

Decision Tree: Enhanced Review and Approval of UC International Engagements

Step One: Is it an “Engagement”? [i.e. Institutional Level (not Individual Level) Agreement, Affiliation, Collaboration - see definitions] ([More Information](#))

YES, proceed to the next step



NO, stop here and conduct campus review. No need for Enhanced Review and Approval (UCOP).



Step Two: Is it Out of Scope¹ (see chart)?

NO, proceed to the next step.



YES, stop here and conduct campus review. No need for Enhanced Review and Approval (UCOP)



Out of Scope:

Agreement type	Purpose	What may be exchanged
Non-disclosure Agreement (NDA) or Confidentiality Agreement (CDA)	Transfer of information	Proprietary or confidential information
Federally Sponsored grants or contracts, federally sponsored research with foreign subawards, or federally sponsored research with foreign-located collaborators	Financial support for research from a federal agency	Technology, items, software
Sales and Service Agreement	Sale of a UC service related to location facilities, operations, or procurement	Technology, items software
Material Transfer Agreement (MTA)	Material transfer	Technology, items, software
Data Use or Software License Agreement (DUA/SLA)	Transfer of information or software	Technology, information, software
Patent/Intellectual Property licensing ²	Further technology development	Rights
Purchasing or procurement	Operational purchase of supplies, equipment, and services	Goods and services
Gifts <i>under</i> \$50,000 from a foreign source associated with a country of concern	Provides funding for research, capital projects, or other purposes	Goods and services
Degree granting programs without a research component or exchange	Agreements for educational exchanges between institutions	Educational services

Step Three: Country of concern AND an emerging technology? ([More Information](#))



NO, stop here and conduct campus review. No need for Enhanced Review and Approval (UCOP).

YES, proceed with review of Research Security Review Criteria, and complete and submit the UC International Engagements Submission form.

¹ Importantly, Engagements that are assessed to be Out of Scope still need location research security review to identify and mitigate relevant risks. When location submit Engagements for Enhanced Review and Approval review of peripheral agreements such as NDAs, and MTAs, is part of the review criteria. See Research Security Review Criteria.

² For patent/IP licensing, the location IP licensing/tech transfer office should coordinate with the local ECO for export license reviews and other stakeholders to conduct research security reviews.