

CONTRACT SIGNING POLICY

1 Introduction

1.1 Purpose

1.1.1 The purpose of this Policy is to support and enhance the University's governance and internal control environment through designating certain positions within the University as Authorised Signatories on behalf of the University. The implementation of the provisions of this Policy will ensure that the University will only be bound by contracts that have been subject to the correct due diligence and sign-off requirements.

1.2 Scope

1.2.1 To whom does this Policy Apply?

Signing a contract on behalf of the University is an important responsibility and should be completed only by those employees authorised to do so who have an understanding of the obligation being undertaken. **Only the Authorised Signatories** as outlined in Appendix 1 and detailed in Appendix 5 of this Policy may sign contracts on behalf of the University.

Notwithstanding the Authorised Signatories set out in Appendix 1 and the provisions of this Policy, the President may sign any contract subject to delegated authority by approved policies of the Governing Authority when required.

1.2.2 To What Documents does this Policy Apply?

This Policy applies to all written contractual arrangements to which the University is a party, including, without limitation, contracts involving and/or referring to the University's internal units across academia, research and administration. Notwithstanding an internal unit being involved and/or referred to in the contract, unlike the University, such units do not have an independent legal existence and therefore cannot enter into a legally binding contract on its own behalf or on behalf of the University. The contracting and named party in a contract will always be the University of Limerick (i.e. the full legal title of the University).

Subsidiary companies of the University are outside the remit of this Policy. However, in the interests of good governance it is acknowledged that subsidiary companies should be subject to contract signing controls which are similar to those contained within this Policy. A Subsidiary company signing authority policy reflecting the principles set out here shall be submitted separately to the Governing Authority Audit & Risk Committee for approval.

1.2.3 Who is responsible for ensuring that this Policy (and any associated procedure) is implemented and monitored?

- It is the responsibility of all employees to comply with this Policy and to implement its provisions.

- It is the responsibility of members of the University Executive Committee ("**EC**") to ensure that the signatory rights and the review process for the contracts shown in Appendix 1 which fall within their area of responsibility are implemented and monitored.

Members of EC should also ensure that employees within their respective areas are made aware of and understand how to implement the Policy.

- It is the responsibility of the employee who presents a contract for signature to confirm **in writing** to the Authorised Signatory that an appropriate contract due diligence review was undertaken. This confirmation of due diligence takes the form of a standard "Contract Assessment Form" (CAF)

The steps involved in the due diligence contract review process are set out in Section 4 below.

1.3 Definitions

1.3.1 Contract

Contract means any written document that is legally enforceable regardless of the document title and includes, but is not limited to, any agreement, subcontract, letter of intent, letter of agreement, memoranda of understanding, memoranda of agreement, confidentiality agreement, deed, lease, licence, transfer, assignment, non-disclosure agreement, purchase order or other document, any of the provisions of which may be binding upon the University and any other letters or documents of any nature identified in Appendix 1 of this Policy. A contract may be in both paper and electronic form. A question as to whether or not a document is a contract should be referred to the Legal Services Unit in the Corporate Secretary's Office.

1.3.2 Employees

An employee is defined[1] as any and all individuals in the paid employment of the University, full and part time, including those in receipt of stipends.

1.3.3 Authorised Signatories

The employees occupying the positions set out in Appendix 1 of this Policy are the only persons authorised to execute the type of contract specified in Appendix 1.

1.3.4 Contract Proposer

The employee proposing the initiation and/or review of a contract that requires the University to sign, is the "**Contract Proposer**". All research funding proposals involving the University (whether in a lead or partner role) require a completed Proposal Authorisation Form (PAF), the named Principal Investigator shall also be the Contract Proposer. The PAF details the University activities only in a research project and is an authorisation to submit a proposal. It is signed by the Principal Investigator, their Head of Department, the Finance Department and by the Research Support Services Office.

[1] As per UL Code of Conduct

2 Context

2.1 Legal and Regulatory Context

2.1.1 Universities Act 1997 and Code of Governance for Universities 2019

This Policy supports the proper execution of the functions of the University. These functions are set out in the Universities Act, 1997. This Policy also addresses principles of good governance as agreed within the sector and as set out in the Code of Governance for Irish Universities 2019 and the accompanying UL Code of Governance.

2.1.2 The National Public Procurement Policy Framework

This Policy implements the principles of the National Public Procurement Policy Framework as they pertain to procurement policies and as outlined under The National Public Procurement Policy Framework (www.gov.ie)

3 Policy Statement

3.1 Principles for Contract Signing Policy

3.1.1 Level of Risk

The approved signatory and contract review process must reflect the level of risk (e.g. strategic, financial, reputation and/or operational) pertaining to the contract in question. Reference must be made to the UL Risk Management Framework in this regard.

3.1.2 Contracts

The contracts listed in Appendix 1 are the most common contracts which the University enters into on a regular basis. Where a contract arises which is not listed in Appendix 1 and/or where there is any ambiguity as to the appropriate Approved Signatory, the Legal Services Unit in the Corporate Secretary's Office shall be consulted.

3.1.3 Contract Template

The University approved contract templates are preferred when possible i.e. when the University is initiating a contractual relationship. Contract templates include those developed and approved internally within the University, and those developed by, or in collaboration with, external parties (such as the Office of Government Procurement, Knowledge Transfer Ireland, etc). The use of approved contract templates ensure consistency and efficiency within the University. Notwithstanding the applicability of contract templates, all contracts proposed for signature **must** be accompanied by the CAF completed by the Contract Proposer.

If the proposed contractual relationship/engagement relates to one of the following activities, please contact the relevant office identified below who shall provide an appropriate template and may also assist with the negotiation of same:

- Procurement of goods or services: Procurement Office;
- Research related: Legal Services Unit;
- International Academic engagement: UL Global;
- Intellectual Property: Technology Transfer Office;

Where no contract template exists, the Legal Service Unit should be consulted for advice and guidance.

3.1.4 Other Relevant Policies

This Policy is to be read in conjunction with other relevant University policies and guidance material, in particular those listed in the Related Documents Section 5 below. In addition, the University and its employees must ensure adherence to the Code for the Governance of Irish Universities 2019 and the University's Code of Governance approved by Governing Authority and other Irish legislation as amended from time to time.

3.1.5 Conflicts of Interest

Conflicts of interest are common in any organisation and may arise in relation to any of the contracts listed in Appendix 1. A conflict of interest may be actual, potential or perceived and emerge when employees within the scope of this Policy have personal interests which:

- Conflict with the interests of the University;
- Conflict with their responsibility to act in the best interests of the University;
- Put into question the independence, impartiality and objectiveness that they are obliged to exercise in the performance of their duties.

Where a conflict of interest arises as set out above for an employee of the University or any connected person[2] then the employee cannot participate in the contract review process and the recommendation of the contract for approval. In such a case the employee's immediate line manager will ensure the adequacy of the contract review process and recommend the contract to the Authorised Signatory for approval setting out how the identified conflict of interest was managed and continue to be managed for the duration of the contract in accordance with the Policy for Conflicts of Interest.

[2] As defined in the UL Conflict of Interest policy

4 Contract Review & Management

4.1 Contract Due Diligence Review Process

There are separate due diligence processes to be followed for both research and non-research related contracts.

4.1.1 Contract Due Diligence Review Process for non-Research related contracts

The Contract Due Diligence Review Process requires the completion of a standardised Contract Assessment Form (CAF) attached as Appendix 2. The CAF must be completed by the Contract Proposer prior to the contract being presented to the Authorised Signatory for signing to ensure that the contract is fit for purpose. The CAF must have supporting documentation confirming approval, (whether through email or signature) from all relevant functions to support and provide assurance that a review has been performed. The following steps are involved in the due diligence review process:

(a) **Due Diligence Review Process**

- Subject matter: To ensure that the proposed contract meets the needs and expectations of the University in respect of the subject matter.

- University policies and procedures: To ensure that the proposed contract accords with the University's policies and with any agreed University processes including the following of normal business practices and policies. Advice should be sought from the policy/procedures owner where any query arises in this regard.

- Finance: To ensure any costs/ expenditure associated with the proposed contract must comply with the University's Finance policy & procedures. Advice should be sought from the Finance Department where any query arises in this regard.

- Procurement: Where the proposed contract relates to the procurement of goods or services or including under collaborative research utilising funding howsoever received by the University from a third party. Advice must be sought from the University's Procurement Office.

- Data Protection: Where the proposed contract contains provisions relating to personal data, advice must be sought from the Data Protection Unit to ensure adherence to legislation.

- Insurance: Where the proposed contract contains provisions relating to insurance held by the University or required to be held by the other contracting party, or where the proposed contract seeks an indemnity to be provided by or to the University, advice must be sought from the Insurance Administrator, Buildings & Estates for non-research contracts and the Research Contracts solicitor for Research contracts.

- Intellectual Property: Where the proposed contract contains provision relating to Intellectual Property, advice must be sought from the Technology Transfer Office and/ or Legal Services Unit.

- Cloud Service: Where the proposed contract involves a Cloud Service/Software as a Service, advice must be sought from the Cloud Governance Group.

- Information Technology/ Digital Services: Where the proposed contract relates to digital services that require IT infrastructure or support on premise, advice must be sought from the Information Technology Division.

- Export Controls Legislation: Where the proposed contract contains Exports Controls legislation and provisions/dual use items, advice must be sought from the Legal Services Unit.

(b) **Legal Review**

A legal review of the proposed contract must be sought where any of the following circumstances apply:

- Where the financial value of the proposed contract exceeds €100,000 (including cumulative value over the lifespan of the contract/ contract extension); and/ or
- Where the proposed contract exposes the University to a degree of risk outside of that accepted as set out in the UL Risk Appetite Statement; and/ or
- Where the nature of the engagement/relationship is outside of standard terms of engagement; and/or
- Where there are particular provisions of the proposed contract which are unclear and require clarification or advice; and/or
- Where the contract involves a research project and the Vice President Research is the authorised signatory on same.

Where it is determined that legal review of the proposed contract is required the Contract Proposer must send an email request for legal review to the Legal Services Unit, identifying the issue on which they require legal advice and any applicable deadline for response.

(c) **Completing the Contract Assessment Form (CAF)**

It is the responsibility of the Contract Proposer to confirm to the Authorised Signatory by completion of the CAF attached as Appendix 2 that:

- The contract has been subject to review and due diligence, including legal review where appropriate, in accordance with the above Due Diligence Review Process;
- The individual/unit/institute/department within the University responsible for implementing the contract, including meeting any costs arising, is clearly identified.

4.1.2 Prior to signing a contract Authorised Signatories must satisfy themselves that an appropriate review process of the proposed contract has been undertaken in accordance with the Due Diligence Review Process set out above and confirmed by a properly completed CAF.

4.1.3 Without prejudice to the provisions of this Policy, any failure to comply with any requirement of this Section 4 will not invalidate the authority of the Authorised Signatory to execute the contract. However if the CAF is not completed appropriately there may be implications as outlined under section 4.8 Sanctions.

4.2 Contract Due Diligence Review Process for Research related contracts

4.2.1 The research contracts solicitor advising and bringing to completion the relevant research agreement shall collaborate with the Principal Investigator in order to carry out their due diligence process. This process includes issuing a template questionnaire (usually via email) so as to ascertain the type of research project to be carried out by the University.

4.3 Signing a Contract

4.3.1 Where the Authorised Signatory is satisfied that the CAF has been completed, accompanied by the documentary evidence referred to at section 4.1.1 above then the proposed contract may be signed.

4.4 Maintaining Records

4.4.1 An original signed copy of the signed contract and the completed CAF will be maintained by the relevant division/unit/ department that is the primary owner of the contract in accordance with the requirements of the University's Records Management & Retention Policy.

4.5 Delegating Signing Authority

4.5.1 When an Authorised Signatory is unavailable to sign a contract for whatever reason for a period longer than five working days, they may delegate the authority to sign contracts on their behalf to their nominee who must be an appropriate senior colleague. Any such delegation must be in writing by email to the nominee and copied to corporatesecretary@ul.ie for information and must stipulate the duration of the delegation. The duration of delegation should not be for longer than the period the Authorised Signatory is absent from the University.

4.5.2 Where the Authorised Signatory is not available and the contract is referred to the President or individual nominated by the Authorised Signatory for signing as appropriate, the Delegated Authorised Signatory is responsible for the contract and its signing.

4.6 Revisions to Contractual Types/Authorised Signatories

4.6.1 The Governing Authority authorises the President to add/amend types of contracts and Authorised Signatories set out in this Policy as may be required from time to time. Any proposal for addition/amendment must be submitted in writing to the Corporate Secretary and approved by the President in writing.

4.6.2 The Corporate Secretary will maintain the register of nominated authorised signatories set out in Appendix 5 and a report on updates will be presented to the Audit & Risk Committee on a bi-annual basis.

4.7 Central Register of Signed Contracts

4.7.1 A Register of Signed Contracts will be maintained by each division/unit/ department in accordance with the Records Management & Retention Policy in the form of the template attached as Appendix 3. A copy of the Register will be returned to the Legal Services Unit in the Corporate Secretary's Office on a bi-annual basis (end of June and end of December in each calendar year) to enable maintenance of the University's Central Contracts Register. A report will be presented to the Executive Committee and to the Audit & Risk Committee on a bi-annual basis by the Corporate Secretary on updates to the Central Register of Signed Contracts.

4.8 Sanctions

4.8.1 The University may take appropriate action against an employee who has been found to be in non-compliance with this Policy. Any such action will be initiated in accordance with the University's Statutes, Policies and Procedures.

5 Related Documents

5.1 The following University of Limerick documents are of relevance to this Policy and are to be referred to by policy users:

- Code of Conduct for Employees;
- Policy for Consultancy and External Commercial Work;
- Policy for the Recruitment of Staff;
- Procedures for Recruitment/Appointment of Academic Staff In Exceptional Circumstances;
- Procedures for the Recruitment and Appointment of Externally Funded Academic Staff;
- Policy and Procedures for Promotion of Academic Staff;
- Policy and Procedures for Granting Multi-annual Status to Tenure Track Academic Staff;
- Policy & Procedures to Progression Across the Merit Bar;
- Selection Procedures for Deans and Vice-Presidents;
- Policy for Contract Management: Research Posts;
- Policy & Procedures for Professional Development Leave for Support Staff;
- Sabbatical Policy;
- Anti-Fraud Policy;
- Intellectual Property Policy;
- Protected Disclosures Policy;
- Official Entertainment Policy;
- Travel and Subsistence Policy;
- Data Protection Policy;
- Policy for the Disposal of Assets;
- Policy for the Acquisition of New Property, Buildings, Land or Infrastructure;
- Policy for Conflicts of Interest;
- Records Management Policy;
- National Procurement Guidelines and EU Procurement Regulations.

6 Document Control

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Appendix 1

UL Contract Signing Policy

Authorised University Signatories

(The following Tables of Contents provide a listing by Authorised Signatory and also by type of contract/agreement being entered into by the University)

UNIVERSITY OF LIMERICK
OLLSCOIL LUIMNIGH

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Authorised Signatories & Types of Contracts

Chancellor

Employment Contract: President
Employment contract – President – **Governing Authority approval required.**

President

Employment Contract: Executive Deans and Vice Presidents
Employment Contract – Executive Deans & Vice Presidents – **Governing Authority approval required**
Establishment of a Trust
The establishment of a Trust **– EC and FHRAMC approval required**
Financial Transactions
Agreements relating to financial transactions of an exceptional and unbudgeted nature, up to and including a value of €1 million.

Provost & Deputy President

Academic Activities
Academic (Non research) contracts with other institutions
Appointment of External Examiners
Academic Funding applications/tenders (non-research) > €100,000
Non-research academic funding contracts > €100,000
Agreements relating to research postgraduate awards – **on recommendation of Executive Dean, GPS**
Any other academic (Non-research) related contracts
Legal
Contract on outcome of **student** related legal matter where any action or case has been taken against or by the University of Limerick
Library
Contracts for the acquisition of Collections/Library Related Contract > €100,000
All Other Library Related Contracts
Scholarships
Agreement with External Body for Creation of Scholarships **– Academic Council approval required**

Vice President Research

Research Contracts
All research contracts– The Vice President Research will notify the EC about research related contracts valued at ≥€1,000,000 **income** to the University. The Vice President Research will approve the terms of major contracts of the University involving potential/actual **expenditure** by the University ≤ €1,000,000. Prior approval will be sought for research contracts involving expenditure by the University as follows: **≤€1m (where such expenditures is not part of an already approved grant/contract) approved by FHRAMC and reported to GA** **>€1m: Submitted to FHRAMC for consideration and recommendation to GA** Where a risk has been identified outside the agreed the Risk Appetite Statement, noting this would be in the "extreme" category, the contract will be approved in advance of signature by the Executive Committee.
Research related Gifts
Agreements relating to donations, bequests or endowments to the University that relate to research**– EC to be notified in advance.**
Intellectual Property
Contracts for the protection, transfer, management or use of intellectual property rights managed by the TTO arising from UL research activities.
Campus Companies/Spin-Out Companies
Campus company investment/shareholder agreements – **RCC approval required** Any other Campus Company Agreements – **EC approval required** Any contract covering access to UL property or infrastructure for commercial purposes. Nexus Licenses

Vice President UL Global & Community Engagement

UL Global related contracts
UL Global Articulation/Progression/Student Exchange/ERASMUS Contracts UL Global Agents/Provider/Retainer/Study Abroad Contracts

Chief Commerical Officer

ULA and Unijobs
Establishment of new subsidiaries by the University and by a UL subsidiary company **- Board to submit proposal to FHRAMC for consideration and recommendation to GA**
Dissolution of a subsidiary company **- For approval by GA following prior review and recommendation of FHRAMC**
Approval of significant acquisitions / leases of land for developments by the above subsidiaries **≤ €150,000 by Budget Holder** **€150,000 and ≤ €1m: Approval by Board of Subsidiary and notification to FHRAMC** **>€1m: Board to submit proposal to FHRAMC for consideration and recommendation to GA**
Above Subsidiary Borrowings **≤€1m: Approval by FHRAMC and notification to GA.** **>€1m: To FHRAMC for consideration and recommendation to GA.**
Any proposal for the establishment of a new subsidiary of the University or dissolution of a subsidiary company *other than PCC and its subsidiaries.*
Land, property and other assets
Approval of the disposal/sale of land of the University **>€150,000 and ≤ €1m: Approval by FHRAMC and reported to GA** **> €1m: To FHRAMC for consideration and recommendation to GA**
Approval of acquisition of land, property and other significant University assets **>€150,000 and ≤ €1m: Approval by FHRAMC and reported to GA** **>€1m: To FHRAMC for consideration and recommendation to GA**
Utilities
All Buildings & Estates related utility contracts > €100,000 All Buildings & Estates related services contracts > €100,000

Chief Financial & Performance Officer

Audit Engagement
Audit Engagement Letter - for provision of audit services related to University External Auditors **– Audit & Risk Committee and Governing Authority approval required**
Major Contracts
Approve terms of major contracts of the University in excess of €1,000,000 other than (a) where the contact is to implement a previously approved project; (b) where the contract relates to a funded research project; (c) where the expenditure under the contract, is approved in the annual budget [CG S1.9] or (d) multi-annual contracts where the annual expenditure under the contracts is approved in the annual budget **Subject to prior approval as follows:** **≤€1m approved by FHRAMC and reported to GA** **>€1m: Submitted to FHRAMC for consideration and recommendation to GA**
Assets
Approve the disposal/retirement/ transfer of assets of the University and its subsidiaries Approval of **≤ €150,000 by Budget Holder** **>€150,000 and ≤ €1m by FHRAMC and report to GA** **>€1m: To FHRAMC for consideration and recommendation to GA**
Disposal of assets >€150,000 to a charitable organisation or which are not put to competitive tender process – **prior approval required as follows:** **>€150,000 and ≤ €1m by FHRAMC before negotiations start and before disposal/granting access of asset and reporting to GA** **>€1m: To FHRAMC for review and recommendation to GA before negotiations start and before disposal of/granting access to asset**
Disposal of assets to GA members, UL employees and connected persons[3] with value >€10,000 **Approval by FHRAMC and reported to GA**
Highest Bid Not Accepted
Auction/competitive tendering utilised and highest bid not accepted. **Approval by FHRAMC where ≥ €150,000 and reported to GA**
Gifts/Endowments
Agreements relating to donations, bequests or endowments to UL (Non research) **– EC to be notified**
Agreements for concessions on campus – **EC approval as appropriate and FHRAMC approval as required in accordance with the Policy for the Disposal of Assets.**
IT related agreements
Miscellaneous software/hardware agreements > €100,000
IT Licencing & Service agreements > €100,000
Any other IT related agreements

[3] As defined by Conflicts of Interest Policy

Utilities
All ITD related Utility contracts: mobile, telecoms, data and information utilities > €100,000
Land, property and other assets
Approve the disposal/sale of land of the University **>€150,000 and ≤ €1m: Approval by FHRAMC and reported to GA** **> €1m: To FHRAMC for consideration and recommendation to GA**
Approval of acquisition of land, property and other significant University assets **>€150,000 and ≤ €1m: Approval by FHRAMC and reported to GA** **>€1m: To FHRAMC for consideration and recommendation to GA**
Capital Activity
Any contract covering access to UL property or infrastructure for commercial purposes (other than Nexus Innovation Centre)
Building Related Works : Recurrent Budget
Building Related Works : Capital Budget (less than €1 million)**– FHRAMC approval required**
Building Related Works : Capital Budget (in excess of €1 million)**– FHRAMC and Governing Authority approval required**
Granting of access to property / infrastructure for commercial arrangements with third parties with an anticipated value ≥ €150,000 per annum Approval of **>€150,000 and ≤ €1m by FHRAMC and reporting to GA** **>€1m: To FHRAMC for consideration and recommendation to GA**

Relevant Executive Dean

Academic Activities
Academic Funding applications/tenders (non-research) for amounts ≤ €100,000
Non-research academic funding contracts for amounts ≤ €100,000
Data Sharing agreements

Director, Human Resources

Legal
Contract on outcome of **staff** related legal matter where any action or case has been taken against or by the University of Limerick.
Employment and Promotions
Employment contract for staff > 1 year in duration **– Governing Authority approval required**
Promotion of Academic staff – **President's approval required with notification to Governing Authority**
Termination of Employment – Redundancy **– in accordance with National Legislation**
Other Termination of Employment – Severance – **Notification to Governing Authority and DES approval required for settlement agreements as per Framework for the Management of Severance Agreements**
Secondment agreements

Head, Human Resources Central Services

Employment
Employment contract for Academic staff < 1 year in duration

Corporate Secretary

Audit Engagement
Audit Engagement Letter - for provision of outsourced internal audit services – **Audit & Risk Committee approval required**

Director, TTO

Technology Transfer related agreements
Non-disclosure agreements
Material Transfer agreements
Innovation Vouchers
Patents
Documents relating to the filing and maintenance of patents applications and granted patents in UL's name.

Director, Research Support Services

Where the VPR level signature is not required on a Research Agreement
Research funding contracts for State Funded Bodies only for amounts ≤ €100,000

Director, Information Technology Division

IT related agreements
Miscellaneous software/hardware agreements ≤ €100,000
Domain name registrations
IT Licencing & Service Agreements ≤ €100,000
Any agreement for the processing or sharing of personal data with a party external to the university using software/hardware

Director, Library & Information Services Division

Library related agreements
Contracts for the acquisition of Collections/Other Library related contracts ≤ €100,000

Director, Buildings & Estates

Insurance
Agreements for insurance policies and cover
Utilities
All Buildings & Estates related utility contracts ≤ €100,000
All Buildings & Estates related services contracts ≤ €100,000

University Seal

As required in legal agreements:
The University Seal is to be authenticated by two individuals, one of whom is a member of Governing Authority and one of whom is an employee of the University authorised by Governing Authority to do so. The following individuals are authorised to authenticate the University Seal: President (ex officio) as a member of Governing Authority; Provost & Deputy President (ex officio) as a member of Governing Authority; Chief Commercial Officer (ex officio) as an employee of the University; Chief Financial & Performance Officer (ex officio) as an employee of the University; Corporate Secretary (ex officio) as an employee of the University.

Purchase Orders

As required in line with National Procurement Guidelines and EU Procurement Regulations:
Where the value of equipment/good/services is less €5,000 one verbal quote must be received. No UL tender procedure is required. **The Purchase Order is the contract** and is approved by the budget holder via Agresso workflow.
Where the value of equipment/good/services or collaborative research is more than €5,000 and less than €25,000 three written quotes must be received. No UL tender procedure is required. The **Purchase Order is the contract** and is approved by the budget holder via Agresso workflow.
Where the value of equipment/good/services between €25,000 & €214,000 (excl. VAT) a National Tender managed by the Procurement Department is required. The resultant contract is approved in line with this policy.
Where the value of equipment/good/services is greater than €214,000 EU Tender procedure is required. The resultant contract is approved in line with this policy.
Where the value of Works & Capital Projects is greater than €5,350,000 EU Tender procedure is required. This is managed by the Buildings & Estates Department. The resultant contract is approved in line with this policy.

Appendix 2

Contract Assessment Form (CAF)

CONTRACT ASSESSMENT FORM

Term	Review/ Due Diligence	Yes/No	Appropriate Action	Confirm Appropriate Action Taken	Approved by
Subject matter	The contract adequately describes the subject matter proposed.		If no: revise the contract scope.		
University's Policies & Processes	The proposed contract accords with the University's policies and with any agreed University processes including the following of normal business practices and policies.		If no: take required action to ensure compliance.		
Intellectual Property	Does the proposed contract contain provision relating to Intellectual Property?		If yes: seek advice from the TTO and/ or Legal Services Unit.		
Data Protection	Does the proposed contract contain provision relating to Personal Data?		If yes: seek advice from the DPU		
Insurance	Does the proposed contract contain provisions relating to insurance held or required by the University, or where the proposed contract provides for an indemnity to be provided by the University?		If yes: seek advice from the Insurance Administrator/ Buildings & Estates		
Exports Control	Does the proposed contract fall under Export Controls legislation and/or sanctions?		If yes : seek advice from Legal Services Unit		
Cloud Service	Does the proposed contract involve a Cloud Service/Software as a Service?		If yes: seek advice from the Cloud Governance Group		
Information Technology/ Digital Services	Does the proposed contract relate to digital services that require IT infrastructure or support on premise?		If yes: advice should be sought from ITD.		
Legal Review	Does the proposed contract; • expose the University to a degree of risk;		If yes: refer to Legal Services Unit for review.		

Term	Review/ Due Diligence	Yes/No	Appropriate Action	Confirm Appropriate Action Taken	Approved by
	• exceeds €100,000.00 in value; or • contain provisions which require clarification or advice? Or • involve a research project?				
Finance	Any costs/ expenditure associated with the proposed contract accord with the University's Finance Policies.		If yes: seek advice from the Finance Department.		
Procurement	Does the proposed contract relate to procurement of goods/ services?		If yes: seek advice from the Procurement Office		
	If yes, confirm a procurement process has been completed. This includes the completion of a 'nil' conflict of interest declaration and the return of a signed evaluation report/score sheet by persons evaluating.		If yes, seek confirmation from Procurement		
Prior Approval	Has approval been received from the following (As appropriate) Executive Committee? FHRAMC? Governing Authority? Academic Council?		If yes : please advise of the date of the meeting		

Any additional comments:

I am satisfied that it is in order for the Authorised Signatory to sign on behalf of the University of Limerick.

_____ _____

Signature of Contract Proposer Date

Appendix 3

Register of Contracts Template

UNIVERSITY OF LIMERICK
REGISTER OF CONTRACTS

Name of Dept/ Division: _____

Contract Identifying No.	Contract Title	Contracting Parties (list)	Start date	Termination Date	Agreement Type	Status	Value of Contract	Notes

Appendix 4

University Authorised Signatories

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
Academic Non Research Contracts																
Academic (Non research) contracts with other institutions		✓	✓													
Appointment of External Examiners		✓	✓													
Academic Funding applications/tenders (non-research) > €100,000		✓	✓													
Non-research academic funding contracts > €100,000		✓	✓													
Agreements relating to research postgraduate awards – on recommendation of Executive Dean, GPS		✓	✓													
Any other academic (Non-research) related contracts		✓	✓													
Contract on outcome of student related legal matter where any action or case has been taken against or by the University of Limerick		✓	✓													
Contracts for the acquisition of Collections/Library Related Contract > €100,000		✓	✓													
All Other Library Related Contracts		✓	✓													
Agreement with External Body for Creation of Scholarships		✓	✓													

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
UL Global Articulation/Student Exchange/ERASMUS Contracts		✓			✓											
UL Global Agents/Provider/Retainer/Study Abroad Contracts		✓			✓											
Academic Funding applications/tenders (non-research) for amounts ≤ €100,000		✓						✓								
Non-research academic funding contracts for amounts ≤ €100,000		✓						✓								
Research																
All research contracts– The Vice President Research will notify the EC about research related contracts valued at ≥€1,000,000 **income** to the University The Vice President Research will approve the terms of major contracts of the University involving potential/actual expenditure by the University ≤ €1,000,000. Prior approval will be sought for research contracts involving **expenditure** by the University as follows:		✓		✓												

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
≥€1m and ≤€2m (where such expenditures is not part of an already approved grant/contract) approved by FHRAMC and reported to GA >€2m: Submitted to FHRAMC for consideration and recommendation to GA Where a risk has been identified outside the agreed the Risk Appetite Statement, noting this would be in the "extreme" category, the contract will be approved in advance of signature by the Executive Committee																
Agreements relating to donations, bequests or endowments to the University that relate to research		✓		✓												
Contracts for the protection, transfer, management or use of intellectual property rights managed by the TTO arising from UL research activities		✓		✓												
Campus company investment/shareholder agreements		✓		✓												

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
Any other Campus Company Agreements		✓		✓												
Technology Transfer related agreements - Non Disclosure Related Agreements - Material Transfer agreements Innovation Vouchers		✓									✓					
Patents		✓									✓					
Where the VPR level signature is not required on a Research Agreement Research funding contracts for State Funded Bodies only for amounts ≤ €100,000		✓										✓				
Any contract covering access to UL property or infrastructure for commercial purposes.		✓		✓												
Nexus Licenses		✓		✓												
Governance related contracts																
Establishment of new subsidiaries by the University and by a UL subsidiary company		✓				✓										
Establishment of a Trust		✓														
Dissolution of a subsidiary company		✓				✓										

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
Data Sharing agreements		✓						✓								
Any proposal for the establishment of a new subsidiary of the University or dissolution of a subsidiary company *other than PCC and its subsidiaries.*		✓				✓										
Domain name registrations		✓					✓						✓			
Audit Engagement Letter for provision of External audit services related to University Audit & Risk Committee approval required		✓					✓									
Audit Engagement Letter - for provision of outsourced internal audit services – Audit & Risk Committee approval required		✓								✓						
University Seal		✓	✓			✓	✓			✓						
Financial Transactions																
Agreements relating to financial transactions of an exceptional and unbudgeted nature, up to and including a value of €1 million.		✓														

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
Approval of significant acquisitions / leases of land for developments by the above subsidiaries ≤ €150,000 by Budget Holder €150,000 and ≤ €2m: Approval by Board of Subsidiary and notification to FHRAMC >€2m: Board to submit proposal to FHRAMC for consideration and recommendation to GA		✓				✓										
Above Subsidiary Borrowings ≤€2m: Approval by FHRAMC and notification to GA. >€2m: To FHRAMC for consideration and recommendation to GA		✓				✓										
Approval of the disposal/sale of land of the University >€150,000 and ≤ €2m: Approval by FHRAMC and reported to GA > €2m: To FHRAMC for consideration and recommendation to GA		✓				✓										

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
Approval of acquisition of land, property and other significant University assets >€150,000 and ≤ €2m: Approval by FHRAMC and reported to GA >€2m: To FHRAMC for consideration and recommendation to GA		✓				✓										
All Buildings & Estates related utility contracts > €100,000		✓				✓										
All Buildings & Estates related services contracts > €100,000		✓				✓										
Approve terms of major contracts of the University in excess of €1,000,000 other than (a) where the contact is to implement a previously approved project; (b) where the contract relates to a funded research project; (c) where the expenditure under the contract, is approved in the annual budget [CG S1.9] or		✓					✓									

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
(d) multi-annual contracts where the annual expenditure under the contracts is approved in the annual budget Subject to prior approval as follows: ≥€1m and ≤€2m approved by FHRAMC and reported to GA >€2m: Submitted to FHRAMC for consideration and recommendation to GA																
Approve the disposal/retirement / transfer of assets of the University and its subsidiaries Approval of ≤ €150,000 by Budget Holder >€150,000 and ≤ €2m by FHRAMC and report to GA >€2m: To FHRAMC for consideration and recommendation to GA		✓					✓									
Disposal of assets >€150,000 to a charitable organisation or which are not put to competitive tender process – prior		✓					✓									

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
approval required as follows: >€150,000 and ≤ €2m by FHRAMC before negotiations start and before disposal/granting access of asset and reporting to GA >€2m: To FHRAMC for review and recommendation to GA before negotiations start and before disposal of/granting access to asset																
Disposal of assets to GA members, UL employees and connected persons with value >€10,000 Approval by FHRAMC and reported to GA		✓					✓									
Auction/competitive tendering utilised and highest bid not accepted. Approval by FHRAMC where ≥ €150,000 and reported to GA		✓					✓									
Agreements relating to donations, bequests or endowments to UL (Non research) – EC to be notified		✓					✓									

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
Agreements for concessions on campus – EC approval as appropriate and FHRAMC approval as required in accordance with the Policy for the Disposal of Assets		✓					✓									
Miscellaneous software/hardware agreements > €100,000		✓					✓									
IT Licencing & Service agreements > €100,000		✓					✓									
Any other IT related agreements		✓					✓									
Approve the disposal/sale of land of the University >€150,000 and ≤ €2m: Approval by FHRAMC and reported to GA > €2m: To FHRAMC for consideration and recommendation to GA		✓					✓									
Approval of acquisition of land, property and other significant University assets >€150,000 and ≤ €2m: Approval by FHRAMC and reported to GA >€2m: To FHRAMC for consideration and recommendation to GA		✓					✓									

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
All ITD related Utility contracts: mobile, telecoms, data and information utilities > €100,000		✓					✓									
Any contract covering access to UL property or infrastructure for commercial purposes (other than Nexus Innovation Centre)		✓					✓									
Building Related Works : Recurrent Budget		✓					✓									
Building Related Works : Capital Budget (less than €2 million)– FHRAMC approval required		✓					✓									
Building Related Works : Capital Budget (in excess of €2 million)– FHRAMC and Governing Authority approval required		✓					✓									
Granting of access to property / infrastructure for commercial arrangements with third parties with an anticipated value ≥ €150,000 per annum Approval of >€150,000 and ≤ €2m by FHRAMC and reporting to GA >€2m: To FHRAMC for consideration and recommendation to GA		✓					✓									

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
Miscellaneous software/hardware agreements ≤ €100,000		✓											✓			
IT Licencing & Service Agreements ≤ €100,000		✓											✓			
Library related agreements Contracts for the acquisition of Collections/Other Library related contracts ≤ €100,000		✓												✓		
Agreements for insurance policies and cover		✓													✓	
All Buildings & Estates related utility contracts ≤ €100,000		✓													✓	
All Buildings & Estates related services contracts ≤ €100,000		✓													✓	
HR related Contracts																
Employment Contract – President	✓															
Employment Contract - Vice President		✓														
Employment Contract – Executive Deans		✓														

Category	Chancellor	President	Provost & Deputy President	VP Research	VP UL Global and Community Engagement	Chief Commercail Officer	Chief Financial and Performance Officer	Executive Dean	Director, HR	Corporate Secretary	Director, TTO	Director, Research Support Services	Director, ITD	Director, Library & Information Services	Director, Buildings and Estates	Head HR Central Services
Contract on outcome of staff related legal matter where any action or case has been taken against or by the University of Limerick		✓							✓							
Employment contract for staff > 1 year in duration – Governing Authority approval required		✓							✓							
Employment contract for Academic staff < 1 year in duration		✓														✓
Promotion of Academic staff – President's approval required with notification to Governing Authority		✓							✓							
Termination of Employment – Redundancy – in accordance with National Legislation		✓							✓							
Other Termination of Employment – Severance – Notification to Governing Authority and DES approval required for settlement agreements as per Framework for the Management of Severance Agreements		✓							✓							
Secondment agreements		✓							✓							

Appendix 5

Register of Nominated Authorised Signatories*

Chancellor	Professor Brigid Laffan
Acting President	Professor Shane Kilcommins
Provost & Deputy President	Professor Shane Kilcommins
Vice President Research	Professor Norelee Kennedy
Vice President UL Global & Community Engagement	Professor Nigel Healey
Chief Commercial Officer	Mr Robert Reidy
Chief Finance & Performance Officer	Mr John Field
Dean AHSS	Dr Sandra Joyce
Dean EHS	Professor Deirdre McGrath
Dean KBS	Professor Finbarr Murphy
Dean S&E	Professor Kenneth Stanton
Corporate Secretary	Mr John Kelly
Director HR	Mr Bobby O'Connor
Director ITD	Mr Liam O'Reilly
Director Buildings & Estates	Mr Robert Reidy
Director RSS	Mr Puneet Saidha
Director TTO	Mr Paul Dillon
Director LISD	Ms Ciara McCaffrey
Head HR Central Services	Ms Aoife Duke

*As at October 1 2024.

Please note that revisions to authorised signatures must be notified and approved as per section 4.6