

Attachment C: HEA Section 117 Checklist

Yearlong Preparation

- All units signing or accepting Contracts or Gifts should:
 - Adopt procedures to ascertain whether the sponsor/donor is a Foreign Source.
Units can either:
 - Request that each sponsor or donor certify whether they are a Foreign Source, as defined in HEA Section 117, including whether they are an agent acting on behalf of a Foreign Source, and/or a subsidiary or affiliate of a foreign legal entity; or
 - Make their own determination with information supplied by the sponsor/donor or with information otherwise at the unit's disposition.
 - Obtain the following information for all Sponsors/Donors designated as a Foreign Source:
 - If the sponsor/donor is a Foreign Source that is a natural person, identify their country of citizenship or, if unavailable, their principal country of residence;
 - If the sponsor/donor is a Foreign Source that is a legal entity, identify their country of incorporation or, if unavailable, their principal place of business;
 - If the sponsor/donor is an Agent of a Foreign Source and/or a subsidiary or affiliate of a foreign legal entity, identify the Foreign Source or foreign legal entity and the country of citizenship and/or incorporation, as applicable.
 - Vet all international sponsors and donors through Visual Compliance or a similar tool.

Information Collection

- UC campus Financial Aid Office (or other assigned office, per campus decision) coordinates the collection of information reportable under HEA SECTION 117 from relevant offices, including:
 - Sponsored Projects (including any office responsible for receiving sponsored research agreements, industry contracts, and clinical trial contracts)
 - Business Contracts
 - Technology Transfer or Licensing
 - Development/ Institutional Advancement
 - UC affiliated foundations
 - Education Abroad
 - Financial Aid
 - Real Estate
 - For campuses with medical schools or hospitals: any corresponding offices in the clinical enterprise.
 - Other relevant offices
- Reports due for submission on the new ED HEA Section 117 reporting portal:
 - January 31 (covering the previous July 1-December 31 period) and
 - July 31 (covering the previous January 1-June 30 period).

Note: A school must report any new information by January 31 or July 31 (whichever is sooner) after the date of receipt of the gifts, date of the contract, or date of ownership or control.

Reportable Information

- Trigger: \$250,000 or more in Gifts or Contracts (including grants) received, alone or in combination from a single Foreign Source within a calendar year.
- For details on required information required per type of funding and category of Foreign Source, see the summary table in the memo and [Appendix A](#) and [Appendix B](#) of ED's June 22, 2020 "[Reminder to report ownership/control by, and contracts/gifts from, foreign sources.](#)"