

**Delegations of Contract Signing Authority**  
**University of Rochester Policy on**  
**Contracts, Signatures and Financial Authority**

**Delegating Officer: Dean of the Faculty of Arts, Science and Engineering**

Subject to the qualifications below, the Dean of the Faculty of Arts, Sciences and Engineering delegates his authority generally to the following offices:

- (1) Dean of the College
- (2) Dean of the School of Arts and Sciences
- (3) Dean of the Hajim School of Engineering and Applied Sciences
- (4) Dean of Admissions and Financial Aid
- (5) Senior Financial Officer of the College of Arts, Sciences and Engineering
- (6) Director of Athletics
- (7) Dean of Students

The persons holding these offices may sign Contracts (and approve those signed in Corporate Purchasing), provided that such Contracts impact solely the programs, operational areas and budgets they oversee and do not affect other systems or budgets within the College of Arts, Sciences and Engineering.

The authority described here is limited to those Contracts that are not expected to have a long-term or significant impact upon the finances or operations of the College of AS&E or to generate significant publicity, positive or negative. All those delegated authority are expected to use their common sense and good judgment in addressing such matters with the Dean before approving or signing any Contracts.

Certain other specific Contract types are further delegated to the offices below, with the same caveat as described above with respect to Contracts having long-term or significant impacts inside or outside the specific area involved.

Speaker/Performer	Associate Dean of Students
Student Organization-related	Associate Dean of Students
Facility Use (Wilson Commons)	Associate Dean of Students

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**Delegating Officer: Dean of the School of Medicine and Dentistry, CEO of URMC  
& Sr. Vice President for Health Sciences**

**DELEGATION OF AUTHORITY FORM**

I, Mark Taubman, M.D., Vice President for Health Affairs and Dean of the School of Medicine and Dentistry, hereby delegate to Gerard Mikols, Senior Associate Dean of Finance and Administration in the School of Medicine and Dentistry, and to the following members of his staff, Jeffrey M. Bloss, Donna Galloway and Brian C. VanWuyckhuysse, the authority to approve and sign the following items on my behalf under the University of Rochester Policy on Contracts, Signatures and Financial Authority, and/or other University, Medical Center or School of Medicine and Dentistry policies and procedures.

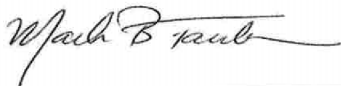
With respect to the School of Medicine and Dentistry:

- *VA Assignment Agreements and Amendments*
- *Service Agreements*
  - *Monroe County, NYS, School District, EMS, Fire District Service Agreements*
- *Memorandum of Understanding Abstracts for Rental Agreements*
- *Expense Reimbursement Forms (F-3 – Travel and Conference) for Department Chairs, Center Directors and Associate Deans*
- *Personnel/HR Forms*
  - *Note: Authority for signing off on new faculty hire start-up funding packages is delegated only to Mikols and Bloss*
- *Grant related sign-off forms*

This delegation is limited to contracts involving a total University expenditure of \$1,000,000 or less.

This delegation supersedes the delegation made to the same individuals dated October 30, 2019.

This delegation shall be effective as of August 6, 2020 and shall remain in effect until revoked by me or my successor, and shall be automatically revoked as to any delegee in the event they no longer serve in their position.



\_\_\_\_\_  
Mark Taubman, M.D.

\_\_\_\_\_  
8/6/2020

\_\_\_\_\_  
Date

cc: Office of Counsel

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**Delegating Officer: Dean of the School of Nursing**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
All purchases and financial-related <i>(excluding faculty appointments and academic program/affiliation)</i>	Associate Dean of Finance and Administration	up to \$500,000

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**Delegating Officer: Dean of the Eastman School of Music**

Subject to the qualifications below, and effective 7 January 2019, the Dean of the Eastman School of Music delegates his authority to the following offices:

- (1) Senior Associate Dean of Academic and Student Affairs,
- (2) Executive Director of Operations, and
- (3) Executive Director of Finance and Administration.

These individuals may sign Contracts (and approve those signed in corporate purchasing), provided that such Contracts impact solely the programs, operational areas and budgets they oversee and do not affect other systems or budgets within the Eastman School of Music.

The authority described here is limited to those Contracts that are not expected to have a long-term or significant impact upon the finances or operations of the Eastman School of Music or to generate significant publicity, positive or negative. All those delegated authority are expected to use their common sense and good judgment in addressing such matters with the Dean before approving or signing any Contracts.

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**Delegating Officer: Director, Memorial Art Gallery**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
Business Agreements <i>(e.g. Clothesline Festival, Gallery Council contracts)</i>	Director of Administration Deputy Director and COO	Excludes exhibitions and acquisitions
Rights and Reproductions	Asst. Visual Res Collection	
Art Loans	Museum Registrar	
Space Rentals and Events	Coordinator, Special Events	
Ad Agreements	Director of Marketing & Engagement	
General Curatorial Business and Loans	Curatorial Dept. Staff	

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**Delegating Officer: Dean, River Campus Libraries**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
Library collection licenses and subscriptions	Assistant Dean for Information Management Services	
Information Technology licenses and purchases	Assistant Dean for Information Technology	

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**Delegating Officer: Dean of the Simon School of Business**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
Confidentiality and Non-Disclosure agreements (NDAs)	Sr. Associate Dean for Faculty and Research  Sr. Associate Dean for Program Development	Counsel review required
Facilities: University Facility Use Agreements	Executive Director of Finance and Operations	
Financial: equipment leases	Executive Director of Finance and Operations	Counsel and purchasing review if new or if there are unusual terms
Faculty Appointments and Salary Letters, research expenses and requisitions	Sr. Associate Dean for Faculty and Research	All other than Assistant/Associate Deans
Staff Appointments and Salary Letters, budget expenses and requisitions	Sr. Associate Dean for Faculty and Research	All other than Assistant/Associate Deans
Onsite or Offsite events (hotel, caterer, event managers, etc.)	Executive Directors	Review by Executive Director of Finance and Operations if over \$25,000.
Consulting Agreements	Executive Directors	Review by Executive Director of Finance and Operations if over \$25,000.
Information Technology Agreements	Executive Director of Finance and Operations	Renewals

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**Delegating Officer: Dean of the Simon School of Business (cont'd):**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
Information Technology Agreements	Sr. Associate Dean for Faculty and Research	New agreements
Publicity; Outside use of University Name and Marks	Executive Director for Marketing and Communications  Sr. Associate Dean for Faculty and Research	For marketing related items  For use by faculty



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**Delegating Officer: Provost**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
Inter-institutional Agreements (IIA) concerning research involving Human Subjects	Chair, RSRB	
Information Technology <ul style="list-style-type: none"> <li>• Financial approval and signing authority for central administration</li> <li>• Related Contracts that are within approved budget managed by CIO and for major Contracts with University-wide impact or that create a University-wide commitment</li> <li>• Consultative authority on all others</li> </ul>	University CIO	Authority to approve and sign major systems and projects is joint, as described in Policy on Contracts. Signatures and Financial Authority

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**Delegating Officer: Senior Vice President for Institutional Resources**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
All	Assoc VP for Investments and Assistant Treasurer Senior Investment Officer and Assistant Treasurer	

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**Delegating Officer: Senior Vice President for Finance and Administration &  
Chief Financial Officer**

In general, the Sr. VP/CFO delegates Contract approval and signing authority to the following:

Associate Vice President for Budgets and Planning

Director of University Audit

Associate Vice President for Facilities

Director of Environmental Health and Safety

Director of Auxiliary Operations

Executive Director of Planning and Project Management

University Controller

Associate Vice President for Human Resources

Director of Corporate Purchasing

The delegation given hereby is limited as follows: the above offices are delegated authority to approve and sign Contracts that are (1) within their area of operational authority; (2) within their budgets; AND (3) not otherwise within the signing authority given to another office in the Policy on Contracts, Signatures and Financial Authority. Specifically, the Director of Corporate Purchasing is charged with the authority to sign most Contracts for the purchase of goods and services for the University.

As always, holders of the above office should consult with the Sr. VP/CFO before committing to or signing any Contract that would create a significant, unusual, long-term or reputational impact. On that question, they should let common sense be their guide.

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**Delegating Officer: Vice President for Communications**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
All	Associate VP for Medical Center Public Relations & Communications	Only as to contracts exclusively affecting the Medical Center
Permissions to film/record on University property and/or to use University owned media content (non-Medical Center)	AVP for Communications	Only for non-commercial use of film/recordings

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**Delegating Officer: Vice President and General Counsel**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
All <i>(including the specific contract types listed below)</i>	<ul style="list-style-type: none"> <li>• Deputy General Counsel</li> <li>• VP/General Counsel to the Medical Center</li> </ul>	Only when delegate has determined that the VP/General Counsel is unavailable and there is a pressing need for signature
Settlement Agreements <i>(non-MCIC related)</i> <i>(including terms reached at conclusion of a mediation)</i>	Senior Counsel or above	Only: <ul style="list-style-type: none"> <li>• after consultation with the VP/General Counsel; and</li> <li>• relating to matters worked on by the signing attorney</li> </ul>
Settlement Agreements <i>(MCIC related)</i> <i>(including terms reached at conclusion of a mediation)</i>	Senior Counsel or above	Only: <ul style="list-style-type: none"> <li>• after consultation with the AVP for Risk Management, VP/General Counsel to the Medical Center or VP/General Counsel; and</li> <li>• relating to matters worked on by the signing attorney</li> </ul>
Agreements To Mediate <i>(with mediators and opposing counsel with a goal of mediation)</i>	Senior Counsel or above	Only: <ul style="list-style-type: none"> <li>• after consultation with the AVP for Risk Management, VP/General Counsel to the Medical Center, VP/General Counsel, or Deputy General Counsel</li> </ul>

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**Delegating Officer: Senior Vice President for University Advancement**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
Events, Speakers, & Performers	Advancement AVP level (all)	Approval up to 150K; anything above requires SVP approval
Events, Speakers, & Performers	Advancement Exec. Director level (all) Advancement Sr. Director level (all) Advancement Director level (all)	Approval up to 150K; anything above requires SVP approval
Events, Speakers, & Performers	Advancement Sr. Assoc. Director level (all) Advancement Assoc. Director level (all) Advancement Asst. Director level (all) Advancement Development Mgr. (all)	Approval up to 25K; anything above requires Director, or higher, level approval
Consulting Agreements	Advancement AVP level (all)	Office of Advancement Administration and Finance
Gift Agreements	<a href="https://advancement.ur.rochester.edu/SitePages/forms-and-policies-products-and-services.aspx">https://advancement.ur.rochester.edu/SitePages/forms-and-policies-products-and-services.aspx</a>	

Approved by: Thomas J. Farrell, Senior Vice President for Advancement

Dated: December 20, 2018

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**Delegating Officer: Director of the Office of Research and Project Administration**

The Director's authority is delegated to each person who holds the title of Assistant Director of the Office of Research and Project Administration.

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**Delegating Officer: Senior Vice President for Research**

**OFFICE OF THE PROVOST**

**Stephen Dewhurst, PhD**  
Interim Vice President for Research



Delegation of Signature Authority  
University of Rochester  
UR Ventures

August 11, 2021

The undersigned hereby certifies in his capacity as Interim Vice President for Research that John E. Fahner-Vihtelic acting in his capacity as Senior Licensing Manager UR Ventures - River Campus is authorized to approve and execute all contracts, agreements, and other binding legal instruments presented in the name of University of Rochester, which are usual necessary, and appropriate for the operation of UR Ventures. Such agreements and documents may include and are not limited to licenses, options, confidentiality agreements, material transfer agreements and documents required by the US Patent and Trademark Office and the United States Copyright Office.

All documents that are to be signed are expected to receive legal review prior to signature, either by an attorney in UR Ventures, the Office of Counsel, or an outside firm – as judged most efficient by Fahner-Vihtelic. Should anticipated legal review costs with an outside firm be expected to exceed \$5000, authorization for such expense must be obtained from the Interim VP for Research.

Finally, all agreements involving dollar amounts in excess of \$50,000 are expected to be discussed with (and approved by) the Interim VP for Research, prior to signature.

**This authorization is effective Aug 11, 2021 thru the date at which a permanent new Director of UR Ventures is appointed (currently TBD).**

**Certified**

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Stephen Dewhurst  
Interim Vice President for Research.

**Acknowledged**

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John Fahner-Vihtelic  
Senior Licensing Manager  
UR Ventures – River Campus Office

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**Delegating Officer: Dean of the Warner Graduate School of Education**

<b>Contract Type</b>	<b>Office</b>	<b>Limitations</b>
All contracts directly involving the Warner Center for Professional Development and Education Reform	Director of the Warner Center for Professional Development & Education Reform	