



**UNIVERSITY *of* LIMERICK**

**OLLSCOIL LUIMNIGH**

## **Signing Authority Policy**

**Approved by Governing Authority – 30 November 2017**

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## **PART 1**

### **1. PURPOSE & SCOPE OF SIGNING AUTHORITY POLICY**

- 1.1 The purpose of this Policy is to support and enhance the University's internal control environment through designating those employees occupying positions within the University structure authorised to sign documents on behalf of the University e.g. contracts that place an obligation on the University. Compliance with this Policy will assist in safeguarding University resources through the application of consistent management practices and controls in the contracting process.
- 1.2 This Policy applies to all contractual arrangements to which the University is a party, including, without limitation, contracts involving the University's academic units, research centres, administrative units and any other unincorporated units not contained in the foregoing. Unlike the University itself, all such units do not have an independent legal existence and therefore, the contracting party will always be the University.
- 1.3 Signing a document on behalf of the University is an important responsibility and should be done only by those employees who have an understanding of the obligation being undertaken. Only those employees authorised by this Policy may sign such contracts. All delegations of authority that existed prior to the date of approval of this Signing Authority Policy by Governing Authority, unless in compliance with Part 2 of this Policy, will be deemed revoked. However, any action taken under a proper delegation prior to the approval of this Policy is not invalidated. All signing authorities, including delegated authorities, on or after the effective date of this Policy must be made in accordance with Part 2 of this Policy.
- 1.4 Notwithstanding the Authorised Signatories and Deputy Authorised Signatories set out in Part 2 and the provisions of this Policy, the President may sign any contract at any time.
- 1.5 The effective date of this Policy is 1 December 2017.

### **2. POLICY STATEMENT**

- 2.1 The approved signatory and review process must reflect the level of risk (e.g. strategic, financial, reputation and/or operational) pertaining to the contract in question. Only those employees set out in Part 2 of this Policy have the authority to sign contracts on behalf of the University.
- 2.2 The documents set out in Part 2 represent the most common contracts that arise in practice. Where a new contract arises not included in Part 2 and/or where any doubt as to the correct individual to sign a contract, then the Corporate Secretary should be consulted.
- 2.3 This Policy is to be read in conjunction with the other University policies and guidance material in particular those listed in the Related Documents Section 7 below. In addition, the University and its employees are bound by the University's Code of Governance approved by Governing Authority and other Irish legislation as amended from time to time.

- 2.4 Conflicts of interest are common in any organisation and may arise in relation to any of the contracts listed in Part 2. A conflict of interest arises where an individual holds a personal interest, whether direct or indirect, which in the opinion of a reasonably-informed and well-advised individual is sufficient to call into question the independence, impartiality and objectivity that the individual is required to exercise in the performance of their duties. Where such a conflict of interest arises, the individual must not sign the contract and will not participate in the review and approval process prior to signature. In such a case the individual's immediate line manager will conduct the review and approval process.
- 2.5 Where the Authorised Signatory is absent from campus for more than 3 days, or in the case of an emergency, the Deputy Authorised Signatory as set out in Part 2, may sign on his/her behalf but only after the contracts review and approval process has been carried out in accordance with this Policy.
- 2.6 A Deputy Authorised Signatory cannot further delegate that authority to another.
- 2.7 Where the Authorised Signatory and the Deputy Authorised Signatory are not available the contract should be referred to the President or Corporate Secretary for signature. The Authorised Signatory retains responsibility for the contract and its signing.
- 2.8 The Governing Authority authorises the President and/or the President's nominee to determine any question arising as to the correct interpretation of this Policy. The determination of the President and/or his nominee shall be final and conclusive for the purposes of the interpretation of this Policy.
- 2.9 Where a contract is not specifically described in Part 2, the Corporate Secretary should be contacted for direction as to the approval and signing authority required.

### 3. DEFINITIONS

- 3.1 **Contract:** Contract means any written document that is legally enforceable regardless of title and includes, but is not limited to, any agreement, subcontract, letter of intent, letter of agreement, memoranda of understanding, memoranda of agreement, deed, lease, licence, transfer, assignment 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 Part 2 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 Corporate Secretary.
- 3.2 **Employees:** Employees are defined as any person who is working or has worked under a temporary or permanent contract at or for the University of Limerick.
- 3.3 **Authorised Signatories:** The employees occupying the positions set out in Part 2 of this Policy under the heading "Authorised Signatories" in the table in Part 2 are delegated authority to execute the type of contract described in the first column of the table in Part 2 opposite their positions. Those employees are referred to as Authorised Signatories in this Policy.
- 3.4 **Deputy Authorised Signatories:** The employees occupying the positions set out in Part 2 of this Policy under the heading "Deputy Authorised Signatories" in the table in Part 2 are delegated authority to execute the type of contract described in the first column of the table opposite their positions in the circumstances set out in paragraph 3.4 below. Those employees are referred to as Deputy Authorised Signatories in this Policy.

#### **4. ROLES AND RESPONSIBILITIES**

- 4.1 It is the responsibility of members of the University Executive Committee to be familiar with the signatory rights and the review and approval process for the contracts shown in Part 2 that fall within their remit. The members of the Executive Committee are also responsible for ensuring that Deputy Authorised Signatories listed in Part 2 are aware of their responsibilities under this Policy. The members of the Executive Committee should also ensure that employees within their area of responsibility are familiar with the Policy's requirements and implement it in their day-to-day activities.
- 4.1.1 Members of the Executive Committee will provide a written report quarterly to the Executive Committee of contracts signed within their area of responsibility for the previous quarter. This will enable the development of a central register of University contracts. The report should also specify any deviations from this Policy, the reason(s) for the deviation and plans on preventing its reoccurrence. Following consideration by the Executive Committee an amalgamated report will be submitted on a quarterly basis to the Governing Authority Audit & Risk Committee for its information.
- 4.2 It is the responsibility of all employees to be familiar with this Policy and to implement its provisions in their day-to-day activities.
- 4.3 It is the responsibility of the employee who presents a contract for signature to confirm the following **in writing** to the Authorised Signatory or Deputy Authorised Signatory if the Deputy Authorised Signatory is signing the contract:
- That the contract has been subject to review and due diligence, including legal advice where appropriate;
  - The individual/unit/institute/department within the University responsible for implementing the contract, including meeting any costs arising, is identified clearly;
  - The contract has been developed in accordance with any relevant agreed University process including the following of normal business practices and policies of the University relating to initiating a business relationship or transaction and securing approval for spending.
- 4.4 Authorised Signatories and Deputy Authorised Signatories who sign a contract on behalf of the University should read the contract and ensure that the terms of the Contract have been approved prior to signing by the relevant person(s), unit, committee, office or body in the University as per Part 2 of this Policy.
- 4.5 Without prejudice to the provisions of this Policy requiring all relevant persons to comply with its provisions, any failure to comply with any requirement of this Section 4 will not invalidate the authority of the Authorised Signatory or Deputy Authorised Signatory to execute the contract.

#### **5. REVISIONS TO CONTRACTUAL TYPES/AUTHORISED SIGNATORIES/DEPUTY AUTHORISED SIGNATORIES**

- 5.1 The Governing Authority authorises the President to add/amend contractual types, authorised signatories and deputy authorised signatories to this Policy as the President considers 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.

- 5.2 The Corporate Secretary will brief the Governing Authority Audit & Risk Committee at its meeting immediately after the approval of any additions/amendments approved by the President. The Committee will report such amendments/additions to the Governing Authority.

## **6. SANCTIONS**

- 6.1 The University may take appropriate action against an employee who has been found to be in breach of this Policy. Any such action will be initiated in accordance with the University's Statutes, Policies and Procedures.
- 6.2 The University also reserves the right to take a separate civil action against any individual(s) found to be in breach of this Policy.

## **7. RELATED DOCUMENTS**

- 7.1 The following documents are of relevance to this policy and are to be referred to by policy users:
- University of Limerick Code of Conduct for Employees;
  - University of Limerick Policy for Consultancy and External Commercial Work;
  - University of Limerick Policy for Recruitment/appointment of Academic Staff;
  - University of Limerick Policy for Recruitment/Appointment of Academic Staff In Exceptional Circumstances;
  - University of Limerick Policy for Recruitment/Appointment of Support Staff;
  - University of Limerick Policy for Recruitment/appointment of Externally Funded Academic Staff;
  - University of Limerick Policy for Promotion of Academic Staff;
  - University of Limerick Selection Procedures for Deans and Vice-Presidents;
  - University of Limerick Policy for Recruitment/appointment of Academic Staff;
  - University of Limerick Policy for Contract Management : Research Posts;
  - University of Limerick Policy for Professional Development Leave for Support Staff;
  - University of Limerick Policy for Sabbatical Leave;
  - University of Limerick Anti-Fraud Policy;
  - University of Limerick Intellectual Property Policy;
  - University of Limerick Protected Disclosures Policy;
  - Gifts, Entertainment & Sponsorship Regulations;
  - University of Limerick Procurement Policy;
  - University of Limerick Travel and Subsistence Policy;
  - University of Limerick Data Protection Policy;
  - University of Limerick Disposal, Transfer/Sale of Assets Policy.

## **8. POLICY REVIEW**

- 8.1 This policy will be reviewed annually by the University Executive Committee and submitted to the Governing Authority for approval through its Audit & Risk Committee.



**UNIVERSITY of LIMERICK**  
OLLSCOIL LUIMNIGH  
**Document Version Control**

<b>Document Name</b>	Signing Authority Policy
<b>Version Reference</b>	1.0
<b>Document Owner</b>	Corporate Secretary's Office
<b>Approved by</b>	Governing Authority
<b>Date</b>	30 November 2017

## **PART 2: UL Signing Authority Policy Approved University Signatories**

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## 1. ACADEMIC ACTIVITIES

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Academic (Non Research) contracts with other institutions	Relevant Dept/ Faculty	Relevant Academic Staff/Exe Dean and Corporate Secretary (CS) /UL Solicitor	VP Academic Affairs & Student Engagement	Relevant Executive Dean	Relevant Department/ Executive Dean's Office
Student Clinical Placement & Training Contracts	Relevant Department	Relevant Academic Staff/HOD <sup>1</sup>	Relevant Exe Dean	Relevant HOD	Relevant HOD's Office
Erasmus Plus Fund agreement for Student Co-op Placement & Training Agreements	Cooperative Education & Careers Division	Staff/Director, Co-operative Education & Careers Division	Overseas Manager, Co-operative Education & Careers Division	None	Co-operative Education & Careers Division
Agency Contracts where an external agent promotes or acts on behalf of UL e.g. IED	Relevant Division/ Academic Dept	Relevant Academic Staff/Exe Dean or relevant Support Staff and CS/UL Solicitor	VP Academic & Student Engagement/ VP Global	Relevant Executive Dean /Director of Unit	Relevant Executive Dean or Director of Unit
Provision of short course without any credits by Continuing & Professional Education	Executive Dean, Graduate & Professional Studies (GPS)	Staff Office of Executive Dean, GPS	Executive Dean, GPS	None	Office of Executive Dean, GPS
Appointment of External Examiners	Associate Registrar's Office	Relevant Academic Staff/Associate Registrar	VP Academic Affairs & Student Engagement	Associate Registrar	Associate Registrar's Office

<sup>1</sup> HOD – Head of Department is deemed to include Head of School or other Academic unit eg GEMS and IWAMD

## 1. ACADEMIC ACTIVITIES (continued)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Student Garda Vetting documentation	President's Office	Executive Administrator, President's Office	Executive Administrator, President's Office	None	President's Office
Student Registration Letters to Government Departments, Agencies, Employers and Banks (Undergraduate Programmes)	Student Academic Administration	Student Academic Administration (SAA) Officer	Member of Student Academic Administration management team	None	Student Academic Administration
Certified Student Transcripts	Student Academic Administration	Relevant Dept/Faculty /Academic Council	Member of Student Academic Affairs management team	None	Student Academic Administration
Parchments	Student Academic Administration	Relevant Dept/Faculty/ Academic Council	President and VP Academic Affairs & Student Engagement	None	Student Academic Administration

## 1. ACADEMIC ACTIVITIES (continued)

### INTERNATIONAL EDUCATION

Contract Description	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Authorised Signatory	Deputy Authorised Signatory	Location where Records are held
International Reciprocal Student Exchange Contracts	International Education Division (IED)	Director, IED	VP Academic Affairs & Student Engagement <sup>2</sup>	Director, IED	IED
Erasmus Related Contracts within EU	IED	Director, IED	VP Academic Affairs & Student Engagement <sup>2</sup>	Director, IED	IED
Erasmus Mundus and Erasmus Partnership Contracts outside EU	IED	Director, IED	VP Academic Affairs & Student Engagement <sup>2</sup>	Director, IED	IED
Articulation Contracts	IED	Relevant Executive Dean and Director, IED	VP Academic Affairs & Student Engagement <sup>2</sup> Global	Director, IED	IED
Study Abroad Contracts	IED	Director, IED and Corporate Secretary/ UL Solicitor	Director, IED	Deputy Director, IED	IED
Retainer Contracts	IED	Director, IED and Corporate Secretary/ UL Solicitor	Director, IED	Deputy Director, IED	IED
Provider Contracts	IED	Director, IED and Corporate Secretary/ UL Solicitor	Director, IED	Deputy Director, IED	IED
IED Agent Contracts	IED	Director, IED and Corporate Secretary/ UL Solicitor	Vice President Global	Director, IED	IED

<sup>2</sup> To be replaced by Vice President, Global on appointment

## 2. RESEARCH & INTELLECTUAL PROPERTY CONTRACTS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Application for research funding.	Relevant Faculty	Principal Investigator HOD/Research Finance/ Research Support Services/ Institute Director	Director, Research Support Services	Research Support Officer	Research Office
Grant / research contracts (including centres and institutes).	Relevant Faculty	Research Office	Vice President Research & Enterprise Development	Director, Research Support Services	Research Office
Approvals for the creation or dissolution of research centres or research institutes.	Research Office	Vice President Research & Enterprise Development and Executive Committee	Vice President Research & Enterprise Development	None	Research Office
Contracts for the protection, transfer, management or use of intellectual property rights arising from UL research activities	Technology Transfer Office	Director, Technology Transfer Office	Vice President Research & Enterprise Development	VP Nominated Research Office Director	Research Office
Confidentiality agreements relating to Intellectual Property	Technology Transfer Office	Director Transfer Technology Transfer	Vice President Research & Enterprise Development	VP Nominated Research Office Director	Research Office

## 2. RESEARCH & INTELLECTUAL PROPERTY CONTRACTS (continued)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Transfer of any research undertaking to another institution.	Research Office	Relevant Academic Staff/Executive Dean/ VP Research & Enterprise Development	VP Research & Enterprise Development	None	Research Office
Postgraduate Student offer letters, Letters in regard to visas, Letters to Embassies and Government Departments Registration letters for Taught and Research Postgraduates.	Graduate & Professional Studies	Staff Office of GPS/Executive Dean GPS	Executive Dean GPS	Executive Administrator Graduate School	Graduate & Professional Studies
Patent ownership - assignment to a third party.	Technology Transfer Office	Director, Technology Transfer Office	Vice President Research & Enterprise Development	Director, Technology Transfer Office	Research Office
Transfer of research assets to other parties.	Per Disposal/ Transfer/Sale of Assets Policy	Per Disposal, Transfer/Sale of Assets Policy	Per Disposal, Transfer/Sale of Assets Policy		Research Office & Finance Division

## 2. RESEARCH & INTELLECTUAL PROPERTY CONTRACTS (continued)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatories</b>	<b>Location where Records are held</b>
Research Contracts with Industry	Research Office	Research Office Staff	VP Research & Enterprise Development	VP Nominated Research Office Director	Research Office
Contracts for the exchange of confidential information or materials arising from research activities.	Technology Transfer Office	Staff/Director, Technology Transfer Office	VP Research & Enterprise Development	Director, Technology Transfer Office	Technology Transfer Office
Commitments to participate in research consortia on projects	Research Office	Research Support Services	VP Research & Enterprise Development	Director, Research Support Services	Research Office
Retainer Contracts – Research	Graduate & Professional Studies	Executive Dean, GPS and CS/ UL Solicitor	Executive Dean GPS	Executive Admin, GPS	Graduate & Professional Studies

### 3. ACQUISITION OR DISPOSAL OF ASSETS, LAND AND SPACE LEASING

Contract Description	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Authorised Signatory	Deputy Authorised Signatory	Location where Records are held
Acquisition of or sale of land	Buildings & Estates	COOR/Finance, CS, UL Solicitor/ B&E GA Finance Committee	Use of UL Seal – refer to section 12.	None	Buildings & Estates Division
Rental Agreements to 3 <sup>rd</sup> Parties (excluding IBC and Nexus and sections of Park Point as appropriate.)	Buildings & Estates	Director, Buildings & Estates, Director of Finance, CS and UL Solicitor	Chief Operating Officer & Registrar	Director, Buildings & Estates	Buildings & Estates Division
Lease / license contracts with other organisations	Office of Director Buildings & Estates	Director B&E, Director Finance, CS, UL Solicitor	Chief Operating Officer & Registrar  Where Seal is used - refer to section 12	Director, Buildings & Estates	Office of Director Buildings & Estates or Corporate Secretary
Lease/licence contracts with external bodies in relation to Nexus Innovation Centre	Research Office	Client Selection Sub Cte, Technology Transfer Office, Finance,	VP Research & Enterprise Development  Where Seal is used – refer to Section 12	VP Nominated Research Office Director	Research Office

### 3. ACQUISITION OR DISPOSAL OF ASSETS, LAND & SPACE LEASING (continued)

Contract Description	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Authorised Signatory	Deputy Authorised Signatory	Location where Records are held
Lease/licence contracts with external bodies in relation to International Business Centre	Research Office	Research Office and Finance	VP Research & Enterprise Development/ Director of Finance  Where Seal is used – refer to Section 12	None	Research Office
Any contract covering access to UL property or infrastructure for commercial purposes not already covered above.	Buildings & Estates Division	Director Buildings & Estates, Finance, Corporate Secretary and UL Solicitor	Chief Operating Officer & Registrar	Director, Finance	Buildings & Estates Division



## 4. FINANCE

### 4.1 Banking Activities

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Establishment of a line of credit or financial loan to the University	Finance Division	Financial Controller, Director of Finance and Finance Committee	Director of Finance	Financial Controller	Finance Division
Documentation relating to Financial Investments (excluding short term deposits)	Finance Division	Financial Controller, Director of Finance and Finance Committee	Chief Operating Officer & Registrar	Director of Finance	Finance Division
Banking Contracts to provide banking services to the University not requiring use of UL seal.	Finance Division	Financial Controller, Director of Finance and Finance Committee	Director of Finance	Financial Controller	Finance Division
Banking Mandates setting out individuals who may act on behalf of UL in dealing with banks.	Finance Division	Director of Finance and Finance Committee	Corporate Secretary	Director of Finance	Finance Division
Research accounts funds transfers/payments to partners	Finance Division	Research Finance Staff/ Manager	Financial Controller	Research Finance Manager	Finance Division
Bank Guarantees	Finance Division	Director of Finance and Finance Committee	Director of Finance	Chief Operating Officer & Registrar	Finance Division
Credit Card Agreements	Finance Division	Director of Finance	Director of Finance	Financial Controller	Finance Division

#### 4.1 Banking Activities (continued)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Short Term Banking Deposits <12 months duration	Finance Division	Financial Controller	Two of: Director of Finance/Financial Controller/Financial Accountant.	None	Finance Division
All other financial contracts	Finance Division	Financial Controller and Director of Finance	Chief Operating Officer & Registrar	Director of Finance	Finance Division

#### 4.2 Expenses

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Expenses Approval	Finance Division	In accordance with Travel & Subsistence Policy	In accordance with Travel & Subsistence Policy	None	Finance Division
Expense Payment	Finance Division	Financial Accountant	Electronic File to bank as per bank mandate	None	Finance Division

## 4.2 Expenses (continued)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Payment to Suppliers	Finance Division	Financial Accountant: <€25,000 Financial Controller & Director of Finance: >€25,000	Electronic File to bank as per bank mandate	None	Finance Division
All Travel	Finance Division	In accordance with Travel & Subsistence Policy	In accordance with Travel & Subsistence Policy	None	Finance Division
Governing Authority Expenses	Corporate Secretary's Office	Staff, Office of CS and Administrator, University Governance	Corporate Secretary	Administrator, University Governance	Corporate Secretary's Office
External Examiners Expenses	VP Academic Affairs & Student Engagement Office	Associate Registrar	VP Academic Affairs & Student Engagement	Associate Registrar	Associate Registrar's Office
External Interview Board Members Expenses	Human Resources Division	Relevant Human Resources Staff/Officer	Human Resources Manager	Human Resources Officer	Human Resources Division

### 4.3 Supply of Utilities

Contract Description	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Authorised Signatory	Deputy Authorised Signatory	Location where Records are held
All Building & Estates related Utility Contracts	Buildings & Estates Division	Director, Buildings & Estates Chief Operating Officer & Registrar Director of Finance	Chief Operating Officer & Registrar	Director, B&E	Buildings & Estates Division
All ITD related Utility Contracts : mobile, telecoms, data and information utilities	Information Technology Division	Chief Operating Officer & Registrar, Director, Information Technology Division Director of Finance	Director, Information Technology Division	Deputy Director, Information Technology Division	Information Technology Division

#### 4.4 Purchasing – Goods, Services, Equipment and Engagement of Consultants by UL

<b>Contract Description Cumulative spend (excluding VAT)</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
<€5,000	Relevant Department/Support unit	Budget holder via purchase requisition as per Procurement Guidelines	Cost Centre approver as set up in Agresso	None	PO: Department/Support unit Invoices: Finance Division
€5,001 - €25,000		Budget holder via purchase requisition as per Procurement Guidelines	Cost Centre approver as set up in Agresso	None	PO: Department / Support unit Invoices: Finance Division
€25,000 - <€207,000		Budget holder via purchase requisition as per Procurement Guidelines and Procurement Staff approval	Relevant Executive Dean/Division Director/ Head of Unit	None	Procurement & Supply Chain Office
>€207,000		Budget holder via purchase requisition as per Procurement Guidelines and Procurement Staff approval	Relevant Executive Dean/ Division Director/ Head of Unit	None	Procurement & Supply Chain Office

#### 4.4 Purchasing – Goods, Services, Equipment and Engagement of Consultants by UL (continued)

<b>Contract Description Cumulative spend (excluding VAT)</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Audit Engagement Letter - for provision of audit services related to University External Auditors	Finance Division	Audit & Risk Committee and Governing Authority	Director of Finance	Corporate Secretary	Finance Division
Audit Engagement Letter - for provision of audit services related to University Internal Auditors	Corporate Secretary's Office	Audit & Risk Committee and Governing Authority	Corporate Secretary	Director of Finance	Corporate Secretary's Office
Agreements for live animal purchase or sale	Department, Biological Science	Biological Science Executive Dean Science & Engineering and Corporate Secretary	Executive Dean, Science & Engineering	Head Biological Science	Biological Science Department

#### 4.5 Purchasing – Building Related Works

<b>Contract Description Cumulative spend (excluding VAT)</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
€5,001 - €50,000	Buildings & Estates Division	Director, Buildings & Estates	Budget holder	Cost Centre approver as set up in Agresso	Buildings & Estates Division
€50,000 - <€5,000,000	Buildings & Estates Division	<i>Recurrent:</i> Director, Buildings & Estates and Director Finance <i>Capital:</i> Director of Finance and Finance Committee	Director of Finance	Director of Buildings & Estates	Buildings & Estates Division
>€5,000,000	Buildings & Estates Division	<i>Recurrent:</i> Director, Buildings & Estates and Director, Finance <i>Capital:</i> Director Finance and Finance Committee	Chief Operating Officer & Registrar	Director of Finance	Buildings & Estates Division
Concept designs of capital projects that require planning permission	Buildings & Estates Division	Director, Buildings & Estates & Campus Development Committee	Chief Operating Officer & Registrar	Director of Finance	Buildings & Estates Division
Funding plans for the development of capital projects that require planning permission	Buildings & Estates Division	Director, Buildings & Estates, Director Finance and Finance Committee	Chief Operating Officer & Registrar	Director of Finance	Buildings & Estates Division

## 4.6 PAYROLL

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Payroll Payments	Finance Division	Payroll Manager and if > €25,000 Financial Controller and Director of Finance	Electronic File to bank as per bank mandate	None	Finance Division
Pension related deductions Single Scheme paid to Department	Finance Division	Payroll Manager and if > €25,000 Financial Controller and Director of Finance	Electronic File to bank as per bank mandate	None	Finance Division
Pension related deductions Model Scheme	Finance Division	Financial Controller, Budgeting and Management Reporting	Pension Control Account balance agreed with HEA	None	Finance Division



#### 4.7 REVENUE RETURNS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
VAT, RCT, PSWT Returns	Finance Division	Financial Accountant	ROS Digital Certificate	None	Finance Division
PAYE/PRSI Returns and USC	Finance Division	Payroll Manager	ROS Digital Certificate	None	Finance Division

## 5. ACADEMIC FUNDING APPLICATIONS AND AGREEMENTS (NON-RESEARCH)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Funding applications/tenders for amounts up to €50,000	Relevant Academic Unit	Relevant HOD	Relevant Executive Dean	Relevant HOD	Relevant Academic Unit
Funding applications/tenders for amounts greater than €50,000	Relevant Academic Unit	Relevant Head of Unit and Executive Dean	VP Academic Affairs & Student Engagement	Relevant Executive Dean	Relevant Academic Unit
Non-research funding contracts for amounts up to €50,000	Relevant Academic Unit	Relevant HOD	Relevant Executive Dean	Relevant HOD	Relevant Academic Unit
Funding contracts for amounts greater than €50,000	Relevant Academic Unit	Relevant academic staff/Executive Dean	VP Academic Affairs & Student Engagement	Relevant Executive Dean	Relevant Academic Unit

## 6. OTHER FUNDING APPLICATIONS AND AGREEMENTS (NON-RESEARCH)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Funding applications/ proposals for amounts up to €50,000	Relevant Divisional Unit	Relevant staff and Head of Support Unit	Relevant Divisional Director	Relevant Head of Support Unit	Relevant Divisional Unit
Funding applications/ proposals for amounts greater than €50,000	Relevant Divisional Unit	Relevant staff and Head of Support Unit	Relevant Divisional Director	None	Relevant Divisional Unit
Funding contracts for amounts up to €50,000	Relevant Divisional Unit	Relevant staff and Head of Support Unit	Relevant Divisional Director	Relevant Head of Support Unit	Relevant Divisional Unit
Funding contracts for amounts greater than €50,000	Relevant Divisional Unit	Relevant Staff and Head of Support Unit	Relevant Divisional Director	None	Relevant Divisional Unit

## 7. INFORMATION TECHNOLOGY

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Miscellaneous software / hardware licence agreements up to €100,000	Information Technology Division	Relevant Staff and Director, Information Technology Division	Director, Information Technology Division	Deputy Director, Information Technology Division	Information Technology Division
Miscellaneous software / hardware licence agreements over €100,000	Information Technology Division	Relevant Staff, Director, ITD and Executive Committee	Chief Operating Officer & Registrar	Director, Information Technology Division	Information Technology Division
Domain Name Registrations	Information Technology Division	Relevant Staff and Director Information Technology Division Executive Committee	Director, Information Technology Division	Deputy Director, Information Technology Division	Information Technology Division
IT licensing and service agreements up to €100,000	Information Technology Division	Relevant staff and Director Information Technology Division	Director, Information Technology Division	Deputy Director, Information Technology Division	Information Technology Division
IT licensing and service agreements over €100,000	Information Technology Division	Director, ITD and Executive Committee	Chief Operating Officer & Registrar	Director, Information Technology Division	Information Technology Division
Any agreement for the transfer or sharing of personal data with a party external to the university.	All Academic & Support Units	Relevant Staff, CS and Information & Compliance Officer	Relevant Executive Dean/ Divisional Head	None	Corporate Secretary's Office and relevant Department

## 8. SCHOLARSHIPS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Agreement with External Body for Creation of Scholarships	Relevant Faculty/Division Unit	Relevant Faculty/Divisional Unit and Academic Council	In accordance with terms set down by Academic Council	In accordance with terms set down by Academic Council	Relevant Faculty/Division Unit

## 9. CAMPUS COMPANIES / SPIN OUT COMPANIES

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Campus Company Investment Agreements	Technology Transfer Office	Executive Committee	VP Research & Enterprise Development	None	Technology Transfer Office
Campus Company Shareholder Agreements	Technology Transfer Office	Executive Committee	VP Research & Enterprise Development	None	Technology Transfer Office
Waiver of Pre-emption Rights (e.g. the first option to buy newly issued shares)	Technology Transfer Office	Executive Committee	VP Research & Enterprise Development	None	Technology Transfer Office

## 10. SUBSIDIARY COMPANIES

Contract Description	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Authorised Signatory	Deputy Authorised Signatory	Location where Records are held
Establishment of UL Subsidiary Companies	Finance Division	Chief Operating Officer & Registrar Director of Finance and GA Finance Committee.	Use of UL Seal refer to section 12.	None	Finance Division
Disposal of University's holding on liquidation or winding up of Subsidiary Company/Associate Company	Finance Division	Chief Operating Officer & Registrar Director of Finance and GA Finance Committee	Director of Finance; if University Seal is used – refer to section 12	None	Finance Division

## 11. CONCESSIONS ON CAMPUS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Agreement for Provision of Banking Services on Campus	Finance Division	Director of Finance, Chief Operating Officer & Registrar, Corporate Secretary	Chief Operating Officer & Registrar	Director of Finance	Finance Division/ Corporate Secretary
Agreement for Provision of Crèche Services	Finance Division	Director of Finance Chief Operating Officer & Registrar	Chief Operating Officer & Registrar	Director of Finance	Finance Division
Agreements for services provided by Student Medical Centre	Student Affairs Division	Director, Student Affairs Division & Procurement & Supply Chain Office if value of services is greater than €25,000 Chief Operating Officer & Registrar	Chief Operating Officer & Registrar	Director of Student Affairs	Student Affairs Division / Procurement & Supply Chain Office
Catering Services agreement		Director of Finance Chief Operating Officer & Registrar	Director of Finance	Director, Commercial & Development Finance	Finance Division



## 12. UNIVERSITY SEAL

Contract Description	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Authorised Signatory	Deputy Authorised Signatory	Location where Records are held
Application of the University Seal to contracts and other legal agreements and instruments	Relevant Faculty/Division	Corporate Secretary	Two of: President / Corporate Secretary/ VP Academic & Student Engagement/ Chief Operating Officer & Registrar <sup>3</sup>	None	Relevant Division/ Faculty and/or Corporate Secretary's Office

<sup>3</sup> To be approved explicitly by Governing Authority.

### 13. EMPLOYMENT AND PROMOTION CONTRACTS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Appointment of the President	Corporate Secretary's Office	Governing Authority	Chancellor	None	Corporate Secretary's Office
Appointment of Executive Deans & Vice Presidents Academic	Corporate Secretary's Office	Governing Authority	President	None	Corporate Secretary's Office
Appointment of Academic Staff	Human Resources Division	Governing Authority	Director, Human Resources	Manager, Human Resources	Human Resources Division
Appointment of Research Staff and Research Scholars	Human Resources Division	Governing Authority	Director, Human Resources	Manager, Human Resources	Human Resources Division
Appointment of Support Staff	Human Resources Division	Governing Authority	Director, Human Resources	Manager, Human Resources	Human Resources Division
Appointment of fixed term contract staff for more than one year in duration	Human Resources Division	Governing Authority	Director, Human Resources	Manager, Human Resources	Human Resources Division
Appointment of fixed term contract staff for less than one year in duration	Human Resources Division	Executive Dean/Head of Recruiting Division & HR and Finance Division	Manager Human Resources	Human Resources Officer	Human Resources Division

### 13. EMPLOYMENT AND PROMOTION CONTRACTS (continued)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Appointment of Hourly / Occasional Teaching Staff	Relevant Faculty & Human Resources Division	Head of Department	Manager, Human Resources	Human Resources Officer	Human Resources Division
Appointment of Hourly / Occasional Support Staff	Relevant Division & Human Resources Division	Head of Division/Executive Dean	Manager, Human Resources	Human Resources Officer	Human Resources Division
Contract for Promotions of Academic Staff	Human Resources Division	Promotions Board & Governing Authority	Director, Human Resources	Manager, Human Resources	Human Resources Division
Contract for Progression Across the Merit Bar	Human Resources Division	Review Committee & Governing Authority	Director, Human Resources	HR Manager	Human Resources Division
Contract for Internal Promotion to Professor (Personal Chair)	Human Resources Division	Assessment Panel & Governing Authority	Director, Human Resources	Manager, Human Resources	Human Resources Division

#### 14. OTHER EMPLOYMENT RELATED AGREEMENTS/DOCUMENTATION

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised &amp; Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Termination of employment in line with Framework for the management and approval of Termination and Settlement payments	Human Resources Division	Director, HR; Chief Operating Officer & Registrar Audit & Risk Committee, Governing Authority, and Department of Education & Skills	In line with Framework provisions	In line with Framework provisions	Human Resources Division
General Pension Administration correspondence i.e. transfers, provisional statements of benefits, purchase of added years quotes etc.	Human Resources Division	Relevant HR Staff/Manager, Human Resources	Manager, Human Resources	Pensions Officer Human Resources	Human Resources Division
National Collective Pay Agreements	Human Resources Division	Director, Human Resources	Director, Human Resources	Manager, Human Resources	Human Resources Division
Secondment Agreements (both to and from the University) Academic Staff	Human Resources Division	Executive Committee	Director, Human Resources	Manager, Human Resources	Human Resources Division
Professional Development Agreements (both to and from the University) Support Staff	Human Resources Division	Director, Human Resources /Further Study policy	Director, Human Resources	Manager, Human Resources	Human Resources Division

**14. OTHER EMPLOYMENT RELATED AGREEMENTS/DOCUMENTATION (continued)**

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised &amp; Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Statutory leave arrangements correspondence i.e. maternity leave, parental leave, sick leave.	Human Resources Division	Line Manager	Manager, Human Resources	Human Resources Officer	Human Resources Division
All other employment contract arrangements including leave of absence, job share, reduced hours etc.	Human Resources Division	Line Manager	Manager, Human Resources	Human Resources Officer	Human Resources Division
Staff Garda Vetting Documentation	Human Resources Division	Child Protection Officer/Safety Officer	Child Protection Officer/Safety Officer	None	Human Resources Division
Sabbatical leave	Human Resources Division	Approval by relevant Head or Executive Dean and a Finance Office Manager. Final approval is given by Director of Human Resources. per Sabbatical leave policy	Director, Human Resources	Manager, Human Resources	Human Resources Division

## 15. INSURANCE

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Insurance Policies and Cover	Buildings & Estates Division	Executive Administrator, Insurance, Buildings & Estates	Director, Buildings & Estates	Executive Administrator, Insurance	Buildings & Estates Division

## 16. LEGAL CLAIMS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Student related legal case decision where any claim action or demand has been made against the University	Office of VP Academic Affairs & Student Engagement	VP Academic Affairs & Student Engagement and Corporate Secretary	VP Academic Affairs & Student Engagement	Corporate Secretary	Office of VP Academic & Student Engagement

**16. LEGAL CLAIMS (continued)**

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
HR related legal case decision where any claim action or demand has been made against the University	Human Resources Division	Director, Human Resources; Chief Operating Officer & Registrar	Director, Human Resources	Manager, Human Resources	Human Resources Division
Any other legal case decision where any claim action or demand has been made against the University	Relevant Division and Corporate Secretary's Office	Corporate Secretary, relevant Senior Officer and Chief Operating Officer & Registrar	Chief Operating Officer & Registrar	Corporate Secretary	Corporate Secretary's Office
Settlement agreements (excluding insurance claim documentation) in line with Framework for the management and approval of Termination and Settlement payments.	Human Resources Division	Director, HR, Chief Operating Officer & Registrar, Executive Committee, Audit & Risk Committee and Governing Authority	In line with Framework provisions	In line with Framework provisions	Human Resources Division

## 17. LIBRARY

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Contracts for the acquisitions of collections	Library & Information Services Division	Relevant Sub-Librarian and Director, Library & Information Services	VP Academic Affairs & Student Engagement	Director, Library & Information Services	Library & Information Services Division

## 18. GIFT AND ENDOWMENT AGREEMENTS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Contracts relating to monetary donations, bequests or endowments to UL	Finance Division	Chief Operating Officer & Registrar, Director of Finance and Corporate Secretary	Director of Finance	None	Finance Division
The Establishment of a Trust	Finance Division	Chief Operating Officer & Registrar; Director of Finance and Corporate Secretary, Executive Committee and GA Finance Committee	President	Director of Finance	Finance Division



## 18. GIFT AND ENDOWMENT AGREEMENTS (continued)

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Non-monetary donations + gifts related to research activity not provided for in contract.	Relevant Faculty	Executive Dean, VP Research & Enterprise Development and Director of Finance	Executive Dean	Director of Finance	Faculty Office

## 19. PERSONAL DATA TRANSFER/SHARING AGREEMENTS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b><u>Review Steps</u> Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Any agreement for the transfer or sharing of personal data with a party external to the university regardless of data format	All Academic & Support Units	Information & Compliance Officer and Corporate Secretary	Head of Department	None	Corporate Secretary's Office and relevant Department

## 20. CONSOLIDATED FINANCIAL STATEMENTS

<b>Contract Description</b>	<b>Unit(s) Responsible</b>	<b>Review Steps Document to be reviewed &amp; recommended for approval, prior to signing, by</b>	<b>Authorised Signatory</b>	<b>Deputy Authorised Signatory</b>	<b>Location where Records are held</b>
Statement of Governance and Internal Control	Corporate Secretary's Office and Finance Division	Corporate Secretary/ Director of Finance/ Audit & Risk Committee and Governing Authority	President	None	Corporate Secretary's Office
Consolidated Financial Statements	Finance Division	Director of Finance, Audit & Risk Committee and Governing Authority	President And Chancellor	None	Finance Division