I. REFERENCES

2. UCLA International Institute Forms Web Site http://mou.international.ucla.edu.

II. BACKGROUND AND SCOPE

The UCLA International Institute (Institute) is responsible for the execution and administration of academic exchange and linkage agreements between UCLA and foreign universities, governments, or non-profit institutions. The Vice Provost, International Studies and the Vice Provost, Intellectual Property and Industry Relations work together to facilitate and maintain all formal written agreements between UCLA and foreign entities. The Office of Intellectual Property and Industry Sponsored Research (OIP-ISR), in collaboration with the Institute, ensures that related intellectual property rights, such as university publication rights, reserving appropriate rights for faculty to conduct research and commercialize technology, are specified in agreements and agreements are properly administered.

This policy is applicable to all faculty members who initiate a proposal for an international agreement and if such a proposal is approved, to the appropriate Dean, ORU Director or University Librarian.

III. DEFINITIONS

The following terms and definitions are for use in the context of this policy:

An International Exchange or Linkage Agreement (IE Agreement) means a written agreement between UCLA and a foreign university, government, or non-profit institution that entails a commitment of one or more University Resources for academic and research purposes and has been approved by designated signatories.

Memorandum of Understanding (MOU) means a written statement of understanding on the MOU template form provided by the International Institute between UCLA and a foreign university or a non-profit institution expressing a mutual intention to engage in a cooperative academic or research effort but that does not involve a commitment of University Resources.

University Resources means labor, materials, or assets, both monetary and non-monetary, under the control and management of the University including University funds, facilities, office space, research materials, tools, databases, equipment, or the time or effort of University personnel. University assets include the University’s names or marks, and all University intellectual property, including copyrighted materials and resources.
IV. STATEMENT

No UCLA faculty member or official of any unit or program may commit or agree to commit University Resources to a foreign university, non-profit institution or entity for any academic or research purpose except in accordance with the terms of a duly approved and executed IE Agreement as prescribed below. Designated officials may enter into an MOU type of agreement provided the proposed arrangement does not entail a commitment of University Resources.

A. Types of Agreements

IE Agreement

An IE Agreement shall be used in any situation involving a commitment of University Resources by UCLA to a foreign university or non-profit institution, or in any situation that will involve an agreement with a foreign government, whether or not a commitment of University Resources is involved. Examples of IE Agreements include, but are not limited to exchange visits of scholars, researchers and/or administrators of UCLA and the foreign entity, exchange of academic or other research information and materials by the parties, or the organization of joint conferences and/or symposia.

Memorandum of Understanding

An MOU type of agreement may be used with a foreign entity provided the arrangement will not involve a commitment of University Resources and provided further that the arrangement is not with a foreign government. Deans, ORU Directors and the University Librarian are authorized to approve and sign proposed MOUs that comply with the approved MOU form of agreement. An approved MOU template may be obtained from the Institute or may be accessed online at http://mou.international.ucla.edu. A copy of each signed MOU should be sent to the Institute.

Agreement proposed by a foreign entity

Any form of exchange or linkage agreement proposed to a faculty member or academic official by a foreign entity, whether it entails a commitment of University Resources or not, should be forwarded to the Institute for its review to determine whether the proposal meets the criteria as an IE Agreement or an MOU. The Institute will advise the faculty member or academic official accordingly.

The following types of proposed agreements are not covered under this policy:

- A proposal for a research contract or grant submitted jointly with a foreign entity to an agency for funding. For more information, contact the Office of Contract and Grant Administration.
- A proposal for the purchase or sale of services or products. For more information, contact Campus Purchasing.
- A proposal to affiliate with an educational institution, governmental agency, hospital or similar organization to provide for the training of enrolled students in furtherance of the UCLA mission. For more information, see UCLA Policy 970, Affiliation Agreements.

B. Initiating a Proposal for an IE Agreement

Faculty members seeking to enter into an IE Agreement may initiate the process by submitting a proposal to be reviewed and approved (signature required) by the appropriate Dean, ORU Director or University Librarian. The proposal must be submitted to the Institute using the Institute form available online at http://mou.international.ucla.edu.

The proposal must include the following information:

- Identification of the campus unit that will be responsible for administering and implementing the IE Agreement;
• Assurance of consultation with the appropriate International Center or Program Director, Dean, University Librarian’s Office and other affected parties;
• Description of the activity to take place under the proposed IE Agreement;
• Identification of University Resources to be utilized; and
• Description of any other University commitments required.

C. Required Approvals

Once a proposal for an IE Agreement has been endorsed by the appropriate Dean, ORU Director or University Librarian, the proposal will be reviewed by the Vice Provost, International Studies and the Vice Provost, Intellectual Property and Industry Relations. Sufficient lead time should be included in the request process to allow for adequate review by the Vice Provosts. While a proposed IE Agreement is under review, departments or units may not make any informal or formal, oral or written commitment of University Resources or other form of agreement with the foreign university, non-profit institution or entity.

The additional signature of the Executive Vice Chancellor & Provost or the Chancellor may be required for specific IE Agreements. The approving signature requirements are applicable both to the IE Agreement and to any subsequent protocols to such an IE Agreement. Regents’ approval will be required for agreements involving any contractually binding commitment to expend Regents’ funds in support of an academic program, or commitments to programs not previously approved (reference Regents’ Standing Order 100.4(dd)(5).

No University Resources shall be committed in support of any IE Agreement until the IE Agreement has been authorized by the signature of the Vice Provosts and, as required, the signature of the Executive Vice Chancellor & Provost or the Chancellor.

D. Duration of IE Agreements

The duration of the term of an IE Agreement and its related protocols will be limited to not more than five years. Prior to the end of the term of the Agreement, upon request of the responsible department or unit, the IE Agreement or protocol will be reviewed for reauthorization by the Vice Provosts or resubmission by the Vice Provosts to the Executive Vice Chancellor & Provost or Chancellor, as appropriate. Requests for such reauthorization should be made well in advance of the expiration of the term of the agreement.

E. Responsibilities

All IE Agreement proposals shall be prepared and, if approved, IE Agreements shall be administered by appropriate units including schools, departments, ORUs, and other campus programs. The Offices of the Vice Provosts will not assume responsibility for the administration or implementation of IE Agreements, nor will those offices be responsible for the allocation of any resources in support of IE Agreements.

Faculty Members are responsible for:
Preparing an IE Agreement proposal, confirming any commitment of University Resources with the appropriate departmental administrators, and submitting the proposal to the respective Dean, ORU Director or the University Librarian for consideration and approval. Once an approved IE Agreement has been executed, the sponsoring faculty member shall be responsible for administering the IE Agreement in accordance with its terms.

Faculty members in the College of Letters and Science should consult with and gain approval from their Department Chair before submitting a proposal to their respective Dean.

Deans, ORU Directors, and the University Librarian are responsible for:
Reviewing all IE Agreement proposals to ensure that they meet the scholarly goals and standards associated with their programs and, as deemed appropriate, confirming the review of and the concurrence in the proposal by the relevant Department Chair. The following questions will be considered:

• Are University Resources being committed?
• Is research to be conducted at the foreign university or non-profit institution?
• Is the foreign institution one with which UCLA would want to engage in scholarly cooperation?
• Will there be visiting scientists conducting research at UCLA?
• Does grant or contract funding support any research to be conducted as part of the IE Agreement?
• Would a cooperative program be beneficial to both universities?

Once these and related questions have been satisfactorily addressed, the appropriate Dean, ORU Director, or the University Librarian may sign and approve the IE Agreement proposal and submit it and their recommendation to the Vice-Provosts.

If a decision is made to submit an MOU, the Dean, ORU Director or University Librarian may sign the MOU and forward a finished, signed copy to the Institute for inclusion on the Institute website.

The University Librarian is responsible for:

Reviewing and approving IE Agreement proposals that call for use of UCLA Library personnel, resources, funding, computerized records, licensed journals, and/or use of copyrighted materials held by the UCLA Library.

Vice Provost, International Studies and Vice Provost, Intellectual Property and Industry Relations are responsible for:

• Reviewing all proposals for IE Agreements and approving or disapproving same in accordance with relevant University and campus policies, ensuring that other University officials are consulted in the process as appropriate;
• Facilitating and maintaining all written IE Agreements, ensuring that all such agreements are stored electronically and made available to authorized University personnel via the Institute Web site; and
• Upon request of the responsible department or unit, initiating a review of previously approved IE Agreements at the conclusion of the term of the IE Agreements, generally at the end of the fourth year.

V. PROCEDURES

The following procedures describe how to initiate a proposal for an IE Agreement and the required review and approval process for a proposal to become an executed IE Agreement.

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<thead>
<tr>
<th>RESPONSIBILITY</th>
<th>ACTION</th>
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<tbody>
<tr>
<td>Faculty Member</td>
<td>Prepares information for a proposed IE Agreement and submits to his or her Dean or ORU Director, as appropriate.</td>
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<tr>
<td>Dean or ORU Director</td>
<td>Consults with the University Librarian as appropriate to review the proposed IE Agreement request for use of University copyrighted materials.</td>
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<td>As deemed appropriate, confers with relevant Department Chair concerning the proposal and any commitment of departmental resources.</td>
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<td>If there is no planned use of University licensed or copyrighted materials, indicates such on the proposal, signs and forwards it to the Vice Provosts.</td>
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<td>If there is planned use of University licensed or copyrighted materials or resources, signs proposed IE Agreement request and forwards to the University Librarian.</td>
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<tr>
<td>RESPONSIBILITY</td>
<td>ACTION</td>
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<tr>
<td>University Librarian</td>
<td>If there is planned use of University licensed or copyrighted materials or resources, reviews proposed IE Agreements for use of UCLA Library personnel, resources, funding, computerized records and use of licensed or copyrighted materials held by the UCLA Library. If the proposed use is consonant with the library holdings, signs and forwards proposed IE Agreement or protocol to the Office of the Vice Provost, International Studies.</td>
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<tr>
<td>Vice Provosts</td>
<td>Consult with appropriate international center, program director, or University Librarian as appropriate. If new University Resources would be required for an IE Agreement or protocol, consult with the Executive Vice Chancellor &amp; Provost and other campus officials as appropriate. Determine whether Regents’ approval is required. If it is determined that no Regental approval is required, approve or disapprove the proposed IE Agreement. If approved, normally an IE Agreement and its subsequent protocols will be formally executed when signed by the Vice Provosts. With those specific IE Agreements that require authorization by the Chancellor’s Office, consult with and obtain the additional signature of the Executive Vice Chancellor, or, in limited cases, the signature of the Chancellor. Such IE Agreements and any subsequent protocols will be formally executed when signed by the Vice Provost, with the additional signature of the Executive Vice Chancellor or Chancellor.</td>
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<td>Chancellor’s Office</td>
<td>Returns signed original copy of IE Agreement that has been forwarded to the Chancellor or Executive Vice Chancellor to the Vice Provosts.</td>
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<tr>
<td>Vice Provosts</td>
<td>Distribute executed IE Agreement to appropriate parties on campus responsible for administering it. The original copy of the signed IE Agreement shall be retained by the International Institute.</td>
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**Issuing Officer**

/s/Scott Waugh

Acting Executive Vice Chancellor and Provost

Questions concerning this policy or procedure should be referred to the Responsible Department listed at the top of this document.