



University of Connecticut
Office of the President

Susan Herbst
President

TO: University of Connecticut Health Center Senior Administrators, Deans, Directors and Contract Liaisons

FROM: Susan Herbst 

DATE: June 18, 2013

RE: **Contract Signing Authority Delegation for the UConn Health Center**

The University of Connecticut's Board of Trustees' Resolution dated February 18, 2010 ("Resolution") grants the President signing authority for all University contracts. It further authorizes me to delegate such signing authority as I from time to time determine appropriate.

Therefore, in addition to my own signing authority for all University contracts (including Health Center contracts), I hereby delegate, effective immediately, signing authority for contracts emanating from the Health Center campus as follows. Persons designated to serve as interim appointees to the positions set forth below shall have full authority to sign contracts in accordance with this delegation as if they were not serving on an interim basis. This delegation supersedes all prior delegations and shall remain in effect until I amend it, or my successor amends it.

Please note: Copies of all signed Health Center contracts must be provided to the Health Center's Contracts Department for inclusion in the contract database, *except for the Health Center's grant awards, which are retained by the Health Center's Office of Research and Sponsored Programs.*

1. a) Health Center contracts or amendments thereof (*except those covered by Paragraphs 2, 3, 4, 5, 7 and 8 below*) for the expenditure or receipt of funds, goods or services ("value") of **\$1,000,000.00 or greater** may be signed by the:
 - Health Center's Executive Vice President for Health Affairs and Dean, School of Medicine;
 - University's Executive Vice President for Administration and Chief Financial Officer;
 - or
 - Health Center's Chief Financial Officer,

provided said contracts have already been approved by the Health Center Board of Directors (unless the expenditure was previously authorized by the Health Center Board of Directors and University Board of Trustees as part of a planning, design or final capital project budget).

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Rev Date: 5/21/2013

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b) In addition to the officers listed in 1a, such contracts or amendments with a value of **\$500,000.00 or greater, but less than \$1,000,000.00** may be signed by the:

- Health Center's Controller; or
- Health Center's Associate Vice President of Research Administration and Finance
(*only for the expenditure of funds in connection with the provision or receipt of academic research or related services*),

provided said contracts are presented to the Board of Directors as subsequent information agenda items (unless the expenditure was previously authorized by the Health Center Board of Directors and University Board of Trustees as part of a planning, design or final capital project budget).

c) In addition to those officers listed in 1a and 1b, such contracts or amendments may be signed by the following individuals, **up to the values specified**:

- Health Center's Chief of Staff – **up to \$499,999.99**
- Health Center's Assistant Vice President of Procurement Operations and Contracts – **up to \$499,999.99**
- Health Center's Director of Procurement (or Assistant Director, if there is no Director) – **up to \$249,999.99**
- Health Center's Director of Contracts (or Assistant Director, if there is no Director) – **up to \$249,999.99**
- Assistant Directors in the Health Center's Procurement or Contracts Departments – **up to \$99,999.99**; or
- Contract Specialists and other contract preparers under the direct supervision of the Director or Assistant Director of the Health Center's Contracts Department – **up to \$49,999.99**.

2. a) Health Center contracts or amendments thereof for **academic research or related services** *not* requiring the expenditure of Health Center funds, but rather the **receipt** of funds of **any value** may be signed by the:

- Health Center's Executive Vice President for Health Affairs and Dean, School of Medicine;
- University's Executive Vice President for Administration and Chief Financial Officer; or
- Health Center's Chief Financial Officer,

provided such contracts with a value of \$5,000,000.00 or greater, have already been approved by the Health Center Board of Directors, and those with a value of \$500,000.00 to \$4,999,999.99 are presented to the Health Center Board of Directors as subsequent information agenda items.

b) In addition to those officers listed in 2a, such contracts or amendments with a value of **up to \$4,999,999.99** may be signed by the:

- Health Center's Associate Vice President of Research Administration and Finance,
and

those with a value of **up to \$999,999.99** may be signed by the:

- Health Center's Controller,

provided such contracts with a value of \$500,000.00 to \$4,999,999.99 are presented to the Health Center Board of Directors as subsequent information agenda items.

c) In addition to those officers listed in 2a and 2b, such contracts or amendments with a value of **up to \$499,999.99** may be signed by the:

- Health Center's Chief of Staff;
- Health Center's Director of Research and Sponsored Programs; or
- Sponsored Project Specialists within the Health Center's Office of Research and Sponsored Programs, and

such contracts or amendments **not involving grant or sponsored program funds** may be signed by the following individuals, **up to the values specified:**

- Health Center's Assistant Vice President of Procurement Operations and Contracts – **up to \$499,999.99**
- Health Center's Director of Procurement (or Assistant Director, if there is no Director) – **up to \$249,999.99**
- Health Center's Director of Contracts (or Assistant Director, if there is no Director) – **up to \$249,999.99**
- Assistant Directors in the Health Center's Procurement or Contracts Departments – **up to \$99,999.99**; or
- Contract Specialists and other contract preparers under the direct supervision of the Director or Assistant Director of the Health Center's Contracts Department – **up to \$49,999.99**.

3. Health Center contracts and amendments thereof for **professional design, pre-construction or construction services** (including additional services notices to proceed, change directives and change orders within the scope of such contracts or amendments) of **any value** may be signed by the:

- Health Center's Executive Vice President for Health Affairs and Dean, School of Medicine;
- University's Executive Vice President for Administration and Chief Financial Officer;
- Health Center's Chief Financial Officer;
- Health Center's Chief Administrative Officer; or
- Health Center's Associate Vice President of Facilities Development and Operations,

such contracts and amendments with a value of up to **\$999,999.99** may be signed by the:

- Health Center's Controller, and

those with a value of **up to \$499,999.99** may be signed by the:

- Health Center's Chief of Staff,

provided contracts for services that are part of a capital project estimated to cost \$500,000.00 or greater have already been approved by the Health Center Board of Directors and University Board of Trustees as part of a planning, design or final capital project budget, prior to contract execution.

4. a) Health Center contracts and amendments thereof for **real estate** conveyances and transactions, including, but not limited to, purchase and sale agreements, deeds, easements

and leases (where the Health Center is either lessor/landlord or lessee/tenant), of **any value** may be signed by the:

- Health Center's Executive Vice President for Health Affairs and Dean, School of Medicine;
- University's Executive Vice President for Administration and Chief Financial Officer;
- Health Center's Chief Financial Officer; or
- Health Center's Chief Administrative Officer,

such contracts and amendments with a value of **up to \$999,999.99** may be signed by the:

- Health Center's Controller, and

those with a value of **up to \$499,999.99** may be signed by the:

- Health Center's Chief of Staff,

provided said contracts have already been approved by the Health Center Board of Directors and University Board of Trustees prior to execution.

b) Pursuant to the University Board of Trustees Resolution dated June 28, 2012, **Technology Incubator Program (TIP) leases of any value**, which meet the criteria set forth in the Resolution, may be signed by the:

- University's President;
- University's Vice President for Economic Development; or
- another officer designated by the University's President,

without pre-approval of the Health Center Board of Directors or University Board of Trustees, provided said leases are presented to the Health Center Board of Directors and University Board of Trustees as subsequent information agenda items.

5. Health Center contracts and amendments thereof for **any professional audit services of any value** may be signed by the:

- Health Center's Executive Vice President for Health Affairs and Dean, School of Medicine;
- University's Executive Vice President for Administration and Chief Financial Officer; or
- Health Center's Chief Financial Officer,

such contracts and amendments with a value of **up to \$999,999.99** may be signed by the:

- Health Center's Controller,
- Health Center's Associate Vice President of Research Administration and Finance (*only for audit services in connection with **academic research***),

such contracts and amendments with a value of **up to \$499,999.99** may be signed by the:

- Health Center's Chief of Staff,

provided all such contracts of any value have already been approved by the BOT/BOD Joint Audit and Compliance Committee prior to execution, and such contracts with a value of \$1,000,000.00 or greater have also already been approved by the Health Center Board of Directors prior to execution.

6. In addition to those officers listed in Paragraphs 1a, 1b and 1c above, **no-cost (\$0)** Health Center agreements for **John Dempsey Hospital activities** (*except those covered by Paragraph 7 below*), may be signed by the:
 - Health Center's John Dempsey Hospital Chief Executive Officer; or
 - Health Center's John Dempsey Hospital Chief Operating Officer.

7. **No-cost (\$0)** Health Center agreements for **education-related affiliations between institutions or student practicum/training** may be signed by the:
 - Health Center's Executive Vice President for Health Affairs and Dean, School of Medicine;
 - Health Center's Dean, School of Dental Medicine; or
 - Health Center's Chief of Staff.

8. a) Health Center contracts or amendments thereof for **science/technology commercialization**, including science/technology commercialization-related licenses and options, non-disclosure agreements, material transfer agreements and royalty sharing, of **any value** may be signed by the:
 - Health Center's Executive Vice President for Health Affairs and Dean, School of Medicine;
 - University's Vice President for Economic Development;
 - University's Director of Industry Partnerships;
 - University's Associate Director for Intellectual Property;
 - University's Associate Director for Life Sciences; or
 - University's Associate Director for Physical Sciences,

provided contracts with a value of \$1,000,000.00 or greater have already been approved by the Health Center Board of Directors prior to execution, and contracts with a value of \$500,000.00 to \$999,999.99 are presented to the Health Center Board of Directors as subsequent information agenda items.

- b) In addition to the officers listed in 8a, such contracts and amendments with a value of **up to \$499,999.99** may be signed by the:
 - Health Center's Chief of Staff.

For ease of reference, two tables are attached as pages 6 through 8:

- **Table 1** sets forth the University Board of Trustees and Health Center Board of Directors pre-approval and reporting requirements for Health Center contracts.
- **Table 2** summarizes the President's delegation of signature authority set forth above, organized by signatory title.

TABLE 1	
BOARD AUTHORIZATION AND REPORTING REQUIREMENTS FOR HEALTH CENTER CONTRACTS	
1.	<p>a) Health Center contracts valued at \$1,000,000.00 or greater (except contracts for the receipt of funds in connection with the provision or receipt of academic research or related services covered by box 2 below, and contracts for the expenditure of funds previously authorized by the Health Center Board of Directors <u>and</u> University Board of Trustees as part of a planning, design or final capital project budget in accordance with box 3 below) must be approved by the Health Center Board of Directors prior to execution.</p> <p>b) Such contracts valued at \$500,000.00 to \$999,999.99 must be reported to Health Center Board of Directors as subsequent informational agenda items.</p>
2.	<p>a) Health Center contracts for the receipt of funds in connection with the provision or receipt of academic research or related services valued at \$5,000,000.00 or greater must be approved by the Health Center Board of Directors prior to execution.</p> <p>b) Such contracts valued at \$500,000.00 to \$4,999,999.99 must be reported to Health Center Board of Directors as subsequent informational agenda items.</p>
3.	Health Center contracts for professional design, pre-construction or construction services of any value , which are being performed as part of a capital project estimated to cost \$500,000.00 or greater , must be approved as part of a planning, design or final capital project budget by the Health Center Board of Directors <u>and</u> University Board of Trustees prior to contract execution.
4.	Health Center contracts for real estate transactions of any value (including, but not limited to, purchase and sale agreements, deeds, easements and leases where the Health Center is either lessor/landlord or lessee/tenant), <i>except for TIP leases referenced in box 6 below</i> , must be approved by the Health Center Board of Directors <u>and</u> University Board of Trustees prior to contract execution.
5.	Health Center contracts for professional audit services of any value must be approved by the BOT/BOD Joint Audit and Compliance Committee prior to contract execution, and such contracts valued at \$1,000,000 or greater must also be approved by the Health Center Board of Directors (pursuant to the rule stated in box 1 above) prior to execution.
6.	Technology Incubation Program (TIP) leases of any value that meet the criteria set forth in the University Board of Trustees resolution dated June 28, 2012, do not have to be approved by any Board entity prior to execution, but must be reported to the University Board of Trustees <u>and</u> Health Center Board of Directors as subsequent informational agenda items.

**TABLE 2
UCONN HEALTH CENTER CONTRACT SIGNING AUTHORITY (BY TITLE)**

Title	Dollar Limit (Expense and Revenue, unless otherwise noted)	Applicable Board Requirements	Authorized to Sign These Health Center Contract/Amendment Types
University - President	No limit	1, 2, 3, 4, 5 & 6	
Health Center - Executive Vice President for Health Affairs and Dean, School of Medicine	No limit	1, 2, 3, 4 & 5	All contract types, including all categories listed below.
Health Center - Chief of Staff	\$499,999.99	3, 4 & 5	
University - Executive Vice President for Administration and Chief Financial Officer			Contracts for:
Health Center - Chief Financial Officer	No limit	1, 2, 3, 4 & 5	<ul style="list-style-type: none"> • purchase, sale or lease of goods, services and real estate, • grant-funded and non-grant-funded academic research, • professional design/construction services, • real estate-related transactions, • professional audit services, and • no-cost John Dempsey Hospital activities, • <i>but not for no-cost academic affiliations/student training or science/technology commercialization.</i>
Health Center - Controller	\$999,999.99	1b, 2b, 3, 4 & 5	
Health Center - Assistant Vice President, Procurement Operations and Contracts	\$499,999.99		Contracts for:
Health Center - Director (or Assistant Director if no Director), Procurement	\$249,999.99		<ul style="list-style-type: none"> • purchase, sale or lease of goods and services, • expenditures related to academic research, • non-grant revenue related to academic research, and • no-cost John Dempsey Hospital activities, • <i>but not for receipt of grant funds for academic research, or any professional design/construction services, real estate transactions, professional audit services, no-cost academic affiliations/student training, or science/technology commercialization.</i>
Health Center - Director (or Assistant Director if no Director), Contracts	\$249,999.99	None	
Health Center - Assistant Directors, Procurement Department and Contracts Department	\$99,999.99		
Health Center - Contract Specialists and other contract preparers under the direct supervision of the Director or Assistant Director of Contracts	\$49,999.99		
Health Center - Associate Vice President of Research Administration and Finance	Expense: \$999,999.99 Revenue: \$4,999,999.99	1b, 2b & 5	Contracts for: <ul style="list-style-type: none"> • provision or receipt of academic research or related services, including research-related professional audit services, • <i>but not for professional design/construction services, real estate transactions, no-cost John Dempsey Hospital activities, no-cost academic affiliations/student training, or science/technology commercialization.</i>

**TABLE 2
UCONN HEALTH CENTER CONTRACT SIGNING AUTHORITY (BY TITLE)**

Title	Dollar Limit (Expense and Revenue, unless otherwise noted)	Applicable Board Requirements	Authorized to Sign These Health Center Contract/Amendment Types
Health Center - Director of Research and Sponsored Programs	Revenue: \$499,999.99	None	Revenue-generating contracts for academic research or related services, but <u>not</u> revenue-generating contracts for real estate transactions or science/technology commercialization.
Health Center - Sponsored Project Specialists within the Health Center's Office of Research and Sponsored Programs	No limit	1 & 6	<ul style="list-style-type: none"> Revenue-generating Technology Incubator Program (TIP) leases, and Expense or revenue-generating contracts for science/technology commercialization.
University - Vice President for Economic Development	No limit	3 & 4	Contracts for:
Health Center - Chief Administrative Officer	No limit	3	<ul style="list-style-type: none"> professional design, pre-construction and construction services, and purchase, sale or lease of real estate and related transactions.
Health Center - Associate Vice President of Facilities Development and Operations	No limit	None	Contracts for professional design, pre-construction and construction services.
Health Center - John Dempsey Hospital's Chief Executive Officer	\$0	None	No-cost agreements for John Dempsey Hospital activities.
Health Center - John Dempsey Hospital's Chief Operating Officer	\$0	None	No-cost agreements for affiliations between institutions or student practicum/training.
Health Center - Dean of the School of Dental Medicine	No limit	1	Contracts for science/technology commercialization (science-technology related licenses, options, non-disclosure agreements, material transfer agreements and royalty sharing agreements).
University - Director of Industry Partnerships			
University - Associate Director for Intellectual Property			
University - Associate Director for Life Sciences			
University - Associate Director for Physical Sciences			