AD HOC FACULTY COMMITTEE ON GUIDELINES FOR OUTSIDE ENGAGEMENTS

DRAFT REPORT
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1 EXECUTIVE SUMMARY

Like other institutions of research and higher education, MIT faces an ever-changing landscape of philanthropy and engagements. In recent decades, costs have steadily increased, while support from U.S. government agencies has decreased. As a result, we are relying more heavily than before on a wide range of funding sources, including foreign governments, national and multinational corporations, private foundations, and individuals. This situation has prompted concerns about the nature and extent of MIT’s dependence on outside sources of funding, whether through our acceptance of gifts and grants, or our participation in research associations and collaborations. Are we allowing outside sources to have undue influence on how we conduct our research? Are we inadvertently helping bad actors “launder” their reputations through their associations with MIT? Are we intentionally or unintentionally promoting agenda that are at odds with MIT’s research and educational mission?

In response to these concerns, the Ad Hoc Faculty Committee on Guidelines for Outside Engagements (“the Committee”) was convened in October 2019 with the charge “to define a set of values and principles, consistent with MIT’s mission, to guide the assessment of outside engagements” including “grants, gifts, and any other associations and collaborations involving MIT with governments, corporations, foundations, or private individuals, domestic or foreign.”

MIT has always set a standard for leadership, which compels us to deal with the issues that confront us with the gravity they demand. By more deliberately and explicitly aligning our actions with our core values and principles, we hope to make a clearer statement of who we are as a community, and where our boundaries are, all while setting an example for the rest of the nation. To that end, the Committee has articulated a list of core values and principles, and developed a set of guidelines (in the form of tools) that decision-makers at MIT can use in evaluating potential outside engagements. A separate but related committee, the Ad Hoc Faculty Committee on Gift Processes, is charged with specifying in more detail how these guidelines and tools will be put into practice in relation to gifts and grants. Its recommendations also likely will inform the implementation of our guidelines in relation to research associations and collaborations.

The Committee’s charge required standing a parallel Student Committee on Outside Engagements to deliberate the same issues and to produce a report that is included as an Appendix to this report.

To orient our deliberation, we began with the MIT mission statement. We then solicited input from community members across MIT. We requested white papers from all departments, labs, and centers, and we held campus conversations and office hours to provide faculty, postdoctoral fellows and associates, non-faculty instructors, staff, students, and alumni with the opportunity to share their views. We reviewed relevant value statements and guidelines from peer institutions. And we considered a range of specific, detailed examples of potential outside engagements that MIT decision-makers have or could have considered. In the end, a consensus emerged around nine core values and principles. (We did not rank these values and principles in order of importance, and this list is not intended to reflect any such ranking):

– Academic integrity
– Academic freedom
– Education and mentorship
– Service
– Diversity, equity, and inclusion
– Transparency
– Professional integrity
– Respect
– Courage to act on our convictions

These values and principles are further defined in the details of this report. They are intended to complement our standing interests in achieving excellence and maintaining our reputation. Any excellence worth achieving, and any reputation worth maintaining, will be so in part because it is an expression of these core values and principles.

To bring these abstract ideals closer to practice, we then developed a set of guidelines to be used by decision-makers at MIT who are considering whether or not to accept specific gifts or grants, or participate in certain research or educational associations or collaborations. The tools that form the basis of these guidelines are designed to ensure careful consideration of how acceptance of a given gift or engagement would impact our ability to uphold our core values and principles. Some of the issues we ask decision-makers to consider are: the impact of the engagement on national security; its consistency with the law; its implications for the protection of political, civil, and human rights; whether transparency about the engagement would damage our reputation; and whether participation in it would force us to stray from our educational mission or invite undue influence on our academic freedom.

Because deciding complex cases will sometimes require more extensive deliberation, we recommend establishment of a “Standing Committee,” whose membership should reflect a diversity of outlooks and experiences. The role of the Standing Committee will be to consider and resolve difficult cases. In addition, it will document its decisions in such a way that, over time, it will build a body of case law to which decision-makers can refer in dealing with new cases. Ideally, as this body of case law grows, it will become easier for the Standing Committee to make decisions on new cases. The goal is that this combination of tools, Standing Committee, and case law will expedite, rather than delay, the process of accepting and rejecting outside engagements as it promotes transparency and greater consensus about each specific decision.

During one of the campus conversations, a staff member articulated the difficult task ahead: “Values are something for which you are willing to sacrifice, right? The values that you have are the ones that you are willing to sacrifice for. If you are not sacrificing anything, then you probably do not have your values right, or your values are meaningless… What are we willing to sacrifice, and what are we going to sacrifice, for these values?” The more we internalize our values, the more they become second nature, the less those sacrifices will feel like sacrifices. We hope that this guidance will become an integral part of MIT’s DNA—a feature of our shared institutional culture and of our characters as individuals. And we hope that this culture will have an impact on the wider world, as our community members move on to pursue new professional and personal opportunities outside of MIT. We welcome others to join us in our fundamental education and research mission, with full transparency around the values and principles to which we are committed.
2 INTRODUCTION

2.1 CHARGE

The Ad Hoc Faculty Committee on Guidelines for Outside Engagements (“the Committee”), was convened by the Chair of the Faculty, Professor Rick Danheiser, in Fall 2019 in the wake of revelations concerning the involvement of Jeffrey Epstein with the Media Lab and other individuals at MIT. Before these revelations, former Chair of the Faculty, Professor Susan Silbey, had convened a committee to deliberate on international engagements. In creating the new committee, Professor Danheiser recruited several members of Professor Silbey’s committee, which was dissolved. To this membership, Professor Danheiser added additional faculty with experience in fundraising and in the supervision of labs and centers with significant research funding.

In October 2019, Provost Marty Schmidt convened an Ad Hoc Faculty Committee on Gift Processes (“Processes Committee”), chaired by Professor Peter Fisher. Given the need for tight links between guidelines and processes, and to facilitate communication and ensure coordination, in agreement with Provost Schmidt, three members of the Committee were chosen to serve as voting members of the Processes Committee.

The charge to the Committee was to define a set of values and principles, consistent with MIT’s mission, to guide the assessment of outside engagements. Outside engagements include grants, gifts, and any other associations and collaborations involving MIT with governments, corporations, foundations, or private individuals, domestic or foreign. The Committee was to produce a set of guidelines to be employed by MIT decision-makers, in ways defined by the Processes Committee, for the evaluation of potential outside engagements.

A detailed charge is included in Appendix 1 and can be found online.

2.2 MEMBERSHIP AND COMMITTEE DELIBERATIONS

The Committee was chaired by Tavneet Suri, Associate Professor at the Sloan School of Management, and staffed by Deliana Ernst, Assistant Director of the MIT Skoltech Program.

The full Committee included 17 other members, drawn from across all schools and with a range of fundraising experiences (see Appendix 1 for more about the Committee), selected by the Chair of the Faculty. Some members (indicated with an asterisk in the list that follows) were part of an International Subcommittee, along with the chair. That subcommittee was created in the charge set out by Professor Danheiser. Other members (indicated with two asterisks), along with the chair, were also part of the Processes Committee.

- Daron Acemoglu, Institute Professor, Department of Economics*
- W. Craig Carter, POSCO Professor of Materials Science and Engineering
- Arup K. Chakraborty, Robert K. Haslam Professor of Chemical Engineering, Professor of Physics and Chemistry, and Core Member (Founding Director) Institute for Medical Engineering and Science
The charge to the Committee included the creation of a parallel Student Committee on Outside Engagements (“the Student Committee”) to deliberate these same issues and to provide input to the Committee. The Student Committee report is included as an Appendix to this report, as per the charge.

The original Committee on International Engagements met informally twice in September 2019 to discuss the potential new committee with a broader mandate. The newly constituted Committee met 19 times in total, each meeting lasting 2 hours. Four of these meetings took place in the Fall of 2019, one during the Independent Activities Period (IAP), and the rest in the Spring of 2020. In addition, the International Subcommittee met six times, each time for 90 minutes (these meetings were held in the Fall of 2019 and during IAP). Three Committee members (Tavneet Suri, Daniel E. Hastings, and Chappell Lawson) were also part of the Processes Committee, which met weekly for an hour each time. Furthermore, two Committee members (Diana Henderson and W. Craig Carter) and the chair met with the parallel Student Committee several times to share progress.

The Committee had robust conversations, with extensive deliberation whenever there were disagreements. Altogether, Committee members have decades of experience as faculty, fundraisers, and administrators (as highlighted in Appendix 1). We strove for a rough consensus, which was achieved on most topics. Dissenting opinions on specific points are mentioned as they arise throughout this report.

– Fotini Christia, Professor of Political Science*
– Robert Desimone, Doris and Don Berkey Professor, Brain and Cognitive Sciences, and Director, McGovern Institute for Brain Research
– Amy Glasmeier, Professor of Economic Geography and Regional Planning, Department of Urban Studies and Planning*
– Paula T. Hammond, David H. Koch Chair Professor of Engineering and Department Head of Chemical Engineering
– Daniel E. Hastings, Cecil and Ida Green Education Professor and Department Head of Aeronautics and Astronautics*, **
– Diana Henderson, Arthur J. Conner (1888) Professor, Associate Head of Literature
– Chappell Lawson, Associate Professor of Political Science, and Director, MIT International Science and Technology Initiatives (MISTI) Program*, **
– Jacqueline Lees, Virginia and D.K. Ludwig Professor for Cancer Research, Associate Head of Biology, and Associate Director of David H. Koch Institute for Integrative Cancer Research
– Tamar Schapiro, Associate Professor, Department of Linguistics and Philosophy
– Susan S. Silbey, Leon and Anne Goldberg Professor of Humanities, Professor of Sociology and Anthropology, and Professor of Behavioral and Policy Sciences, Sloan School of Management
– Yogesh Surendranath, Paul M. Cook Career Development Associate Professor of Chemistry
– Bruce Tidor, Professor of Biological Engineering and Computer Science*
– Robert D. van der Hilst, Schlumberger Professor of Geosciences and Department Head of Earth, Atmospheric, and Planetary Sciences
– Bilge Yildiz, Professor of Nuclear Science and Engineering, Professor of Materials Science and Engineering
This approach illustrates the immense value of collective deliberation. Committee members were open minded, listened to each other respectfully, learned from each other, and sometimes changed opinions based on deliberations. This report enjoys the unanimous endorsement of the Committee.

2.3 A VIEW OF MIT’s FINANCES

In comparison to most academic institutions, MIT has a large budget and endowment (Figure 1 shows MIT’s revenues and expenses between 1960 and 2019). Here, we offer some facts about MIT’s finances that are relevant for context and to better appreciate the roles of fundraising and outside engagements at MIT and the potential impact of new guidelines. Please note that throughout this report, due to rounding, the sum of numbers presented may not match the totals provided, and percentages (where provided) may not add up to exactly 100%.

Figure 1: MIT Revenues and Expenses, 1960–2019

MIT’s expenses can be thought of as comprising elements that advance two main purposes aligned with our mission: education and research. Graduate students occupy an area of overlap because those who are not supported by teaching assistantships are often supported through research grants, training grants, and other research funds.

Except for tuition, nearly all the education and research funds at MIT come from current or past outside engagements, including grants and gifts. Philanthropic resources are interwoven throughout the operations of the Institute. Gifts and pledge payments for current use, and income and gain from investing the endowment and working capital often derived from philanthropic proceeds, fund the costs of specific faculty, programs, and functions, and form a significant portion of the unrestricted revenues allocated to academic and administrative units through the General Institute Budget (GIB). Faculty, of course, play a tremendously important role in raising these funds as well as those for research.
Campus research revenue, including funding for direct research activity and the recovery of facilities and administrative costs enabling our research enterprise, accounted for approximately one-quarter of total campus revenue in Fiscal Year 2019; and 40% of campus research volume in 2019 was supported by non-federal sponsors, up from 29% a decade ago. Figure 3 provides an overview of 2019 revenues and expenses by type.

MIT’s endowment derives principally from philanthropic funds. Through the annual distribution of a portion of its investment returns, the endowment has supported significant growth in MIT’s operations. As shown in Figure 2, between 1981 and 2019, the fraction of our growing campus budget that comes from investment support (principally distributed endowment returns) has grown, while the fraction from research revenues has shrunk. Note that auxiliaries include dining, housing, the Tech Review, MIT Press and Endicott House.

Figure 2: Sources of MIT Revenue, 1981–2019

Even while providing increasing support for operations, the endowment has grown significantly in recent years due in part to its retaining a portion of investment returns to maintain purchasing power to provide long-term support for MIT’s needs. The endowment has also increased due to additional gifts provided by donors each year.
Figure 3: Revenues and Expenses by Type, 2019

Unrestricted revenues $1,404M
- Philanthropic support $464M (33%)
- Degree tuition $556M (40%)
- Research recovery $332M (23%)
- Fees, services, other programs $134M (10%)
- Non-degree programs $4M (0%)
- Total unrestricted expenses $1,404M

Designated revenues $1,182M
- Philanthropic support $644M (71%)
- Degree tuition $137M (12%)
- Fees, services, other programs $149M (13%)
- Non-degree programs $77M (6%)
- Total designated expenses $907M

Research revenues $1,601M
- Campus non-federal direct $516M (17%)
- Campus federal direct $342M (22%)
- Lincoln/SMART direct $1,062M (66%)
- Total research expenses $1,642M

Auxiliaries revenues $138M
- Auxiliaries $138M (100%)
- Auxiliaries expenses $152

Net results $0M + $276M + $41M = $221M

*Various revenues & expenses reclassified from presentations in other MIT internal financial publications to include restricted revenues (and the expenses they fund) within “designated” and treat financial aid as an expense (as opposed to an offset to tuition revenue). MIT Report of the Treasurer (GAAP) net results of $221M preserved.

Philanthropic support includes expendable gifts and pledge payments, endowment income, income from working capital investments (often derived from philanthropic proceeds) and other investment income.
Although our endowment is large ($17.4B), only 16% ($2.7B) is available for general purposes. The rest must be spent on specific purposes (see Figure 4). The investment returns from this portion are distributed through the GIB for a wide range of purposes, including financial aid and other graduate student support, faculty and academic staff costs, curriculum development, campus operations, construction, renovation and upkeep, administrative and central functions, and external rent and taxes. The rest of the endowment ($13.7B) is restricted to supporting specific purposes—for example, research; scholarships; fellowships; professorships; and school, departmental, and faculty discretionary funds. When a donor gives funds to the endowment for a specific purpose, MIT has a legal obligation to distribute them according to the donor's intent.

The annual revenue and endowment income or payout are used to support the expenses of MIT each year, as broken out for 2019 in Figure 5.

![Figure 4: MIT Endowment by Purpose, 2019](image)

While the number of people employed at MIT has grown substantially over the years,\(^1\) the number of faculty has not, increasing only about 6%, as shown in Figure 6. (Note that this does not include future employees as of 2019. A further breakdown of the non-academic portion shows that the growth rate for revenue-generating units (MIT Investment Management Company [MITIMCo], Alumni Affairs, and Resource Development) is 4.6%, while the growth rate for non-revenue-generating units is 1.4%.

\(^1\) Focusing on the past decade, the average annual growth rate for administrative staff full-time equivalent personnel is 4.0%. Broken down into academic and non-academic components, the growth rates are 5.3% and 2.1%, respectively. A further breakdown of the non-academic portion shows that the growth rate for revenue-generating units (MIT Investment Management Company [MITIMCo], Alumni Affairs, and Resource Development) is 4.6%, while the growth rate for non-revenue-generating units is 1.4%.
committed slots, such as for the College of Computing). There is some concern that much of MIT’s increasing expenses must be due to increases in administrative staff. Although the size of the administrative staff has grown in the past 20 years, **Figure 6**—which shows the total number of faculty, other categories of MIT employees, and students per faculty member (whose number has not grown much over the same period)—highlights that most of the increases come from the number of postdoctoral fellows, research technicians, and graduate students, that is, people largely engaged in research (whose stipends and salaries have grown as well). Thus, if fundraising were curtailed at MIT, the impact would disproportionately affect the number of postdoctoral fellows and associates, technicians, and graduate students.

**Figure 6: People at MIT, 1981-2019**

Note: Excludes the Credit Union, edX, the Consortium on Financing Higher Education, the Forum for the Future of Higher Education, retired faculty, affiliates, and visiting students. In 2019, there were 1,008 visiting students, 1,209 affiliates, and 277 retired faculty on campus. Figures for 1981 are unavailable. The figure shows the total number of faculty in absolute numbers at the center surrounded by the number of other staff and students by category of staff/student in terms of the number in each category per faculty member.

Gifts and outside engagements are important to MIT for a variety of reasons. Certainly, gifts and funded engagements provide crucial funds for research, education, student support, campus construction, and much more. Beyond the financial, outside engagements bring MIT students, staff, and faculty in closer contact with compelling research problems, outstanding colleagues, and unique opportunities to have positive influence in the world. Many of these engagements are faculty initiated; even engagements strongly connected to the MIT administration are still largely designed and run by faculty. Because of the importance of such programs to MIT’s mission, our committee was guided throughout its discussions by the principle that it is important to enable these relationships, without violating the values and guidelines that follow.
3 COMMUNITY ENGAGEMENT

As a committee, we insisted on our accountability to the community; collecting feedback directly from faculty, staff, students, and alumni from across the Institute was core to our charge. The Committee took this seriously, designing a feedback process that was inclusive both within the Committee and within the community. The feedback process was an exercise in developing a common view of the issues and in building trust across the community for the Committee’s deliberative process.

We collected an initial round of feedback in the Fall of 2019 via campus conversations, white papers, office hours, and emails, which provided input into our values and principles concerning outside engagements and the guidelines that emanated from these values (as shown in Figure 7).

Figure 7: Community Engagement

![Diagram of feedback process]

Reporting back to the community was an equally important part of our accountability. In May 2020, we held a Community Forum to solicit feedback on our draft values and guidelines, which we then incorporated. In addition to formal meetings, the Committee chair and individual members had dozens of informal conversations with colleagues and members of MIT’s senior-level staff to solicit their input.

3.1 CAMPUS CONVERSATIONS

Over the course of the 2019 fall semester, the Committee organized 15 campus conversations. Those conversations included five for faculty (these were organized by school but open to any faculty to attend), four for staff (including one for research staff and one for all resource development staff), two for students, three for alumni, and one open meeting at the end of Fall 2019 for those who could not attend other conversations.

In total, approximately 80 faculty, 280 staff, 25 alumni, and 40 students attended. To aggregate the feedback, the conversations were recorded and transcribed. The Committee reviewed all the transcripts in a consistent and systematic fashion, noting the issues raised by constituency during the conversations and ultimately sorting them into three categories: (i) values, (ii) guidelines, and (iii) specific structures around these guidelines. These were then integrated into our deliberations around the final values, guidelines, and recommendations made in this report. Appendix 2 summarizes the feedback offered in these campus conversations.
3.2 Office Hours

In addition to the campus conversations, some members of the Committee held announced office hours for members of the MIT community who wanted to chat one-on-one rather than in public. A total of 12 hours of office hours were held between late November and mid-December 2019 by W. Craig Carter, Diana Henderson, Robert Desimone, Susan Silbey, and Tavneet Suri.

3.3 White Papers

The Committee asked all the heads of departments, labs, and centers (DLCs) to convene their communities (faculty, staff, and students) to create a white paper to be submitted to the Committee on values and principles for engagements. We provided DLC heads with some guidance about topics to include in the white papers (see Appendix 3), but we left them to convene their communities as they chose. The DLCs consulted with their communities in different ways, ranging from emailing a survey to the entire DLC population to conversations among smaller sub-groups to generate a first draft that was then circulated for comments. We received a total of 17 white papers. One of the white papers submitted by the Sloan School was the result of a joint discussion by nine different DLCs at Sloan.

Approximately 30% of the DLCs submitted a white paper. Figure 8 shows the distribution of white papers received across schools (the first number is the absolute number of white papers received and the second the percentage). As with the campus conversations, we systematically reviewed the white papers, sorting the issues each DLC raised into three categories: (i) values, (ii) guidelines, and (iii) specific structures around these guidelines. This material was then integrated into our deliberations around the final values, guidelines, and recommendations made in this report. The white papers were of extremely high quality and reflected nuanced, careful reasoning about the issues, including potential tensions and tradeoffs. Appendix 3 summarizes the feedback from the white papers.
3.4 **Emails and Conversations**

Outside of the formally organized campus and conversations, the Committee also received a number of emails with recommendations and suggestions. In addition, a number of the Committee members had conversations outside the formally organized venues with members of administration, students and faculty in their departments. Input from these conversations was also included in our deliberations.

3.5 **Peer Schools**

Deliana Ernst, staff member to the Committee, collected all the publicly available policies from peer and other schools and summarized these for the Committee. A total of 12 peer schools had publicly available policies. A summary of these policies is provided in Appendix 4. However, note that none of the peer schools explicitly articulate a set of values grounding their decisions to accept particular gifts or engagements. None reported a process similar to what we followed to develop a statement of values, soliciting feedback from across the community, and integrating those values into decision-making guidelines.

4 **MIT Core Values and Principles**

The Committee conducted internally a values exercise (based on design thinking) to understand what values we, as a group, believe are fundamental for the Institute. To the output from this exercise we added the feedback we collected on values from all the campus conversations, white papers, emails, and meetings with members of the community. The core values that emerged from the consolidation of the exercise and the community inputs are as follows (in no particular order).

**Academic integrity**

We strive to pursue and advance knowledge according to norms and procedures that are designed to protect against bias, distortion, and misinformation. We recognize that these norms and procedures will be diverse, according to differences in subject matter, approach, and research methods; but all must be transparent and provide standards in light of which conclusions can be publicly challenged and justified.

**Academic freedom**

We strive to protect and promote academic freedom at all stages of inquiry—the framing of research priorities and questions, the execution of research, and the dissemination of findings—as well as free and open academic debate on campus. No source of financial or political support, whether it be an individual or an organization, should have undue influence at any stage of the research process or a stifling effect on MIT’s intellectual climate.

**Education and mentorship**

We strive to build a community in which we teach and learn from one another so that all of us can benefit from our shared knowledge and experience. We value both knowledge that is acquired...
through formal training and that which is gained from professional and lived experience. The responsibility to teach and learn from one another extends to faculty, students, and staff at all levels. In the same spirit, we support open access to the work generated at MIT, so that those outside of MIT can learn from it.

**Service**

We strive to work diligently, creatively, and effectively for the betterment of the nation and the world, as well as our MIT community. While it can be difficult to anticipate the full consequences of scientific and technological innovation, our aim is to advance knowledge that will have a beneficial impact on the United States and humanity as a whole.

**Diversity, equity, and inclusion**

We strive to build an inclusive, equitable community characterized by a diversity of backgrounds, experiences, and opinions. Diversity, equity, and inclusion are ongoing challenges that require education, commitment, and vigilance at all organizational levels: the Institute as a whole, schools, departments, labs, and centers, as well as individuals. Recognizing these challenges, we strive to overcome the systemic barriers to the advancement and inclusion of currently underrepresented groups, and aim to dismantle the specific mechanisms that perpetuate inequity and marginalization.

**Transparency**

We strive to establish transparent procedures at all levels of decision-making within the Institute. Transparency protects against conflicts of interest, abuse, and corruption by promoting accountability. It also provides a basis for learning from our mistakes and improving our decision-making over time. Different forms of disclosure will be appropriate in different contexts, but the presumption is that more transparent procedures are preferable, wherever possible.

**Professional Integrity**

We strive to act with integrity in our institutional roles. Doing so involves avoiding wrongdoing and impropriety, as codified in laws and regulations, as well as upholding professional and institutional standards. Integrity also involves taking responsibility for our actions, including those we regard as mistakes or failures.

**Respect**

We strive to build a community based on mutual respect, fairness, and civility. This is especially important in contexts where we disagree with one another over substantive matters and in relations of unequal power, as between faculty and students, or supervisors and subordinates. The same respect, fairness, and civility should extend to those outside MIT with whom we engage.

**Courage to act on our convictions**

There may be circumstances under which it is costly to uphold these values. We strive to have the courage to uphold them even in the face of political, social, or financial pressure to do otherwise. We also strive to provide an example to other institutions that might benefit from our leadership.
Reinforcing these values are core principles we should uphold in our community and in all our engagements. We should strive for excellence in everything we do, and we should respect our image and our reputation in the world. Our reputation is our capital; it has a positive return (it attracts the best to our community), but it can also be depleted by our actions. Conversely, we can enhance our reputation by taking a principled and public stand that reflects fidelity to our core values. We should embrace activities that are true to our values even when they are inconvenient or simply unconventional. We should not participate in reputational rehabilitation (directly or indirectly) by engaging with individuals or entities whose misdeeds are egregious, such that association with them would undermine our reputation or negatively affect our ability to promote our own values.

We hope the articulation of values included here will serve as a foundation, assisting the future work of others. In February 2020, Chancellor Cynthia Barnhart and Provost Martin Schmidt (along with Ramona Allen, Rick Danheiser, Mark DiVincenzo, Leslie Kolodziejski, Susan Silbey, Sheila Widnall, and Maria T. Zuber) announced a new, Institute-wide committee that will develop an MIT statement of shared values in response to the report of the National Academies of Science, Engineering, and Medicine on the status of women. This new committee’s work is consistent with our view that community-wide articulation of our values and developing guidelines that adhere to these values cannot be one-time events; they demand reiteration and recommitment.

The values outlined here have an aspirational aspect to them. They are values we wish to live by. However, we cannot simply ask MIT to operate by a set of values that each one of us cannot live by or commit to in our own actions and professional activities. Joining the MIT community conveys an obligation to understand these values, reflect upon them, and ensure that our actions on our campus and in our community work in concert with these values. We hope the next committee contemplating MIT’s values will chart a way forward for us not only to articulate our values, but also to help develop processes by which we can enact those values. Such value statements remind us that we are a community of shared norms, and we cannot lose sight of that fact. Investing ourselves and our work in this community is as important as almost anything else we do. As we gathered feedback, a feeling was expressed by some on campus that we have lost a bit of the culture of “the commons” as MIT has grown in recent decades. We hope this notion of shared values as a collective commitment will encourage a reinvestment in building our community and reiterate the importance of our own community’s common good and mission.

5 GUIDELINES: THE TOOLS

With these values in hand, and with the input from the community, the Committee reached a general consensus view on what a set of guidelines should look like and what accompanying infrastructure would be needed to enact these guidelines (“the tools”) as a standard process of decision-making at MIT. Ultimately, we hope that the guidelines and associated tools become fully internalized among all members of the MIT community and acquire a “taken for granted” quality. We may be the first university to articulate both a set of values around our engagements and an accompanying set of guidelines that came from a “bottom-up” process, and we hope we will not be the last to do so.

We emphasize that the Committee was not charged with auditing past gifts or engagements. The guidelines and tools presented here are designed to legislate for the future and are not meant to be
applied retroactively. In this respect, we are legislating to the future. Indeed, we suggest a path forward: a path that we hope takes the realities of the global situation we face seriously; and a path that we hope keeps MIT’s mission, its reputation, and its welfare front and center. These guidelines aim to be balanced, to help us retain our ability to attract and train world-class students and encourage our engagements to solve the most important problems in the world through the use of global data\(^2\) and exposure to different environments and contexts.

The guidelines highlight our commitment that our gifts and engagements not undermine the values of our community or our reputation. As this commitment includes promoting diversity—including diversity in thought, preferences, and reasonable opinions—we emphasize that these tools do not (and should not) be the basis for determinations based solely on liking or disliking someone’s political opinions, or finding someone’s opinions personally distasteful. Putting on paper how our values guide our engagements will, however, enable our partners to know, understand, and appreciate our commitment to our values and may help them choose to engage with us more deeply as a result.

The guidelines will provide focus and counsel to our staff in their fundraising efforts, while providing legitimacy for and trust in the fundraising processes for those not directly engaged in these activities. Indeed, the practical role of the tools themselves is to identify gifts or engagements that may require deliberation within the community before we enter into them.

While the tools are not designed to legislate the past, if current engagements are to be renewed, they should be subject to the new guidelines when they come up for renewal. In their current form, these engagements are open to appeals to the Standing Committee (as suggested by the Processes Committee)—described in more detail later in this section and in Section 6—else they should not be subject to the new guidelines.

These tools are an expression of community self-regulation. An example of the power of community self-regulation was the creation of guidelines for addressing the potential hazards of recombinant DNA experimentation developed at the Asilomar Conference in 1975. Those guidelines, immediately adopted by all practicing scientists, were soon thereafter incorporated in federal policy for NIH-funded research.

Several situations are beyond the purview of the Committee. For example, the guidelines are not designed as a mechanism for determining membership on the MIT Corporation or in the MIT community at large, or with whom members of the MIT administration can meet on or off campus, or who can visit MIT. In such cases, we encourage all members of the MIT community to use good judgment; to act in concert with our values; and, if needed, to seek the relevant expertise and advice in making these decisions (we discuss the role of expertise in more detail in Section 6.2). In addition, we do not see these guidelines as applying to Lincoln Labs, and they are not intended to regulate the investment of MIT’s endowment.

The Committee created two tools, which should be used by resource development staff (or faculty and others involved in the gift or engagement) at the earliest stages of the process:

1. The “individuals tool,” which should be used for gifts from or engagements with: (i) specific individuals, or (ii) foundations whose funds come from a single person, couple, or nuclear family.

\(^2\) We expect all uses of data and all data agreements to abide by all our values and any other ethics requirements that we have at MIT (such as Institutional Board Review processes).
2. The “organizations tool,” which should be used for gifts from or engagements with all organizations, including: (i) companies, (ii) non-profits or non-governmental organizations, (iii) foundations where the money comes from multiple individuals, or (iv) governments or government departments or ministries.

Along with these tools, we suggest the creation of one or more new **standing committees**, hereafter referred to as the “Standing Committee,” to help resolve ambiguous cases. The tools will be filled out by everyone on the Standing Committee for cases that involve deliberation and/or appeal.

The structure of the tools is based on a set of traffic lights. We created two sets of questions grouped as “red lights” and “yellow lights.”

A red light flashing should, as red lights do, stop action. The metaphor of a red light implies automatic rejection of the gift or engagement. If, however, somebody using these tools recognizes mitigating circumstances for a red light violation, they can appeal the rejection to the Standing Committee for deliberation and a decision.

If there are no red lights flashing, consideration proceeds to a set of yellow lights. If any of these flash, the engagement is sent to a Standing Committee for deliberation and adjudication. If none of the yellow lights flash, then the gift or engagement gets a green light and can be accepted or entered into. **Figure 9** illustrates this basic structure.

**Importantly**, the distinction between red and yellow lights is not a distinction in the importance of issues. Instead, it signals how easy or hard it is to define the problem or draw clear lines.

The use of the tools, and the ultimate decisions from the Standing Committee, will be recorded with majority and (if needed) minority opinions. In addition, the Standing Committee will record a short summary of what questions (that is, which of the red and/or yellow lights) drove the ultimate decision. We recommend that, over time, these decisions from the Standing Committee will create and develop precedents and a local MIT **case law** by archiving and chronicling the tools and the corresponding decisions from the Standing Committee. We also suggest that the Standing Committee produce a public summary report at the end of each year summarizing all their decisions. We discuss this notion of case law and the Standing Committee in more detail in **Section 6**.

The tools are accompanied by reference information that describes what the various red and yellow light questions mean. We describe the red and yellow lights next. Drafts of the explicit text of the proposed tools and accompanying reference information are included in **Appendix 5**, which also includes additional structure for filling in the tools (like skip logic) and for recording the decisions.

We imagine that tools may need to be updated in the future, either to remove traffic lights that are redundant or to add lights that we may have missed. We recommend that the Standing Committee, therefore, also be tasked with a periodic review of the tools themselves.
5.1 INDIVIDUAL TOOL

The individual tool is structured around the following red and yellow lights.

5.1.1 Red Lights

There are four red light questions, in distinct areas. Any violation of these red lights automatically rejects the gift or engagement, unless there is an appeal to the Standing Committee as described above.

1. Has this individual directly engaged in, funded, or otherwise supported any activities that compromise U.S. national security?

A national security risk is sometimes highlighted by the U.S. government through black-listing senior officials in companies, companies themselves, governments, and organizations, as well as individuals (e.g., through sanctions). We identify intense security risks to include terrorism, espionage, treason, attempts to violently overthrow the U.S. government, threats against critical infrastructure, violation
of export controls or sanctions, and industrial espionage aimed at undermining the military and technological capabilities of the United States. It is important to note that some activities that might be regarded as undermining U.S. national security may not be crimes, and people who do not appear on specific blacklists may still meet MIT’s definition of individuals who have undermined U.S. national security. MIT has a Washington Office, which should be consulted for advice on this issue when necessary, and the MIT Office of the General Counsel will have useful expertise.

2. Has this individual directly engaged in, funded, or otherwise supported any gross violations of political, civil, or human rights; or serious violations of the laws of war?

   Political rights include procedural fairness in law, such as the rights of the accused, including the right to a fair trial; due process; the right to seek redress or a legal remedy; and rights of participation in civil society and politics, such as freedom of association, the right to assemble, the right to petition, the right of self-defense, and the right to vote.

   Civil rights include ensuring people’s physical and mental integrity, life, and safety; protection from discrimination on grounds such as race, gender, sexual orientation, national origin, color, age, political affiliation, ethnicity, religion, and disability; and individual rights such as privacy and the freedom of thought, speech, religion, press, assembly, and movement.

   For human rights, although not formally defined in international law, “gross violations” denote types of violations that affect in qualitative and quantitative terms the most basic rights of human beings, notably the right to life and the right to physical and moral integrity of the human person. It is generally assumed that genocide, slavery and slave trading, murder, enforced disappearances, torture or other cruel, inhuman, or degrading treatment or punishment, prolonged arbitrary detention, deportation or forcible transfer of population, and systematic racial discrimination fall into this category. Deliberate and systematic deprivation of essential foodstuffs, essential primary health care or basic shelter and housing may also amount to gross violations of human rights.

   Serious violations of the laws of war parallel gross violations of human rights, but they apply to non-state actors (such as insurgents or de facto governments that have not been internationally recognized).

3. Does this gift or engagement restrict the academic freedom or autonomy of MIT faculty, students, or staff?

   This is defined as per the values described above.

4. A. Has this individual engaged in conduct that, if established, constitutes a felony under U.S. federal and state law?

   B. If yes, are there mitigating circumstances? If no → red light, if yes → yellow light.

   Note that the red light uses “engaged in” a felony as opposed to “convicted of” one to allow for the fact that some crimes are pleaded down to lesser offenses and that some criminals are known to have skirted charges or convictions in their home countries. In addition, there could be behavior that is subject of civil action that could be a criminal action under the law. For these cases, and others with
less clarity, we suggest reaching out to the MIT Office of the General Counsel for expertise in reviewing the specific case documents.

Mitigating circumstances could include evidence that the individual has served their sentence and has sincerely tried to make amends, legal amendments have rendered the original conduct non-criminal, etc.

5.1.2 Yellow Lights

There are nine yellow light questions, categorized into three distinct areas: a conflict with our core values, transparency around the decision (that forces us to reflect on the court of public opinion), and alignment with our mission. These yellow lights are as important as the red lights, but it is harder to draw a clear line around some of the possible violations, and they will therefore require deliberation. Any violation of these yellow lights sends the gift or engagement to the relevant Standing Committee for a decision.

Conflict with MIT’s Core Values

5. Does engaging with this individual or accepting this gift negatively impact our ability to promote MIT’s core values on our own campus or in our own community?

It is important to highlight how the consideration in this particular yellow light is phrased. We do not ask if the individual’s values conflict with ours, as that would be an extremely high bar. Instead, we ask if the disconnect between their values and ours negatively impacts our ability to promote our own values on our campus or among our community. This is an important distinction.

6. Could the association with this individual damage MIT’s reputation?

7. If the gift or engagement involves naming, will using their name in such a public way on our campus negatively impact our ability to promote MIT’s core values on our own campus or in our own community?

There was a strong consensus among the Committee members, as well as across the community during our open sessions, that the bar for naming should be higher, hence the additional question around naming. The effect of naming something after an individual goes beyond the subset of the community directly involved in the gift or engagement and affects the MIT community far more broadly and over a longer time. It may also be perceived as MIT not only thanking but also honoring the named individual. Hence, the Committee felt the need for an extra step of deliberation here.

Transparency about the Decision

8. If you were a representative of MIT, would you be willing to publicly disclose taking money from or engaging with this individual?

This question and the next two are intended to force us to reflect on the potential ethical and reputational risks involved, including any not covered by earlier questions.

9. If you were a representative of MIT, would you be willing to publicly defend taking money from or engaging with this individual?
10. If you were a representative of MIT, would you be willing to allow this individual to visit our campus and meet faculty, students, or staff?

*Correspondence with MIT’s Mission*

11. Does this gift explicitly advance MIT’s fundamental mission for education or basic and applied research?

Some gifts or engagements may be irrelevant or tangential to MIT’s mission.

12. Could this gift or engagement impede our ability to best serve the nation and the world?

Some engagements or gifts could lead MIT to undertake or contribute to activities that are *prima facie* undesirable for the world. We should avoid such situations. The Committee recognized that certain engagements might be viewed as potentially detrimental to the United States (at least in a relative sense), even if they served the world as a whole, or the reverse. This issue produced extensive debate and deliberation in the Committee. The Committee recognizes that MIT is a U.S. institution, with longstanding and deep ties with the United States and the U.S. government. At the same time, the Committee prizes MIT’s institutional autonomy, highly values the cosmopolitan and international nature of the MIT community, and views international engagement as essential to MIT’s continued excellence. Furthermore, MIT has a commitment to the education of people around the world, to international research collaborations, and to the free dissemination of scientific knowledge. The Committee believes that MIT is far better able to achieve our mission through international cooperation and engagement—and through celebration of international norms of open scientific research—than in isolation or narrow construction of the perceived U.S. national interest.

How to capture this reasoning in the guidelines generated further debate within the Committee. A small minority in the Committee (4 of the 18 members) felt that the tool should include an explicit prioritization of doing no harm to the United States, and hence recommended splitting this question into two parts: one for the United States, and one for the rest of the world. The rest argued against explicitly prioritizing the United States in that way. Ultimately, the Committee chose to phrase this yellow light using the language taken directly from the MIT mission statement.

13. Could this gift or engagement have the effect of committing MIT to promote a specific dogma or political agenda, in a way that is inconsistent with maintaining our academic integrity?

The intent of this yellow light is to screen against an attempt to corrupt the open inquiry and educational mission of MIT. Academic research is open and debatable. It involves unanswered questions rather than unquestioned answers.

This yellow light is best illustrated with an example. A peer school was approached by a donor who sought to create a new center for American politics, of the type the donor had already created at other American universities. The donor required that the center director be hired in consultation with the donor, and that she start and serve as editor of her own journal. Upon further investigation, it was determined with reasonable certainty that the donor was attempting to stock American universities with a particular ideology by ensuring that the center members would be publishing peer-reviewed papers. The Committee felt strongly that such efforts would corrupt MIT’s mission.
Another example would be gifts or engagements that included explicit or tacit agreements *not* to research certain subjects or *not* to engage in certain types of otherwise appropriate scholarly activities. Again, any such arrangement would undermine MIT’s commitment to free and open inquiry.

5.2 **Organizations Tool**

The organizations tool is meant to be applied to non-individual gifts and engagements. It covers any gifts from and any engagements with organizations, i.e. companies, non-profits, non-governmental organizations, governments, and foundations where the money comes from more than one individual.

The organizations tool also uses a similar set of red and yellow light issues. However, for each of the issues, we thought carefully about who (or what) would be the subject of each red and yellow light: someone in the organization (if yes, who?), or the terms of the actual engagement with or gift from the organization? In deliberating about this, we found it useful to define precisely what we mean by a partner before specifying which red lights and yellow lights applied to the partner, and which red and yellow lights should be applied to the engagement or the gift itself. This definition of the partner is crucial in using the organizations tool, as we use a very specific and somewhat narrow definition of who the partner is for these purposes.

*Partner Definition:* the “institutional partner” referred to in the tool represents the broader leadership and decision-making authority of the organization. For governments, *this is not necessarily the government as a whole but the specific ministry/minister or department that the gift is from/engagement is with.*

It is worth reiterating, as with the individuals tool, that with this partner definition, we do not think of the organizations tool as splitting the world into good countries and bad countries. A country is not an organization and can never be a partner for the purposes of how we define a partner; and, therefore, for how we intend the organizations tool to be used.

Also note that there are some important differences between the individuals and the organizations tools. Not all red and yellow lights apply to the partner or to the gift or engagement, since some of them do not make sense when applied to the partner, and others do not make sense when applied to the gift or engagement. For example, it is not possible for the partner to violate academic freedom, but the gift or engagement itself could. An important second example is that the U.S. law red light applies to the gift or engagement and not the partner.

*Figure 10* summarizes whether each red light applies to the partner, the gift/engagement, or both. The same information is provided for yellow lights in *Figure 11*. The actual red and yellow light questions for organizations are provided following the two tables. In the description of the actual red and yellow lights, we rely on what we articulated for the individuals tools and only make additional notes as needed.

*Figure 10: Application of Red Light Considerations for Organizations*
<table>
<thead>
<tr>
<th>U.S. national security</th>
<th>Gift/engagement and institutional partner</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gross violations of political, civil, or human rights</td>
<td>Institutional partner and the partner’s policies and their enforcement</td>
</tr>
<tr>
<td>Restricting academic freedom or autonomy of MIT faculty, students, or staff</td>
<td>Gift/engagement</td>
</tr>
<tr>
<td>U.S. law</td>
<td>Gift/engagement</td>
</tr>
<tr>
<td>Donor or engagement intent</td>
<td>Gift/engagement</td>
</tr>
</tbody>
</table>

*Figure 11: Application of Yellow Light Considerations for Organizations*

<table>
<thead>
<tr>
<th>Yellow Lights</th>
<th>Applies To</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conflict with MIT’s core values (including damaging MIT’s reputation)</td>
<td>Gift/engagement and institutional partner</td>
</tr>
<tr>
<td>Transparency about the decision</td>
<td>Gift/engagement and institutional partner</td>
</tr>
<tr>
<td>Correspondence with MIT’s mission</td>
<td>Gift/engagement</td>
</tr>
</tbody>
</table>

### 5.2.1 Red Lights

1. Has this **institutional partner** engaged in, supported, or funded any activities that compromise U.S. national security?

2. Does this **gift or engagement** involve any actions or activities that compromise U.S. national security?

3. Does this **gift or engagement**, or actions or activities involved in this engagement, violate U.S. law?

4. Has this **institutional partner** directly engaged in, supported, or funded any flagrant violations of political, civil, or human rights?

5. Do the **institutional partner’s policies** and their enforcement in this engagement involve a flagrant violation of political, civil, or human rights?

6. Does this **gift or engagement** restrict the academic freedom or autonomy of MIT faculty, students, or staff?

### 5.2.2 Yellow Lights

**Conflict with MIT’s Core Values**

7. Does this **gift or engagement** negatively impact our ability to promote MIT’s core values on our own campus or in our own community?

8. Does engaging with this **institutional partner** negatively impact our ability to promote MIT’s core values on our own campus or in our own community?
9. Could association with this institutional partner damage MIT’s reputation?

10. If the gift or engagement involves naming, will using their name in such a public way on our campus negatively impact our ability to promote MIT’s core values on our own campus or in our own community?

Transparency about the Decision

11. If you were a representative of MIT, would you be willing to publicly disclose the details of this gift or engagement with this partner?

12. If you were a representative of MIT, would you be willing to publicly defend the judgment to engage with this institutional partner in this engagement?

13. If you were a representative of MIT, would you be willing to allow this institutional partner or any non-MIT persons involved in this engagement to visit the campus and meet with faculty, students, or staff?

Correspondence with MIT’s Mission

14. Does this gift or engagement explicitly advance MIT’s fundamental mission of education and/or the conduct of basic or applied research?

15. Could this gift or engagement impede our ability to best serve the nation and the world?

16. Can it reasonably be assumed that this gift or engagement will require MIT or members of the MIT community to promote dogma or a non-evidence based agenda?

6 GUIDELINES: THE STANDING COMMITTEES AND CASE LAW

Our committee was charged with developing values and guidelines for gifts and outside engagements, but designing processes for implementation is outside of our charge and was not a focus of our activities. The Processes Committee, convened by Provost Schmidt and chaired by Professor Fisher, was tasked to make recommendations on improving the processes for soliciting and accepting gifts, specifically, but not engagements. In April 2020, the Processes Committee was briefed on the guidelines and tools that the Committee developed. Jointly, the Committee and the Processes Committee recommend the creation of a separate Standing Committee to adjudicate situations where these tools do not yield a clear-cut decision: that is, yellow lights or an appeal of (or mitigating circumstances for) a red light.

We recommend this Standing Committee be consistent with the notion of broad representation from the MIT community and the principles of faculty governance.

We expect the Processes Committee to build the precise framework and structure through which our tools will be used for gifts, including the charge, composition, and various appointment procedures for different members of the Standing Committee. We encourage them, however, to include specifics around case law, information acquisition, dynamics, and education in their charge to this Standing Committee. We suggest that the Processes Committee also emphasize the need for confidentiality on the Standing Committee and recommend adequately staffing for this committee. Finally, we recommend that the
Processes Committee also suggest ways to ensure that the Standing Committee is evaluated regularly and that there be established procedures for it to report to the community.

Whether MIT forms a single Standing Committee for gifts and engagements or adjudicates these separately in two different committees is important to consider, but is beyond our charge.

6.1 Case Law

Case law, in effect the collection of past decisions, is critically important both for fair and consistent decision-making and for ensuring the efficient and expedient processing of cases that need deliberation. Since the Standing Committee is essential both for the implementation of our suggested guidelines and for assembling the recorded experience that will be embodied in local case law, as we suggest above, we share here our view on the use of the tools by the Standing Committee as well as important considerations for building case law over time. We recognize that this is a significant change for MIT that will need adjustment and accommodation over time to bring Institute practices into line with our articulated values.

When a case comes to the Standing Committee, either because of yellow lights or mitigated or appealed red lights, all members of the Standing Committee will fill out the tool before deliberation, but with all the relevant information in hand. After collaborative deliberation to arrive at a decision, the completed tools and the final decision should be archived, along with a majority opinion and, if needed, a minority opinion. The opinions should explicitly highlight which particular red or yellow light questions led to the majority (and minority) opinions on the committee. The archive of the completed (retained and recorded) tools, and the accompanying recorded majority/minority opinions and ultimate decisions, will form the basis of the body of local case law. For our decision-making with respect to accepting gifts and entering into engagements to be guided by shared values and principles, it is crucial to develop a record of past decisions that can provide guidance for contemporary decisions. Without such experiential constraints, the existence of guidelines for accepting gifts, or entering engagements, would be effectively ad hoc and idiosyncratic. Thus, this local case law aspect of the guidelines is of crucial importance.

We have heard concerns that the creation of such a Standing Committee would create logjams and barriers to efficient action. For the efficient and expedient operation of the Standing Committee, and to prevent it from becoming overwhelmed with the work flow, the use of case law is critical. We see the Standing Committee as an investment in a future where most decisions will be driven by past practice based upon the local case law – and thus will be speedy without requiring elaborate deliberation. Those cases that are not guided by past practice will be fewer, adding new precedents to the existing corpus of cases. Over time, as the decisions of the Standing Committees are archived and consulted, future decisions will move more smoothly and quickly. It may be necessary to anonymize the case law, and the tools themselves will not include the name of the donor or organization (just a date and record number) to preserve some level of anonymity. However, the actual tools and decisions should be made available to certain members of the MIT community.

For case law to truly operate as intended, the individual cases and the entire case law (the completed tools and decisions) need to be available as a database to at least the Standing Committee as they deliberate. In addition, in order to create transparent as well as ethical decision-making, we suggest that individuals in the community be allowed to appeal cases to the Standing Committee. For example, if
members of the MIT community voice serious and significant concerns about a particular donor, those concerns should be heard by the chair of the Standing Committee in a way that is to be determined by the Processes Committee. A summary (and anonymized version) of the existing case law should be provided to the appellant as needed. However, we do not expect the cases and the case law to be available to the public.

Another important consideration involves historical dynamics. The Standing Committee’s decisions should be revisited—and case law updated—when new information becomes available. We recommend important consideration be given to the dynamics in both information acquisition and in the tools themselves. The information available to the Standing Committee needs to be up-to-date and dynamic, and we suggest that cases be revisited when there is a material change in information. At that time, the Standing Committee can decide whether the change in information is of the nature to stop the engagement entirely, whether the engagement should be continued but not renewed, or whether there should be no change. In view of this dynamic, we recommend that the Standing Committee also be tasked with a periodic review of the tools themselves.

6.2 INFORMATION AND EXPERTISE

The Standing Committee must be assured access to correct and sufficient information on all donors or partners under discussion. In our Committee discussions, we used case examples provided by the administration on both gifts and engagements. From this experience, we developed a sense of how much information is needed. We emphasize the centrality of both the quality and quantity of information needed for responsible decision-making by the Institute, for the efficacy of the Standing Committee, and for the ability to build local experiential case law.

We recommend creating a single source of collated information for the Standing Committee that we suggest be housed in and tasked to the Office of Prospect Identification, Research, and Management (OPIRM).\(^3\) OPIRM already has access to and uses a wide variety of resources in its due diligence (see Appendix 6). In turn, OPIRM should make sure it has the processes set up to enable dynamic checks on all existing individual donors and organizations. Information can be expected to change over time, and we want to make sure that these changes in information are caught and brought to the Standing Committee. If there is any change in information that would activate a new red or yellow light in the guidelines, OPIRM should bring it to the attention of the relevant Standing Committee immediately.

As background: OPIRM, which is part of resource development at MIT, is responsible for gathering and analyzing information about possible donors and for providing tools to the community for sharing and using that knowledge. OPIRM archives historical donor information and describe its role as “stewards of MIT’s fundraising institutional memory.” The office has a vast list of resources it uses to identify new donors and to perform due diligence, beyond obvious sources like the internet and news reports. It also relies on the Office of the General Counsel to track down court outcomes, settlements, etc. Appendix 6

\(^3\) From the OPIRM website: “The Office of Prospect Identification, Research, and Management discovers, gathers, and analyzes relevant knowledge about individual prospects and donors, and provides tools for sharing and using that knowledge. As stewards of MIT’s fundraising institutional memory, the office archives and makes available historical records that provide context for ongoing strategies. The office is comprised of three units, Prospect Identification, Prospect Research, and Prospect Management.”
lists the resources currently used. The **Industrial Liaison Program** also regularly vets companies for membership and coordinates closely with OPIRM. Thus, we recommend that the OPIRM be the single source of information for the Standing Committee.

Finally, the Standing Committee needs appropriate expertise to process information correctly and expeditiously, especially in the case of international engagements and when information on the red light and yellow light areas cannot easily be found in the standard sources (see Appendix 6). There is a vast amount of relevant expertise among our faculty, staff, and students; and we encourage the Standing Committee to be inclusive and to reach out to tap this expertise. As of March 1, 2020, our faculty “were leading or co-leading about 2000 internationally-sponsored projects, involving 72 countries... [and] our student body, which today includes 3400 undergraduate and graduate students from 119 foreign countries” (from Richard Lester in the May/June 2020 Faculty Newsletter). While working with international collaborators or in other nations can provide valuable experiences, there are members of our faculty for whom the politics, economics, industries, and cultures of national and international communities are their specific areas of study. Reaching out to such scholars, who are subject matter experts, should be a first step in particularly difficult cases (but with appropriate consideration given to confidentiality). Furthermore, the Standing Committees should incorporate, but not solely rely upon, information from international organizations such as the United Nations, Amnesty International, the World Bank, the International Labour Organization, and the International Criminal Court, among others. The Standing Committees may also want to touch base periodically with the **MIT Corporation’s Risk and Audit Committee**.

Ultimately, there should be a concerted attempt to collect all the pertinent information for the Standing Committee before a particular case is discussed by the committee. In cases where there is simply no information available, we suggest leaning toward taking the gift or entering in the engagement, as long as every effort has been made to acquire the relevant information on the individual or the organization, and any associated organizations and the identity of the person or organization is verifiable. For example, if an individual claims to have vast wealth, it is unlikely that there is no information at all available on that individual (and potentially grounds for further investigation if there is not). This should be brought to the Standing Committee’s attention.

### 7 ADDITIONAL ISSUES AND CONCERNS

#### 7.1 EDUCATION

Both in the Committee’s deliberations and in our interactions with the broader MIT community, it became clear that although we have developed a set of values and guidelines for our engagements, there will need to be an accompanying investment in educating our community on our values and principles, and on what the guidelines mean and how they are interpreted and implemented. While we have created two tools to be used (see Appendix 5), even coding them into software for use, that is far from enough. For these tools to be used most effectively, they will need to be accompanied by an outreach to our community on how to use them. We urge the committee developing MIT’s statement of values, led by the Chancellor and Provost (described in Section 4), to consider seriously the values articulated here when working to develop
common language that clearly states our values, to convey to all members of our community and the public what our values are, to foster deliberation and (where appropriate) cultural change on these issues, and to suggest ways that members of the MIT community can advance these values both on and off campus. We encourage the administration to consider creating a training video or simulations around these guidelines and tools. Members of the Committee would be happy to help with this.

7.2 CONFLICTS OF INTEREST

In some of the campus conversations and white papers, and in emails directly sent to the Committee, members of the community expressed hope that the Committee would address Conflicts of Interest (CoI) in our deliberations and report. There is a wide variety of possible CoI issues, and we felt that such CoI issues would require an entire other committee to appropriately address those issues. We hope the Institute’s faculty governance could either constitute a committee to look into these issues or ensure that these issues are under the purview of an existing committee. We are aware that there is currently a subcommittee under the Committee on Intellectual Property tasked with looking into CoI issues. It may be worth making that subcommittee a separate committee of its own, given the extensive nature of CoI issues and the importance of addressing them as soon as possible, as recent debates over gifts and engagements have revealed.

7.3 ANONYMOUS GIFTS AND ENGAGEMENTS

Part of our charge requested that we collect feedback from the community and discuss whether MIT should accept anonymous gifts. There was strong consensus that a donor should be allowed to remain anonymous to the MIT community and the public, should the donor so desire (of course, the backstage administrative processes require that the transaction is recorded, but that should be protected if the donor asks for anonymity). Individuals may wish to remain anonymous for a variety of personal reasons, including religious beliefs, a desire not to be approached for donations by others, etc. These reasons should be respected. However, there was consensus in our discussions that MIT-initiated anonymity should not be allowed, consistent with the principle articulated in the guidelines on transparency that we should be willing to disclose and defend donations.

7.4 TRANSPARENCY IN PROCESSES AND DECISION-MAKING

During our deliberations as a community, and in our feedback gathering processes, four other important issues arose concerning transparency. Throughout, as can be seen from the discussion of the feedback from the community, a particular form of transparency was raised as being an important value: transparency around processes and decision-making. In applying this value to our guidelines, we focused on the court of public opinion and how that may affect our decision to accept a gift or enter into an engagement. However, there are four additional dimensions of transparency that arose in the discussions that warrant mention, even if they cannot be expressed as part of our guidelines.

First, we heard that members of the community would like the uses and the distribution of gifts to be transparent, clear, and easily known. In other words, they would like to know how particular gifts are used
and distributed within the MIT community and the governance processes that lead to these decisions on distribution.

Second, it seems clear from the feedback we gathered, interactions with the community, and in deliberations within the Committee that there is wide variation across our community in the understanding of our finances and the endowment: how it is both raised and spent. We described some of those financial matters early in this report, albeit briefly, and the Processes Committee will describe fundraising in far more detail, but we encourage the administration to regularly and repeatedly engage with our community and share these facts around fundraising and the use of these funds. For example, there is a widespread perception that there exists immense inequality across campus in both access to donors as well as access to the funds themselves. We believe that one of the most important steps in rebuilding trust within the community is to be as transparent with the community as possible around these issues.

Third, we encourage all faculty and researchers to be transparent about the sources of funding for their research. This is usually reported in the acknowledgements of academic papers, but we encourage faculty to name all their funders transparently on their research websites, except for situations where the donor requires anonymity.

Fourth, we encourage faculty to be transparent with their incoming graduate students on the sources of funding for their research labs and infrastructure. This would allow graduate students to make fully informed choices about which labs or research groups they want to join.

8 **STUDENT COMMITTEE**

For the Student Committee, the Undergraduate Association approved 6 members, as did the Graduate Student Council, in mid-November 2019, for a total of 12 members (the full initial membership and any changes are listed in Appendix 7). The Student Committee is chaired by Peter Su and Mahi Elango. A report produced by the Student Committee is included in Appendix 7.
9 APPENDICES

9.1 APPENDIX 1: DETAILED CHARGE AND MEMBERS OF THE COMMITTEE

9.1.1 Charge

The charge to the Ad Hoc Faculty Committee on Guidelines for Outside Engagements (“the Committee”) is to define a set of values and principles, consistent with MIT’s mission, to guide the assessment of outside engagements. Outside engagements include grants, gifts, and any other associations and collaborations involving MIT with governments, corporations, foundations, or private individuals, domestic or foreign. The Committee will produce a set of guidelines to be employed by the MIT decision-makers in ways that will be defined by the Ad Hoc Faculty Committee on Gift Processes (“Processes Committee”) for the evaluation of potential outside engagements.

A Subcommittee on International Engagements has been appointed from among the membership of the Committee. This subcommittee will hold meetings (in addition to those of the main Committee) at which issues specific to international engagements will be considered. The subcommittee will provide an interim report on guidelines for international engagements by January 31, 2020 to the International Advisory Committee and the International Coordinating Committee for use in evaluating urgent pending international engagements.

The Committee will issue its overall report to the MIT community during Spring 2020.

The Committee will work in conjunction with the Processes Committee being convened by the Provost. Several members of the Committee, including its chair, will sit as voting members of the Processes Committee to facilitate communication and ensure coordination in their work.

The report of the Committee will include the following components:

- A discussion of MIT core values that are the basis for evaluating problematic engagements.
- Guidelines for use by MIT individual faculty, administration, and relevant staff and committees in determining whether proposed engagements with governments, corporations, foundations, or private individuals are acceptable. The process through which such guidelines are implemented will be developed by the Processes Committee being convened by the Provost. That committee will consist of representatives of both the faculty and administration, including several members of the Committee.
- The International Engagements Subcommittee will provide additional guidelines specific for engagements in and with countries with problematic political, civil, and human rights records.
- The report will also discuss general principles relevant to evaluating and undertaking outside engagements, such as under what conditions, if any, anonymous donations can be considered.

To inform their deliberations, the Committee will gather input from the MIT community via meetings with departments and through extensive focus groups across campus, including one or more in each school.
Other focus groups will include representatives from departments, labs, and centers, students, postdoctoral fellows and associates, alumni, and non-faculty instructors and staff.

To engage students, a Student Committee on Guidelines for Outside Engagements (“Student Committee”) will be convened by the Undergraduate Association and the Graduate Student Council to advise the Committee with regard to guidelines for outside engagements. Representatives of the Student Committee will meet frequently with the chair of the Committee to provide input and receive summaries of the progress by the Committee. The Student Committee will prepare a report that will be incorporated as an appendix in the final report of the Committee.

One or more updates will be presented by the Committee at Institute Faculty Meetings to gather input prior to the completion of the final report.

9.1.2 Members of the Committee

In May 2020, we collected information from the Committee members to highlight their expertise in the areas of fundraising and international engagements. As shown in Figure 12, many Committee members had served as department heads (more than a quarter of the Committee), deans, directors of research institutes or centers at MIT (also more than a quarter of the Committee), and directors or co-directors of large international engagements like MIT Portugal.

Figure 12: Characteristics of Committee Members

Note: Axis refers to fraction of the committee that served in these roles, not number of committee members (total committee size was 18).
As can be seen from Figure 12, most Committee members had experience fundraising for both MIT (in their roles as department heads, deans, or center directors) as well as for their own research. These fundraising experiences have been extremely diverse, with faculty members having raised funds from a range of different sources: governments, corporations, private donors, foundations, non-profits (both in the United States as well as outside the United States), the World Bank, non-U.S. universities, and U.S. state or municipal governments.

### 9.2 Appendix 2: Campus Conversations

The Committee held 15 campus conversations across the community to get input on what the community thought our values and guidelines should be with respect to outside engagements. We had each campus conversation transcribed and used these transcripts to summarize what we heard in these conversations. We categorized the suggestions from the campus conversations into three categories: (i) values, (ii) red and/or yellow lights in the guidelines, and (iii) the infrastructure needed to support the guidelines and any other comments.

For the campus conversations, we aggregated the comments to each constituency (rather than by conversation) for a total of 11 constituencies: the 5 schools, students, research staff, all staff, Resource Development (RD) staff, alumni, and the open community meeting attendees. In the summaries that follow, we list the issues raised in the conversations and the number of constituencies these issues were raised in (out of the 11 total).

The summaries are as follows:

<table>
<thead>
<tr>
<th>Values</th>
<th>Total [out of 11]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diversity, equity, and inclusion</td>
<td>8</td>
</tr>
<tr>
<td>Respect, kindness, empathy, fairness, humility</td>
<td>7</td>
</tr>
<tr>
<td>Knowledge and the advancement of knowledge</td>
<td>4</td>
</tr>
<tr>
<td>Scientific integrity</td>
<td>4</td>
</tr>
<tr>
<td>Trustworthiness, self-criticism, honesty, integrity</td>
<td>4</td>
</tr>
<tr>
<td>Democracy and governance</td>
<td>3</td>
</tr>
<tr>
<td>Excellence</td>
<td>3</td>
</tr>
<tr>
<td>Learning and education</td>
<td>3</td>
</tr>
<tr>
<td>Truth/based in science</td>
<td>3</td>
</tr>
<tr>
<td>Courage and confidence to speak up</td>
<td>2</td>
</tr>
<tr>
<td>Embracing complexity</td>
<td>2</td>
</tr>
<tr>
<td>Moral consistency</td>
<td>2</td>
</tr>
<tr>
<td>Open-mindedness</td>
<td>2</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Red and/or Yellow Lights</th>
<th>Total [out of 11]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transparency and accountability</td>
<td>10</td>
</tr>
<tr>
<td>Academic freedom for all (faculty, students, staff)</td>
<td>9</td>
</tr>
<tr>
<td>MIT reputation</td>
<td>7</td>
</tr>
</tbody>
</table>
Red and/or Yellow Lights

<table>
<thead>
<tr>
<th>Description</th>
<th>Total [out of 11]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Breaking the law (consider nature of crime, rehabilitation)</td>
<td>6</td>
</tr>
<tr>
<td>Violating political, civil, human rights (use third-party sources)</td>
<td>6</td>
</tr>
<tr>
<td>Alignment with the MIT mission</td>
<td>5</td>
</tr>
<tr>
<td>Alignment with MIT values</td>
<td>5</td>
</tr>
<tr>
<td>Climate deniers, those harming the environment</td>
<td>5</td>
</tr>
<tr>
<td>Working on pressing problems, making the world better</td>
<td>5</td>
</tr>
<tr>
<td>No research on military/weapons; limit negatives of dual use</td>
<td>3</td>
</tr>
<tr>
<td>Careful on role of donors in project selection</td>
<td>2</td>
</tr>
<tr>
<td>Taking the money changes our findings</td>
<td>2</td>
</tr>
<tr>
<td>Values will bring in more donors</td>
<td>2</td>
</tr>
<tr>
<td>Clarity on conflicts of interest</td>
<td>1</td>
</tr>
<tr>
<td>Do not prohibit engaging with the politically unacceptable</td>
<td>1</td>
</tr>
<tr>
<td>Should not have taken the gift for the College of Computing</td>
<td>1</td>
</tr>
<tr>
<td>Supporter(s) of terrorism</td>
<td>1</td>
</tr>
<tr>
<td>Violating child labor laws</td>
<td>1</td>
</tr>
</tbody>
</table>

Infrastructure for the Guidelines and Other Issues

<table>
<thead>
<tr>
<th>Description</th>
<th>Total [out of 11]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Anonymity from donor side is fine</td>
<td>5</td>
</tr>
<tr>
<td>Higher bar for naming things</td>
<td>4</td>
</tr>
<tr>
<td>Does MIT need to be this big/growth seems a priority</td>
<td>3</td>
</tr>
<tr>
<td>Standing Committee</td>
<td>3</td>
</tr>
<tr>
<td>Clarity in the guidelines</td>
<td>2</td>
</tr>
<tr>
<td>Additional processes may delay things</td>
<td>1</td>
</tr>
<tr>
<td>Can we learn from other institutions?</td>
<td>1</td>
</tr>
<tr>
<td>Education on the guidelines for the whole community</td>
<td>1</td>
</tr>
<tr>
<td>Include testing with cases</td>
<td>1</td>
</tr>
<tr>
<td>More avenues and protection for whistleblowers</td>
<td>1</td>
</tr>
<tr>
<td>Precedents and case law</td>
<td>1</td>
</tr>
<tr>
<td>Public disclosure by faculty of whom they get money from</td>
<td>1</td>
</tr>
<tr>
<td>Restorative justice</td>
<td>1</td>
</tr>
<tr>
<td>Use the same guidelines for our endowment</td>
<td>1</td>
</tr>
</tbody>
</table>

9.3 Appendix 3: White Papers

The Committee requested heads of departments, labs, and centers (DLCs) to convene their communities to write a two-page white paper on what our values and guidelines for outside engagements should be. The Committee received 17 white papers. Different DLCs chose to convene their communities in different ways. Some DLC heads chose to have conversations over a meeting and then drafted their white papers and circulated them among the community for comments. Some requested input by email. One even emailed a survey to its whole community. The MIT Sloan School of Management asked its DLCs to join
together to produce a single white paper, so one white paper submitted by the Sloan School covers nine different DLCs working together.

The Committee summarized the white papers in the same way as we did the campus conversations, into three categories: (i) values, (ii) red and/or yellow lights in the guidelines, and (iii) the infrastructure needed to support the guidelines and any other comments. The numbers in the summaries that follow refer to the number of white papers that mentioned the relevant item, out of a total of 17 submitted white papers.

The summaries are as follows:

<table>
<thead>
<tr>
<th>Values</th>
<th>Total [out of 17]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Diversity/inclusion</td>
<td>8</td>
</tr>
<tr>
<td>Respect, compassion, trustworthiness, fairness, integrity</td>
<td>8</td>
</tr>
<tr>
<td>Intelligence/research excellence</td>
<td>5</td>
</tr>
<tr>
<td>Innovation and creativity</td>
<td>3</td>
</tr>
<tr>
<td>Can we uphold our positive values to have impact?</td>
<td>2</td>
</tr>
<tr>
<td>Culture shift away from a culture of &quot;not listening&quot;</td>
<td>1</td>
</tr>
<tr>
<td>Hard work</td>
<td>1</td>
</tr>
<tr>
<td>Safety – physical, emotional, and intellectual</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Red and/or Yellow Lights</th>
<th>Total [out of 17]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transparency and accountability</td>
<td>11</td>
</tr>
<tr>
<td>Addressing global challenges requires engaging/collaborating</td>
<td>9</td>
</tr>
<tr>
<td>Breaking the law</td>
<td>8</td>
</tr>
<tr>
<td>Academic freedom (faculty and students)</td>
<td>7</td>
</tr>
<tr>
<td>Violating human rights (use third-party sources)</td>
<td>6</td>
</tr>
<tr>
<td>Our mission (education and research)</td>
<td>5</td>
</tr>
<tr>
<td>MIT reputation</td>
<td>4</td>
</tr>
<tr>
<td>No climate change deniers, partners should be environmentally responsible</td>
<td>3</td>
</tr>
<tr>
<td>Clarity on conflicts of interest</td>
<td>2</td>
</tr>
<tr>
<td>Account for cost of stewarding the gift</td>
<td>1</td>
</tr>
<tr>
<td>Allow dual use of technology</td>
<td>1</td>
</tr>
<tr>
<td>Clarity on origins of the money</td>
<td>1</td>
</tr>
<tr>
<td>Do not prohibit engaging with the politically unacceptable</td>
<td>1</td>
</tr>
<tr>
<td>Labor rights</td>
<td>1</td>
</tr>
<tr>
<td>No research on weapons of war, artificial intelligence tools that target killing</td>
<td>1</td>
</tr>
<tr>
<td>Promote sustainability development goals</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Infrastructure for the Guidelines and Other Issues</th>
<th>Total [out of 17]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Standing Committee</td>
<td>4</td>
</tr>
<tr>
<td>Guidelines should not be overly prescriptive or restrictive</td>
<td>3</td>
</tr>
</tbody>
</table>
9.3.1 White Paper Guidelines

The instructions given to DLC heads for the white papers were as follows:

Please note that the role of this committee is prospective, intended to define principles for such engagements moving forward and not a revisit of the past.

Below are some key components of the charge to be discussed in the white paper:

1. The first responsibility of our committee is to create a set of values consistent with our mission. We think of these as values that we hold dear to MIT that we want to uphold in all of our engagements. We would love your input into what your community thinks these values should include.

2. The second main responsibility of our committee is to create a set of guidelines from these values that can then be used to make decisions about whom we engage with. Does your community have a view on what these guidelines would be? Can your community think of cases that should inform these guidelines that may be particularly important for our committee to look at and analyze? Are there particular cases that your DLC dealt with that are good cases for analyzing these guidelines? Do you have a set of values and/or guidelines your DLC uses?

3. For international engagements, what additional guidelines would the community feel are important to consider, especially when engaging with governments, individuals, corporations, and foundations?

4. Other questions you may want to address in the white paper: how does the community feel about anonymity of grants/gifts; how does the community think about the inherent dynamic nature of these guidelines?

Page limit: 2 pages maximum (12-point font)

Due Date: February 14th [2020]
9.4 Appendix 4: Policies from Peer Schools

The Committee collated all the publicly available gift policies by other universities in the United States and the United Kingdom. Twelve such policies were available, from The University of Edinburgh, Brown University, The University of Kent, Cornell University, California Institute of Technology, Columbia University, Duke University, The University of Leicester, Princeton University, Smith College, Stanford University, and The University of Cambridge. We summarized the conditions mentioned in the gift policies under three different categories: (i) the process for review, (ii) any overall criteria, and (iii) specific risk criteria to consider. The numbers in the summaries that follow refer to the number of schools that mentioned the relevant item in their gift policies, out of a total of 12.

The summaries are as follows:

<table>
<thead>
<tr>
<th>Process</th>
<th>Total [out of 12]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review process based on dollar amount or risk level</td>
<td>6</td>
</tr>
<tr>
<td>Review process based on type of donation</td>
<td>3</td>
</tr>
<tr>
<td>Acceptance authority lies with corporation or special committee</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Overall Criteria</th>
<th>Total [out of 12]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Must support aims of university</td>
<td>6</td>
</tr>
<tr>
<td>Not impinge on academic freedom</td>
<td>5</td>
</tr>
<tr>
<td>Not damage integrity or reputation</td>
<td>1</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Specific Risk Criteria</th>
<th>Total [out of 12]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reputational costs for university (or its constituents) disproportionate to donation</td>
<td>8</td>
</tr>
<tr>
<td>Conditions imposed counter to university practice/objectives/are too onerous</td>
<td>7</td>
</tr>
<tr>
<td>Illegal activities by donor (crime, bribery, anti-terror) or funds acquired illegally</td>
<td>5</td>
</tr>
<tr>
<td>Accepting donation (or use of donation) would be unlawful/counter to public interest</td>
<td>5</td>
</tr>
<tr>
<td>Has the potential to create unacceptable conflicts of interest</td>
<td>4</td>
</tr>
<tr>
<td>From a source that is counter to university's public interest*</td>
<td>3</td>
</tr>
<tr>
<td>Activities of donor conflict with university objectives</td>
<td>3</td>
</tr>
<tr>
<td>May deter future support</td>
<td>3</td>
</tr>
<tr>
<td>From parents/guardians with a student applying to the university</td>
<td>2</td>
</tr>
<tr>
<td>Will cause unacceptable damage or injury to third parties</td>
<td>1</td>
</tr>
</tbody>
</table>

* One university phrased it specifically as follows: explicit environmental damage; manufacture and sale of armaments to military regimes; institutional violations of human rights, including exploitation of the work force; discrimination in any shape or form; manufacture and sale of tobacco products.
9.5 **Appendix 5: Draft Tools**

Individuals tool: [https://mit.co1.qualtrics.com/jfe/form/SV_1NBMhs4PRfCCKFL](https://mit.co1.qualtrics.com/jfe/form/SV_1NBMhs4PRfCCKFL)

Organizations tool: [https://mit.co1.qualtrics.com/jfe/form/SV_5cduInKyibO9FXf](https://mit.co1.qualtrics.com/jfe/form/SV_5cduInKyibO9FXf)

For each case brought to the Standing Committee, we recommend the Chair write up a one page document with the post-deliberation decision and majority and (if necessary) minority opinions, indicating in each case the questions on the tool that ultimately drove the decision. This one pager will then be added to the body of case law.

9.6 **Appendix 6: Resources Used by Resource Development**

The Office of Prospect Identification, Research, and Management currently uses the following data sources for due diligence:

- **EMIS**: information on emerging markets/companies (cost share with MIT libraries)
- **Capital IQ**: a platform for global market intelligence
- **iWave**: fundraising intelligence software
- **PrivCo**: private company research (one shared license)
- **NOZA**: a charitable donations database
- **Relationship Science**: information on interconnections between entities
- **DonorSearch**: information on existing/prospective donors
- **Kaleidoscope**: securities research, intelligence, and analytics
- **Nexis for Development Professionals**: LexisNexis resource with information from public records
- **LinkedIn Premium**: information on individuals, companies, organizations, and professional networks
- **Wealth-X**: donor information
- **Ancestry.com**: donor/family interconnections (one shared license)
- **PropertyShark**: data on real estate properties (one shared license)
- **Foundation Directory Online**: data on foundations (one account split with the Office of Foundation Relations and MIT Libraries)
- **Inside Philanthropy**: online publication with news on philanthropy/donors (two shared licenses)
- **Chronicle of Philanthropy**: magazine covering news/issues related to philanthropy (hard copy subscription)
- **Chronicle of Higher Education**: magazine covering news/issues related to higher education (hard copy subscription)
- **The Boston Globe** (print and online)
- **The New York Times** (print and online)
- **The Wall Street Journal** (print and online)
- **Bloomberg** (three licenses)
- **Descartes Visual Compliance**: suite of “export, trade and financial compliance solutions” (per website) (enterprise MIT license)
- **Dow Jones** (shared license between Office of Resource Development, Office of the Recording Secretary, Industrial Liaison Program)
- **Risk Advisory**: firm used for enhanced due diligence, as needed

### 9.7 APPENDIX 7: STUDENT COMMITTEE AND REPORT

Below is the a copy of the student report that was submitted to us for inclusion on July 9, 2020.
This report was instigated by events related to sexual violence and human trafficking, and therefore touches upon these events and other related potentially sensitive topics.

We also recognize that this report is being released during a time of crisis for students across many fronts, from the COVID-19 pandemic and its consequent effects, to the protests and surging movement against systemic racism, to the recent suspension of student visas for international students who will be taking all online classes in the fall. To all students who cannot dedicate adequate time and energy to the issues addressed by this report at the moment, we wish the circumstances and timing around this interim report could be better. We greatly appreciate any and all feedback you can give during this time.

Executive Summary

This interim report summarizes the findings so far of the Student Committee on Guidelines for Outside Engagements (“the Committee”), which was formed in response to news in the summer of 2019 about MIT’s relationship with Jeffrey Epstein. This interim report serves as a way to communicate the Committee’s current thoughts and learnings so far, and to get as much feedback as possible from the student body on the work it has done so far before publishing a final report. If you have feedback or questions on anything in this interim report, please fill out this form.¹

The Committee hosted two student conversations on December 8 and 10, 2019, where a total of ~30 student attendees discussed how they believe MIT should act in a series of hypothetical situations involving outside engagements. The following is a collective list of moral values the Committee heard and recorded from the student conversations in December and our own Committee’s discussions. This set of values is not listed in any significant order of importance.

- Wellbeing of Students and the MIT Community, including:
  - Financial stability
  - Safety
  - Support
- Wellbeing of Society and the World, including:
  - Community responsibility
  - Human rights
  - Social justice
- Equity and Inclusion, including:
  - Community and Culture
  - Participatory decision-making
- Diversity, including:
  - Open-mindedness and respect
  - Representative decision-making

¹ URL to the feedback form: https://forms.gle/R8jA0XIfvdKCgx6FvQ
• Moral Excellence, including:
  o Academic freedom
  o Conflicts of interest
  o Moral character and service
  o Power to dissent
• Accountability and Transparency, including:
  o Contextually-responsive values
  o Holistic consideration of values
  o Responsibility
  o Transparency in decision-making
• Academic Excellence

The Committee also identified several tradeoffs, outlined here:

• Shared values vs. Autonomy
• Bureaucracy vs. Accountability
• Morality vs. Utility
• Accountability vs. Forgiveness
• Transparency vs. Prevention of Reputation Laundering
• Transparency vs. Privacy
• Legality vs. Morality
• Fact vs. Rumor
• US vs. Foreign Interests

Students had a variety of different approaches to assessing these tradeoffs, outlined here. These are general themes that the Committee identified; any given individual student likely uses a mix of these approaches, and others, in varying proportions.

• Moral Absolutism
• Utilitarianism
• Legalism
• Relativism
• Democratic Moralism
• Absolute Transparency

We conclude the report with the Committee’s reflection on previously stated principles that guide MIT’s outside engagements, which largely focus on international engagements, specifically

• Any discussion of MIT’s values with respect to outside engagements should recognize the role that MIT’s mission plays as a key motivation for pursuing such engagements.
• Attention should be paid to the values that our partners uphold beyond the scope of their partnership with MIT and how they may be in conflict with our own.
- MIT should make decisions that are best for MIT and most aligned with our values, even if this does not always align with the interests of outside entities.
- Unlike faculty, students do not always have the power to make decisions about outside engagements for themselves, but may still be harmed by the consequences of those decisions. Therefore, an MIT-wide set of principles for engagement would be helpful in protecting students from the harm that can be caused by the current system.

The Committee is interested in hearing your feedback\textsuperscript{2} so that we can articulate an all encompassing set of guidelines for outside engagements that represents the student body in the final report.

\textsuperscript{2} URL to the feedback form: https://forms.gle/R8jAZXvvdKCq6FvQ
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1. Introduction

In the summer of 2019, news of MIT’s relationship with Jeffrey Epstein exposed MIT’s lack of strong values, guidelines, and processes that govern MIT’s involvement with outside engagements. To help understand those values and recommend appropriate guidelines, the MIT Faculty created the Ad Hoc Faculty Committee on Guidelines for Outside Engagements (“the Faculty Committee”), which was announced to all faculty on October 11, 2019. To ensure adequate student input on such an important topic, the Graduate Student Council (GSC) and Undergraduate Association (UA) agreed with the Chair of the Faculty to form a Student Committee on Guidelines for Outside Engagements (“the Committee”), which would write a report that would be appended to the report from the Faculty Committee. The full charge for the Committee is included in this report’s appendix. Applications for membership on the Committee opened on October 29, 2019. Applications were open to all students and the selection process for both the graduate and undergraduate members involved elections by their respective student bodies. The membership of the Committee was finalized on November 13, 2019. The selection processes used by the GSC and UA and the membership of the Committee are also included in the appendix.

This interim report documents what the Committee has learned so far. The Committee hosted two student conversations on December 8 and 10, 2019, where a total of ~30 student attendees discussed how they believe MIT should act in a series of hypothetical situations involving outside engagements. The discussions from these conversations informed the deliberations of the Committee. The Committee met 10 times in total as a whole committee, with meetings originally scheduled approximately once every 2 weeks until COVID-19 forced the Committee to pause for more than a month. The Committee also referenced the transcript of the UA/GSC MIT & Jeffrey Epstein Student Forum in October 2019 for additional input on student values with regards to outside engagements.

The Committee takes its task of representing the student body seriously and understands that it is working with a limited amount of direct student feedback. As such, the Committee is releasing this interim report to communicate the Committee’s current thoughts and learnings so far, and to get as much feedback as possible from the student body on the work it has done so far. If you have feedback or questions on anything in this interim report, please fill out this form.³

³ URL to the feedback form: https://forms.gle/R8jA0Xivy6dKCpx5Fv9
2. Context

Types of Outside Engagements

Outside entities can be individuals or organizations such as companies, non-profits, or governments. MIT’s level of engagement can range from individual students, staff, or faculty to student groups, departments, schools, or to an Institute-wide initiative. Engagements between MIT and outside entities can occur formally or informally in various settings. The following is a descriptive but not exhaustive list of outside engagements.

- Donations (e.g. endowment fundraising)
- Research funding
- Research partnerships
- Exchange programs
- Job recruitment
- University collaborations e.g. SUTD, Skoltech
- Sponsored events e.g. hackathons, corporate seminars
- Invited guests including speakers either informally and formally
- MIT’s Industrial Liaison Program
- MIT’s Washington Office

MIT’s Finances

A high level picture of MIT’s finances and the role that outside engagements, particularly fundraising, plays in them has already been well outlined by the Faculty Committee in their draft report⁴ and by the Ad Hoc Committee to Review MIT Gift Processes in their interim report.⁵ Therefore, we encourage anyone who is interested in this context to read the relevant sections of those reports (see footnotes for links).

3. Values

The following is a collective list of moral values the Committee heard and recorded from the student conversations in December and our own Committee’s discussions. Although we use the all-encompassing term “students,” we acknowledge that not all students may share these values, but that a significant number of students do. Notably, this set of values is not listed in any significant order of importance.

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⁴ The draft report of the Faculty Committee should be linked from this page:
https://facultygovernance.mit.edu/committee/ad-hoc-faculty-committee-guidelines-outside-engagements

⁵ The interim report of the Ad-Hoc Committee to Review MIT Gift Processes can be found here:
Wellbeing of Students and the MIT Community

Students deeply care for the wellbeing of their fellow students and the broader MIT community. This sense of wellbeing is multifaceted, but in particular, students highlighted:

- **Financial stability**: Students desire financial security, both now and in their future semesters at MIT, through financial aid packages, fellowship grants, research and teaching positions. They also desire that their peers who require financial support are able to receive it.
- **Safety**: Students expect that MIT protects and supports the physical and mental safety of their fellow MIT community members above all.
- **Support**: Students expect that MIT supports marginalized communities on campus through proper resources, including improved mental health, counseling services, and mentorship programs. This includes that MIT understands the way that its engagements with actors can disproportionately harm marginalized communities, including through mental health effects on students who may morally disagree with the engagement.

Wellbeing of Society and the World

Students recognize that MIT has powerful influence in the world, from the direct impact of its research and educational mission, to the values that MIT stands for and amplifies with its highly visible brand. Students desire that MIT not only communicates its desire to do good for the world through its words, but also through its actions. Students highlighted these particular aspects of societal wellbeing:

- **Community responsibility**: Students feel that MIT holds a responsibility to the higher education community and academia in general, and should be at the forefront in pulling other institutions towards building a better higher education system. Students also feel that MIT has a responsibility towards bettering the local community around MIT, in addition to the broader world at large.
- **Human rights**: Students expect that basic human rights are respected by everyone who engages with MIT. More so, students desire that MIT actively devote more to combat issues that harm the safety and rights of people all over the world, including human trafficking, and sexual assault and harrassment.
- **Social justice**: Students recognize the glaring inequities that exist in the world and express a strong desire to both individually and collectively recognize and redress them, and to support and empower the marginalized people affected by them.

Equity and Inclusion

Although equity and inclusion are highly intertwined with the previous two values on wellbeing, we highlight them as their own category because these values were overwhelmingly prevalent in every forum of student feedback. Students believe that people of marginalized communities
should not only be included and listened to, but that they should be actively reshaping, benefiting from, and comprising the various systems at MIT. Notably, students feel that the incidents of the past few years are symptomatic of wider cultural issues, and require serious, Institute-wide examinations of culture and conduct. In addition to wellbeing of students and the MIT community, and wellbeing of society and the world, we highlight underlying aspects:

- **Community and Culture**: Students treasure the various communities that transform their experience and self at MIT, including the student community at-large. These communities form the bedrock of MIT’s unique culture and often provide students from marginalized backgrounds a place to call home.

- **Participatory decision-making**: Students believe that MIT community members should be actively engaged throughout the decision-making process. It is also equivalently important for this feedback to be acknowledged and appropriately incorporated into the decision itself.

**Diversity**

Students respect and appreciate the diversity of thought, background, experience, and interests at MIT, and desire far more cognitive and experiential diversity at all levels and parts of MIT.

- **Open-mindedness and respect**: Students desire an open-mindedness from all to listen to different viewpoints and to thoughtfully and respectfully engage in difficult conversations.

- **Representative decision-making**: Students believe that since moral decisions are made on behalf of the entire community, all of its constituents deserve to be represented in the body making final decisions.

**Moral Excellence**

Students value truth, honesty, and integrity, both in words and actions. They expect that all community members, including senior leadership and tenured faculty members, are held to the same standards and underlying values agreed upon in MIT’s conduct and community policies.

- **Academic freedom**: Students believe in the academic freedom to research, teach, and communicate ideas within the boundaries of responsible, nondiscriminatory, and ethical conduct.

- **Conflicts of interest**: Students ask that MIT not only consider monetary sources of conflict of interest, but also other types of conflicts of interest that harm the welfare of MIT community members and/or the academic research conducted by MIT community members.

- **Moral character and service**: Students feel that MIT has not sufficiently valued and/or incentivized excellence in moral character and service in decisions about fundraising, collaborations, hiring and faculty tenure.
• **Power to dissent**: Students feel that all MIT community members must feel able and confident in expressing their disagreement with institutional ethics and practices. This is closely related with the safety value under wellbeing of students and the MIT community.

**Accountability and Transparency**

Students expect that accountability and transparency are appropriately integrated in every facet of MIT's conduct. This includes:

- **Contextually-responsive values**: Since values and processes change over time, the mechanism to understand and incorporate values must be updated to make sure current values are being considered.
- **Holistic consideration of values**: Students desire that MIT consider all of its values, even if the values are in conflict, to arrive at every decision, so as to not cherry-pick certain values and ignore others to rationalize different decisions.
- **Responsibility**: Students respect when leadership and community members take ownership and responsibility, and in particular share genuine apologies for problematic actions. Students also believe, though, that actions speak louder than words.
- **Transparency in decision-making**: When Institute decisions are announced, they should be coupled with an explanation for the choice and the process, including a description of the information collected, used to arrive at said choice.

**Academic Excellence**

Students strongly value continued excellence in MIT's academic output, in both teaching and research. This includes innovative progress, high quality research, intellectual curiosity, critical analysis, and self-reflection.

**4. Tradeoffs**

In addition to the values outlined in the previous section, the Committee identified several tradeoffs to capture the complexity of questions asked, which are summarized below. These kinds of tradeoffs can be complex and difficult, and given that there rarely is one universal answer, there are different approaches used by students in thinking through these questions. We outline those approaches in the next section.

**Shared values vs. Autonomy**

MIT should articulate its community values. Considering that there may be multiple valid approaches to an issue, at what threshold does a value encompass enough community
members’ individual values to be labeled a “shared” value? How do you balance a commitment to shared values with the autonomy of community members?\(^6\)

**Bureaucracy vs. Accountability**

MIT should perform due diligence review of proposed engagements. Given that it takes time to thoroughly review proposed engagements, which may invariably slow down the rate of progress, what threshold must be met for proposed engagements to necessitate more extensive review beyond the basic requirements?

**Morality vs. Utility**

Can the potential utility of an engagement to MIT and MIT’s mission override concerns about the entity? Do the ends ever justify the means? Should the decision to engage with a contentious entity change based on how much value they can provide to MIT’s mission?

**Accountability vs. Forgiveness**

Does MIT’s acceptance of resources from a morally controversial entity imply forgiveness, redemption, or trivialization of the entity’s actions? If there is an aspect of forgiveness or redemption, how can MIT still maintain accountability?

**Transparency vs. Prevention of Reputation Laundering**

MIT can increase transparency in its financial engagements by reducing the number of anonymous gifts and by increasing the community’s and public’s understanding of MIT’s engagements and finances. How can MIT increase transparency to produce accountability while preventing outside entities from using their affiliation to launder their reputation? Is selectively restricting transparency to reduce reputation laundering acceptable?

**Transparency vs. Privacy**

For financial engagements, in particular donations, some say that there should be no anonymity. They argue that transparency should be applied without exception to make engagements with ill-intentioned entities untenable. Others say that people donate out of goodwill and do not want to attract attention to themselves for personal or religious reasons. How does one balance transparency with respect for privacy?

\(^6\) As one contextual point, the Lester report on MIT’s relationship to Saudi Arabia says the faculty’s right to “pursue their intellectual interests and objectives without interference is among the most fundamental operating principles of our Institute” although it “is not an unalloyed right.”
Legality vs. Morality

An entity may have committed an action that was legal but viewed to be immoral or unethical, or conversely illegal but viewed to be moral or ethical. How should MIT evaluate the circumstances and decide whether to engage? Should the decision be affected if the action was once legal or illegal but is now considered otherwise? In another instance, an entity may have committed an action that is (or was) legal in their jurisdiction but is illegal according to United States law. How should MIT apply differing legal and moral frameworks?

Fact vs. Rumor

If the external entity has a rumored but unconfirmed immoral history but their intentions seem honest, how should MIT proceed? At what point does a rumor become credible?

US vs. Foreign Interests

MIT is located in the United States, with strong ties to American institutions and the United States government. MIT is also an international community, composed of members from across the world and engaging in many international collaborations. How should MIT balance national and international interests? If the US government requests but does not order MIT to cancel a foreign engagement, on what basis should MIT accept or deny the request? If there are disputes between a domestic company and a foreign one, especially in sectors with competing national industrial policies, how should MIT manage its engagements with both? In a similar scenario, if an attractive engagement with foreign country A is predicated on severing engagements (exclusive of student admissions) with foreign country B and the US government’s position is neutral, how should MIT proceed? How differently should MIT evaluate foreign companies and governments? At what point does a foreign company become too close to a foreign government to be treated separately?

5. Student Approaches to Tradeoffs

MIT possesses a diverse student body. Accordingly, it should be of little surprise that there is large variation in students’ approaches to the issue of outside engagements and the above tradeoffs. The Committee identified the following lenses through which students assessed the tradeoffs. These are just general themes that we identified; any given individual student likely uses a mix of these lenses, and others not identified below, in varying proportions.

Moral Absolutism

Its proponents believe that MIT should follow a fixed set of moral values and apply them to outside entities and engagements with no exceptions. Therefore, MIT should use its reputation and reach to find enough moral outside entities and engagements to achieve its mission. Anything less is unacceptable.
Utilitarianism

Its proponents consider the acceptability of outside engagements as highly contingent on the situation at hand, and attempt to practically assess the tradeoffs with each situation. This categorization necessarily groups people with different values, but the common factor is that some form of tradeoff analysis is an acceptable means to decide on which engagements to accept.

Legalism

Its proponents believe MIT should rely on the legal system rather than trying to replace it with MIT’s own moral judgements. Therefore, engagements are acceptable if they are legal and the outside entities have been engaged only in legal activities.

Relativism

Its proponents believe that everyone has their own value systems and that MIT shouldn’t be enforcing any one value system over another. Therefore, MIT should accept all engagements, but allow MIT community members to opt out of association with those engagements without any negative consequences (which means they have the same opportunity the engagement would have provided).

Democratic Morality

Its proponents believe that MIT should use a democratic system to draw the line on which engagements to accept or not accept, whether the result agrees with their personal beliefs or not. The system could be direct or proportionally representational, but in all cases, the majority of the voting body rules.

Absolute Transparency

Its proponents believe that as long as MIT is completely transparent with what engagements it is accepting and why, the response from the MIT community and the rest of the world to what MIT does will guide MIT’s behavior in a positive direction.

6. Reflecting on Existing Guidelines for Outside Engagements

With such a highly diverse student body and limited direct feedback from students, the Committee found it difficult to articulate an all encompassing set of guidelines for outside engagements in this interim report that represents the student body. We look forward to student feedback to develop recommendations in the final report.⁷

⁷ Same as above, URL to the feedback form: https://forms.gle/R8jAJ9XkvdkGCgx5Fv9
Rather than articulate a completely new set of guidelines with limited student input, this section is intended to reflect on previously stated principles that guide MIT’s outside engagements. In drafting this section, the Committee consulted previously published reports on MIT’s engagements, which largely focus on international engagements, and chose to reflect on key principles demonstrated across reports.

MIT’s Mission

“The mission of MIT is to advance knowledge and educate students in science, technology, and other areas of scholarship that will best serve the nation and the world in the 21st century. The Institute is committed to generating, disseminating and preserving knowledge, and to working with others to bring this knowledge to bear on the world’s great challenges. MIT is dedicated to providing its students with an education that combines rigorous academic study and the excitement of discovery with the support and intellectual stimulation of a diverse campus community. We seek to develop in each member of the MIT community the ability and passion for working wisely, creatively, and effectively for the betterment of humankind.”

The MIT mission statement is referenced in a number of reports on MIT’s guidelines and strategies for outside engagements. A consistent message across reports is that any activities which MIT chooses to participate in should be consistent with MIT’s mission statement. Additionally, many reports make the argument that MIT cannot act in a way that is in line with its mission without engaging with outside entities. Any discussion of MIT’s values with respect to outside engagements should recognize the role that MIT’s mission plays as a key motivation for pursuing such engagements.

Core Values

A list of core values established in A Global Strategy for MIT includes the following:

1. Dedication to advancing the frontiers of what is known
2. Encouragement of discovery, intellectual risk-taking, and creative problem-solving
3. Honesty and integrity in all academic and personal dealings
4. Respect for others
5. Fairness in the treatment of all individuals and groups
6. An open, respectful approach to discourse
7. Reliance on fact- and reason-based objective inquiry
8. Freedom of expression, communication, publication, and movement of people; and
9. A commitment to excellence in all that we do

https://web/mit.edu/facts/mission.html
The principles listed above are meant to guide the actions of MIT community members in their work with outside entities. However, students do not necessarily agree that it should be considered sufficient for our partners to uphold these values within the confines of their partnership with MIT. While MIT should consider cultural and social differences when evaluating the actions of new partners, attention should also be paid to the values that our partners uphold beyond the scope of their partnership with MIT and how they may be in conflict with our own.

**MIT’s Responsibility to Stakeholders in Cases of Unaligned Values or Interests**

Previous guidelines have always emphasized that MIT should make decisions that are best for MIT and most aligned with our values, even if this does not always align with the interests of outside entities. This applies in particular to the US government. As an American institution, members of the MIT community are expected to act in accordance with relevant federal and state laws and regulations. In considering new engagements, MIT is cognizant of national interests and policies, and in cases where there are direct conflicts between the interest of the US and other countries, US interests are put before the interests of any other country. However, as explained in MIT’s Relationship to China, “When our plans and programs are not aligned with those policies, we have a responsibility to be fully transparent, to inform relevant agencies so there are no surprises, and to engage with government officials in discussions of these differences.”

The relationship between MIT and the US government is a very different one from MIT’s relationship with its students. However, students similarly represent a group whose values should be considered in evaluating international engagements. These principles of transparency and communication may be useful in developing a process through which students are engaged in discussion around decisions that do not agree with their values.

**Autonomy of Faculty**

Many engagements are driven from a ‘bottom-up’ model in which faculty members and departments pursue partnerships that align with their research goals. Typically engagements are not as driven by top down guidance from senior administration.

Support for the autonomy of faculty came up in a number of reports. This takes the form of two major arguments.

1. Engagements should be faculty driven. This means both that MIT should not pursue an engagement if there are no faculty members interested in and dedicated to the project. Conversely, as mentioned in the 2019 Lester report, MIT should not terminate projects where there are faculty members willing to continue these relationships.

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9 Richard Lester, MIT’s Relationship to China (MIT Faculty Newsletter Sep/Oct 2018)
2. As stated in MIT’s Greater China Strategy, “Our faculty are and must remain free to follow their intellectual agendas and moral predispositions. That is the Institute’s most fundamental operating principle.” MIT faculty members should be free to pursue or reject engagements based on their own moral judgements. This raises the question, in developing guidelines for MIT’s outside engagements, should it be the role of the MIT senior administration to establish principles based on morality if they are not consistent with the views of all members of the faculty, or should MIT refrain from making statements in these matters and defer to the faculty to make these judgements and speak out as they see appropriate?

This is not a simple question to answer and as such should be treated with great care. There may be some situations in which it is appropriate for MIT to articulate a stance on a particular subject, and others where it may not be. However, it is important to consider that any member of the MIT community who chooses to engage with outside entities does so as a representative of MIT.

The student body is not a monolith, and many students have expressed differing opinions on what engagements they would accept or reject. However, unlike faculty, students do not always have the power to make those decisions for themselves, but may still be harmed by the consequences of those decisions. Therefore, an MIT-wide set of principles for engagement would be helpful in protecting students from the harm that can be caused by the current system.

Reports and Articles Consulted:

- Richard Lester, Review and Reassessment of MIT’s Relationships with the Kingdom of Saudi Arabia: a Report to President L. Rafael Reif (2019)
- L. Rafael Reif, MIT’s Approach to International Engagement (MIT Faculty Newsletter Jan/Feb 2011)
- Richard Lester, MIT’s Relationship to China (MIT Faculty Newsletter Sep/Oct 2018)
- MIT International Advisory Committee (IAC), Guiding Strategies for MIT’s International Activities (2009)

7. Appendices

A. All Committee Members (Past and Present)

Undergraduates
Mahalaxmi Elango (Co-chair)
Bryan Padilla
Darya Guettler
Maximillian Lagenkamp
Sarah Edwards
Amelia Dogan**

Graduate students
Peter Su (Co-chair)
Amauche Emenari
Seiji Engelkemier
Aiyah Josiah-Faeduwor*
Bridget Burns**
Michael Smithers**
Vanessa Conzon**

* These students resigned from the Committee in January 2020 and were not involved in writing this report.
** These students resigned from the Committee in June 2020 and were not involved in writing this report.
† These students joined the Committee in January 2020.

B. Charge for the Committee

The charge of this committee is similar to that of the Ad Hoc Faculty Committee on Guidelines (FCoG) for Outside Engagements. Specifically, the charge is to define a set of values and principles, consistent with MIT’s mission, to guide the assessment of outside engagements. Outside engagements include grants, gifts, and any other associations and collaborations involving MIT with governments, corporations, foundations, or private individuals, domestic or foreign. Additionally, if time allows and the committee feels it has the necessary information, the committee may review MIT’s gift processes. The committee will produce a report to be included with the set of guidelines produced by the FCoG, with which it will work closely, to be employed by the MIT decision-makers in ways that will be defined by the Ad Hoc Committee to Review MIT Gift Processes for the evaluation of potential outside engagements.

The Student Committee on Guidelines for Outside Engagements will have twelve members: six undergraduate students to be convened by the Undergraduate Association (UA) and six
graduate students by the Graduate Student Council (GSC). The Student Committee will be co-chaired by Mahi Elango, President of the UA and Peter Su, President of the GSC. The Student Committee co-chairs will also be members of the Ad Hoc Committee to Review MIT Gift Processes, to help facilitate conversation between both committees.

The report of the Student Committee will include the following components and will be included alongside the report of the Faculty Committee:

- A discussion of MIT core values that are the basis for evaluating all engagements, particularly problematic ones.
- Guidelines for use by MIT individual faculty, administration, and relevant staff and committees in determining whether proposed engagements with governments, corporations, foundations, or private individuals are acceptable.
- The report will also discuss general principles relevant to evaluating and undertaking outside engagements, such as under what conditions, if any, anonymous donations can be considered.
- The report will also propose mechanisms for reviewing the status of implementation of these guidelines.
- To inform their deliberations throughout the year, the Committee will gather input from the MIT student body and other community members as well as drawing from existing expertise around these issues.

The Committee will issue its report to the MIT community during Spring 2020, alongside a community-wide discussion of the report and further actions.

C. Selection Process for the Committee

Selection Process used by the Graduate Student Council

The selection process for the graduate student members of the Committee was as follows:

1. Applications from interested students were due on Saturday, Nov 2nd @ 8:00 PM.
2. From Saturday, Nov 2nd - Tuesday, Nov 5th @ 3:00 PM, an election occurred where all grad students were eligible to vote to downselect to a final pool of ~10 candidates. The downselection process was as follows:
   - All grad students were able to vote for up to 10 candidates.
   - The top 10 candidates were included in the final pool.
   - To ensure all schools were represented, the top 2 candidates from each school were included in the final pool.
   - To ensure that low turnout does not skew the results too much towards the opinions of an unrepresentative minority, the opinions of the GSC Nominations Board (which is tasked with selecting all students to Faculty and Institute committees and therefore thinks about this type of selection all the time) were included via the following formula:
\[ \text{vote\%} = (1 - 3\times \text{turnout}) \times \text{nom\%} + (3\times \text{turnout}) \times \text{election\%} \]

Where,
- turnout was the fraction of eligible grad students who voted. Anything above 1/3 was treated as 1/3 for the formula. This means that if at least 1/3 of grad students voted, the opinions of the GSC Nominations Board would not matter.
- nom\% was the percentage of the nominations board that voted for the candidate.
- election\% was the percentage of those who voted that voted for the candidate.

3. The GSC Nominations Board then selected a proposed slate of 5 candidates, balancing election results with the need for diversity of viewpoints and backgrounds.
4. The proposed slate was then presented to the GSC General Council for feedback on Wednesday, Nov 6th @~6:30 PM. This meeting was open to all interested grad students and the meeting minutes were posted on the GSC website.
5. With that feedback, final selections by the GSC Nominations Board were announced on Tuesday, Nov 12th.

Selection Process used by the Undergraduate Association

The selection process for the undergraduate student members of the Committee was as follows:

1. An open call for membership via online application: Tues Oct 29th - Sat Nov 2nd.
2. Interview process by the UA, through which ten candidates were selected: Sat Nov 2nd - Sun Nov 3rd.
3. Elections, through which the ten candidates were publicly ranked: Mon Nov 4th - Fri Nov 8th.
   a. All current undergraduates were eligible to vote in elections and were provided each candidate’s platform.
   b. Voters selected their (up to) top five candidates.
   c. Candidates were ranked in terms of number of votes earned.
4. Slating by the UA, through which the final five candidates were nominated: Sat Nov 9th - Mon Nov 11th.
   a. To ensure a balance in the diversity of School, class year, gender, race, and perspective alongside the GSC candidates, the UA chose five representatives from the top ranked candidates
   a. Approval by UA Council followed a similar process to creating ad hoc committees and nominations for Institute committees, outlined in the UA Constitution, Article IV, Section A: The UA Officers will present Council with election results and a slate of nominees, with a rationale for the slate. The slate is effective by approval of a 2/3 vote of the full voting membership of the Council.
b. Voting members of UA Council include the presidents of all dormitories, four IFC representatives, and three Panhel representatives.

c. UA Council meeting was open to all undergraduates to attend. Meeting minutes can also be found on the UA website.

6. Final selections were announced to all undergraduates on Tuesday, Nov 19th.

D. Soliciting Student Input

Prior to the organization of this committee, the UA and GSC held a joint forum to provide a centralized space for students to voice their frustrations, comments, questions, and more, in front of student, faculty, and senior leaders. The UA and GSC subsequently organized this committee, in partnership with faculty governance, to provide student perspectives on MIT’s outside engagements.

In December 2019, the Committee held two student conversations, in parallel with various conversations organized by the Faculty Committee across the Schools, to inform our report. These conversations were roundtable discussions, where students were given several vignettes describing potential outside engagement situations and asked to discuss them with other students randomly assigned to their table and a group moderator (individuals from our committee). After a discussion of each vignette, participants were then asked to fill out a Google form with their decision on whether or not to accept the discussed engagement (the possible options were: yes, no, depends but leans yes, depends but leans no), a brief explanation as to why they answered this way, and what (if any) values they employed to arrive at that decision. Students were also asked to randomly reorganize into new roundtables every few vignettes to provide new discussion partners. In total, we received approximately fifty responses between the two nights of conversations. Since parsing the responses thoroughly and systematically into values for the report took our full committee over a month, we believed it would be untenable for us to ask similar open-ended questions to the entire student body, given our restricted timeline.

Some members of the Committee felt that the roughly 50 responses from the student conversations was not sufficient information to write a report representing the values of more than 11,000 students. Thus, the intent of the survey was to obtain feedback from a greater number of students in a way in which the responses could be analyzed and contextualized quickly enough to inform our interim report.

Conjoint Analysis Survey

The form of conjoint analysis used in our survey was a combination of choice-based and rating-based conjoint analysis. In choice-based conjoint, respondents are given two or more profiles and are asked to choose which one they prefer. In rating-based conjoint, respondents are asked to rate the profiles on a numerical scale to indicate their degree of preference for a particular profile (Hainmueller 2014). The profiles consist of a list of attributes, where the value of each attribute for each profile is randomly generated from a given list. An example has been
added below illustrating survey questions and a corresponding list of values and attributes from a 2014 paper by Jens Hainmueller et. al.

While conjoint analysis is traditionally used in marketing research, it has in recent years become more widely used as a technique for political science research as well, including in surveys on preferences for presidential candidates and potential immigrants to a country. We felt, given the contexts in which it had been applied in the research we consulted, it would be an appropriate approach for our survey. In drafting the survey, we reached out to two graduate students experienced with using conjoint analysis in their research for feedback on our survey approach, and the specific values we had drafted. We also solicited feedback from faculty members, Institutional Research, Committee on the Use of Humans as Experimental Subjects, and other current students before the survey was released.

Implementation of Conjoint in Our Survey
The responses we received from the conversations also left us with a number of questions regarding how students weighed various aspects of a donation to decide whether or not to accept an engagement.

Example of how some of the questions we had influenced the attributes incorporated into our survey:

1. Donor’s intended use for the money
   a. When choosing whether or not to engage with a particular donor, does it matter how the money is used?
   b. Do students feel differently about whether or not to accept the money if it is something that directly benefits students?
   c. Does it matter where the money came from if it is being used for a good/valuable cause?

2. Donor’s Potentially Controversial Activities & Donor’s Criminal History
   a. How do students make decisions on matters of morality?
   b. Should the law be the deciding factor on what is acceptable and what isn’t?
   c. Is it MIT’s job to decide what is considered a ‘acceptable’ crime v. an ‘unacceptable’ crime?
   d. How much weight should be given to people who have shown regret for their actions or otherwise become a better person?

3. MIT’s Recognition of Donor
   a. Are anonymous donations acceptable? (On one hand, it prevents donors from benefiting from their association with MIT, on the other, it obscures MIT’s relationships with individuals that may be harmful to community members)
   b. Do different levels of interaction change the amount of harm done in accepting a donation (ex. Does naming a building after an unfavorable donor have the same impact as that donor visiting campus)?

4. Donation Amount
a. Does the amount of money influence how people make decisions about donors?
Is there a point at which the harm done by an individual is outweighed by the
good generated through the donation?

We recognize that for some people the decisions on whether or not to accept an engagement
are very clear cut, and that having the Committee consider these open questions, particularly
with respect to morally reprehensible donors, can feel insulting or offensive. These questions
came from processing the responses from the student conversations and the apparent
disagreements among students on how to answer them. We would not be asking these
questions if we were confident that there was a broad consensus among students on how to
handle them. Similar to how a number of students believe that MIT should univocally not
accept money from donors with morally reprehensible pasts, there are other students who
believe that the source of the money doesn’t matter as long as we use it for good, which
includes fulfilling MIT’s research and educational mission. We sought to understand both more
about the various views students hold, and how many students hold each view.

The survey is not a perfect method for capturing student opinions on these values, and we
never assumed that it would function on its own as a sufficient reflection of student values.
Conjoint analysis lacks the nuance of the vignette-based conversations or in-depth
conversations about donor selection or principles for the engagement process. We take our
roles as student representatives seriously and would never present the data to anyone in a way
that would be harmful to the student body or fail to appropriately reflect its values. If, in
analyzing the data, we felt that there were errors in the survey’s design which prevented us from
using the data (in addition to other student feedback) to make accurate statements about
student values, we would not attempt to incorporate its results into the report.

Future of the Survey
The survey results were not used to inform the Committee’s interim report. We thank everyone
who devoted time to think about these critical questions by answering the survey and/or
provided criticism about the survey. The Committee’s interim report only includes information
gathered through research done by the Committee and the responses from the fall
conversations.

Works Consulted
Survey satisficing in conjoint experiments. Political Science Research and Methods, 1-19.
doi:10.1017/psrm.2019.13

Analyze Elections: The Essential Role of the Average Marginal Component Effect (AMCE).
Available at SSRN: https://ssrn.com/abstract=3588941 or
http://dx.doi.org/10.2139/ssrn.3588941


A conjoint survey example from Hainmueller 2014.

Figure 1 Experimental Design

Please read the descriptions of the potential immigrants carefully. Then, please indicate which of the two immigrants you would personally prefer to see admitted to the United States.

<table>
<thead>
<tr>
<th>Prior Trips to the U.S.</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Entered the U.S. once before on a tourist visa</td>
<td>Entered the U.S. once before on a tourist visa</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reason for Application</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Reunite with family members already in U.S.</td>
<td>Reunite with family members already in U.S.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Country of Origin</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Mexico</td>
<td>Iraq</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Language Skills</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>During admission interview, this applicant spoke fluent English</td>
<td>During admission interview, this applicant spoke fluent English</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Profession</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Child care provider</td>
<td>Teacher</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Job Experience</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>One to two years of job training and experience</td>
<td>Three to five years of job training and experience</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Employment Plans</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Does not have a contract with a U.S. employer but has done job interviews</td>
<td>Will look for work after arriving in the U.S.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Education Level</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Equivalent to completing two years of college in the U.S.</td>
<td>Equivalent to completing a college degree in the U.S.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Gender</th>
<th>Immigrant 1</th>
<th>Immigrant 2</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Female</td>
<td>Male</td>
</tr>
</tbody>
</table>

If you had to choose between them, which of these two immigrants should be given priority to come to the United States to live?

[ ] Immigrant 1
[ ] Immigrant 2

On a scale from 1 to 7, where 1 indicates that the United States should absolutely not admit the immigrant and 7 indicates that the United States should definitely admit the immigrant, how would you rate Immigrant 1?

[ ] 1
[ ] 2
[ ] 3
[ ] 4
[ ] 5
[ ] 6
[ ] 7

Definitely Admit

Using the same scale, how would you rate Immigrant 2?

[ ] 1
[ ] 2
[ ] 3
[ ] 4
[ ] 5
[ ] 6
[ ] 7

Definitely Admit

Note: This figure illustrates the experimental design for the conjoint experiment.
<table>
<thead>
<tr>
<th>Attribute</th>
<th>Values</th>
</tr>
</thead>
</table>
| Education Level        | No formal education  
Equivalent to completing fourth grade in the U.S.  
Equivalent to completing eighth grade in the U.S.  
Equivalent to completing high school in the U.S.  
Equivalent to completing two years at college in the U.S.  
Equivalent to completing a college degree in the U.S.  
Equivalent to completing a graduate degree in the U.S. |
| Gender                 | Female  
Male |
| Country of Origin      | Germany  
France  
Mexico  
Philippines  
Poland  
India  
China  
Sudan  
Somalia  
Iraq |
| Language               | During admission interview, this applicant spoke fluent English  
During admission interview, this applicant spoke broken English  
During admission interview, this applicant tried to speak English but was unable  
During admission interview, this applicant spoke through an interpreter |
| Reason for Application | Reunite with family members already in U.S.  
Seek better job in U.S.  
Escape political/religious persecution |
| Profession             | Gardener  
Waiter  
Nurse  
Teacher  
Child care provider  
Janitor  
Construction worker  
Financial analyst  
Research scientist  
Doctor  
Computer programmer |
| Job Experience         | No job training or prior experience  
One to two years  
Three to five years  
More than five years |
| Employment Plans       | Has a contract with a U.S. employer  
Does not have a contract with a U.S. employer, but has done job interviews  
Will look for work after arriving in the U.S.  
Has no plans to look for work at this time |
| Prior Trips to the U.S. | Never been to the U.S.  
Entered the U.S. once before on a tourist visa  
Entered the U.S. once before without legal authorization  
Has visited the U.S. many times before on tourist visas  
Spent six months with family members in the U.S. |

Note: This table shows the attributes and attribute values that are used to generate the immigrant profiles for the conjoint experiment.