Guidelines for Establishing International Cooperation Agreements

2013

Guidelines and procedures for establishing Letters of Intent (LOI), Letters of Agreement (LOA), Memoranda of Understanding (MOU), and Student Exchange Agreements with prospective partner institutions outside of the U.S.
Establishing Institutional Agreements at IPFW

There are essentially three types of written "agreements" which structure international activities at IPFW, each of the documents listed below are designed to facilitate a particular purpose. The Office of International Education (OIE) will assist interested parties with any questions related to establishing an institutional agreement or determining which document would be most appropriate. Establishing productive, sustainable institutional agreement relationships can be a challenging experience, even for the seasoned higher education administrator or faculty member. The attached Proposal Cover Sheet and Approval Form may help in determining the appropriate document needed.

Prior to entering into any type of agreement with an international institution, a query of lists maintained by federal agencies must be performed. This search will assist in identifying persons (individuals and companies) convicted of export control violations, debarred from federal funding, or otherwise prohibited from doing business with the US. To expedite matters and avoid delay, please follow the instructions listed on the Purdue University Restricted Persons/Parties Screening (RPS) request form as soon as the agreement is being considered. The sponsoring faculty/staff member is required to submit a Restricted Persons/Parties Screening (RPS) Request Form for all proposed agreements to the Purdue University Office of Research Integrity and Regulatory Affairs. RPS Request forms should be completed and reviewed by the IPFW Office of Research, Engagement, and Sponsored Programs (RESP) Contract Specialist prior to submitting by email to exportcontrols@purdue.edu. A copy of the reviewed RPS Request Form must be attached to the approval form before approval is granted. Please contact the OIE or the RESP contract specialist for guidance.

1) A Letter of Intent (LOI) is an official document designed to inform administrators, faculty and other institutional constituents that there is sufficient interest to pursue some type of collaboration in the future. The LOI would be appropriate to use once a unit’s leadership is convinced that this institutional relationship is necessary and consistent with departmental goals, as well as, aligned with IPFW’s Institutional Statement on International Education and strategic plan. Once the LOI document is created and signed, the OIE and Office of Financial Affairs will need to receive a copy to be entered into the database. The attached template is IPFW’s only accepted form for the LOI, any alterations or editing of this document will need to be approved by both the OIE and the Office of Research, Engagement, and Sponsored Programs (RESP) contract specialist. (Attachment: IPFW LOI template)

2) A Letter of Agreement (LOA) is an official document designed to inform administrators, faculty and other institutional constituents that there are specific institutional commitments promised by one or both institutions that are mutually beneficial, necessary and consistent with University, College and/or departmental goals, also aligned with IPFW’s strategic plan. Normally, an academic Dean or the Dean's designee will work with the OIE to craft the LOA to assure appropriate language is used prior to review by the RESP Contract Specialist. Please see the example template. (Attachment: IPFW LOA template)

3) A Memorandum of Understanding (MOU) is an official document designed to inform administrators, faculty and other institutional constituents that there are specific university-wide commitments promised by one or both institutions that are mutually beneficial, necessary and consistent with IPFW’s strategic plan. MOUs may sometimes be non-specific and non-binding, but they are institution-wide and formal. Please see the example template. (Attachment: IPFW MOU template)

Note: Please consult the OIE about Student Exchange Agreements.
Requirements for Approval

Proposals for establishing international cooperation agreements must demonstrate that are specific interests by one or both institutions that are mutually beneficial and consistent with University, College and/or departmental goals and aligned with IPFW’s strategic plan.

Prior to entering into any type of agreement with an international institution, a query of lists maintained by federal agencies must be performed by appropriate IPFW personnel. This search will assist in identifying persons (individuals and companies) convicted of export control violations, debarred from federal funding, or otherwise prohibited from doing business with the US. To expedite matters and avoid delay, please follow the instructions listed on the Purdue University Restricted Persons/Parties Screening (RPS) request form as soon as the agreement is being considered. The sponsoring faculty/staff member is required to submit a Restricted Persons/Parties Screening (RPS) Request Form for all proposed agreements to the Purdue University Office of Research Integrity and Regulatory Affairs. RPS Request forms should be completed and reviewed by the RESP contract specialist prior to submitting by email to exportcontrols@purdue.edu. A copy of the reviewed RPS Request Form must be attached to the approval form before approval is granted. Please contact the OIE or the RESP contract specialist for guidance.

If the scope of a proposed agreement references commitment of resources, receipts of gifts or funds, and/or includes provisions for the exchange of students, the sponsoring unit’s business office, Comptroller, or Vice Chancellor for Financial and Administrative Affairs, as appropriate, will review and approve.

After all programmatic approvals have been received, the Vice Chancellor for Academic Affairs has final authority for approving on behalf of the University. Agreements requiring or requesting the Chancellor’s signature will be forwarded to that office with recommendation for approval and final endorsement.

Procedures for Establishing International Cooperation Agreements

1. The sponsoring faculty or staff member submits the proposal cover sheet, approval form and a draft of the proposed agreement or template to the OIE per the instructions included in these Guidelines. (Attachment: Proposal Cover Sheet, Proposal Approval Form)
2. The sponsoring faculty or staff member and the OIE agree upon which template or agreement will be used and informs RESP Contract Specialist (if not a template LOI).
3. The sponsoring faculty or staff member is required to submit a Restricted Persons/Parties Screening (RPS) Request Form for all proposed agreements to the Purdue University Office of Research Integrity and Regulatory Affairs. The sponsoring faculty or staff member completes the RPS Request Form and forwards for review by the RESP contract specialist prior to submitting it by email to: exportcontrols@purdue.edu. A copy of the reviewed RPS Request Form must be attached to the approval form before approval is granted. Please contact the OIE or the RESP contract specialist for guidance. (Attachment: PU RPS Request Form)
4. The sponsoring faculty or staff member forwards the proposal to the department chair and dean of sponsoring units for review and approval.
5. If the scope references departmental or unit commitment of resources, receipts of gifts or funds, and/or includes provisions for the exchange of students, the sponsoring faculty or staff member sends the proposal to the sponsoring unit’s business office for review and approval.
6. The sponsoring faculty or staff member forwards the proposal to the OIE and the RESP contract specialist for initial review.
7. After initial review is completed, the OIE and the RESP contract specialist forward the redline (with summary explanation of edits) to the sponsoring faculty or staff member. The sponsoring faculty or staff member forwards the redline to the other party.
8. The OIE utilizes the sponsoring faculty or staff member as the principal communicator to the other party during the negotiation process.
9. After negotiation is complete, the OIE and the RESP contract specialist conduct a final review.
10. If the scope references an institution-wide commitment of resources, receipts of gifts or funds, and/or includes provisions for the exchange of students, the OIE sends the proposal to the Office of the Comptroller for review and approval.
11. If the scope involves a degree program, the OIE sends the proposal to the Office of Academic Programs for review and approval.
12. The OIE will forward the proposal to RESP for final review and approval.
13. The OIE will conduct the final review and forward to the Vice Chancellor for Financial and Administrative Affairs and the Vice Chancellor for Academic Affairs with a recommendation for approval.
14. After administrative and programmatic approval is completed, the signature process is coordinated. The sponsoring faculty or staff member or the other party prints the required originals. IPFW can sign scanned electronic copies, but the other party usually requires originals.

The following guidelines are generally followed regarding the signature process:

- IPFW never signs in two different languages, unless verbiage is added to the agreement stating the English language prevails.
- When ready for signing, if there is no ceremony, the sponsoring faculty or staff member will first obtain signatures from the other party and obtain IPFW signature(s). IPFW may also sign first, whichever is preferred by the other party. The sponsoring faculty or staff member forwards the document to OIE to obtain VCAA, VCFAA, and Chancellor’s signatures. The sponsoring faculty or staff member is responsible for sending the fully (or partially) executed agreement to the other party.
- If there will be a formal signing ceremony, the OIE should be contacted so that the event can be coordinated with the Chancellor’s Office in accordance with IPFW protocol.
- The OIE ensures that the VCAA and VCFAA, and any other interested IPFW party receive an electronic copy of all international collaboration agreements it processes, as required. The IPFW Office of International Education serves as the official repository for all international agreements and maintains an electronic log of all documents.

REQUIRED SIGNATURES: The following are required signatures. Other signatures may be added if requested by the sponsoring faculty or staff member, or other academic or administrative units.

LOI ONLY:
1. Department Chair, Dean, or Vice Chancellor of Sponsoring Unit

LOA, MOU, STUDENT EXCHANGE AGREEMENTS:
1. Chancellor
2. VCAA
3. VCFAA

These policies have been adapted from guidelines used under permission granted from the Purdue University Office of International Programs.
Guidelines for Establishing International Cooperation Agreements

ATTACHMENTS

I. International Cooperation Agreement Proposal, Cover Sheet

II. International Cooperation Agreement Proposal, approval Form

III. LOI template

IV. LOA Template

V. MOU Template

VI. RPS Request Form
### INTERNATIONAL COOPERATION AGREEMENT PROPOSAL

**COVER SHEET:**
To be completed by IPFW faculty, staff, department, or college/division for submittal or proposal to establish a Letter of Intent (LOI), Letter of Agreement (LOA), Memorandum of Understanding (MOU), or Student Exchange Agreement with a prospective partner institution outside of the U.S. Please contact the Office of International Education for guidance in preparing the documents.

<table>
<thead>
<tr>
<th>TYPE OF AGREEMENT:</th>
<th>LOI</th>
<th>LOA</th>
<th>MOU</th>
<th>EXCHANGE</th>
</tr>
</thead>
</table>

**Sponsoring IPFW Faculty/Staff:**

Name: 

Title: 

Department/College/Division: 

Email/Phone: 

**Information about the prospective institutional partner abroad:**

Institution Name: 

Country: 

Address: 

Name of Liaison: 

Title, Department Information: 

Email/Phone: 

Institution Website: 

**Institutional Profile:**

Describe the type of schools/colleges that make up the institution, including the accreditation body:

How many faculty members are associated with this institution?

How many undergraduate and graduate students are enrolled in this institution?

How is the institution funded (publicly or privately)?

Describe any previous and/or current agreements or relationships with IPFW.
### INTERNATIONAL COOPERATION AGREEMENT PROPOSAL

**COVER SHEET:**

<table>
<thead>
<tr>
<th>About the Agreement:</th>
<th>(attach additional information on a separate sheet, if necessary)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe the purpose of the agreement:</td>
<td></td>
</tr>
</tbody>
</table>

In view of the purpose of this agreement, describe the expected outcomes of the proposal to both institutions and the public they serve:

If this is a renewal agreement, discuss the outcomes achieved over the years the linkage was in effect and evaluate the extent to which the purpose of the agreement was met:

Describe any agreement about financial arrangements (e.g., tuition, health insurance, travel, student/faculty exchange, research activities, etc.). Does IPFW have the resources to carry out the proposal? (If financial commitments are made, the appropriate fiscal officer is required to approve the commitments. (Department requesting – Business Manager must approve, College or Division requesting – Comptroller must approve):

<table>
<thead>
<tr>
<th>REQUIRED SIGNATURES:</th>
<th>The following signatures are required on the final, approved document. Other signatures may be added if requested by the sponsoring faculty or staff member, or other academic or administrative units.</th>
</tr>
</thead>
<tbody>
<tr>
<td>LOI ONLY:</td>
<td>1. Department Chair or Dean of Sponsoring Unit</td>
</tr>
</tbody>
</table>
| LOA, MOU, STUDENT EXCHANGE AGREEMENT: | 1. Chancellor  
                          2. VCAA  
                          3. VCFAA, if agreement includes student exchange or financial commitments |
| Names, titles of other IPFW signatories: | |
| Name, titles of partner institution’s signatories: | |
## APPROVAL FORM:

### DEPARTMENT, COLLEGE/DIVISION APPROVAL:

Approval signature confirms agreement with following:

1. The sponsoring faculty/staff member must work with the Office of International Education to develop a formal agreement document in terms with established IPFW policy and guidelines.
2. The sponsoring department has determined that there is adequate capacity to support any increase of students, faculty, and/or staff participating in any programs outlined in the proposed cooperation or exchange agreement. Adequate capacity to accommodate both the physical number of participants and the ability to provide adequate support services for those participating on any such program must be identified prior to program approval.
3. The department has clarified expectations with the prospective international partner regarding institutional support, costs, risk management issues, length of any proposed program, and the availability of facilities and services.
4. The sponsoring faculty/staff member is required to submit a [Restricted Persons/Parties Screening (RPS) Request Form](mailto:exportcontrols@purdue.edu) for all proposed agreements to the Purdue University Office of Research Integrity and Regulatory Affairs. RPS Request forms should be completed and reviewed by the IPFW Office of Research, Engagement, and Sponsored Programs Contract Specialist prior to submitting by email to exportcontrols@purdue.edu. A copy of the reviewed RPS Request Form must be attached to this form before approval is granted.

### Signature Dates:

- **Department Chair Signature**
  - Department
  - Date

- **Department Business Manager Signature**
  - Department
  - Date

- **Dean/Division Director Signature**
  - College/Division
  - Date

- **Office of International Education Signature**
  - Date

- **Office of the Comptroller Signature**
  - Date

- **Office of Research, Engagement, & Sponsored Programs Signature**
  - Date

- **Office of Academic Programs Signature**
  - Date

- **Vice Chancellor for Financial and Administrative Affairs**
  - Date

- **Vice Chancellor for Academic Affairs Signature**
  - Date

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**THIS FORM AND ALL SUPPORTING DOCUMENTATION SHOULD BE RETURNED TO:**

IPFW OFFICE OF INTERNATIONAL EDUCATION, WALB UNION 145

Tel: +1 (260) 481-6034 • Fax: +1 (260) 481-6674 • Email: iss@ipfw.edu • www.ipfw.edu/iss
LETTER OF INTENT

between

INDIANA UNIVERSITY-PURDUE UNIVERSITY FORT WAYNE
Fort Wayne, Indiana, USA

and

(Name of International Institution)
(Name of unit, College/School, Department)
(City and Country)

Indiana University-Purdue University Fort Wayne (IPFW) on behalf of its (unit name) and (International Institution) on behalf of its (unit name) establish this Letter of Intent to foster international cooperation in education and research.

1. Both parties will encourage the following activities to promote international academic cooperation:
   a. Exchange of materials in education and research, publications, and academic information;
   b. Exchange of faculty and research scholars;
   c. Exchange of students;
   d. Joint research and meetings for education and research;
   e. Technical assistance.

   Before implementing these activities, the parties will discuss the opportunities and challenges presented and may thereafter enter into specific agreements based on the mutually agreed objectives and outcomes.

2. This Letter of Intent forms the framework for cooperation between the parties to identify and achieve shared goals and objectives, and to facilitate and develop a genuine and mutually beneficial exchange process and research relationship. This Letter of Intent is non-binding and does not impose any legal or financial obligations or liabilities on either party.

3. This Letter of Intent shall remain in effect for five years, unless (i) either party terminates sooner by notifying the other party in writing, or (ii) the joint activities contemplated by this Letter of Intent are completed before the end of the five-year period. The parties may extend this Letter of Intent beyond five years by mutual agreement.

4. Each party shall designate a person or office to serve as liaison for implementing this Letter of Intent. For IPFW, the contact person will be (name, address, phone, fax, email). For (international institution), the contact person will be (name, address, phone, fax, email).

Indiana University-Purdue University Fort Wayne

By: _______________________________
(Name and title of department chair or dean of sponsoring unit)

Date: ______________________________

(International Institution)

By: _______________________________
(Name and title of counterpart at international institution)

Date: ______________________________
LETTER OF AGREEMENT

between

INDIANA UNIVERSITY-PURDUE UNIVERSITY FORT WAYNE
Fort Wayne, Indiana, USA

and

(Name of International Institution)
(Name of unit, College/School, Department)
(City and Country)

Indiana University-Purdue University Fort Wayne on behalf of its (unit name) “IPFW” and (International Institution) on behalf of its (unit name) “ ” establish this Letter of Agreement to foster international cooperation in education and research.

1. Both parties will encourage the following activities to promote international academic cooperation:
   a. “
   b. “
   c. “
   d. “

2. Before implementing these activities, the parties will discuss the opportunities and challenges presented and may thereafter enter into specific agreements based on the mutually agreed objectives and outcomes.

3. This Letter of Agreement forms the framework for cooperation between the parties to identify and achieve shared goals and objectives, and to facilitate and develop a genuine and mutually beneficial exchange process and research relationship. This Letter of Agreement is non-binding and does not impose any legal or financial obligations or liabilities on either party.

4. This Letter of Agreement shall remain in effect for five years from the date of final execution, unless (i) either party terminates sooner by notifying the other party in writing, or (ii) the joint activities contemplated by this Letter of Agreement are completed before the end of the five-year period. The parties may extend this Letter of Agreement beyond five years by mutual agreement.

5. (International institution) will not use the name of IPFW, nor of any member of IPFW’s program staff, in any publicity, advertising, or news release without the prior written approval of an authorized representative of IPFW. IPFW will not use the name of (international institution), or any employee of (international institution), in any publicity, advertising, or news release without the prior written approval of (international institution).

6. Each party shall designate a person or office to serve as liaison for implementing this Letter of Agreement. For IPFW, the contact person will be (name, address, phone, fax, email). For (international institution), the contact person will be (name, address, phone, fax, email).

7. Should this document be executed in two languages, the English version of this Letter of Agreement represents the understanding of the both Parties. Any other version is provided as a translation. In the event of conflict between the two versions, the English version will prevail.
Indiana University-Purdue University Fort Wayne

By: ________________________________
   (Name), Chancellor

Date: _______________________________

By: ________________________________
   (Name and title of counterpart at international institution)

Date: _______________________________

By: ________________________________
   (Name), Vice Chancellor for Academic Affairs

Date: _______________________________

By: ________________________________
   (Name), Vice Chancellor for Financial and Administrative Affairs

Date: _______________________________

By: ________________________________
   (Name and title of department chair or dean of sponsoring unit)

Date: _______________________________
MEMORANDUM OF UNDERSTANDING

THIS AGREEMENT, entered into this ______ day of ____________, 20___, by and between Indiana University-Purdue University Fort Wayne, Indiana, U.S.A. and _______________________.

WITNESSETH THAT:

WHEREAS, Indiana University-Purdue University Fort Wayne and ______________________ desire to promote the enrichment of their teaching and learning, research and discovery, and engagement missions; and

WHEREAS, Indiana University-Purdue University Fort Wayne and ______________________ desire to strengthen and expand the mutual contacts between the two universities; and

WHEREAS, Indiana University-Purdue University Fort Wayne and ______________________ desire to provide for a variety of collaborative educational opportunities for faculty and students at the two universities on the terms and conditions hereinafter set forth;

NOW THEREFORE, it is mutually agreed as follows:

I. Scope of Agreement - This Agreement shall commemorate the party’s intent to enter into but not be limited to, the following types of collaboration:
   A. Short and Long-term Faculty Exchange
   B. Undergraduate and Graduate Student Exchange
   C. Collaborative Research and Discovery, Learning and Teaching, and Engagement
   D. Other mutually agreed educational or research programs

II. Period of Agreement - This Agreement shall be effective upon the date of final execution and will remain in force for a period of five years. This agreement may be renewed for beyond five years by mutual agreement. In addition, either university may terminate the agreement by providing notice to the other party in writing.

III. Activities Under This Agreement - It is expected that activities taking place under this Agreement will be initiated primarily by academic units within each university, and in coordination with their respective administrative units concerned with international activities. All activities undertaken must conform to the policies and procedures in place at each institution. For Indiana University-Purdue University Fort Wayne, faculty and student exchanges will follow university guidelines for faculty and student exchange.
IV. **Planning and Management of Activities** – Each distinct collaboration program or activity will be described in a separate Activity Agreement drawn up jointly and signed by authorized signatories of each party. Such agreements will specify the names of those individuals on each campus responsible for the implementation of the program and set forth all terms and conditions associated with the activity.

V. **Funding of Activities** – Activity Agreements should make financial costs and obligations explicit. Collaborating units are encouraged to work together to identify and secure any outside funding which may be needed. Projects requiring funding must be approved by both institutions.

VI. **Nondiscrimination** - Indiana University-Purdue University Fort Wayne and ______________________ agree that no person shall on the grounds of race, color, national origin, gender, sexual orientation, or creed be excluded from participation under the terms of this Agreement.

VII. **Modification** – The terms of this Agreement may be changed or modified only by written amendment signed by authorized agents of the parties hereto.

IN WITNESS WHEREOF, Indiana University-Purdue University Fort Wayne and ______________________ have executed this Agreement as of the date first above written.

**Signing for:**

Indiana University-Purdue University Fort Wayne

________________________________
(Name), Chancellor

Date: ____________________________

________________________________
(Name and title of counterpart at international institution)

Date: ____________________________

________________________________
(Name, Vice Chancellor for Academic Affairs)

Date: ____________________________

________________________________
(Name, Vice Chancellor for Financial and Administrative Affairs)

Date: ____________________________
Restricted Persons/Parties Screening (RPS) Request Form

Purdue University’s Office of Research Integrity and Regulatory Affairs will perform “Restricted Persons/Parties Screening” (RPS) for Purdue University activities. The screening process searches a number of restricted persons lists maintained by federal agencies. These lists identify persons (individuals and companies) convicted of export control violations related to the Export Administration Regulations (EAR); the International Traffic in Arms Regulations (ITAR); and/or transactions sanctioned by The US Office of Foreign Assets Control (OFAC). It is illegal to provide export controlled data and/or services to individuals and companies on the restricted lists. The office works diligently to ensure that no one is improperly denied access to education or work.

Save this completed form and send electronically to exportcontrols@purdue.edu

Section A. Information about the RPS Requestor (to be completed by requestor):

Name of Requestor: ___________________________ Date of Request: ___________________________

Department: ___________________________

Campus Phone: ___________________________ Campus e-mail: ___________________________

Reason for Request (e.g., foreign entity, Lot, MOJ): *Note that if confidential or proprietary information is involved with this effort, additional considerations must be made.

Section B. Information about the Individual Or Company (to be completed by requestor):

1. Complete Name of Individual/Company for RPS (check exact spelling): ___________________________

   Institution or Company Address: ___________________________

   Country of Citizenship (for Individuals) or Operation (Companies or Universities): ___________________________

2. Complete Name of Individual/Company for RPS (check exact spelling): ___________________________

   Institution or Company Address: ___________________________

   Country of Citizenship (for Individuals) or Operation (Companies or Universities): ___________________________

Section C. Response from ORIRA (to be completed by ORIRA staff):

Restricted Persons Screening Date: ___________________________

As of this date listed, exact and phonetic name Restricted Party Screens were performed for the listed individual and/or company. Results related to Purdue University export control compliance are detailed below or attached. Contact exportcontrols@purdue.edu regarding questions, concerns or changes.

Additional Comments from ORIRA: