

Title	Signing Authority	Oversight Responsibility	Office of Vice-President, Finance and Operations
Classification	Administrative	Responsible Office	Financial Services and Financial Planning
Category	Governance & Legal	Effective Date	2023-Sep-01
Approval	Executive	Document No.	1093

This policy should be applied in a manner consistent with applicable statutory and legal obligations, including university collective agreements and terms of employment.

The most up-to-date versions of the university's policies are posted on the policy and procedure website. If you've printed this policy, check the website to ensure you have the current version.

NOTE: The first appearance of terms in **bold** in this document (except titles) are defined terms – refer to the Definitions section.

1.0 POLICY STATEMENT

Pursuant to Royal Roads University's *Delegation of Authority* policy (Policy 1081), the Board of Governors has delegated to the President the authority to make commitments on behalf of the University including the responsibility to enter into agreements and to act as purchasing, signing and payment authority. This Signing Authority policy establishes the delegation of authority from the President to employees of the University for the purposes of entering into commitments on behalf of the University.

2.0 SCOPE

- 2.1 This Policy applies to, but is not limited to, all written contracts, sub-contracts, letters of intent, letters of agreement, memoranda of understanding, memoranda of agreement, construction and/or renovation projects, leases, licenses, donor agreements, deeds, grant applications, grant agreements, certificates, instruments, or any other document which creates an obligation or is binding upon the University or any part thereof, and any accessory document and all expenditures incurred on behalf of the University.
- 2.2 This policy extends to all employees of the University and all academic, administrative, and research activities and operations undertaken by the University including activities related to the Royal Roads University Foundation.

3.0 POLICY TERMS

3.1 General

- a. The President may approve all commitments and expenditures in lieu of **Signing Officers**.
- b. The Vice-Presidents and Signing Officers who directly or indirectly report to the President shall have general authority to approve and sign commitments and accessory documents within their area of responsibility up to the values set out under this policy.
- c. Signing Officers may sub-delegate their Commitment Authority if the sub-delegation of that authority is permitted under Appendix A. Sub-delegation will be in writing and submitted to Financial Services pursuant to this Policy's corresponding procedures.

- d. If a Signing Officer will be unavailable due to vacation, travel, or other unexpected absence, they may temporarily delegate their Commitment Authority and expenditure Approval Authority pursuant to this Policy's corresponding procedures. Temporary Delegation will be in writing and submitted to Financial Services pursuant to this Policy's corresponding procedures.

3.2 Commitment Authority

- a. No person may enter into commitments intending to bind the University to contractual obligations unless they are an employee of the University and have been granted **Commitment Authority** to do so pursuant to this Policy.
- b. Notwithstanding this Policy, all commitments that the University enters into are subject to all applicable laws and regulations whether municipal, provincial or federal.
- c. The authority required to enter into commitments and to bind the University to the terms of such agreement depends on the nature of the commitment as set out in Appendix A of this Policy and the dollar amount of such commitment as set out in Appendix B of this Policy, if applicable.
- d. If the agreement is considered a contract, approvals must be exercised in accordance with this Policy and any accompanying procedures prior to the execution of such, including the Contract Review Procedures.

3.3 Approval Authority

- a. **Budget Holders** are conferred **Approval Authority** to make expenditures within the amounts and scope of the accounts delegated to them in the annual operating and capital budget, subject to:
 - i. dollar amount limits for single transactions as outlined in Appendix B;
 - ii. any procedures related to this Policy;
 - iii. any other relevant University policies and procedures; and
 - iv. external funding terms and conditions (if applicable).
- b. A single transaction in excess of the Budget Holder's authority amount requires higher-level approval by an employee above the Budget Holder with sufficient authority for the transaction amount.

3.4 Confirming Receipt of Goods and Services

- a. Signing Officers are conferred the authority to confirm the receipt of goods and services for invoice documents which are associated with approved contracts and consistent with the financial arrangement detailed in the contract, regardless of value.

4.0 AUTHORITIES, ROLES AND RESPONSIBILITIES

4.1 Executive

- a. The President and Vice-Presidents are accountable for promoting a culture that supports the implementation and compliance of this Policy.

4.2 Vice-President, Finance and Operations

Administration of this Policy and its subsidiary processes and procedures is delegated to the Vice-President, Finance and Operations, who will:

- a. coordinate the administration of this Policy with the Responsible Office;
- b. issue any revisions, directives, resolutions, or decisions and other acts of the Board of Governors or Board Committee pursuant to this Policy; and

- c. monitor and report to the Executive on compliance with this Policy through a periodic review of the University's commitments and related activities.

4.3 Responsible Office

Financial Services is responsible for monitoring, reviewing, ensuring and reporting on compliance with this Policy under the direction of the Vice-President, Finance and Operations.

4.4 Signing Officers

- a. The responsibilities of the Signing Officer are to:
 - i. Act in accordance with the provisions of the *Conflict of Interest* and *Conflict of Interest in Research* policies.
 - ii. Execute commitments while performing University business in accordance with this Policy and accompanying procedures.
 - iii. Ensure any commitments that include a financial transaction are exercised within the bounds of the Signing Authority's delegated budget appropriation and that sufficient uncommitted funds are available.
- b. Prior to making a commitment on behalf of the University, bring to the attention of the Vice-President, Finance and Operations, commitments which present an unusual level of financial or reputational risk, or which may have significant strategic implications for the University.
- c. For commitments that include a financial transaction, execute an amendment if the total contract value, including the value of the amendment, falls within the maximum value of their authority and otherwise complies with this Policy. If the value of the amendment is above their authority, approval of the commitment is required at a higher level of authority in the direct line of reporting.
- d. Keep the fully executed contract including all appendices and other supporting documents for their records and submit a copy of the contract to Financial Services within five business days.

4.5 Employees

All employees are responsible to:

- a. Comply with this Policy and its subsidiary procedures.
- b. Report any concerns or observations of non-compliance with this Policy to their supervisor or in accordance with the *Safe Disclosure* policy.
- c. Participate in inspections and investigations in relation to compliance of this Policy.

5.0 DEFINITIONS

For the purposes of this Policy:

Approval Authority means the authority to expend uncommitted funds against a budget or other available funding, to which a person has a direct or delegated authority up to the limit of the available funding in compliance with relevant policies and directives.

Budget Holder means an employee with delegated authority to manage the finances (Income and Expenditure) for a specific area (Cost Centre) per the approved annual budget or restricted fund within the university's financial system.

Commitment Authority means the authority to bind the University to financial and non-financial agreements, both oral and in writing or partly oral and partly in writing, and the authority to bind the university to contracts.

Signing Officer means, in relation to any contracts, documents or instruments in writing or any electronic document, any employee who has been delegated authority, in accordance with this Policy, to sign the same on behalf of the University.

6.0 INTERPRETATION

Questions of interpretation and application of this Policy or its procedures shall be referred to the Vice-President, Finance and Operations, whose decision is final.

7.0 RELATED DOCUMENTS

Royal Roads University Documents and Information

- [Financial Administration Act](#)
- [Conflict of Interest Policy](#)
- [Conflict of Interest in Research Policy](#)
- [Delegation of Authority Policy](#)
- [Exigencies of Administration Policy](#)
- [Investment Policy](#)
- [Safe Disclosure Policy](#)
- [Contract Review Procedures](#)
- [Compensation Policy](#)
- [Tuition and Other Fees Refund](#)
- [Tuition Deposit Refund](#)
- [Professional and Continuing Studies Refunds](#)

Review, Revision and Approval History

<u>Date</u>	<u>Action</u>
2023-Jul-04	Approved by Executive
2023-Sep-01	Implementation and effective date
2024-Sep-01	Next review

APPENDIX A: TYPES OF COMMITMENTS

A. Office of the President and Vice-Chancellor

The President and Vice-Chancellor is responsible for commitments falling within the classes set forth below:

Class	Document Description	May be sub-delegated
Board Activities	<ul style="list-style-type: none"> • Purchases of services and materials related to Board activities • Approve senior leadership team employment offers and/or agreements 	<ul style="list-style-type: none"> • Yes

B. Office of the Vice-President, Academic and Provost

The Vice-President, Academic and Provost is responsible for commitments falling within the classes set forth below:

Class	Document Description	May be sub-delegated
Academic (Program)	<ul style="list-style-type: none"> • Academic Program and Project Agreements (not involving the sale of goods and services) • Sale of academic goods, services and activities • Academic exchange agreements, other than research exchange agreements • Publishing and copyright agreements, academic training agreements • Academic consulting • Agreements for the creation or dissolution of centres or institutes • Confidentiality Agreements relating to academic/course information • Academic Conference or Workshop Agreements • Academic Funding Agreements including faculty specific and institutional with more than one faculty • Consulting and contracted services related to program delivery • Use of academic seal • Institutional Affiliation Agreements 	<ul style="list-style-type: none"> • Yes
Academic	<ul style="list-style-type: none"> • Research leaves and other leaves of absence for academic staff and RRUFA members (faculty and librarians) (maternity, parental, compassionate, etc.) • Academic Secondment Agreements (both to and from the University) 	<ul style="list-style-type: none"> • Yes
Library services	<ul style="list-style-type: none"> • Agreements for the acquisition of collections and information resources • Agreements for the re-sale, distribution or redistribution of information resources • Information Resource Licenses and Libraries Acquisitions Agreements • Loans of Libraries and Archives Material/Exhibits 	<ul style="list-style-type: none"> • Yes

	<ul style="list-style-type: none"> • Copyright and license agreements for reproductions of digitized images and works of the Libraries and Archives • Funding agreements with library and archives specific program • Agreements for the provision of information resources and services to third parties and agreement to share information resources and other services with other parties 	
Admissions and Registration	<ul style="list-style-type: none"> • Purchases of Services and Supplies related to admissions and registration – not including employment agreements 	<ul style="list-style-type: none"> • Yes
Student services	<ul style="list-style-type: none"> • Purchases of Services and Supplies related to student services – not including employment agreements 	<ul style="list-style-type: none"> • Yes
Research	<ul style="list-style-type: none"> • Research Grant Agreements, Applications, Proposals and Contracts • Research Services and Project Agreements • Research Commercialization contracts (shareholder agreements, license agreements, patents, etc.) • Research Exchange Agreements • Research Collaboration and Partnerships Agreements (inter-University; inter-sector [government, industry, NGOs]) • Research-related consulting service 	<ul style="list-style-type: none"> • Yes
Intellectual property	<ul style="list-style-type: none"> • Sponsored research funding agreements for grants, contracts, and services that include the licensing (or options to license) the patentable intellectual property created during research activities • Proprietary rights from inventions – patent, copyright, trademark, trade name, and any other applicable intellectual property rights 	<ul style="list-style-type: none"> • Yes
International	<ul style="list-style-type: none"> • Letters of agreement, contracts and /or contribution agreements with international funding agencies for activities in Canada and/or Internationally. • International student exchange agreements and other international student mobility agreements (e.g., agreements for transfer students, sponsored students, visiting students, post-graduate medical education students, interim exchanges) • Contracts for the provision of services by the University to a foreign third party, either directly or through coordinating Canadian organization • Commitments to participate in consortia on international projects (not research related) • Shared Credential Agreement (joint/dual/multi-degree) with institutions outside Canada • Memoranda of understanding, letters of agreement and/or contracts with international entities • Agreements related to the recruitment of students for academic credit or non-credit programs 	<ul style="list-style-type: none"> • Yes

C. Office of the Vice-President, Finance and Operations

The Vice-President, Finance and Operations is responsible for commitments falling within the classes set forth below:

Class	Document Description	May be sub-delegated
Financial	<ul style="list-style-type: none"> Banking and disbursements including bank signing authorities, credit card agreements, and commercial and custodial banking contracts Issuance of receipts for charitable donations or gift in-kind for income tax purposes 	<ul style="list-style-type: none"> Yes
	<ul style="list-style-type: none"> Borrowing including establishment of lines of credit, drawing down on lines of credit and letters of credit, borrowing resolutions, and guarantee of obligations to third parties Canadian and foreign income tax status declarations and returns 	<ul style="list-style-type: none"> No
Revenue	<ul style="list-style-type: none"> Contracts for the exclusive distribution of products or services on campus Sale of administrative services 	<ul style="list-style-type: none"> Yes
	<ul style="list-style-type: none"> Academic and course rates (within limits established by the Ministry of Post-Secondary Education and Future Skills and approved by the Board) Fee waivers, refunds, incentives and reductions to approved fees (including tuition assistance for employees and family members) 	<ul style="list-style-type: none"> No
Investments and securities	<ul style="list-style-type: none"> Investment management contracts Investment service contracts Investment consulting contracts Brokerage contracts Confidentiality or Non-Disclosure Agreements (related to potential Investments) Other investment-related contracts 	<ul style="list-style-type: none"> Yes
	<ul style="list-style-type: none"> Agreements for issuance of notes, bonds, debentures or other securities 	<ul style="list-style-type: none"> No
Legal	<ul style="list-style-type: none"> Use of corporate seal Purchase of legal services 	<ul style="list-style-type: none"> Yes
	<ul style="list-style-type: none"> Legal settlements, claims, civil action, or complaint before judiciary 	<ul style="list-style-type: none"> No
Human Resources	<ul style="list-style-type: none"> Organizational development Secondment Agreements (both to and from the University) Compensation and Benefits Excluded employment offers and/or employment-agreements Contracts related to payroll administration 	<ul style="list-style-type: none"> Yes

	<ul style="list-style-type: none"> • Collective agreements • Pension Agreements including supplemental retirement plans and benefits • Benefit Administration 	<ul style="list-style-type: none"> • No
Information Technology	<ul style="list-style-type: none"> • Hardware and software • Hosting Services and Agreements to the University • Information systems • Network, telecommunications, audio-visual equipment • License of Software to the University 	<ul style="list-style-type: none"> • Yes
Facilities management and campus development	<ul style="list-style-type: none"> • Construction and renovation contracts, including project management • Campus security, fire prevention, emergency measures, parking management • Environmental health and safety, hazardous waste management • Buildings and Grounds including building operations • Space planning, design • Produce land use and development plans 	<ul style="list-style-type: none"> • Yes
	<ul style="list-style-type: none"> • Acquisition and disposition of immovable and real property through purchase, donation or other means • Lease of immovable property and moveable property, as lessor or lessee • Servitudes where the University acquires or grants conditional rights of use with respect to immovable and real property • Utilities and Energy Management • Other encumbrances such as restrictions on ownership or use of immovable property 	<ul style="list-style-type: none"> • No
General	<ul style="list-style-type: none"> • Consulting Services related to HR, IT, Finance, and Operations and Resilience • Authorize procurement of goods and services 	<ul style="list-style-type: none"> • Yes
	<ul style="list-style-type: none"> • Insurance policies and insurance settlements 	<ul style="list-style-type: none"> • No

D. Office of the Vice-President, Communications and Advancement

The Vice-President, Communications and Advancement is responsible for commitments falling within the classes set forth below:

Class	Document Description	May be sub-delegated
Communications	<ul style="list-style-type: none"> • Agreements/contracts related to communications including agreements with community and industry partners for reputation building events/activities. • Consulting/service contracts related to communications 	<ul style="list-style-type: none"> • Yes

Advancement	<ul style="list-style-type: none"> • Fundraising agreements • Services contracts for advancement, development, and alumni relations • Consulting contracts for advancement, development and alumni relations 	<ul style="list-style-type: none"> • Yes
	<ul style="list-style-type: none"> • Gifts, donations and bequests, including monetary and in-kind • Endowment Funds - Statement of Trust • Naming agreements and memoranda of understanding (including academic naming agreements) 	<ul style="list-style-type: none"> • No
Campus Services	<ul style="list-style-type: none"> • Agreements/contracts related to the earning of ancillary revenue including filming, commercial events and weddings, food services, retail store/services, and tours • Services/contracts related to signature events • Sponsorship agreements • Memoranda of understanding, letters of agreement and/or contracts with community and industry partners related to services and community engagement 	<ul style="list-style-type: none"> • Yes
Indigenous Engagement	<ul style="list-style-type: none"> • Agreements/contracts related to indigenous engagement 	<ul style="list-style-type: none"> • Yes
Marketing	<ul style="list-style-type: none"> • Agreements/contracts related to marketing • Consulting/service contracts related to marketing including agreements with community and industry partners related to reputation building events/activities 	<ul style="list-style-type: none"> • Yes
	<ul style="list-style-type: none"> • Approve acquisition and use of a trademark 	<ul style="list-style-type: none"> • No

APPENDIX B: COMMITMENT AND TRANSACTION THRESHOLDS

The following thresholds are related to the financial impact to the University expressed in Canadian dollars and apply to the equivalent value of other currencies. Authorization also assumes adequate unspent and uncommitted budget funds are available.

NOTE: ALL THRESHOLDS ARE SUBJECT TO SUPERVISOR AND FINANCE APPROVAL

Role (see Note 1)	Commitments per Appendix A	Expenditures	Travel and Reimbursements
President VP F&O	Unlimited	Unlimited	Unlimited
All other Vice-Presidents	\$200k	\$200k	\$50k
AVPs Vice-Provost Chief Information Officer Deans	\$100k	\$100k	\$25k
Director, TEPD Director, Operations Director, Marketing Director, Research and Innovation University Librarian	\$50k	\$50k	\$10k
Manager, RAID Manager, Infrastructure Associate Director, Operations Project Manager, Westshore Initiative	\$25k	\$25k	\$5k
Senior Administrative Managers All other Directors Registrar	\$20k	\$20k	\$5k
Program Managers School Managers Property Manager All other Associate Directors All other Managers	\$15k	\$15k	5k
Program Coordinators Purchasing and Inventory Officer	\$10k	\$10k	\$1k
Program Associates All other Coordinators Board Secretary CC&M Inspector Safety and Environment Officer	\$5k	\$5k	\$1k
Supervisors Event Coordinators	\$2k	\$2k	\$1k
Exams Coordinator Student Engagement Coordinator Charge Hands Liaisons	\$1k	\$1k	\$1k

Note 1 - Role Abbreviations

VP F&O	Vice-President, Finance and Operations
AVP	Associate Vice-President
Director, TEPD	Director, Tech Enabled Project Delivery
Manager, RAID	Manager, Reporting Applications, Integration and Data
CC&M Inspector	Construction, Compliance and Maintenance Inspector