Delegated Signing Authority (DSA) for Tri-Agency FOAPALs.

The Tri-Agency FOAPALs consist of:
Natural Sciences and Engineering Research Council (NSERC)
Social Sciences and Humanities Research Council (SSHRC)
Canadian Institutes of Health Research (CIHR)
All Network Centres of Excellence (NCEs) who must comply with Tri-Agency regulations (i.e. Auto21, CWN, GEOIDE, CMC).

Tri-Agency regulations stipulate that the ONLY individual with signing authority on a Tri-Agency grant is the grantee(s) named as the grant recipient by the Tri-Agency. In order to permit any other University employee authority to charge transactions to the grant, the grantee must formally document that s/he has delegated that signing authority.

Initiating Transactions against a Grant FOAPAL

The Memorandum of Understanding between the University of Regina and the Tri-Agencies requires that University establish and maintain a Delegated Signing Authority for each individual grant account (FOAPAL).


The University has developed a DSA Form contains three levels of authority that include both automatic delegation and the ability for the grant holder/fund manager to further delegate signing authority. This form must be completed and submitted to Financial Services before a new FOAPAL can be created for a Tri-Agency grant.

Financial Services requires that the DSA is updated a minimum of once per year. A copy of the DSA Form will be sent to the grant holder/fund manager in May of each year.

It is the responsibility of the grant holder/fund manager to inform Financial Services of any changes to their DSA throughout the year. This can be done by requesting a copy of the Form from the Financial Analyst, Research & Special Projects responsible for their department/faculty/institute.

The grant holder/fund manager may delegate responsibility; however, the grant holder/fund manager cannot delegate accountability. It is the responsibility of the grant holder/fund manager to review all of the individual financial transactions in their FOAPALs on a regular basis. See policy #140 ‘Budgetary Limits on Spending from Research Funds’ for more information on the responsibility of the grant holder/fund manager.

http://www.uregina.ca/presoff/vpadmin/policymanual/research/1402515.shtml
**Additional Alternate Signing Authority**

This section allows the grant holder/fund manager to delegate full authority to initiate transactions against the grant account as if they were the grant holder/fund manager. **Note: Signing of the Annual Form 300 Financial Statement cannot be delegated.**

The University automatically includes the grant holder’s immediate supervisor(s) (i.e. department head or dean) in this section to ensure that a second signer is always available to approve transactions in a timely manner should the grant holder be away from campus or otherwise indisposed.

**Faculty Administrative Staff**

Many of the processes at the University are automated and training and access to University are restricted to the administrative staff. As a result, it is required that administrative staff from the grant holder’s home department/faculty/institute have access to the grant fund in order to assist the grant holder with processing transactions.

For this reason administrative staff are automatically included on the DSA in order to complete grant holder requests in a timely matter, without undue burden of completing and tracking paperwork to document the grant holder’s written approval.

Administrative signing authority is limited to providing administrative support to the grant holder in administering their grant. These types of activities include, but are not limited to:

- Payroll EPAFs, Change Forms and Redistributions
- Entering Purchase Requisitions
- Completing Journal Vouchers
- PCard Purchases (particularly when the grant holder/fund manager does not have a University PCard)
- Mailing, shipping and courier arrangements

**Science Stores Purchases**

Many grant holders/fund managers give approval for their staff or students to charge Science Stores Purchases and charge them to their grant FOAPAL. In order to formalize this process, Science Stores will be provided a copy of the DSA Forms for all Tri-Agency FOAPALs and only the students listed on the Form will be able to make purchases.
Automatic Charges

The University has automated processes for assigning Customs, Shipping and Taxes to the same FOAPAL as the original process. These types of charges are common charges associated with the purchase of goods.

The DSA Form also includes a sign-off indicating that the grant holder/fund manager accepts all Custom, Shipping and Taxes associated with purchases initiated by themselves or their delegates.

Institutional Approval of Expenditures

Delegation of One-up Approval

Each department/faculty/institute is responsible for maintaining written delegation of one-up approval whether the approval is permanently delegated or delegated for the purposes of the dean/department head/director absence from campus. This information must be maintained for 7 years and be readily available, should it be requested by internal or external audit.

In the case of Reimbursement for grant holder/fund manager or visiting scientist travel, the ability to delegate approval is limited by Tri-Agency regulations.

The Tri-Agency Financial Administration Guide clearly states that for individuals claiming travel-related expenses from a grant the following approvals must be in place:

"In the event that the traveler is the grantee or a visiting researcher, the claim must be countersigned by the department head or dean confirming the relevance of the travel to the research being funded." This approval cannot be delegated.

If the grant holder/fund manager is a Dean or higher, then the UofR one-up approval must still be followed and the travel claims would be approved by the AVP Financial Services.

If the grant holder/fund manager is a Director of a research institute or centre, the appropriate one-up approval would be the Vice-President Research.