

Signing Authority and Approval Policy

2017



UCC

University College Cork, Ireland
Coláiste na hOllscoile Corcaigh

University College Cork

Signing Authority and Approval Policy

Purpose

The purpose of this policy is to specify the signing and approval authorities required for various types of binding decisions, approvals, contracts and legal agreements which may be made or entered into on behalf of the University.

Internal units, academic or administrative, of the University such as Colleges, Departments, Schools, Units, Centres and Institutes do not have an independent legal existence. Thus the contracting party is always the University. Employees of the University are not authorised to bind the University to contracts, unless they have been delegated that authority pursuant to the signing authority policy below.

This policy should be read in conjunction with University policies, however, in the case of conflict, this policy shall supersede and take precedence.

Contracts are agreements that are legally enforceable regardless of the document title, and include memoranda of understanding and agreement, licences, assignments, letters of agreement, letters of acceptance, powers of attorney and letters of intent and any other document which imposes an obligation on the University or which is binding on the University.

Where a contract is not specifically described in this policy, the Office of Corporate and Legal Affairs should be contacted for direction as to the approval and signing authority required.

Review

All Contracts which legally bind the University must be referred to the Office of Corporate and Legal Affairs for legal review (unless otherwise agreed with OCLA).

All Contracts which involve the creation, disposal or acquisition of intellectual property must be referred to the Office of Technology Transfer for review.

All Contracts which contain financial obligations must be referred to the College Financial Analyst or Finance Office for review.

All Research Contracts must be processed in the first instance through Research Support Services, OVPRI.

Conflict of Interest

Conflicts of interest are common in a modern institution and may arise in relation to areas dealt with in this document. A conflict of interest arises when an individual holds a personal interest, whether direct or indirect and which in the opinion of a reasonably-informed and well-advised person is sufficient to put into question the independence, impartiality and objectivity that the said individual is obliged to exercise in the performance of his/her duties¹. All signatories and approvers under this policy should familiarise themselves with the University Conflict of Interest Policy.

Delegation

¹ The University has comprehensive policies in place regarding conflict of interest and conflict of commitment. Specifically please see the Codes of Conduct for Governors and employees, Conflict of Interest Policy in relation to appointments and University Policies on Conflict of Interest and Conflict of Commitment and UCC Code of Good Research Conduct.

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Each individual who is an authorised signatory and/or approval authority under this policy has delegated authority to a deputy who is authorized to act on their behalf in their absence. The approval of this document constitutes approval of the specified deputy. Any deputy specified in this policy has authority to sign and/or approve on behalf of the relevant signatory or approver, in accordance with the policy during absence from campus on University business or annual leave (for more than 3 days or as required in the case of emergency). It should be understood that the signature of a formally delegated deputy will bind the University and any commitments entered into or contractual obligations undertaken by a deputy may not be subsequently altered or reversed by the authorised signatory or approver. Any delegation which is required beyond that specified within this document must be referred to the President for approval.

Approval Authority

The body, committee or individual(s) which has/have the authority under statute or through formal approval of its/his/her terms of reference in this document to give final approval to a transaction, commitment or decision. Approval authority is required before a contract can progress to signature.

Signing Authority

The individual within the University who has the authority, subsequent to the decision of the approval authority to sign off on the relevant documentation or to bind the University to the contract or agreement which has been approved.

Policy Framework Version	2
Approved By:	Date
UMTO	16/01/2017
Finance Committee	16/01/2017
Audit Committee	27/01/2017
Governing Body	07/02/2017

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1. Academic activities

Agreements for the pursuit of any academically related activity, including the establishment or management of an arrangement, programme or organisation, within or outside the University premises, between the University and another party may be authorised as follows:

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
1.1 Academic related MOU and MOA	Office of SVPAR	Head of College and SVPAR	SVPAR	AS	Office of SVPAR
1.2 Confidentiality Agreements in relation to Academic Programmes	Relevant College	Head of College	SVPAR	AS	Office of SVPAR
1.3 Academic related Agreements	Office of SVPAR	Academic Board	SVPAR	AS	Office of SVPAR
1.4 Commitments to enter into joint ventures with other academic institutions	Office of SVPAR	Academic Council	SVPAR	AS	Office of SVPAR
1.5 Commitments to participate in non-research academic consortia on projects	Office of SVPAR and Relevant College	SVPAR and Head of College	SVPAR	AS	Office of SVPAR and Relevant College

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1.6 Agency Agreements (other than Language Centre Agency Agreements)	International Office	Bursar and Head of College	Bursar and Director of International Office	FO for Bursar AS for DIO	International Office
1.7 Language Centre Agreements (Agency, Hosting and Inter University)	Language Centre	Academic Secretary	Director of Language Centre	AS	Language Centre
1.8 Third Party Agreements in relation to Dual or Joint Degrees, Accreditation, Validation and Articulation/Reverse Twining	Office of SVPAR	Academic Board and College Financial Analyst	SVPAR and Head of College	AS	Office of SVPAR
1.9 Academic non research Agreements with Government agencies	Office of SVPAR	SVPAR	SVPAR	AS	Office of SVPAR
1.10 Agreements with Third Parties in relation to ECTS CPD	School/Unit/Department	Head of College	Head of School ²		Relevant School/Unit/Department
1.11 Agreements with third parties in relation to non-ECTS CPD	School/Unit/Department	Head of College	Head of School ³		Relevant School/Unit/Department
1.12 Staff Exchange Agreements	Relevant College	Head of College and HR Business Manager	Head of College	VHoC	Relevant College and Human Resources

1.15 International Student academic mobility and hosting agreements (other than Erasmus)	Relevant School or Department and International Office	College Executive	SVPAR	AS	Relevant School or Department and International Office
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² Proposed process within CPD Centre submitted for AB/AC approval on 7th December. It is envisaged that colleges can implement their own procedures/regulations in terms of who has signing authority for CPD agreements various organisations – as CPD needs to be initially signed off at School level before progressing. Colleges may wish for Schools to have signing authority (especially in non-ECTS cases where Colleges simply note the offering). Process for module approval for CPD will be in line with policy approved by AB/AC.

³ Per 3 above

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1.16 Erasmus Inter University Agreements	International Office	College Executive	Erasmus Co-ordinator	AS	International Office
1.17 Outgoing credit bearing student placement agreements	Relevant School or Department	Head of Department or School	Head of Department or School and Head of College where necessary ⁴		School or Department
1.18 Once-off Student placement agreements	Department/School	Head of Department/School	Head of Department/School		School/Department
1.19 Student Placement Framework Agreements	Department/School	Head of College	Head of College		School/Department
1.20 Volunteer Agreements	School or Department or Central Service Unit	Head of School or Department or Central Service Unit	Head of School or Department or Central Service Unit		School or Department or Central Service Unit

2. Acquisition or disposal of Land and Space Leasing

Contracts/documents that involve easements, licensing, leasing, sale or purchase of real property may be authorised as follows*:

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
2.1 Acquisition of land (except gifts of land)	Building & Estates, Office of Corporate & Legal Affairs	Finance Committee and Governing Body	President & Corporate Secretary	DP and Bursar	Office of Corporate and Legal Affairs
2.2 Gifts of Land to the University	Development office, Buildings & Estates and OCLA	Governing Body	President and Corporate Secretary	DP and Bursar	Office of Corporate and Legal Affairs
2.3 Sale or CPO of Land or Space	Building & Estates, Office of Corporate & Legal Affairs	Finance Committee and Governing Body	President & Corporate Secretary	DP and Bursar	Office of Corporate and Legal Affairs

⁴ It is envisaged that each College will put in place the appropriate controls for these areas. It is envisaged Head of College would sign any overarching Framework Agreements.

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Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
2.4 Licence or Lease of Land or Space < = 3 years (to the University)*	Building & Estates, Office of Corporate & Legal Affairs	Corporate Secretary and Director of Buildings & Estates	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
2.5 Licence or Lease of University Land or Space <= 3 years (from the University other than Incubation Space at 2.12)	Buildings & Estates and Office of Corporate and Legal Affairs	Space Sub Committee and Head of College	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
2.6 Licence or Lease of Land >3 but < 5 years to or from the University	Building & Estates, Office of Corporate & Legal Affairs	UMT(O)	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
2.7 Lease/Licence of Land > 5 years	Building & Estates, Office of Corporate & Legal Affairs	Finance Committee	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
2.8 Right of way/easement	Buildings and Estates and Office of Corporate & Legal Affairs	Corporate Secretary and Director of Buildings and Estates	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
2.9 Hire of exam halls	Office of SVPAR and Office of Buildings and Estates	Student Records and Examinations Officer and Director of Buildings & Estates	Corporate Secretary	DCS	Student Records and Examinations Office and Office of Corporate and Legal Affairs
2.10 Venue Rental Agreements to 3 rd Parties	Buildings & Estates	Director of Building & Estates	Director of Building & Estates	GSO	Buildings and Estates
2.11 Assignment of leases to the University and from the University	Buildings & Estates and Corporate & Legal Affairs Office	Corporate Secretary and Director of Buildings & Estates	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
2.12 Licences of incubation space within the University	Technology Transfer Office	VPRI	Director of Technology Transfer	VPRI	Office of Technology Transfer
2.13 Access Agreements to facilities < 6 months	Relevant School or Department	Head of College	Head of College	VHoC	Relevant School or Department

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*where license fee/rent is being discharged from College Budget, Head of College approval is required.

3. Banking Transactions⁵

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority ⁶	Deputy	Records Held:
3.1 Establishment of Line of Credit	Bursar Office	Finance Committee	President & Bursar	DP and FO for Bursar	Finance Office
3.2 Drawing down on a Line of Credit	Bursar Office	Finance Committee	President & Bursar	DP and FO for Bursar	Finance Office
3.3 Investments (excluding short term deposits)	Bursar Office	Finance Committee	President & Bursar	DP & FO for Bursar	Finance Office
3.4 Banking Contracts	Bursar Office	Finance Committee	President & Bursar	DP & FO for Bursar	Finance Office
3.5 Banking Resolutions	Bursar Office	Finance Committee	President & Bursar	DP & FO for Bursar	Finance Office
3.6 Borrowing Resolutions	Bursar Office	Finance Committee	President & Bursar	DP & FO for Bursar	Finance Office
3.7 Bank Signing Authorities	Bursar Office	Finance Committee	President & Bursar	DP & FO for Bursar	Finance Office
3.8 Guarantee	Bursar Office	Finance Committee	President & Bursar	DP & FO for Bursar	Finance Office
3.9 Credit Card Agreements	Bursar Office	Finance Committee	President & Bursar	DP & FO for Bursar	Finance Office
3.10 All other financial agreements	Bursar Office	Finance Committee	President & Bursar	DP & FO for Bursar	Finance Office

⁵ The signing authority may vary depending on the requirements set down by each bank's own procedures

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3.11 Deposits (Short term)	Bursar Office	Bursar/CFO	Bursar/CFO or Finance Officer	DP & FO for Bursar	Finance Office
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4. Spin out Companies

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
4.1 Initial Company Formation Documents; e.g. Shareholder agreements, Memoranda & Articles of Association, etc.	Technology Transfer Office	Finance Committee	Bursar and Corporate Secretary	FO for Bursar DCS for CS	Technology Transfer Office
4.2 Subsequent modifications to Company Documents	Technology Transfer Office	Bursar and Corporate Secretary	Director of Technology Transfer	Corporate Secretary	Technology Transfer Office
4.3 Agreements related to disposal of Company Assets on liquidation or winding up of Company	Technology Transfer Office	Finance Committee	Bursar	FO	Technology Transfer Office
4.4 Waiver of Pre-emption Rights	Technology Transfer Office	Bursar and Corporate Secretary	Director of Technology Transfer	Corporate Secretary	Technology Transfer Office
4.5 Sale of spin out company and related agreements	Technology Transfer Office	Finance Committee	Bursar and Corporate Secretary	FO for Bursar DCS for CS	Technology Transfer Office

5. Concessions on Campus*

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
5.1 Banking	Office of Corporate & Legal Affairs and Finance Office	Finance Committee	Corporate Secretary and Bursar	DCS FO	Office of Corporate and Legal Affairs

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5.2 Catering	Office of Corporate & Legal Affairs and Finance Office	Finance Committee	Corporate Secretary and Bursar	DCS FO	Office of Corporate and Legal Affairs
5.3 Photography	Office of Marketing & Communications	Finance Committee	Bursar and Director of Media and Marketing	FO	Office of Marketing & Communications

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6. Construction Contracts and Construction Consultancy Agreements*

Any contract relating to the building, renovation, repair or alteration, in any manner, of immovable property owned by or vested in UCC, wherever situated may be authorised as follows:

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
6.1 Contract < €250,000 ⁷	Building & Estates	Director of Building & Estates	Director of Building & Estates	CPO	Buildings and Estates
6.2 Contract subject to the limit set by Governing Body under Chapter B.4.d(4) of the Principal Statute	Building & Estates	University Management Team (Operations)	Director of Buildings & Estates	CPO	Buildings & Estates
6.3 Contract in excess of the limit set by Governing Body under Chapter B.4.d(4) of the Principal Statute	Building & Estates	Finance Committee and Governing Body	Corporate Secretary and Director of Buildings and Estates	DCS and CPO	Buildings & Estates
6.4 Decisions to enter into binding alternative dispute negotiations in relation to construction related contracts	Buildings and Estates	Bursar and Corporate Secretary and Budget Holder	Director of Buildings and Estates	CPO	Buildings and Estates

*Approval to be in conjunction with relevant Head of College or Central Services Area budget holder

⁷ Agresso approval to be aligned to require B&E sign off on all Construction contracts – process to be agreed with B&E and Finance

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7. Consultancy Agreements (non-construction/research) – UCC acts as consultant in the provision of services

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
7.1 Contracts for the provision of services by the University to a third party and the total value of the contract is < €75,000	Department or School or RICU or Central Services Unit	Relevant Head of Department or School or RICU or Central Services Unit	VPRI	Dir RSS	OVPRI and relevant area
7.2 Contracts for the provision of services by the University to a third party and the total value of the contract is between €75,000 and €250,000	Dept or School or RICU or Central Services Area	Relevant UMT (S) Member and Bursar	VPRI	Dir RSS	OVPRI and relevant Area
7.3 Contracts for the provision of services by the University to a third party and the total value of the contract is between €250,001 and €500,000	Dept or School or RICU or Central Services Area	Relevant UMT (S) and Bursar	VPRI	Dir RSS	OVPRI and relevant area
7.4 Contracts for the provision of services by the University to a third party and the total value of the contract is greater than €500,000	Dept or School or RICU or Central Services Area	Relevant UMT(S) Member and Finance Committee	VPRI	Dir RSS	OVPRI and relevant area

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8. Employment

Contracts for the hiring of staff and for all other agreements relating to the management and administration of employee matters. Some changes may be required based on the full implementation of University Restructuring. In all cases the University is the recognised legal employer and all posts must be approved by UMT(O) in accordance with the internal approval mechanisms.

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
8.1 Appointment of the President	Office of Corporate and Legal Affairs and Dept. of Human Resources	Governing Body	Chair of Governing Body		Department of Human Resources
8.2 Appointment of Senior Vice-President Academic and Registrar, Bursar/Chief Financial Officer, Corporate Secretary, Librarian, Head of College, any Vice-President and such other officers at senior management level as Governing Body on the recommendation of the President may decide. [Principal Statute]	Office of Corporate and Legal Affairs and Dept. of Human Resources	Governing Body (President approval required for Selection Committee report)	Director of Human Resources	ERM	Department of Human Resources
8.3 Senior Executive Appointments – not in Statute	Department of Human Resources	President	Director of Human Resources	ERM	Department of Human Resources
8.4 Collective Agreements					

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a) Grading	a) Human Resources	a) Director of Human Resources	a) Director of Human Resources	ERM	Department of Human Resources
b) National Social Partnership Agreements	b) Human Resources	b) Director of Human Resources	b) President		Department of Human Resources
8.5 Pension Agreements	Department of Human Resources	Finance Committee	Director of Human Resources and Bursar or Corporate Secretary	ERM for HR DCS for CS FO for Bursar	Department of Human Resources
8.6 Appointment of Permanent Academic Staff And Academic Contracts > 5 years	Department of Human Resources and Relevant College	President	Director of Human Resources	ERM	Department of Human Resources
8.8 Appointment of Staff other than academic	Department of Human Resources and Relevant College or Central service area	Director of Human Resources	Director of Human Resources under delegation from the President		Department of Human Resources
8.9 Appointment of Academic Contract staff – Contracts > 1 but < 5 years	Department of Human Resources and Relevant College	and Director of Human Resources	Director of Human Resources	ERM	Department of Human Resources and Relevant Academic Unit
8.10 Appointment of Research Staff	Department of Human Resources and Relevant Principal Investigator	Principal Investigator, Head of College and/or Head of College/Head of Academic Unit	HR Manager, Central Services	HR Research Co-ordinator	Department of Human Resources and Relevant Research Unit

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				ACSSS - VHC	
8.11 Fixed term contract staff < 1 year	Relevant School or Department or Central Service Area	Head of College / UMTS Member and HR Business Manager and College Financial Analyst	HR Manager, Central Services	HR Co-Ordinator	Department of Human Resources and relevant unit
8.12 Hourly / Occasional Teaching	Relevant School or Department	Head of School or Department and College Financial Analyst and HR Business Manager	Head of School or Department		School / Discipline
8.13 Salary levels	Human Resources	Director of Human Resources and President	Director of Human Resources	Salary Placement Committee	Department of Human Resources
8.14 Promotion and Establishment	Human Resources	Bursar ⁸ and Academic Board ⁹	Director of Human Resources	ERM	Department of Human Resources
8.15 Secondment Agreements (both to and from the University) – Academic positions	Head of College and Human Resources	Head of College and Director of Human Resources	Director of Human Resources	ERM	Department of Human Resources
8.16 Secondment Agreements (both to and from the University) – Administrative positions	Human Resources and relevant UMTS Member	Director of Human Resources and relevant UMTS Member	Director of Human Resources	ERM	Department of Human Resources
8.17 Sabbatical Leave	College Sabbatical Leave Committee	College Sabbatical Leave Committee	Chair of Sabbatical Leave Committee ¹⁰		Department of Human Resources

⁸ With respect to determination of promotions available

⁹ This is subject to the necessary delegation from Governing Body to Academic Council and thence to Academic Board

¹⁰ The President has delegated this authority

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8.18 ¹¹ Suspension & dismissal, disciplinary action, settlement of grievances	Human Resources and Employing Department and Disciplinary Committee	President	President		Department of Human Resources
8.19 Appeals against dismissal	Office of Corporate and Legal Affairs	Governing Body Disciplinary Appeals Committee	Corporate Secretary on behalf of Governing Body	Chair of GB	Office of Corporate and Legal Affairs
8.20 Approve Leave	Relevant School/Department/Unit	Relevant School/Department/ Business Unit Manager relevant School/Department/ Business Unit Manager	Relevant School/Department/ Business Unit Manager		Relevant School/Department or Business Unit
8.21 Retention	Human Resources	President	Director of Human Resources	ERM	Department of Human Resources

¹¹ Currently under review

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9. Gift and Endowment Agreements

A gift agreement means any undertaking whereby a gift, donation or bequest is accepted including endowment agreements, gifts in kind, deferred gifts donated to the University.

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
9.1 Monetary donations, bequests, endowment fund agreements to UCC for academic, research, capital purposes	Relevant Business Unit	Finance Committee	President		Finance Office and Relevant Business Unit
9.2 Trust establishment	Relevant Business Unit and OCLA	Finance Committee	President		Office of Corporate and Legal Affairs
9.3 Non-monetary donations + gifts < €10,000	Relevant Business Unit	Head of College or Central Service Area (with notification to Bursar ¹²)	Head of College or Central Service Area		Relevant Business Unit
9.4 Non-monetary donations and gifts > €10,000	Relevant Business Unit	Finance Committee	Head of College or Central Service Area and Bursar	FO for Bursar	Relevant Business Unit
9.5 Monetary donations, bequests, endowment fund agreements for academic, research, capital purposes received from the Cork University Foundation	Development Office	Finance Committee	< €100k Bursar >€100k President	FO for Bursar	Finance Office and Development Office
9.6 Non-monetary donations + gifts received	Development Office	Finance Committee	< €100k Bursar >€100k President	FO for Bursar	Finance Office

¹² Bursar to notify Finance Committee

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from the Cork University Foundation					
9.7 Projects approved in advance by UCC Finance Committee	Development Office	Finance Committee – advance approval	< €100k Bursar >€100k President	FO for Bursar	Finance Office & Development Office
9.8 Monetary donations, bequests, endowment fund agreements for academic, research, capital purposes less than an amount specified annually by the Finance Committee	Development Office	Do not require specific approval unless there are obligations or specific performance issues attaching to the contribution which would require the approval of Finance Committee	Director of Development Office	DM	Finance Office & Development Office

10. Insurance and Legal Claims

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
10.1 Insurance Policies & Cover and related agreements	Office of Corporate & Legal Affairs	Finance Committee	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
10.2 Settlement of legal cases under insurance policies	Office of Corporate & Legal Affairs	Corporate Secretary	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
10.3 Affidavits	Office of Corporate & Legal Affairs	Corporate Secretary	Corporate Secretary	DCS	Office of Corporate & Legal Affairs

11. Funding Agreements (Non research)

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Proposals, contracts and agreements with funding agencies for activities or related to partnerships/relationships.

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
11.1 Non –research related proposals/applications and agreements to/with funding agencies >€50,000	School/Department or Service Unit	Head of College or Service Unit	Head of School or Department or Service Unit		School or Department or Service Unit

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11.2 Non-research related proposals/applications and agreements to/with funding agencies >€50,000 and <€250,000	College or Service Unit	Head of College or Service Unit	Head of College or Service Unit	VHoC	College or Service Unit
11.3 Non-research related proposals/applications and agreements to/with funding agencies >€250,000	Central Service Unit or College	Relevant UMT(O) Member	Bursar and Relevant UMT (O) member	FO for Bursar	Finance Office

12. Information Services

All contracts relating to the acquisition and provision of library information services and resources, for the acquisition of collections for special collections and archives and publishing and related agreements.

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
12.1 Agreements for the acquisition of collections	Information Services	Director of Information Services	Director of Information Services	Director of Library Services	Information Services
12.2 Agreements for the acquisition of information resources and complementary products for re-sale	Information Services	Director of Information Services	Director of Information Services	Director of Library Services	Information Services
12.3 Information Service Agreements ¹³	Information Services	<€100,000 – Director of IT Services	<€100,000 – Director of IT Services	Director of Information Services	Information Services

¹³ Agresso approval system to be revised to require Director of IT/IS approval

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		< €250,000 –Director of Information Services > €250,000 – Finance Committee	< €250,000 – Director of Information Services > €250,000 – Director of Information Services	Director of IT Services Director of IT Services	
12.4 Cork University Press – publishing and related agreements < €25,000	Cork University Press	Cork University Press Committee	Publications Director, CUP	Director of Information Services	Cork University Press
12.5 Cork University Press – publishing and related agreements >€25,000	Cork University Press	Cork University Press Committee	Director of Information Services	Director of Library Services	Cork University Press

13. Miscellaneous

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
13.1 Prescription Drugs (Non-Research)	Student Health	Student Doctor	Student Doctor		Student Health
13.2 Agreements for live animal purchase or sale	Department/School or RICU	Biological Services Unit	Head of BSU		BSU
13.3 Sale/Transfer of surplus assets (non-property) <€5,000 _____ >€10,000	College/Dept/ school or RICU/Service Unit	Head of Department/School or RICU _____ and Bursar	Relevant UMT(S) Member		Relevant Dept or School or RICU or Central Service Unit _____ Relevant College or Central Services Area

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13.4 Other sales of goods e.g. books/notes/stationery < €1,000	Relevant Business Unit	Head of Department or School or Service Unit	Head of Department or School or Service Unit		Relevant Business Unit
13.5 Information Sharing Agreements	Office of Corporate & Legal affairs	Corporate Secretary and Director of IT Services	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
13.6 Confidentiality Agreements (other than under 1.2 and 18.8)	Relevant College or Central Services Area	Head of College or Central Services Area	Head of College or Head of Central Services Area		Relevant College or Central Services Area
13.7. Trademark Applications and related documentation	Relevant College or Central Services Area	Head of College or Central Services Area and Head of Media and Communications	Corporate Secretary	DCS	Office of Corporate and Legal Affairs
13.8 Purchase of Desktops, Laptops, IT Equipment ¹⁴	Relevant College or Central Services Area	Director of IT Services and Cost Code Approver	Relevant Cost Code Approver		IT Services and Relevant College or Central Services Area

14. Equipment Leases

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
14.1 Leases under €250,000 – for the life of the lease	Relevant Business Unit	Head of College or Central Services Area	Head of College or Central Services Area	VHoC	Relevant Business Unit
14.2 Leases over €250,000 – for life of lease	Relevant Business Unit	Corporate Secretary & Head of College (and VPRI for Research Equipment Leases)	Corporate Secretary	DCS	Office of Corporate & Legal Affairs

¹⁴ Agresso to be aligned to require Director of IT Services approval in addition to cost code approval

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14.3 IT Equipment Leases		As for 15.1 and 15.2 with Director of IT			
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15. Purchasing (all Goods, Services & Equipment not dealt with elsewhere in this document) Note that all procurement policies and procedures apply to all purchases of goods and services regardless of funding source.

15.1 Goods, Services & Equipment (Departmental) – Linked to the Agresso Accounting System

All purchases must be approved in line with the approval process set out below. Cost Centre Approvers or authorised signatories have approval limits up to €25k. All purchases in excess of this amount require additional levels of approval depending on the value of the purchase. Each approval step is in addition to each of the prior levels.

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
15.1.1 Goods, Services & Equipment < €25,000	Relevant Business Unit	Cost centre approver or authorised signatory	Cost centre approver or authorised signatory		P.O. – Department
					Invoices – Finance Office
15.1.2 Goods, Services & Equipment €25,001 - €100,000	Relevant Business Unit	Head of Business Unit and Procurement Manager	Head of Department/School and Procurement Manager		PO: Department Invoices: Finance Office
15.1.3 Goods, Services & Equipment €100,001- €250,000	Relevant Business Unit	Relevant UMT (S) Member	Relevant UMT (S) Member		PO: Department Invoices: Finance Office
15.1.4 Goods, Services & Equipment €250,001- budgetary limit approved by Governing Body under Chapter B.4.c(1) of the Principal Statute	Relevant Business Unit	Bursar/CFO and relevant Vice President	Bursar/CFO and relevant UMT(s) Member	FO for Bursar	PO: Department Invoices: Finance Office
15.1.5 Goods, Services & Equipment > budgetary limit approved by Governing Body under Chapter	Relevant Business Unit	Finance Committee	President		PO: Department Invoices: Finance Office

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B.4.c (1) of the Principal Statute					
15.1.6 Maintenance agreements/service level agreements for goods provided	Relevant Business Unit	Head of Dept or School or RICU or Central Services Area	Head of Dept or School or RICU or Central Services Area		Relevant Business Unit

15.2 Goods, Services & Equipment (Research)

All purchases must be approved in line with the approval process set out below. Cost Centre Approvers or authorised signatories have approval limits up to €25k. All purchases in excess of this amount require additional levels of approval depending on the value of the purchase. Each approval step is in addition to each of the prior levels.

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
15.2.1 Goods, Services & Equipment < €25,000	Research Project	Cost centre approver or authorised signatory	Cost centre approver or authorised signatory		PO: Department Invoices: Finance Office
15.2.2 Goods, Services & Equipment €25,001 - €50,000	Research Project	Project Leader or Principal Investigator and Procurement Manager	Project Leader or Principal Investigator and Procurement Manager		PO: Department Invoices: Finance Office
15.2.3 Goods, Services & Equipment €50,001 - €100,000	Research Project	Head of Discipline And Head of School or RICU	Head of Discipline and Head of School or RICU		PO: Department Invoices: Finance Office
15.2.4 Goods, Services & Equipment €100,001- €250,000	Research Project	Relevant UMT (S) Member	Relevant UMT (S) Member	Per Key	PO: Department Invoices: Finance Office
15.2.5 Goods, Services & Equipment €250,001- budgetary limit approved by Governing Body under	Research Project	Bursar/CFO and relevant UMT(S) Member	Bursar/CFO and relevant UMT(S) Member	FO for Bursar	PO: Department Invoices: Finance Office

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Chapter B.4.c (1) of the Principal Statute					
15.2.6 Goods, Services & Equipment >budgetary limit approved by Governing Body under Chapter B.4.c (1) of the Principal Statute	Research Project	Finance Committee	President		PO: Department Invoices: Finance Office
15.2.7 Insurance Contracts (see separate section below)		_____			PO: Department Invoices: Finance Office
15.2.8 Maintenance agreements/service level agreements for goods provided	Relevant Business Unit	Head of Department or School or Central Service Unit	Head of Department or School or Central Service Unit		Relevant Business Unit

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16. Employee Expenses

All Employee Expense Claims (including Travel Advances) must be approved in line with the approval process set out below. When approving employee expense claims the authoriser must satisfy him/herself that the expenses have been incurred wholly, exclusively and necessarily on UCC business and that documentary evidence is attached where required.

Person submitting the claim	Authoriser
President	Bursar
Bursar/CFO	President
Other UMT members	Bursar
Head of Student Experience	Senior Vice-President Academic and Registrar
VP T&L	President
Head of College	SVPAR
Head of School	Head of College
Heads of Department	Head of College or Head of School, where applicable
RICU Director	Head of College
Project Leader	Head of Department/Centre Director
Researcher	Project Leader
All other staff	Head of Department/Business Unit

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17. Research and Intellectual Property Contracts (Consultancy is dealt with separately in this document)

All contracts relating to the research activities of the University, as described in the following

Document Description	Area. Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
17.1 Applications for Research funding	Department or School or RICU	VPRI and Head of College	Dir RSS	VPRI	Finance Office
17.2 Grants/research contracts	OVPRI	VPRI and Head of College	VPRI	Dir RSS	Finance Office
17.3 Consortium and Collaboration Agreements	OVPRI	VPRI and Head of College	VPRI	Dir RSS	Finance Office
17.4 Proprietary rights & associated documentation from inventions – e.g. assignment agreements, powers of attorney to file patent applications.	Technology Transfer Office	VPRI	Director of Technology Transfer	Ops Man	Technology Transfer Office
17.5 Licence/Options to license to make use or sell the product of an invention (including sub-licensing) ¹⁵	Technology Transfer Office	VPRI	VPRI	Dir TTO	Technology Transfer Office
17.6 Patent ownership assignment to third party ¹⁶	Technology Transfer Office	VPRI and Bursar	VPRI	Dir TTO	Technology Transfer Office

¹⁵ A full report will be sent to the Finance Committee on a quarterly basis of all Licence / Option agreements and assignments executed during that quarter

¹⁶ See Note 13

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Document Description	Area. Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
17.7 Material transfer agreements	Technology Transfer Office	Director of Office of Technology Transfer	Director of Office of Technology Transfer	Op Mngr	Technology Transfer Office
17.8 Confidentiality Agreements relating to intellectual property generated through Research	Technology Transfer Office	Director of Office of Technology Transfer	Director of Office of Technology Transfer	Op Mngr	Technology Transfer Office
17.9 Researcher Undertakings re Confidentiality	Technology Transfer Office	Director of Office of Technology Transfer	Director of Office of Technology Transfer	Op Mngr	Technology Transfer Office
17.10 IP Management agreements	Technology Transfer Office	Director of Technology Transfer	VPRI	Dir TTO	Research Office
17.11 Research Affiliation Agreements	OVPRI	VPRI	VPRI	Dir RSS	Research Office
17.12 Agreements for the creation or dissolution of RICUs	College and Research Support Office	Centres and Institutes Committee	VPRI and Head of College	-Dir RSS and VHoC	OVPRI and College
17.13 Other Technology Transfer and industrial interaction related matters	Technology Transfer Office	Director of Technology Transfer	VPRI		Technology Transfer Office
17.14 Transfer of Research Assets to other parties	Research Support Office	VPRI and Bursar and Head of College	VPRI	Dir RSS	Finance Office
17.15 Transfer of Research Contracts from and to other institutions and related documentation	Research Support Office	VPRI and Bursar	VPRI	Dir RSS	Finance Office

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Document Description	Area. Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
17.16 Research related tender submissions	Research Support Office and relevant School or Dept	Head of School or Dept and VPRI	VPRI	Dir RSS	Research Office and School/Dept
17.17 Pre award/application Concept Notes and Applications related to patient focused research*	Research Support Office	CRRO and Dir RSS	Dir RSS	VPRI	OVPRI
17.18 Post award agreements related to patient focused research*	Research Support Office	CRRO and Dir RSS	Dir RSS	VPRI	OVPRI

*In accordance with approved patient focused research workflows

18. Scholarships and Grants

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
18.1 External Scholarship Agreements	College and Department or School	SVPAR	SVPAR	AS	
18.2 Internally funded Scholarships, Grants, Bursaries or Fee Waivers <€5,000	Relevant College or Central Service Area	Head of College or Central Service Area	Head of School or Department or Central Service Unit		Relevant College or Central Service Area
18.3 Internally funded Scholarship, Grants,	Relevant College or Central Service Area	College Executive and Bursar ¹⁷	Head of College or Central Services Area	Per DK	Relevant College or Central Service Area

¹⁷ To be notified to Finance Committee

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Bursaries or Fee Waivers > €5,000					
18.4 Quercus Scholarship and related agreements	Office of VPT&L	Quercus Management Team	VPT&L		Office of VPT&L

19. Sealing of Documents

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
19.1 Application of the University seal to contracts and other legal agreements and instruments	Office of Corporate & Legal Affairs	Governing Body	President & Corporate Secretary	DP and Bursar	Office of Corporate & Legal Affairs

20. Settlement Agreements

This section applies to any document that settles a legal claim against the University. A legal claim includes a civil action, or complaint before a judicial or quasi-judicial tribunal or any other action that potentially engages the liability of the University.

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
20.1 Settlement agreements	Office of Corporate & Legal Affairs	Finance Committee	President & Corporate Secretary	DP and Bursar	Office of Corporate and Legal Affairs

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21. Statutes (See sealing of documents)

22. Subsidiary/Joint Ventures

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
22.1 Acquisition or creation of a Wholly owned subsidiary company	Office of Corporate & Legal Affairs & Bursar Office	Finance Committee & Governing Body	President & Corporate Secretary	DP and Bursar	Office of Corporate & Legal Affairs
22.2 100% wholly owned subsidiary documents to be signed on behalf of the member (UCC)	Office of Corporate and Legal Affairs	President	President		Office of Corporate & Legal Affairs
22.3 Documentation related to dissolution of wholly owned subsidiary	Office of Corporate and Legal Affairs	Finance Committee	President		Office of Corporate & Legal Affairs

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23. Utilities

All contracts relating to the acquisition of utility services.

Document Description	Area Responsible	Approval Authority committing the University	Signing Authority	Deputy	Records Held:
23.1 All Utility Contracts (other than data and information utilities)	Buildings and Estates	UMT(O)	Director of Buildings & Estates and Bursar	BO FO for Bursar	Procurement Office
23.2 Agreements in relation to mobile, telecoms, data and information utilities	Buildings and Estates and Information Services	Bursar and UMT(O)	Director of Buildings and Director of Information Services	BO FO for Bursar	Buildings and Estates and Information Services

24. Tyndall National Institute

Apart from the approval and signing authorities specified for Tyndall below, all other relevant sections of this Policy will apply to the Tyndall National Institute

Area	Document Description	Approval Authority committing Tyndall and the University	Signing Authority	Deputy	Records Held:
24.1(1) Academic	Commitment to participate in international student exchange agreements or other student mobility	Centre Heads / Tyndall Executive (with notification to Head of School)	CEO or Head of Operations	Alternate	Tyndall

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Area	Document Description	Approval Authority committing Tyndall and the University	Signing Authority	Deputy	Records Held:
24.2 Research related MOU or MOA with third party	Commitment to engage or collaborate with third party including academic institution	CEO or Head of Operations (with notification to VPRI)	CEO or Head of Operations	Alternate	Tyndall and OVPRI
24.3 (4) Spin Out Companies	Tyndall Incubation Centre Licences	CEO or Head of Operations	CEO or Head of Operations	Alternate	Tyndall
24.4 (6) Construction Contracts including Lab/Equipment hook-up/fit out <i>(in conjunction with B&E)</i>	< €250,000	Head of Operations	Head of Operations	CEO	Tyndall
	< €1m	CEO and Head of Operations	CEO and Head of Operations	Dir B&E (for either)	Tyndall
	Contracts subject to the limit set by Governing Body under Principal Statute Section B.4.d.4	CEO and Head of Operations and Director of Buildings and Estates	CEO and Head of Operations	Dir B& E (for either)	Tyndall
24.5 (7) Consultancy	Agreement where UCC engages the services of consultant & the total value of the contract < €75,000	CEO or Head of Operations	CEO or Head of Operations	Alternate	Tyndall
	Agreement where UCC engages the services of consultant and the total value of the contract is between €75,000 and €250,000	CEO and Head of Operations	CEO and Head of Operations	Bursar (for either)	Tyndall

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Area	Document Description	Approval Authority committing Tyndall and the University	Signing Authority	Deputy	Records Held:
24.6 (8) Employment <i>(in conjunction with UCC HR as required and as set out in SLA)</i>	Contracts for the hiring of Tyndall staff and for all other agreements or matters relating to the management and administration of employees.	Group & Centre Heads (and Tyndall HR manager as appropriate)	CEO or Head of Operations	Alternate	Tyndall
24.7 (11) Funding Agreements (Non – Research)	Non-research related proposals/applications to funding agencies	Group & Centre Heads	CEO or Head of Operations	Alternate	Tyndall
	Letters of agreement, contracts and/or contribution agreements with funding agencies	CEO or Head of Operations	CEO or Head of Operations	Alternate	Tyndall
	Amendments to previously approved funding or contribution agreements	CEO or Head of Operations	CEO or Head of Operations	Alternate	Tyndall
24.8 (13) Miscellaneous	Sale of surplus assets (non-property/IP)	Centre Heads	CEO or Head of Operations	Alternate	Tyndall
24.8 (15) Good and Services & Equipment <i>(Supply & Acquisition)</i>	Goods, Services & Equipment < €6,500	Project manager & Finance manager	Project manager & Finance manager	HO for FM	POs – Tyndall Invoices – Finance

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Area	Document Description	Approval Authority committing Tyndall and the University	Signing Authority	Deputy	Records Held:
	Goods, Services & Equipment €6,501 - €25,000	Head of Operations	Project Manager & Finance Manager	HO for FM	POs – Tyndall Invoices – Finance
	Goods, Services & Equipment €25,001 - €250,000	CEO and Head of Operations	CEO or Head of Operations and Procurement Manager	Alternate	POs – Tyndall Invoices – Finance
	Goods, Services & Equipment €250,001- budgetary limit approved by Governing Body under Chapter B.4.c (1) of the Principal Statute	CEO and Head of Operations	CEO or Head of Operations and Procurement Manager	Alternate	POs – Tyndall Invoices – Finance
	Goods, Services & Equipment > budgetary limit approved by Governing Body under Chapter B.4.c (1) of the Principal Statute.	Finance Committee	President		POs – Tyndall Invoices – Finance
	Maintenance agreements/service level agreements for goods provided	N/A	Head of Operations	CEO	Tyndall

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Area	Document Description	Approval Authority committing Tyndall and the University	Signing Authority	Deputy	Records Held:
	IT Service Agreements and purchase of IT equipment ¹⁸				
24.9 Research and Intellectual Property Contracts	Applications for Research funding	Group & Centre Heads	CEO or Head of Operations	Alternate	Tyndall
	Grants/research contracts	CEO or Head of Operations	CEO or Head of Operations	Alternate	Tyndall
	Consortium Agreements	CEO or Head of Operations	CEO or Head of Operations	Alternate	Tyndall
	Material transfer agreements*	Head of Business Development or Commercial Director	CEO or Head of Operations	Alternate	Tyndall
	Confidentiality Agreements relating to intellectual property*	Head of Business Development or Commercial Director	Head of Business Development or Commercial Director	Head of Operations	Tyndall
	Researcher Undertakings re Confidentiality*	Head of Business Development or Commercial Director	Head of Business Development or Commercial Director	Head of Operations	Tyndall
	IP Management agreements*	Head of Business Development or Commercial Director	CEO or Head of Operations	Alternate	Tyndall
	Research Affiliation Agreements	CEO	CEO or Head of Operations	Alternate	Tyndall

¹⁸ In accordance with 24.8 and in consultation with the Director of IT Services

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Area	Document Description	Approval Authority committing Tyndall and the University	Signing Authority	Deputy	Records Held:
24.10 Misc Contracts	Equipment Placement Agreements	Head of Operations	CEO or Head of Operations	Alternate	Tyndall
	Facilities Access Agreements	Head of Operations	CEO or Head of Operations	Alternate	Tyndall
	Researcher in Residence Agreement	Head of Operations	CEO or Head of Operations	Alternate	Tyndall

* In conjunction with Technology Transfer Office¹⁹

Policy Approval and Review	
Policy Version No.	2
Committee	Date Approved
Audit Committee	Audit committee consulted through the approval process
University Management Team [Operations]	Approved 8 November, 2010
University Management Team [Strategy]	Approved 11 November 2010
Finance Committee	30 th November 2010
Governing Body	14 th December, 2010

¹⁹ Sections of this document require Tyndall to operate in conjunction with TTO as agreed with the TTO

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Policy Approval and Review	
Policy Version No.	3
Committee	Date Approved
Audit Committee	To be consulted through the approval process
University Management Team [Operations]	5 th December 2016
Finance Committee	
Governing Body	

Acronym Glossary

AS	Academic Secretary
B & E	Office of Buildings & Estates
BO	Buildings Officer
BSU	Biological Services Unit
CEO	Chief Executive Office (Tyndall)
CM	College Manager
CPO	Capital Projects Officer
CRRO	Clinical Research Regulatory Officer
DCS	Deputy Corporate Secretary
DIO	Director of International Office
DIS	Director of Information Services
DIT	Director of IT Services
DLS	Director of Library Services
DM	Development Manager, CUF
DP	Deputy President
ERM	Employee Relations Manager
FO	Finance Officer
FM	Finance Manager (Tyndall)
GB	Governing Body
GSO	General Services Officer

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HBO	Head of Operations (Tyndall)
HofSE	Head of Student Experience
Op Mngr	Operations Manager, Technology Transfer Office
Dir RSS	Director of Research Support Services, OVPRI
SVPAR	Senior Vice President Academic and Registrar
UMT(O)	University Management Team (Operations)
UMT (S)	University Management Team (Strategic)
VHoC	Vice or Deputy Head of College (or equivalent)
VPRI	Vice President for Research and Innovation
VP T&L	Vice President Teaching & Learning

School/Department/Unit/RICU

Where Head of School or Department is specified within this policy, this shall be interpreted as relevant Head of School in the first instance or where a Department has not been included in the School structure, the Head of that Department. The approval and sign off for RICU's shall comply with the RICU Policy approved by GB from time to time.

Deputisation

In addition to all deputisation specified herein, unless otherwise indicated in this policy, the approved deputies are as follows:

Bursar	Finance Officer
Corporate Secretary	Deputy Corporate Secretary
Head of College	Vice or Deputy Head of College
Director of Human Resources	Employee Relations Manager
SVPAR	Academic Secretary
VPRI	Dir RSS