**Chair/Director External Engagement Supplemental Review Guide**

As a supplement to the WSU [faculty manual](https://facsen.wsu.edu/documents/2018/08/faculty-manual.pdf/), the following questions are intended to help guide Chairs/Directors in establishing the critical points concerning any external engagement of your faculty, and therefore, to identify potential risks, mitigation, and internal or regulatory notification or approval requirements regarding the following policies:

1. Section IV(D). *Policy on Compensated Outside Service by Faculty Members—Consulting*
2. Section IV(E). *Extended Professional Activities*

In addition, to understand all the facts of an engagement, you may find it useful to review the contract, website, correspondence or other written material that spells out the nature of the international engagement, and any obligations.[[1]](#footnote-1) This is particularly the case with respect to any outside activity where the individual is expected to perform research, including, for example, participation in a talent program, or any other activity that involves the conduct of research at another entity or institution. JASON finds that failing to disclose any aspect of a foreign engagement, whether it is an international scholar coming to the US or a US researcher conducting funded research in a foreign country, compromises the integrity of the US research enterprise.[[2]](#footnote-2)

The following questions are not intended as a “checklist” but rather as “prompts” to help Chairs/Directors understand the nature of the engagement.

1. Identity of non-US entit(ies)
	1. What is the name, address, and point of contact for the non-US entity or entities involved in the engagement?
	2. Who are the individuals involved with the engagement? Are all individuals known?
	3. Where will the activity take place (e.g., all locations)?
	4. How is the entity or engagement being funded (e.g., foreign governmental funding, foreign private non-US funding, US funding, etc.)?
2. Activity
	1. What is the nature of the activity? Does it involve research? Teaching? Mentoring?
	2. Has your researcher been listed on a proposal for a project to be carried out by or at the other entity? If so, obtain copies.
	3. What are the expected duration and time commitments?
	4. Is the activity part of an on-going research collaboration?
3. Relationship to institutional activities
	1. How is the international engagement related to the individual’s current (home) institutional activities (e.g., research, teaching, mentoring)?
	2. Is there any potential overlap between the international engagement and the individual’s current institutional activities?
	3. Will the international engagement create competition with the home institution (e.g., for the researcher’s time or research resources)?
4. Intellectual property
	1. Will data or materials be exchanged or shipped to a non-US institution?
	2. Is intellectual property likely to be developed?
	3. Who will own any resulting intellectual property?
5. Controlled technology and information
	1. Is the activity subject to export controls?
	2. Does the activity involve a restricted entity or other entity identified as posing a possible elevated risk?
6. Authorship
	1. Is joint authorship expected of papers, data sets, software, or other works?
	2. Who will control the dissemination of the resulting fundamental research, data and products?
	3. What affiliations will be listed for the faculty member?
	4. Will institutional or sponsored funding help support the publication? Many sponsors require acknowledgment of grant support.
	5. Are there any expectations for authorship that would violate US authorship norms and policies (e.g., agreements to name individuals as authors, payments for authorship, or promoting an affiliation with another institution)?
7. Activity at other institutions or entities
	1. Does the engagement require a specified time commitment at another institution, and if so, what is the commitment?
	2. Is there a formal academic appointment or affiliation?
	3. Does the activity involve mentoring/supporting another institution’s students at that institution; will the researcher apply for or participate in sponsored projects at the other institution?
	4. Will the foreign entity provide resources for research (e.g., salary, space, equipment, data, proprietary materials, etc.), and if so, what are the forms of support?
	5. Are there any additional obligations, contractual or otherwise?
	6. Is there an expectation for the collaboration to continue after your researcher returns to the home institution such that a component of institutional research will be conducted at the foreign institution?
8. Benefits and compensation to your researcher
	1. Will your researcher be compensated for this engagement? If so, what are the forms of compensation (e.g., salary, access to a lab, other resources)?
	2. Will your researcher receive any other benefits (e.g., sponsored travel or other remuneration?)
9. Appointments at your institution
	1. Does the engagement require your institution to host or mentor individuals from the foreign entity at the home institution? If so, what positions or appointments are involved (e.g., students, post docs, visiting scientists)?
	2. How will those individuals be selected (e.g., will the researcher have control over who comes to the home institution, or will the other entity select the personnel)?
	3. Is the individual affiliated with any military or high-risk entities abroad?
	4. What is the duration of each appointment?
	5. What activities will visitor(s) be engaged in at the home institution?
	6. How will visitor(s) be funded?
	7. Will visitor(s) sign your institution’s visitor agreement, if required?
	8. Do the visitors’ institutions require any reporting back on their activities at your institution?
	9. What training/orientation on institutional policies will be provided, if any?
10. Use of your institution’s resources
	* 1. Will access to space, equipment, data, proprietary materials, or other institutional resources be provided in support of the activity?
		2. Will there be a payment to your institution for the visitors’ use of institutional resources?
		3. Will your institution’s name or brand be used in any way?
11. Imposition of non-US legal obligations
	* 1. Is there an agreement that imposes foreign legal obligations on the researcher?
		2. Are those obligations in conflict with US law, institutional policy, or generally accepted research values or principles? Does the non-US entity uphold these research values and principles (e.g., academic freedom)?[[3]](#footnote-3)
12. Termination

 a. How does the researcher end the engagement?

For further reading, please see COGR’s “[Framework for Review of Individual Global Engagements in Academic Research](https://www.cogr.edu/sites/default/files/COGR%20Framework%20Formatted%2001142020.pdf).”

1. Web searches may assist in identifying relationships with other entities. See [https://www.bloomberg.com/news/articles/2019-08-21/u-s-industrial-researcher-charged-with-hiding-his-job-inchina](https://www.bloomberg.com/news/articles/2019-08-21/u-s-industrial-researcher-charged-with-hiding-his-job-in-china)  [↑](#footnote-ref-1)
2. JASON report JSR-19-2I Fundamental Research Security, p. 32 [↑](#footnote-ref-2)
3. See Washington Post article [In Xi Jinping’s China, a top university can no longer promise freedom of thought](https://www.washingtonpost.com/world/asia_pacific/in-xi-jinpings-china-a-top-university-can-no-longer-promise-freedom-of-thought/2019/12/18/59f4d21a-215d-11ea-b034-de7dc2b5199b_story.html)  [↑](#footnote-ref-3)