

Contract Type	University Officer that should sign and/or others who may sign	Prior Internal Consultation Required	Counsel Review Required	Trustee Approval Required¹
<i>Academic Affiliations and Collaborations</i> 1. Faculty exchanges 2. Joint programs	President; Provost (Senior Vice President for Health Sciences for MC); or Dean	President; Provost	Yes	
<i>Athletics agreements (incl. camps)</i>	Dean of the College	President if Significant Commitment; Director of Athletics	Yes	
<i>Confidentiality or Non-disclosure agreements (NDAs)</i>	Deans; Medical Center Officers; Directors of ORPA, OTT, Corporate Purchasing	President if Significant Commitment	No if standard approved terms used (see Office of Technology Transfer website for standard). Yes otherwise.	
<i>Estates and Trust Receipts and Releases (and related agreements)</i>	Senior VP and General Counsel	Office of Trusts and Estates	Yes	

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<i>Facilities</i> 1. University Facility Use Agreements (short and long term, including leases)	Deans; Medical Center Officers; Director of Conferences and Events (for short-term)	President if Significant Commitment	For short-term use, no if standard approved terms used. Yes otherwise. Yes for all long-term use agreements and leases.	
2. Construction or renovation and related agreements (non-CON)	Executive Director of Planning and Project Management (if under \$500,000); Senior VP for Admin. & Finance if \$500,000 or above	President if going to Board; Facilities PPM Office (all)		Facilities Committee of Board of Trustees if over \$1M (or if over \$500K if not within approved Capital Budget); and for all Design & Consultant Contracts over \$100K
3. Construction or renovation and related agreements (CON required)	Executive Director of Planning and Project Management (if under \$500,000); Senior VP for Admin. & Finance if \$500,000 or above	MC CFO		URMC Board approval required

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<i>Financial</i> 1. Banking agreements	Senior VP/CFO ²	President, if Significant Commitment	Yes	Yes
2. Debt (including loans or lines of credit; bond issues; loan guarantees)	Senior VP/CFO ²	President, if Significant Commitment	Yes	Required for all debt transactions, including guarantees. Facilities Committee for capital lease less than \$1 million or a non-capital lease over \$1 million; full Board or Executive Committee if capital lease above \$1 million.
3. Accounting and audit services	Senior VP/CFO ²	President, if Significant Commitment	Yes	Yes, by Audit and Risk Committee
4. All equipment leases (both capital and operating) unless signed by Corporate Purchasing	Senior VP/CFO ²	Treasury Manager	No, unless terms are unusual (per Treasury Manager)	
5. Credit cards (including processing services and University-branded affinity cards)	Senior VP/CFO ²	Treasury Manager	Yes	

² This abbreviation refers to the Senior Vice President for Administration & Finance and Chief Financial Officer.

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<p><i>Gift Agreements (See also University Advancement gift policy)</i></p>	<p>Senior Vice President and Chief Advancement Officer [link to Advancement Gift Policy];</p> <p>President, if available, for leadership gifts/pledges or gifts pledged by a Trustee</p> <p>Relevant Dean and Advancement Representative, in addition to the above, in most circumstances</p>	<p>President if Significant Commitment</p> <p>General Counsel and Sr. VP/CFO if professorship.</p> <p>General Counsel if race, gender or similar restriction.</p> <p>Senior VP and Chief Advancement Officer, General Counsel, and Sr. VP/CFO if real estate</p> <p>Senior VP for Institutional Resources if split-interest gift and non-liquid security or financial asset.</p> <p>Dean, Director or Department Head overseeing any office that will maintain or dispose of gifts in kind (e.g. books, art collection)</p>	<p>No if standard approved terms and templates used. Yes otherwise.</p>	

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<i>Human Resources</i>			Yes	
1. Employment Contracts (excluding standard offer letters that are not for a definite term)	Deans for all faculty contracts and appointment letters and for their staff with contracts; President if employee is Dean, Officer, MC Officer, Assistant or Associate Vice President; Chair of Board of Trustees if employee is President			Compliance and Compensation Committee if officer or key employee or involves any unusual provision such as, but not limited to, loans, club dues, tax gross up, deferred compensation or any benefit other than generally available University retirement plans and benefits
2. Severance/Separation Agreements	For all other staff, Associate Vice President for Human Resources		Yes	
3. Benefits-related	Sr. VP/CFO	Assoc VP for Human Resources	Yes	
4. Lease of University employees to outside entity	Sr. VP/CFO		Yes	

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<i>Information Technology</i>				
1. Major systems, projects or services	(a) University CIO or ISD CIO (for MC Contracts.) and (b) Senior VP/CFO or MC VP/CFO (for MC Contracts)	All: University or ISD Chief Information Officer (CIO) should be consulted; President if Significant Commitment or cost is over \$10 million; Provost if the good or service will significantly impact central University or MC critical IT systems or those of divisions other than the division making the purchase	No if standard approved terms used. Yes otherwise.	
2. Servers whether stand alone or connected to University systems	Deans and Medical Center Officers			
3. Hardware or software that will be exposed to the internet or be used to store or transmit personal identity information (PII) or personal health information (PHI).	Deans and Medical Center Officers			
4. Software or design services to create or support Internet viewable content that function to represent the University, or any division, department or unit	Vice President for Communications			

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<i>International Programs, Offices, or Joint Ventures (does not include study abroad, fund-raising or individual faculty research in other countries)</i>	President	Sr. VP Admin. & Finance or MC CFO; Provost or SVP MC; Dean; Controller; General Counsel	Yes	
<i>Investment Agreements</i>	Senior VP for Institutional Resources	President if Significant Commitment	No	Investment Committee
<i>Legal</i> 1. Settlement Agreements (litigation or claim)	Office of Counsel	Dean, Officer or Medical Center Officer if amount is over \$500,000; President if significant liability or probable adverse publicity	Yes	
2. Legal Services and related	Office of Counsel	President if significant liability or probable adverse publicity	Yes	
3. Insurance policies (excluding health insurance or employee benefits)	Office of Counsel	President if significant liability or probable adverse publicity	Yes	

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<i>Medical Center Miscellaneous</i> 1. Contracts for medical services provided to outside entities	MC CEO and MC CFO	President if significant commitment	Yes	
2. Physician Practice Acquisitions	2. MC CEO and MC CFO	President if significant commitment	Yes	
3. Contracts with third-party payors	3. MC CEO	3. MC CEO and MC CFO	Yes	
<i>Off-site Events (hotel, caterer, event managers e.g.)</i>	All Officers; Deans; MC Officers	President if significant commitment	Yes, if vendor-supplied contract	
<i>Out of State Operations (offices, employees or faculty located or operating in US outside of New York State)</i>	Sr. VP Admin & Finance	Controller; Provost or SVP MC; Dean; General Counsel	Yes	
<i>Professional Services (including consulting, but excluding construction-related, legal, accounting and medical services)</i>	All Officers; Deans; Medical Center Officers; plus either (a) Director of Purchasing (if on a Purchase Order and \$500,000 or less in total value); or Sr. VP for Admin. & Finance or MC VP for Finance if above \$500,000	President if \$10 million or Significant Commitment	No unless medical, accounting, or legal services, or contingent fee arrangements	

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<i>Publicity; Outside Party's Use of University Name and Marks (e.g. shield logo)</i>				
1. Filming/ Photography on University property for non-University purposes	Vice President for Communications; Associate Vice President for Medical Center Public Relations and Communications and Directors of PR/Communications for the Schools, MAG and LLE, for Contracts exclusively affecting their respective units.	Vice President for Communications; President if Significant Commitment	No if University standard contract used	
2. Trademark-related agreements (all use of names or marks)		Vice President for Communications; President if Significant Commitment	Yes	
3. Advertising	Deans, Medical Center Officers	Vice President for Communications (or Associate Medical Center Vice President for Public Relations and Communications for MC)		
<i>Purchases of goods or services (not otherwise specified elsewhere in this table)</i>	Director of Corporate Purchasing - Up to \$500,000 for non-MC - Up to \$1m for MC Sr. VP/CFO or MC VP for Finance if over those amounts	President if Significant Commitment or over \$10 million	As decided between Counsel and Corporate Purchasing	

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<i>Real Estate</i> 1. Leases/Amendments	Senior VP/CFO	President if Significant Commitment VP/CFO of URMIC if affecting the Medical Center Director of Real Estate Services	Yes	
2. Easements	Senior VP/CFO	President if Significant Commitment VP/CFO of URMIC if affecting the Medical Center AVP Facilities	Yes	
3. Disposition or Acquisition of Real Property (not investment related) Note: Acquisition of donated real estate must be approved per University policy on the same.	Senior VP/CFO	President if Significant Commitment VP/CFO of URMIC if affecting the Medical Center Director of Real Estate Services	Yes	Facilities Comm. of Board of Trustees if total cost to the University is \$1m to \$5m; Board or its Executive Committee if over \$5m

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<i>Research & Intellectual Property</i>				
1. Sponsored Research	Director of ORPA	Department Chairs and Deans	No if standard approved terms used. Yes otherwise.	
2. Clinical Trials	Director of ORPA	Department Chairs and Deans	No if standard approved terms used. Yes otherwise.	
3. Materials Transfer Agreements	Director of ORPA		No if standard approved terms used. Yes otherwise.	
4. Technology license, assignment or option (including license for copyrighted software or similar materials)	Technology Transfer Directors	President; Technology Transfer Policy Committee and Dean if Significant Commitment and/or potential revenue of over \$10 million	No if standard approved terms used. Yes otherwise.	
5. Copyright Assignments, Licenses, or Permissions covering University intellectual property as defined by the University Intellectual Property Policy	Provost (Senior Vice President for Health Sciences for MC) Note: routine copyright permissions required by journals may be signed by Deans	Deans		
6. Collaborative research	Director of ORPA	Department Chairs and Deans		
7. University licenses of journals and databases owned by others; subscriptions	7. Dean of River Campus Libraries; Assoc VP and Director, MC Libraries and Tech; Associate Dean of Sibley Music Library.		No if standard approved terms used. Yes otherwise.	

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<i>Selling Services or Products to or Joint Ventures with For Profit Entities and any activity potentially subject to taxation (does not include teaching or research, includes product testing)</i>	President	Sr. VP Admin. & Finance; Controller; Provost or SVP MC; Dean; General Counsel	Yes	

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