**Guidelines for Agreements of Cooperation and Memoranda of Understanding with International Institutions**

The University of California, Santa Cruz is interested in establishing relationships and partnerships with international universities and research institutions to facilitate a wide variety of intellectual interactions and exchanges. As a result, UCSC has entered into a number of general and specific working agreements with international institutions, most of them at the initiative of individual faculty members.

These Guidelines seek to outline the process for initiating, drafting, and formalizing Agreements of Cooperation (AOCs) and Memoranda of Understanding (MOUs) governing such international agreements.

**Principles**

The primary aim of these guidelines is to insure that formal relationships involving resource commitments by UCSC units are appropriately vetted before a commitment is made.

Because the chancellor must sign Agreements of Cooperation on behalf of the regents, it is important that documentation for proposed agreements indicate the goal of forming the relationship and designate UCSC faculty or staff who are committed to forming and supporting the relationship over time.

Such agreements and relationships should be documented for the campus and be subject to periodic review for renewal.

The procedures detailed here are intended to assist in establishing formal relationships that will be developed and sustained over time and that may involve resource commitments in the future. They need not be used for informal short-term arrangements that do not involve resource commitments from UCSC (e.g., invitation to an international scholar to give a lecture that involves payment).

**Definitions**

**Agreement of Cooperation:** An AOC is a general agreement to collaborate or cooperate. It does not commit money or other resources in support of the relationship. It serves to formally recognize a desire to collaborate in the future. It is signed by the chancellor on behalf of The Regents of the University of California. An AOC is required for the development of Memoranda of Understanding establishing working agreements between UCSC units and groups at other institutions. It may also serve as a ceremonial document signed on the occasion of a visit from a chief executive from the other university or a visit by UCSC’s chancellor to another institution.

**Memorandum of Understanding:** An MOU documents the terms of a specific working agreement between a unit of UCSC and another institution. An AOC with a particular international institution must exist prior to the signing of an MOU. MOUs provide the specifics, logistics, and other details of a particular collaborative effort. They are initiated by the principal officer of a division (generally one of the academic divisions/schools or University Extension), who is responsible for the resource commitments and performance on the MOU.
Responsible Office

The office of the Vice Provost and Dean of Undergraduate Education (VPDUE) currently serves as the responsible office for international agreements on behalf of the chancellor and CP/EVC. Proposed agreements should be submitted to that office for review and approval. (Contact Mackenzie Aluffi, (831) 459-4908, mfaluffi@ucsc.edu, c/o the Chancellor’s Office, 200 Kerr Hall.)

Process

1. Agreements of Cooperation initiated by affiliates of UCSC should, if possible, be made from the approved template by filling in the cooperating institution’s name and its approving officer. This template is available on the web at http://vpdue.ucsc.edu and has been pre-approved, expediting the process. If the corresponding institution is providing the draft, it should be sent to the responsible office for review by a contracts analyst and university counsel.

Similarly, draft Memoranda of Understanding, along with a statement of support of the responsible principal officer, should be submitted to the responsible office, which will seek approval by a contracts analyst and university counsel.

By default, all agreements have a term of five (5) years from date of approval and must be reviewed if proposed for renewal.

2. Once both institutions agree on the language of an AOC or MOU prior to its being signed, it should be submitted to the VPDUE’s office for final review and transmittal for signature to the Chancellor’s Office. It should be accompanied by a letter from the proposed sponsor summarizing the goals of the agreement and anticipated next steps. If it is desired that the signing of the AOC or MOU be made a ceremonial event, this is the point at which to raise that possibility for discussion.

3. AOCs and MOUs must be reviewed and approved by the Chancellor or EVC based upon analysis from the responsible office before being signed and formalized.

4. When submitting an AOC or MOU to the responsible office for review and approval, please provide the following information:
   a. Background, history and prior contact with the international institution;
   b. Benefits of signing an agreement with this institution;
   c. Primary contact(s) on campus for agreement and relationship and for submitting an annual report of activities resulting from the agreement;
   d. Confirmation that the international institution agrees with the language of the document;
   e. Whether signing will be via mail or in person; and
f. The dean's (and department chair - or chairs’) support of the proposed agreement (denoted by their signatures).

5. Two signatures are required in order for the agreement to be formalized – one representing each institution. For AOCs, this is the Chancellor on behalf of the Regents. For Memoranda of Understanding, the UCSC senior officer should generally be comparable to the signatory at the international institution.

6. An AOC or MOU can be signed via mail or in person.
   a. If via mail, either institution can be the first to sign at least two copies of the document and be asked to send to the other institution both copies for completion. One fully signed and dated copy is retained by each institution.
   b. If in person, a signing ceremony involving senior administrators and academics on campus must be arranged. Such ceremonies require a good deal of advance notice and attention to details of protocol. The agreement’s sponsors are expected to take the lead in designing the visit while working with the Chancellor’s Office to arrange for participation of senior campus leadership.

7. Each year, by February 1, the primary contact shall provide the responsible office with a brief report summarizing activity for the previous year and plans for the current year. In the year prior to the expiration of the term of the agreement, the sponsor should decide whether to propose renewal of the agreement and initiate that discussion with the responsible office in the annual report.

8. When signed, the original agreement should be deposited with Administrative Records and copies distributed to the offices of the Vice Provost and Dean of Undergraduate Education, the Campus Provost & Executive Vice Chancellor, and the primary contacts and sponsors for the agreement (see 4c above).

**Distribution of Information**

The responsible office will maintain records of current and recent but inactive international AOCs and MOUs. Materials to support the campus in developing international agreements should be made available via the web.