

# President's Delegations Matrix

01.31.07

	CATEGORY	Includes, but is not limited to, the following types of CONTRACTS	Bruininks President	Sullivan, SrVP	Sullivan TCP	Cerra SVP Hlth Sci	Martin Chn UMD	Massey	Schuman Ch UMM	Carrier VP HR	Thrane	O'Brien VP U Serv	Mulcahy	Brown VP	Pfitzenreuter CFO	Rotenberg GC	Klatt, Auditor	Jones, Robert
<b>Administrative Authority:</b>																		
AD01	Institutional affiliation agreements with hospitals, universities and other institutions to allow students, residents, interns etc. to participate in educational programs at these institutions	Affiliation Agreements	S		S	S	S	S	S							LA		S
AD02	Joint powers agreements with municipalities or other public entities in accordance with Minnesota Statute 471.50	Joint powers agreements	S		S	S	S	S	S							LA		S
AD03	Foreign Educational Experience	International study abroad agreements; international exchange agreements (not U-wide); and domestic agreements for international exchanges	S		S	S	S	S	S							LA		S
AD04	System wide international exchange experience	International exchange agreements	S													LA		
AD05	Volunteer Releases	Volunteer Agreement and Release, Volunteer Researcher Agreement and Release, and Volunteer Confidential and Proprietary Information Agreement	S		S	S	S	S	S	S	S	S	S	S	S	S	LA	S
AD06	Not Used																	
AD07	Student Teaching	Contracts with school districts for student teaching experiences	S		S	S	S	S	S							LA		S
AD08	Not Used																	
AD09	Sponsorship and co-sponsorship of events and programs (non-athletic)	Sponsorship/Cooperative Programming Agreements; Co-Sponsorship Agreements			S	S	S	S	S	S	S	S	S	S	S	S	LA	S
AD10	Sponsorship and co-sponsorship (athletics)	Co-sponsorship agreements					S	S	S					S		LA		S
AD11	Agreements with professional organizations for University membership	Institutional membership agreements			S	S	S	S	S	S	S	S	S	S	S	S	LA	S

**Footnotes**

Obtain Approval from:

1 Disbursement Svcs/Ext Sales

2 Purchasing

3 Purchasing - \$100 K +

4 Real Estate

5 EOAA

6 IACUC

7 IRB

8 IBC

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AD12	Releases	Field Trip Participant Release; Program Participant Release; Speaker Release; Talent Release etc.			S	S	S	S	S	S	S	S	S	S	S	S	S	S
AD13																		
AD14	Acquire, maintain and make available library materials	Contract, license, gift and bequests			S		S	S	S							LA		
AD15	Acquire, maintain and make available archive materials	Contract, license, gift and bequest			S											LA		
AD16	Agree to confidentiality for non-research purposes consistent with the Minnesota Data Practices Act and University policies	Confidentiality agreements and other contracts that include confidentiality provisions			S	S	S	S	S				S			LA		S
AD17	Not Used																	
AD18	Not Used																	
AD19	Accept Service of Process	Accept complaints, petitions and other forms of legal service on behalf of the Regents															S	
AD20	Not Used																	
AD21	Settle small claims	Settlement agreements			S	S	S	S	S							A LA		
AD22	Settle Academic Health Center claims, including worker's compensation and professional responsibility claims whether or not covered by insurance	Settlement agreements				S										A LA		
AD23	Not Used																	
AD24	Settle non-AHU claims including worker's compensation and professional responsibility claims whether or not covered by RUMINCO	Settlement agreements													S	A LA		
AD25	Not Used																	
AD26	Not Used																	

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AD27	Engaging lawyers and experts in conncention with legal matters	Retainer agreement														S	LA	
AD28	Not Used																	
AD29	Not Used																	
AD30	Not Used																	
AD31	Enter into and perform a non-research grant	Grants; contracts and subcontracts			S	S	S	S	S	S	S	S	S	S	S	S	LA	S
<b>Financial Authority:</b>																		
FN01	Procure and manage the University's fringe benefit programs	Contracts for fringe benefits (medical insurance, life insurance etc.)								S						FA	LA	
FN02	Enter into and managing an External Sale	Bill of Sale, Equipment Lease, Service Agreement, Lab Use Agreement (individual and company)			S	S	S	S	S	S	S	S	S	S	S	A <sup>1</sup>	S	LA
FN03	Sell goods other than as an External Sale	Sales Contract			S	S	S	S	S				S		A <sup>2</sup>	FA	LA	
FN04	Purchase goods and non-professional services having a value of \$10,000 or less	Small Purchase Order			S	S	S	S	S	S	S	S	S	S	S	S	S	LA
FN05	Order goods and non-professional services from U-wide contracts where the order has a value of \$100,000 or less	U-Wide Contract Order			S	S	S	S	S	S	S	S	S	S	S	S	S	LA
FN06	Purchase goods and non-professional services other than authorized by FN04 or FN05	Purchase Order, Contract, Annual U-wide Contract Order			S	S	S	S	S	S	S	S	S	S	S	A <sup>2</sup>	FA	S
FN07a	Engage a consultant, expert or other professional to provide professional services having a vlaue of \$10,000 or less. Designers, construction contractors, attorneys and litigation experts are excluded.	Contract for Professional Services			S	S	S	S	S	S	S	S	S	S	S	A <sup>2</sup>	FA	S

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FN07b	Engage a consultant, expert or other professional to provide services having a value in excess of \$10,000. Designers, construction contractors, attorneys and litigation experts are excluded.	Contract for Professional Services			S	S	S	S	S	S	S	S	S	S	S	S	S	
FN08	Purchase of monumental works of art for public spaces, including, but not limited to capital improvements made using Minnesota State funds	Contract to commission work of art			A*		A*	A*	A*			S			A <sup>2</sup> FA	LA		
FN09	Acquire non-monumental works of art	Specially Commissioned Work Agreement, gift, bequest or other contract			S	S	S	S	S						A <sup>3</sup> FA	LA		
FN10	Acquire works of art for University museum collections	Specially Commissioned Work Agreement, gift, bequest or other contract			S		S	S	S						A <sup>3</sup> FA	LA		
FN11	Not Used																	
FN12	Lease and use of real property owned by others	Apartment Lease (U tenant); Office Lease (U tenant) Office Sublease (U tenant); Use Agreement (U tenant)			S	S	S	S	S	S	S	S	S	S	S	S	S	S
FN13	Purchase and sale of real property	Purchase and Sale Agreement (University Buyer); Purchase and Sale Agreement (University Seller); Option Agreement; Right of First Refusal or Offer Agreement; Real Property Sale Closing Documents and Deeds		A								A			FA S	LA		
FN14	Easements and permits	Applications for permits and easements		A								A			FA S	LA		
FN15	Assignment of leases	Lease Assignment: U as landlord (tenant assignment to new tenant); Lease Assignment: U is new tenant; Lease Assignment: U is tenant (landlord assignment to new landlord)													FA S	LA		

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FN16	Lease and Use of real property owned by the University	Land Leases, farm leases; office leases and subleases; Itasca Housing leases; non-resident hall summer housing leases etc.													FA S	LA		
FN17	Resident Hall agreements	Resident hall agreements										S				LA		
FN18	Not Used																	
FN19	Not Used																	
FN20	Not Used																	
FN21	Interest rate swap utilization as additional vehicle for management of outstanding debt														S			
FN22	Underwriter engagement and termination negotiations	Underwriter agreement													S	LA		
FN23	Emerging market debts participation														S			
FN24	Portfolio adjustments														S			
FN25	Money market mutual funds, fixed income mutual funds, or fixed income limited partnerships approvals														S			
FN26	Levels of deposits adjustments among various banks to meet need of operations														S			
FN27	Engage in investment transactions														S			
FN28	Vote securities	Execute proxy or cast vote													S			
FN29	Engage Investment adviser	Investment adviser engagement agreement													S	LA		
FN30	Terminate investment adviser	Termination													S	LA		
FN31	Acquire comprehensive liability, property insurance and special coverages as needed	Insurance policy													S	LA		
FN32	Acquire the services of pre-design, design, testing and commissioning professionals for capital projects and renovations	Agreements for predesign, design, consulting services, testing, inspection, and commissioning			A*	A*	S	A*	A*			S		A*	A <sup>3</sup> FA	LA	A*	

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FN33	Acquire the services of general contractors and construction managers for capital improvements and renovations	General contractor agreements and Construction Manager at Risk Agreement			A*	A*	S	A*	A*			S		A*	A <sup>9</sup> FA	LA	A*	
FN34	Distance education	Contracts to buy, sell and license internet education		A	S	S	S	S	S				S			LA	S	
FN35	Intercollegiate athletics	Intercollegiate athletics agreements					S	S	S					S		LA		
FN36	Transactions with Fairview, resulting from AHC-Fairview Affiliation Agreement	Fairview agreements				S										LA		
FN37	Transactions with UM Physicians	UM Physicians agreements				S										LA		
FN38	Not Used																	
FN39	Acquire rights in and publish works of scholarship and other interests by University Press	Publications agreements		S												LA		
<b>Human Resources Authority:</b>																		
HR01	Not Used																	
HR02	Appoint non-tenured faculty; make special appointments; make salary changes and status changes; renew or non-renew appointments, and accept resignations	Appointment, salary and status instruments			S	S	S	S	S				S					
HR03	Agree to settle disputes affecting terms and conditions of employment	Settlement agreements			S	S	S	S	S	A			S		FA	A LA		
HR04	Make Civil Service appointments, non-reappoint probationary employee, make salary changes, status changes, renewals or non-renewals of date specific appointments, terminate employment, and accept resignations	Appointment, salary and status instruments, termination letter or agreement, etc.			S	S	S	S	S	S	S	S	S	S	S	S	S	S

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HR05	Make P&A appointments, non-reappoint probationary employee, make salary changes, status changes, renewals or non-renewals of date specific appointments, terminate employment, and accept resignations	Appointment, salary and status instruments, termination letter or agreement, etc.			S	S	S	S	S	S	S	S	S	S	S	S	S	S
HR06	Agreements with emeriti faculty	Emeriti faculty agreements			S	S	S	S	S				S			LA		
HR07	Labor union appointments, salary changes, changes in status, accept resignations, terminations	Appointment, salary and status instruments			S	S	S	S	S	S	S	S	S	S	S	S	S	S
HR08	Labor union contracts	Labor union agreements								S						LA		
HR09	University Education Association contracts	UEA agreements					A			S						LA		
HR10	P&A suspension during notice of dismissal period, academic staff (P&A)				S	S	S	S	S	S	A	S	S	S	S	S	S	S
HR11	Termination of academic staff (P&A) before termination date because of Program Curtailment				S	S	S	S	S	S	A	S	S	S	S	S	S	S
HR12	Severance	Severance agreements			S	S	S	S	S	S	A	S	S	S	S	S	LA	S
HR13	Staff appointments and establish clinical privileges of faculty at health care agencies outside the University	Contracts to implement staff appointments and establish clinical privileges			S	S	S									LA		
HR14	Consulting (by faculty members and P&A employees)				S	S	S	S	S	S	S	S	S	S	S	S	S	S
HR15	Academic misconduct				S	S	S	S	S				S					
HR16	Grievances - Phase I & II	Settlement agreement			S	S	S	S	S	S	S	S	S	S	S	S	LA	S

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HR17	Grievance - Acceptance or rejection of Phase III panel's decision; settlement agreement	Settlement agreement		S												LA		
HR18	Nepotism policy exemptions									S								
HR19	Leave agreements including but not limited to, family & personal, disability, medical, study, parental, professional development, military, faculty development, administrative and transitional	Leave agreements			S	S	S	S	S	S	S	S	S	S	S	S	S	S
HR20	Single semester & faculty sabbatical leave				S	S	S	S	S				S					
HR21	Faculty and P&A vacation deferral				S	S	S	S	S	S	S	S	S	S	S	S	S	S
HR22	Phased retirement	Contracts implementing phased retirement			S	S	S	S	S	A			S			LA		
HR23	Terminal leave	Contracts implementing terminal leave			S	S	S	S	S	A			S			LA		
HR24	Retirement benefits	Contracts implementing retirement benefits								S					FA	LA		
HR25	Appoint Grievance Office staff (other than Grievance Officer)												S					
HR26	Appoint Grievance Officer												S					
HR27	Employ coaches	Employment Agreement for Head Coach and Assistant Head Coach					S	S	S					S		LA		
HR28	Multi-year P&A appointments				S	S	S	S	S	S	S	S	S	S	S	S	S	S
HR29	Faculty dismissal for cause			S			S											
HR30	Exception to tenure credit for new faculty			S			S											
HR31	Statement of standards for awarding tenure			S			S											
HR32	Tenure home transfers			S			S											
HR33	Stopping the clock (tenure/continuous appointment)			S			S											
HR34	Appraisal of probationary academic professionals			S			S											

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HR35	Tenure cards execution			⊗														
HR36	Exception to tenure credit for new hire faculty			⊗														
HR37	Tenure recommendations to BOR			⊗		S	⊗											
HR38	Recommending endowment levels			⊗														
<b>Research/Intellectual Property Authority:</b>																		
RS01	Principal investigator eligibility to prepare a grant application												S					
RS02	Approval of employees to serve as principal or co-investigators on a sponsored project				S	S	S	S	S				S					
RS03	Research agreements with business and industry	Business & industry research agreements											S			LA		
RS04	Research subcontracts	Material transfer agreement											S			LA		
RS05	Sponsored project compliance												S					
RS06	Distribution of patent invention income												S**					
RS07	Research involving animals	Contracts implementing research, training, and public service programs											S <sup>6</sup>			LA		
RS08	Research involving human subjects	Contracts implementing research, training, and public service programs											S <sup>7</sup>			LA		
RS08A	Research involving recombinant DNA and hazardous biological materials	Contracts implementing research, training, and public service programs											S <sup>8</sup>			LA		
RS09	Research, training and public service programs with U.S. government, its agencies or subdivisions and nonfederal sponsors, including proposals for research, development, service & training contracts, subcontracts, grants and contracts	Contracts implementing research, training, and public service programs											S			LA		

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RS10	Filing for patent protection, licensing patented inventions, and assignment of patent rights including income distribution rights	Assignment and income distribution agreements; Patent License Agreements(Exclusive and Non-exclusive); Software License Agreement(University as Licensor); Software Distribution License Agreement(U as Licensor)											S			LA		
RS11	Student Assignment of Copyright	Assignment	S		S	S	S	S	S				S					
RS12	Confidentiality agreements (research)	Confidentiality Agreement - University receives information											S			LA		
RS13	Not Used		S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
RS14	Licensing copyrighted works owned by the University	Copyright licenses											S			LA		
RS15	Using copyrighted works not owned by the University	Licenses and permission agreements	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S	S
RS16	Registration of trademarks and licensing trademarks owned by the University in connection with athletics	Trademark registration forms, licenses, sponsorship agreements and real estate agreements that include use of trademarks owned by the University					S	S	S		S			S		LA		
RS17	Registration of trademarks and licensing trademarks in connection with University owned patents	Trademark registration forms and licenses											S			LA		
RS18	Registration of trademarks and licensing University trademarks not included in RS17 and RS18	Trademark registration forms, licenses, sponsorship agreements and real estate agreements that include use of trademarks owned by the University									S					LA		

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