the sciences, and across the professions, and creating intellectual capital that is international in scope;
- Facilitating the study of a wide array of subjects, also in any country, by Harvard students from all the Schools of the University;
- Fostering the growth of a worldwide community of scholars and pertinent practitioners;
- Engaging the Harvard alumni, in appropriate ways, wherever they may reside.

III. International Projects and Sites

Individual faculty members should be encouraged to conduct research outside the United States. The university supports the free inquiry and entrepreneurial spirit of faculty who wish to pursue international projects. The University will also endeavor to ensure that very large projects and projects of significant duration are conducted thoughtfully and safely and in a manner consistent with its administrative and academic standards. To achieve these objectives, the University has the following policies:

- All new proposals for the establishment of international multi-year projects that involve an annual project budget over \$1 million or one percent of a School's annual operating budget, whichever is larger, must be reviewed in advance by the Provost's Office.

International projects pertinent for these procedures involve multi-year commitments of Harvard schools, departments, or centers to engage Harvard professors or professional staff to teach, conduct research, or perform other professional services, for more than a brief visit, on a recurring basis somewhere outside the United States. Specific procedures to review such projects are detailed in Appendix 1. Most proposals for international projects are approved routinely. The University Committee on International Projects and Sites (UCIPS) advises the Provost on these matters; there is a description of the UCIPS in the next section.

Federally funded projects are also subject to approval under a process that involves the School and university levels. These university procedures for the review of international projects and sites are applied simultaneously with, and draw upon, federally-funded project review procedures in order not to lengthen the process of approval. The UCIPS coordinates with the Office for Sponsored Programs and focuses its reviews on the overall relation of the proposed federally-funded project with the University's international activities in the context of the core mission of the University and its Schools.

- All new proposals for the establishment of international sites, regardless of the size of each site's annual budget, must be reviewed in advance by the Provost's Office.

International sites involve the physical presence of the University — or one of its schools, departments, or centers — outside the United States. This site employs University personnel at a physical space leased, rented, or purchased on behalf of the President and Fellows of Harvard College. Several ways in which international sites might be conceived and designed are described in Appendix 2.

- All proposals that bear the Harvard name must also be reviewed in advance by the Provost's Office, regardless of the size of their budgets.

IV. Governance

The University has a long tradition of decentralized governance because it believes in the value of individual creativity and initiative. This tradition is respected in order for new ideas to continue to proliferate and take root. But as the University increasingly reaches beyond its boundaries and connects to the world, it must also coordinate its activities effectively in order to harness shared strengths from different corners of the institution and realize efficiencies wherever possible.

1. To better establish coordination and oversight of international projects (including sites, partnerships, and other such initiatives), while continuing to encourage faculty-driven efforts to expand Harvard's presence abroad, the University Committee on International Projects and Sites (UCIPS) has been established. Its members are faculty from several of the Schools; they are appointed by the Provost in consultations with the Deans. The Vice Provost for International Affairs chairs the UCIPS.

This committee applies guidelines for establishing international sites and assesses new proposals as the Schools propose them. It reviews and monitors proposals to enter into formal partnerships with foreign governments or institutions, or to engage in other international projects, according to the criteria already outlined. It also reviews periodically the major ongoing international activities—no matter what form, be it a physical office or a local partnership. The committee provides guidance to the Provost and works with the Deans to review such continuing international activities.

Staff hired by, and faculty involved in, School-specific sites or projects report only to the Dean of their School.

2. Each School of the University has established or is establishing a procedure to assess, monitor, and review international projects, including sites. This procedure involves consultation with pertinent faculty. Each School determines the scope of this procedure provided it is no narrower than it is for the UCIPS. Schools assess, monitor, and review as well projects smaller than those that the UCIPS considers, and informs the UCIPS of its disposition of those proposals. The UCIPS works with the School to disseminate information about these smaller projects as well. The Provost may draw from the membership of these committees for appointments to the UCIPS or from other faculty in consultation with the Dean of the School.

Thorough such review and oversight, the Schools will:

- Ensure that faculty proposals are first reviewed and subsequently monitored by those with closely related standards, interests, and concerns;
- Facilitate and greatly expedite the process of review by the UCIPS;
- Provide scholarly and practical advice to proponents;
- Permit scrutiny of smaller (budget below \$1 million per year or below one percent of annual budget, whichever is larger) multi-year projects and short-duration projects, should a School so decide; and
- Sustain the University's traditions of decentralization.

3. The University endeavors to sustain a review and approval process for international sites that is swift and easy. There is a two-step approval process to encourage the development of proposals for international sites while assuring that each proposal is coordinated, if necessary, with initiatives in other parts of the University and set up in an administratively sound manner. For examples of international sites, see Appendix 2.

The first step is as follows: A Dean, Department Chair, or Center Director—upon the completion of the appropriate procedures within the pertinent School—writes a letter to the Vice Provost for International Affairs, who will distribute it to all the Deans of Faculties, to explain the wish to establish a new site, request if necessary according to well-established policies the use of the Harvard name, list the academic reasons to justify it and their relationship to the mission of the University and the School, identify the hoped-for date of opening, note the expected size of the staff and their activities, and propose procedures for oversight and periodic review. The UCIPS consults with the

Deans of the Schools regarding their possible interest in joining the proposal. In most cases, the UCIPS accepts the proposal and asks the Provost to authorize and endorse the proposal for a new international site and instruct the University General Counsel and the Office of Risk Management and Audit Services, and others as pertinent, to work with the proponents to formulate a detailed proposal for review during a second step. The full proposal will return to the committee in due course for final approval, rejection, or modification. This second approval should in most instances be routine.

The UCIPS will be most concerned with the proposal's consistency with the University's academic mission, evidence of academic need for the site and of good-faith efforts to engage with other Schools of the University, procedures for oversight and review, business plan, and compliance with legal requirements.

4. The UCIP also reviews other international projects that meet the criteria established in this report, considering the procedures in Appendix 1 and upon the completion of the review by the established procedures in the pertinent School. In most cases, such proposals are approved and referred for information and discussion of administrative issues to the Office of the General Counsel, the Office of Risk Management and Audit Services, and other units as needed.

5. The Provost's Office endeavors to ensure that information about existing or proposed international sites is shared throughout the University and that administrative functions relating to sites, including legal, finance, risk management, and human resources, are integrated for all international activities.

The Provost's Office works with Deans and faculty in the various Schools to develop and oversee a variety of University-wide initiatives and policies regarding international projects, including sites, and other aspects of international engagement, and facilitate interfaculty coordination in the development of such endeavors.

The Vice Provost for International Affairs promotes international endeavors by Schools and professors and advocates on behalf of international projects, including sites, facilitating and expediting their implementation. The Vice Provost seeks to act as well as trouble-shooter and problem-solver, when appropriate, working jointly with the proponents of international projects to realize Harvard's full potential as a University.

Appendix 1: Procedures for the Approval of International Projects (other than sites)

In these instances, Deans of Schools follow well-established procedures to obtain permission, if necessary, regarding the use of the Harvard name. In addition, before launching a new large-scale multi-year international project budgeted at \$1 million per year or above, or in excess of one percent of a School's annual operating budget, whichever is larger, they file pertinent information with the Office of the General Counsel, the Office of Risk Management and Audit Services, and the Vice Provost for International Affairs, who chairs the UCIPS (see Section IV). Most proposals are

approved quickly, but either of the two Offices or the Vice Provost and the UCIPS may request additional information or discussion if they deem it pertinent.

Professors engaged in projects of this magnitude and duration in another country, without formally using the Harvard name, will file in advance of implementation in the same manner as in the paragraph above, and having abided by the procedures established in each School. Most of these proposals are also approved quickly, but there may be requests for additional information or discussion.

The UCIPS makes available to all Deans of Schools summary information regarding projects throughout the University to facilitate voluntary coordination and cooperation between Deans and professors from various Faculties. The UCIPS, in consultation with the appropriate Dean of School, and its counterpart committee, may also participate in the periodic review of such international projects, focusing on those aspects of the project that may affect the University as a whole.

Appendix 2: Types of International Sites

The Schools of the University display wide variation in their interest in, and capacity to develop international sites. Participation in such developments is voluntary. There are several variants, any of which is acceptable.

These approaches have in common the hope to preserve individual initiative for professors and Schools and facilitate entrepreneurship and flexibility while providing for a modicum of coordination. Faculty-driven initiatives should proceed unfettered, but within an administrative structure that makes sense for the University as a whole.

A. Single-School International Site

A School of the University proposes, establishes, and operates its own international site. The School's Dean appoints the executive director who reports to this Dean. The School decides how much physical space it wants, which activities it sponsors, what is its budget exposure and business plan, allocates its own resources, and hires and fires personnel. No services are provided to any other School. The School follows the procedures for formal approval noted in Section IV.

In addition, once a year the site's executive director reports to the UCIPS regarding its principal activities, indicating whatever possibilities may exist, if any, for coordination or cooperation with other Harvard Schools and professors.

B. Modular Approach

Another approach to the establishment and operation of international sites is modular. Each international site has two or more modules. Each interested School proposes, establishes, and operates its own module within an international site. Each Dean appoints

the executive director of the module who reports to that Dean. Each School decides how much physical space it wants, which activities it sponsors, and what is its budget exposure and business plan. Each module's executive director allocates its own resources. No module need provide services to a School other than its sponsor.

Each international site has a director for the site as a whole who reports to the Vice Provost for International Affairs. In most cases, the site's director also serves as executive director of one of the modules; the fractional allocation of time and compensation is worked out case by case. The site's director is the university's representative before all national and sub-national authorities where the site is located and is responsible for, and manages, all formal relations between the university and other public or private institutions in the host country. The site's director also oversees compliance with the laws and regulations of the host country and the United States on behalf of the site and all modules. The director also manages human relations, information technology, real estate, and space allocation for the modules in the site.

C. Integrated Approach

A third approach to the establishment and operation of international sites is to create an interfaculty site that serves all Schools of the University. Proposals may emerge from regional research centers, from the Deans of the Schools working with and through the Office of the Provost, or from the President, Provost, or Vice Provost for International Affairs. The interfaculty site devises procedures to serve professors and students from any School in the University. The proposing unit nominates a director who is jointly appointed by, and responsible to, the proponent and the Vice Provost for International Affairs, and who decides how much physical space is needed, which activities the site sponsors, and what is its budget exposure and business plan.

The director is also the university's representative before all national and sub-national authorities where the site is located and is responsible for, and manages, all formal relations between the university and other public or private institutions in the host country. The director also oversees the site's compliance with the laws and regulations of the host country and the United States. The director also manages human relations, information technology, real estate, and space allocation in the site.

D. Hybrid Approach

A hybrid approach combines the modular and integrated approaches. One School may decide that the level of service that it wishes to provide to its faculty or students would greatly exceed what the integrated approach can accomplish. Other Schools, however, may be satisfied with the level of service that an integrated approach can provide. Cost may be a consideration: the first School may have more resources than the others. One module is created and responds to just one School. The other module exemplifies the integrated approach. The process of establishment, appointment of site director, review, etc. is akin to the modular approach in this case for the site as a whole, but to the integrated approach for that part of the site that operates on this basis.