

 UNIVERSITY of DENVER	UNIVERSITY OF DENVER POLICY MANUAL LIMITS OF AUTHORITY POLICY	
Responsible Department: Controller's Office Recommended By: G. Kvistad, C. Woody Approved By: Chancellor Coombe	Policy Number 2.10.030	Effective Date: 09/19/2014

1 INTRODUCTION

This policy authorizes specific officers and employees to enter into contractual and other obligations on behalf of the University of Denver (Colorado Seminary) (the "University"). The following designations of authority are intended to recognize the scope of responsibility of University employees, control the creation of unauthorized or unintended liabilities, and maintain the orderly conduct of the University's business affairs. This policy also provides for a review procedure for certain types of contracts.

- A. For purposes of this policy, the term "contract" means any contract or agreement, whether written or oral, which is intended to create a University obligation. The term "University commitment" means, in addition to an obligation to make cash payments, any obligation to provide services, it being understood that such services will be valued by the amount of payment being paid to the University in return for such services. For example, if a contract states that the University will provide facilities in return for a \$5,000 payment, then the contract involves a \$5,000 University commitment.

Contracts for goods and services arranged under the direction and control of the Director of Purchasing are subject to procedures outlined in the University of Denver Purchasing Manual rather than the Procedure incorporated in Section III.

2 AUTHORITY

- A. In addition to the designations listed in this policy, the Board of Trustee may designate, by resolution duly adopted from time to time, other

officers and employees with general or limited authority to enter into contracts on behalf of the University.

B. Designation of General Authority:

1. The Chancellor and Vice Chancellor for Business and Financial Affairs, or either of them, are authorized to sign any and all contracts, without regard to the duration, types or amounts of the University's obligations under such contracts, except that all contracts for the purchase or sale of real property for which the University has immediate need for educational purposes must first be approved by the Executive Committee of the Board of Trustees.

Rebecca Chopp, Chancellor, unlimited authority;

Craig Woody Vice Chancellor for Business and Financial Affairs/Treasurer, unlimited;

2. The Controller/Assistant Treasurer is authorized to sign any contract on behalf of the University in the amounts to be determined annually.

Margaret Henry, Controller/Assistant Treasurer, \$250,000, plus \$1.5 million authority limited to grants and contracts related to sponsored research;

C. Designation of Limited Authority: For purposes of this policy, "limited authority" refers to authority that is in all instances 1) subject to applicable budget restrictions and the availability of funds, 2) subject to compliance with general University purchasing and contracting procedures, 3) not granted for contracts that exceed one year in duration except as otherwise stated and, 4) subject to limits to be determined annually. The following University employees have limited authority to sign the following types of contracts:

- a. The Assistant Controller/Research Administration and the Controller/Assistant Treasurer, or either of them, shall have limited authority to sign contracts for grants, research contracts, other sponsored agreements and subcontracts whose period of performance does not exceed 24 months.
- b. The Director of University Business Services has limited authority to sign any contract which normally is entered into in the conduct

of such Director's duties. In addition, employees of the Purchasing Department, as designated by the Director of University Business Services, have the authority to sign any contract which normally is entered into the conduct of their duties.

Robert McVeigh, Director of Purchasing Services, \$100,000; authority limited to normal University procurement contracts.

Edward Henderson, Assistant Director of University Business Services, \$100,000; authority limited to normal University procurement contracts;

- c. The Director of Facilities Management has limited authority to sign any contract which is entered into in the normal conduct of such Director's duties.

Jeff Bemelen, Director of Facilities Management, \$50,000; authority limited to customary facilities management activities.

- d. The Vice Chancellor for Business and Financial Affairs may designate in writing deans, directors of academic departments and other employees with contracting authority in amounts determined annually limited to the normal conduct of their official responsibilities.

Gregg Kvistad, Provost and Executive Vice Chancellor, unlimited authority;

Amy King, Director of Human Resources, \$500,000; authority limited to contracts/agreements relating to benefit plan contracts;

Rick Packard, Director, Enterprise Risk Management, \$500,000; authority limited to contracts/agreements relating to insurance carriers;

Gerald Mauck, Assistant Controller Research Administration, \$500,000; authority limited to grants and contracts related to research;

Cathy Grieve, Executive Director for Conferencing, Events and Special Programs, \$100,000; authority

limited to matters involving Conferencing, Events and Special Programs;

Stephen Seifert, Executive Director, Newman Center for Performing Arts, \$100,000; authority limited to routine contracts relating to the Performing Arts Center;

Kevin Carroll, Vice Chancellor for Communications, \$50,000; authority limited to media and publications contracts;

Cindy Crouch, Associate Vice Chancellor, University Technology Services, \$50,000; authority limited to computer-related activities;

Luc Beaudoin, Associate Provost Office of Internationalization, \$50,000; authority limited to study abroad contracts

Paul Chan, University Counsel, \$50,000; authority limited to engagement letters for legal or litigation services;

Peggy Bradley-Doppes, Director of Athletics and Recreation, \$100,000; authority limited to contracts pertaining to Athletic Participation Agreements;

Scott Lumpkin, Vice Chancellor of University Advancement, \$500,000; authority limited to IRS form 8283- Non-cash Charitable Contribution Form;

Deans and Vice Chancellors and one other departmental designee (other than the budget officer) up to \$50,000. The Vice Chancellor for Business and Financial Affairs may designate others in writing with amounts determined annually in accordance with the University's Limits of Authority Policy.

D. Designation of Authority Banking: The Chancellor and the Vice Chancellor for Business and Financial Affairs have unlimited authority to initiate wire transfers from the University's checking, savings, and investment accounts, subject to callback confirmation, with any of the University's representatives authorized to initiate wire transfers. The

Assistant Treasurer, the Controller, and the Cash Management Specialist have limited authority to initiate wire transfers previously established with the wiring bank as electronic or repetitive preformatted/"coded") wires subject to limits to be determined annually, and have the limited authority to initiate nonrepetitive wire transfers subject to callback confirmation by a second individual with higher limit authority subject to limits determined annually.

- E. The Chancellor may sign any employment contract or letter of appointment or employment, whether faculty or staff. The Provost or the Provost's designee may sign all appointment letters or employment contracts that result in faculty employment. Decisions pertaining to tenure and promotion of faculty are governed by the University's Faculty Handbook. Employment contracts that apply to any other employee and that obligate the University to employ such employee for a term of one year or longer may be signed only by the Chancellor or the Vice Chancellor for Business and Financial Affairs.
- F. The Controller/ Assistant Treasurer, is authorized to sign on behalf of the University all reports, forms, notices or other documents that are required by applicable law to be filed with any governmental authority (e.g., tax filings) so long as such documents are signed by them in the normal conduct of their duties and so long as there is no payment required by any filing that exceeds the amount recorded in the University's general ledger for liabilities incurred in the normal course of activity (e.g., payroll withholdings, sales tax deposits, etc.).
- G. The Treasurer, Assistant Secretary or University Counsel are authorized to accept on behalf of the University all summons, service of process or similar notices. The Assistant Secretary of the University shall be designated as the registered agent of the University.

3 REVIEW PROCEDURE

- A. Employees with contracting authority when obtaining goods and services shall follow procurement procedures prescribed in the University's Purchasing Manual. In such cases, it is the responsibility of those with designated contracting authority to maintain a documentation file showing compliance with established University purchasing procedures.

- B. Prior to the execution of any contract described below, the University employee responsible for such contract's subject matter will cause the contract to be reviewed by the Controller and the University Counsel.
1. The review procedure applies to any contract which provides for 1) University commitments in an amount aggregating \$20,000 or more, 2) possible indemnification or reimbursement by the University, or the creation of a University liability (including a liability resulting from a lawsuit for damages), in an amount aggregating \$20,000 or more, or 3) the performance by the University of obligations over a period of one year or more.
 2. A review by the Controller and the University Counsel is necessary only for the first in a series of contracts so long as each subsequent contract in the series 1) is substantially similar in form to the first such contract and 2) does not change the aggregate University commitment in any material amount.
- C. The Controller, or the Controller's designee, will review each such contract in order to confirm that 1) funds are available for any payment obligations contemplated by the contract, and 2) in cooperation with the Risk Manager, insurance or similar coverage is available for insurable risks presented by the contract.
- D. The University Counsel, or the University Counsel's designee, will review each such contract in order to confirm that the contract accomplishes the intended purposes and does not present any burdensome or unintended liability risks.
- E. The Controller and the University Counsel will endeavor to conduct their review on a timely basis. The University employee responsible for a contract's subject matter will provide, whenever possible, a reasonable period of time for such review. The University Counsel may rely on faculty members or others with technical expertise when necessary. The Controller and the University Counsel will signify the completion of their review by initialing the contract.