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UNIVERSITY OF CALIFORNIA, BERKELEY

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Ethics, Risk and Compliance Services
Office of the Chancellor

2130 Center Street
Berkeley, CA 94972-4208

To: Executive Vice Chancellor and Provost Steele
From: Deputy Chief Ethics, Risk and Compliance Officer Smith
RE: Delegations of Authority held by you as EVCP

This is to confirm the Presidential delegations of authority that have been delegated to you in your position as Executive Vice Chancellor and Provost. The re-delegations indicated confirm what is currently in writing and on file with the campus delegations coordinator.

Delegation ID	Title / URL	Description/Comments	Re-delegated To
DA 644	Confer degrees http://policy.ucop.edu/files/da/da0644.html		No re-delegation on record
DA 916	Execute certain affiliation agreements with other institutions or hospitals http://policy.ucop.edu/files/da/da0916.html	Approval by The Regents is required for "Affiliation agreements with other institutions or hospitals involving direct financial obligations or commitments to programs not previously approved".	No re-delegation on record (May be re-delegated once)
DA 1058	Execution of Agreements	Concerts, lectures, rental of films, and various theatrical or musical productions	<ul style="list-style-type: none"> • Director – Cal Performances (not to exceed \$400,000) • General Manager – Cal Performances (not to exceed \$100,000)
DA 2098	Approve exceptions to eligibility requirements under the Faculty Recruitment Allowance Program up to \$100,000. http://policy.ucop.edu/files/da/da2098.html	Exceptions over \$100,000 require approval by the Provost at UCOP.	Vice Provost, Academic Affairs and Faculty Welfare (up to \$100,000)
DA 2100	Execute purchase contracts, subcontracts, and standard purchase orders for materials, goods and services to be supplied to the University	Relates to Library purchases only	University Librarian

DA 2112	Designate holders of Presidential Chairs http://policy.ucop.edu/files/da/da2112.html	Authority to designate holders of Presidential Chairs, in accordance with regularly established University procedures for faculty appointments.	May not be re-delegated
DA 2150	Faculty salaries beyond the Regental salary threshold http://policy.ucop.edu/files/da/da2150.pdf	Authority to approve merit increases of 10 percent or less that exceed the Regental threshold for academic appointments. Presidential approval is still required for new appointment and retention case salaries above the threshold, and for proposed merit increases greater than 10 percent that exceed the Regental threshold.	No re-delegation on record
DA 2169	Allocation and reallocation of gifts http://policy.ucop.edu/files/da/da2169.pdf	Authority to designate, in accordance with the terms specified by the donor, the purpose for which a gift shall be used and whether income and/or principal shall be used, and to make allocations and reallocations in accordance therewith, and to determine, to the extent not specified by the donor, the purpose for which a gift of not more than \$1,000,000 shall be used and whether income and/or principal shall be used and to make allocations and reallocations in accordance therewith. For a gift in excess of \$1,000,000, the	May not be re-delegated

		Chancellor will recommend to the President the fund type and the purpose for which the gift will be used.	
DA 2222	Settlements of claims and separation agreements http://policy.ucop.edu/files/da/da2222.pdf	Authority to approve settlements of non-litigated claims outside the self-insurance program when the consideration paid or received is \$100,000 or less, and separation agreements under \$50,000 not involving a claim or litigation – academic personnel only.	No delegation on record
DA 2559	Authority to set miscellaneous student fees and deposits, course materials and service fees, service charges and Summer Session and University Extension fees http://policy.ucop.edu/files/da/da2559.pdf	Only summer session and extension fees	May not be re-delegated
DA 2573	Authority to approve and execute certain documents relating to the University's participation in , and transfer of the Center for Executive Education to, a separate 501C(3) entity and extension of loan to entity Specific to UC Berkeley -- contact the Delegations Coordinator at delegations@berkeley.edu	Authority to "spin off" the Center for Executive Education	May not be re-delegated

This is to confirm the Presidential delegations of authority that have been delegated to all vice chancellors. The re-delegations indicated confirm what is currently in writing and on file with the campus delegations coordinator.

Delegation ID	Title / URL	Description/Comments	Re-delegated To
DA 829	Approve commitments and expenditures against the following year's departmental budget http://policy.ucop.edu/files/da/da0829.html	Authority for budgets under your jurisdiction, provided (a) that such commitments and expenditures are not incurred earlier than April 1 of a current fiscal year against the next succeeding fiscal year's funds, (b) that services for which commitments are made are specified for performance on or after July 1 of the succeeding fiscal year, (c) that materials, supplies, and equipment for which expenditures are made prior to June 30 must be for use in the succeeding fiscal year, and (d) that commitments and expenditures are held to the minimum considered necessary for the operations of the departments.	No re-delegation on file
DA 864	Grant permission for use of the University's campus name http://policy.ucop.edu/files/da/da0864.html	Chancellors on other campuses shall be consulted (perhaps at a meeting of the Council of Chancellors), when a decision to permit use of the University's name on one campus would make it difficult to deny a similar request on another (e.g., a request from another chapter or affiliate of the same organization or group).	The Office of Marketing and Business Outreach is authorized to approve use of the University's name, logos, and trademarks by outside entities
DA 865	Grant permission for use of the unofficial seal of the university http://policy.ucop.edu/files/da/da0865.html	Authority to permit use of the unofficial seal as a symbol of the University for any official purpose or in	The Office of Marketing and Business Outreach is authorized to

		connection with the VC's jurisdiction	approve use of the unofficial seal by outside entities
DA 2087	Appoint, promote, dismiss and compensate Professional/Support Staff and Managers/Senior Professional employees under your jurisdiction. http://policy.ucop.edu/files/da/da2087.html	Authorized to appoint, promote, demote, and dismiss staff employees for Professional/Support Staff and Managers/Senior Professional employees under your jurisdiction.	No re-delegation on record

Unless, explicitly stated otherwise, you have the authority to re-delegate some or all of this authority further. However, you cannot delegate greater responsibility and decision-making authority than you have been delegated. Moreover, you can't delegate away your accountability.

- Your re-delegation must be in writing.
- You must ensure that the employee to whom you re-delegate is qualified.
- You must ensure that the employee to whom you re-delegate is properly fulfilling their responsibilities – this means some form of ongoing monitoring.
- If you wish to limit further re-delegation, do so explicitly in the re-delegation letter.

If you allow further re-delegation, you must ensure that these guidelines are followed. These further re-delegations do not eliminate your accountability.

All re-delegation letters must be sent to the Office of Ethics, Risk and Compliance Services (delegations@berkeley.edu). The Campus Delegations Coordinator will up-load your re-delegations to the official delegations web site, enabling the campus to know “who is responsible for what.”

Please contact me at 643-4171 or bvsmith@berkeley.edu with any concerns or changes you may have regarding these delegations of authority.

Barbara VanCleave Smith, PhD, CPA, CCEP
Deputy Chief Ethics, Risk and Compliance Officer
Chancellor's Office

Cc: Associate Chancellor Linda Williams
Chief Campus Counsel Chris Patti
Chief Audit Executive Wanda Lynn Riley
Campus DA Coordinator Janice Hing



OFFICE OF THE CHANCELLOR

BERKELEY, CALIFORNIA 94720

May 22, 1997

THE VICE CHANCELLOR AND PROVOST CAROL CHRIST
The Vice Chancellor and Provost Office

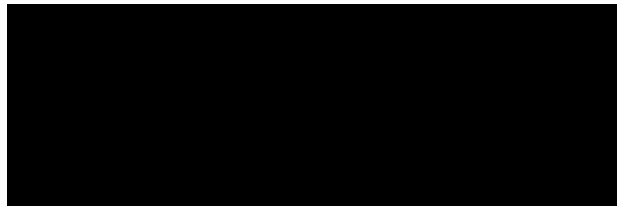
Dear Carol:

In accordance with authority delegated to Chancellors by President Gardner on December 30, 1991, I am redelegating to you in your position as The Vice Chancellor and Provost, the authority for *Execution of Agreements* for concerts, lectures, rental of films, and various theatrical or musical productions.

Within the scope of this redelegation, you are authorized to negotiate and execute all such agreements except those which contain provisions falling within the restrictions and limitations set forth in Standing Order 100.4 (dd) (1) and 100.4 (dd) (9) or require approval of The Regents because of specific Regental policy; or require approval by the President pursuant to specific memoranda issued from time to time. Other conditions as stated in President Gardner's December 30, 1991 letter apply, but are not reiterated in this letter.

This redelegation supersedes all previous redelegations of this authority and shall become effective immediately.

Sincerely,



Chang-Lin Tien
Chancellor

Enclosure: Gardner letter of December 30, 1991
Standing Order 100.4 (dd)

CC: Senior Vice President, Business and Finance V. Wayne Kennedy
General Counsel and Vice President-Legal Affairs James E. Holst
Secretary of The Regents Leigh Trivette
Treasurer of The Regents Patricia A. Small
Special Assistant-Coordination and Review Jeanne Gardner
Director, Cal Performances Robert W. Cole
Coordinator, Delegations of Authority Marcelle M. Baxter

each be increased annually by a percentage equal to the percentage increase in the National Consumer Price Index for all Urban Consumers (CPI-U all items) for the preceding year, said increase to be reported annually to the Committee on Finance.

- (dd) Except as otherwise specifically provided in the Bylaws and Standing Orders, the President is authorized to execute on behalf of the Corporation all contracts and other documents necessary in the exercise of the President's duties, including documents to solicit and accept pledges, gifts, and grants, except that specific authorization by resolution of the Board shall be required for documents which involve or which are:
- ▷ 1. Exceptions to approved University programs and policies or obligations on the part of the University to expenditures or costs for which there is no established fund source or which require the construction of facilities not previously approved.
 - 2. Renewal or modification of prime contracts with the Department of Energy for the operation of the Lawrence Berkeley National Laboratory, Lawrence Livermore National Laboratory, and the Los Alamos National Laboratory.
 - 3. Loans of funds of the Corporation, other than loans from established student, faculty, and staff loan funds.
 - 4. Agreements for the provision of employee group insurance benefits, with the understanding that Board authorization shall not be required for periodic revisions to existing agreements when the revisions do not substantially change the authorized scope of the benefit plans.
 - 5. Affiliation agreements with other institutions or hospitals involving direct financial obligations or commitments to programs not previously approved.
 - 6. Agreements with associations composed of medical staff for collection of professional fees for services rendered to patients at University or affiliated teaching hospitals.
 - 7. Applications for new licenses to the Federal Communications Commission for authority to operate radio or television broadcast equipment.
 - 8. Construction contracts in excess of appropriated funds.
 - ▷ 9. Agreements by which the University assumes liability for conduct of persons other than University officers, agents, employees, students, invitees, and guests. This restriction does not apply to agreements under which the University assumes responsibility for the condition of property in its custody.
- (ee) Anything contained in subsection (dd) above to the contrary notwithstanding, the President is authorized to take all actions and to execute all documents necessary in the exercise of the President's duties when an emergency precludes prior submission to the Board, provided that in all such cases the President shall report such actions to the Board, through an appropriate Standing Committee, at its next regular meeting.
- (ff) The President is authorized to negotiate the sale, purchase, receipt by gift, or lease of real properties which are used, held, or to be acquired for campus-related purposes, and to administer all such properties, which are defined as properties within the boundaries of a campus of the University and other properties used, held, or to be acquired for student and employee housing, parking, athletic programs, research, public service, educational programs, or administrative staff purposes of the University.

May 7, 1997


UNIVERSITY OF CALIFORNIA AT BERKELEY

TO: Vice Chancellor & Provost Christ

FR: Director Cole 

RE: Delegation of Signature Authority

I am writing to request delegation of signature authority of up to \$200,000 for artist contracts. I have attached a sample of our current artist contract for review. Please let me know if there is anything further you require to process this request.

Encl.

101 ZELLERBACH HALL #4000
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BERKELEY, CA 94720-4800
510 642.0212
FAX 510 643.6707