

Signing Authority / Approval Authority Registry

The Approval Registry complements GOV-010-005, Approval Authorities and Execution of Documents, and is intended to clarify expenditure approval limits by Department / Approving Authority. The Approval Registry is reviewed and approved by the Board of Governors along with GOV-010-005 during regular reviews. However, changes to the Approval Registry between regular policy reviews do not require Board approval, with the exception of changes that impact Board authority.

This Approval Registry sets out the details of (i) each type of Commitment or Agreement, (ii) the Approving Authority for such Commitment or Agreement, (iii) the Employee who may execute such Agreement (once it has been Approved), and (iv) the Department responsible for such Agreement.

The Employee authorized under the Approval Registry to execute an agreement is responsible for ensuring that it is properly executed, including any necessary requirements for witness, application of the University seal, dual signature, etc., and that the University receives and retains a fully executed copy of the agreement. This Employee must have received the approval of the Approving Authority prior to executing the agreement. Electronic/email approval is acceptable.

An underlying principle of the Approval Registry is that one-up approval is required for all purchasing card (p-card) purchases, personal reimbursement claims, and payment made by the University on an employee's behalf (i.e. travel, professional dues, etc.).

Commitments and agreements requiring two signatures must be signed by two unique individuals; the same person cannot sign on behalf of more than one Employee.

An "Acting" appointment temporarily assumes the signing authorities of the position appointed to unless otherwise restricted by the appointing authority (typically the next higher level within the organizational hierarchy).

Within this document, the following formal titles have been abbreviated:

Associate Vice-President	AVP
Provost and Vice-President Academic	Provost
Vice-President Administration	VP Administration
Vice-President Research	VP Research
Executive Director, University Governance and University Secretary	University Secretary
University Advancement and Communications	UAC
Human Resources	HR
Financial Services	FS
Facilities Management	FM
Information Services	IS

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1. Purchase, Acquisition, Sale or Lease of Land; Mineral Rights; Building Leases

Agreement / Commitment Description	Approval Authority <i>committing the University</i>	Execution Authority <i>Signatory</i>	Department Responsible
Sale or exchange of land <i>Act-5(1)(b)</i>	Board of Governors	VP Administration	Facilities Management
Acquire land by gift or purchase* <\$100 000 <i>Act-5(1)(d)</i>	President	VP Administration	Facilities Management
Acquire land by gift or purchase* >\$100,000 and ≤\$500,000 <i>Act-67</i>	Board of Governors and Minister	VP Administration	Facilities Management
Acquire land by gift or purchase* >\$500,000 <i>Act-67.1</i>	Board of Governors and Lieutenant Governor in Council	VP Administration	Facilities Management
Lease land to another party <21 years <i>Act-5(1)(b)</i>	Board of Governors	VP Administration	Facilities Management
Lease land to another party ≥21 years and <99 years <i>Act-5(1)(b)</i>	Board of Governors and Minister	VP Administration	Facilities Management
Mineral Rights	Board of Governors	VP Administration	Financial Services

*In the case of gift acquisition, limits refer to the appraised value of the land

Building (Space) Leases: Expenditure limits reflect approvals required based on the total value for duration of lease; The same expenditure limits and approvals apply to space leased for university use, and to space leased by the university to external users			
New < \$100,000	VP Administration	AVP FM	Facilities Management
New ≥ \$100,000	President	VP Administration	Facilities Management
Renewal	VP Administration	AVP FM	Facilities Management

2. Capital Projects (Building Construction, Alteration and Maintenance)

The approval of projects for the construction of new buildings and additions, alterations, maintenance of, or renovations to existing buildings as well as to site services and landscaping, is part of the Board-approved operating and preventative maintenance and renewal (PMR) budgets. New projects outside the normal budget process and additional PMR projects require approval as outlined below. Approval authority is based on the total project cost (i.e. an approved new project valued at \$200,000 followed by a \$60,000 change order would require new Board-level approval as the total project value would be \$260,000).

Agreement / Commitment Description	Approval Authority committing the University	Execution Authority Signatory	Department Responsible
New Projects ≤ \$100,000	AVP FM	Project Manager	Facilities Management
New Projects > \$100,000 ≤ \$250,000	President	Project Manager	Facilities Management
New Projects > \$250,000	Board of Governors*	Project Manager	Facilities Management

*In this case, a copy of the related board decision item and verification of approval from the board minutes must accompany the Capital Approval Form.

The total project value must be approved by the approval authority, however ongoing documents (i.e. contract documents for approved projects) will be approved and executed by the Project Manager. The Project Manager will have the authority of "Financial Manager" as outlined in Section 12 – **Accounts Payable Signing Authority**.

Utilities Contracts ≤\$100,000	FM Director	FM Budget Manager	Facilities Management
Utilities Contracts >\$100,000	VP Administration	AVP FM	Facilities Management
Commodity Swap Agreements	AVP FM	AVP Finance	Facilities Management

3. Banking and Borrowing

Agreement / Commitment Description	Approval Authority <i>committing the University</i>	Execution Authority <i>Signatory</i>	Department Responsible
Investments/ Trust Funds <i>Act-6</i> GOV-090-040	Board of Governors	Board of Governors or VP Administration or AVP Finance	Financial Services
Guarantees <i>Act-72</i>	Lieutenant Governor in Council	Minister of Finance	Financial Services
*Banking Contracts (e.g. credit card agreements)	Board of Governors	VP Administration or Provost	Financial Services
*Banking Resolutions	Board of Governors	VP Administration or Provost	Financial Services
*Borrowing 1. temporary loans (overdraft, line of credit) <i>Act-69</i> 2. securities (notes, bonds, debentures and other securities) <i>Act-71(2)(10)(11)</i>	Board of Governors Board of Governors and Lieutenant Governor in Council	VP Administration or Provost Any one of: <ul style="list-style-type: none">▪ VP Administration▪ Financial Analyst in FS Together with any one of:	Financial Services Financial Services

		<ul style="list-style-type: none"> ▪ President ▪ Provost ▪ VP Research ▪ AVP Finance ▪ Director in FS 	
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*The initial, overall commitment must be approved by the approval authority, however ongoing documents may be executed by the AVP Finance

Cheques, Bank Drafts	AVP Finance	<p>Any one of:</p> <ul style="list-style-type: none"> ▪ VP Administration ▪ Financial Analyst in FS <p>Together with any one of:</p> <ul style="list-style-type: none"> ▪ President ▪ Provost ▪ VP Research ▪ AVP Finance ▪ Director in FS 	Financial Services
Wire Transfers	AVP Finance	<p>Any two of:</p> <ul style="list-style-type: none"> ▪ Director in FS ▪ Financial Analyst in FS 	Financial Services
Electronic Funds Transfers (non-payroll, to send money)	AVP Finance	<p>Any two of:</p> <ul style="list-style-type: none"> ▪ Director in FS ▪ Financial Analyst in FS ▪ Banner Systems Supervisor 	Financial Services
Electronic Funds Transfer (payroll)	AVP HR	<p>Any two of:</p> <ul style="list-style-type: none"> ▪ Director, Payroll Services ▪ Payroll Systems Analyst ▪ Payroll Admin Support 	Human Resources

Electronic Funds Transfers from donors to the University (incoming funds)	AVP Finance or Director, Advancement	Any two of: <ul style="list-style-type: none"> ▪ Student Accounts Receivable Supervisor ▪ Financial Analyst in FS 	Financial Services
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4. Entities (corporate, academic, research)

Agreement / Commitment Description	Approval Authority committing the University	Execution Authority Signatory	Department Responsible
Creation of a new non-profit or for-profit entity GOV-010-015	Board of Governors	President	VP Administration
Contribution of University funds into a new corporate entity as an investment <i>Act-6</i>	Board of Governors and Lieutenant Governor in Council	President	VP Administration
Limited liability partnerships, joint venture or similar independent entities	Board of Governors	President	VP Administration
Institutes and Centres (creation and dissolution) RCH-010-005	Board of Governors (on the recommendation of Senate)	VP Research	VP Research

5. Academic Programs and Partnerships (including Memorandums of Agreement or Understanding)

Agreement / Commitment Description	Approval Authority committing the University	Execution Authority Signatory	Department Responsible
Affiliations/ Federations with an Educational Institution (creation and dissolution)	Board of Governors (on the recommendation of Senate)	Any one of: <ul style="list-style-type: none"> ▪ President ▪ Provost 	Provost
Affiliate Agreements (including international exchange agreements)	Provost	Any one of: <ul style="list-style-type: none"> ▪ Provost ▪ Dean 	Faculty
Creation of a Chair, research or endowed RCH-010-010	Board of Governors (on the recommendation of Senate)	Any one of: <ul style="list-style-type: none"> ▪ President ▪ VP Research 	VP Research
Program Proposals <i>Act-33(2)(c)</i> New – requires no new resources	Senate (on the recommendation of Executive of Council)	Registrar	Faculty
Program Proposals <i>Act-33(2)(c)</i> New – requires new resources	Board of Governors (on the recommendation of Senate)	Registrar	Faculty
Student Exchange Agreements	President	Any one of: <ul style="list-style-type: none"> ▪ President ▪ Provost ▪ AVP UR International 	UR International

6. Employment

Regardless of how employment is attained, it obligates the University.

Agreement / Commitment Description	Approval Authority committing the University	Execution Authority Signatory	Department Responsible
Collective Agreements CUPE 2419 collective agreement CUPE 5791 collective agreement URFA-Academic collective agreement URFA-APT collective agreement	Board of Governors	Board of Governors President	Human Resources
Reimbursement/Expense Claims:			
Board Chair	Board of Governors	Any one of: <ul style="list-style-type: none"> ▪ University Secretary ▪ VP Administration ▪ Provost 	Financial Services
President	Board of Governors	Chair, Board of Governors	Financial Services
Employees	Immediate Supervisor	Any one of: <ul style="list-style-type: none"> ▪ AVP ▪ Dean or Director ▪ Immediate supervisor 	Financial Services
Senators	Senate	University Secretary	Financial Services

Pension and Benefits:			
Pension governance including plan amendments	Board of Governors (approval reflected in minutes)	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP HR ▪ AVP Finance ▪ Director, Pension & Benefits 	Human Resources
Authorization of pension payments including the supplemental executive retirement plan (SERP)	AVP Human Resources	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP HR ▪ AVP Finance ▪ Director, Pension & Benefits 	Human Resources
Authorization of expenses relating to the general operation of the pension plans including investment management fees	AVP Human Resources	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP HR ▪ AVP Finance 	Human Resources
Authorization of Master Trust investment transactions	AVP Human Resources	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP HR ▪ AVP Finance ▪ Director, Pension & Benefits 	Human Resources
Authorization of benefit payments/expenses relating to the general operation of the benefit plans	AVP Human Resources	Any two of: <ul style="list-style-type: none"> ▪ AVP HR ▪ Director, Pension & Benefits ▪ Pension Analyst 	Human Resources
Third party pension & benefit service agreements/contracts	AVP Human Resources	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP HR ▪ AVP Finance ▪ Director, Pension & Benefits 	Human Resources

Appointments:			
President <i>Act-62(f), Bylaws-3.2(g)</i>	Board of Governors	Board of Governors	University Secretariat and Human Resources
University Secretary <i>Act-84(1)</i>	Board of Governors, upon recommendation of the President	President	President and Human Resources
Dean (or equivalent) of each faculty of the University <i>Act-82</i>	Board of Governors, delegated to the President	President	Provost and Human Resources
Head of each department of a faculty <i>Act-83</i>	Board of Governors, delegated to the President	Provost	Provost and Human Resources
Vice-Presidents EMP-010-030	Board of Governors, upon recommendation of the President	President	President and Human Resources
Associate Vice-Presidents	President, upon recommendation of the relevant Vice-President	President	Human Resources
Associate Deans and equivalent	President, delegated to the Provost	Provost	Human Resources
Adjunct and Associate appointments	President, delegated to the Dean	Dean	Human Resources
Sessional appointments	President, delegated to the Dean	Dean	Human Resources
New academic term positions (≤ 3 years)	President, delegated to the Dean	Dean or Director of the unit	Human Resources
New academic term positions (> 3 years)	President, delegated to the Provost	Provost	Human Resources
Renewal of existing academic term positions (> 3 years)	President, delegated to the Provost	Provost	Human Resources
Academic permanent positions	Board of Governors, delegated to the President	President	Human Resources

Administrative permanent or term positions	VP Administration	Any one of: <ul style="list-style-type: none"> ▪ AVP HR ▪ HR Director ▪ HR Partner ▪ Employment Consultant 	Human Resources
Students providing teaching and research assistance (CUPE 2419)	Dean	Any one of: <ul style="list-style-type: none"> ▪ Dean or Director of the unit ▪ HR Director ▪ HR Partner 	Human Resources
Research Associates (non-students outside CUPE 2419)	Dean	Any one of: <ul style="list-style-type: none"> ▪ VP Research ▪ Dean or Director of the unit ▪ Academic staff member ▪ HR Director ▪ HR Partner 	Human Resources
Post-doctoral Fellows	Dean	Any one of: <ul style="list-style-type: none"> ▪ Dean or Director of the unit ▪ Academic staff member ▪ HR Director ▪ HR Partner 	Human Resources
Suspension and Termination letters (for both casual and continuing positions) <i>Act, 80(1)(b) and 80(2)(a)</i>			
President	Board of Governors	Chair, Board of Governors	Human Resources
Vice-Presidents	Board of Governors	President	Human Resources
University Secretary	Board of Governors	President	Human Resources
Senior Administrative appointments (e.g. AVP)	VP Administration	VP Administration or AVP HR	Human Resources

Senior Academic Appointments, (e.g. Deans, Associate Deans, Department Heads, Program Heads)	President or Provost	Provost or AVP HR	Human Resources
Faculty	President	President	Human Resources
Staff	President or VP Administration	AVP HR or HR Director	Human Resources

7. Settlement Agreements and Termination Agreements

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

Agreement / Commitment Description	Approval Authority <i>committing the University</i>	Execution Authority <i>Signatory</i>	Department Responsible
Settlement Agreements	Board of Governors or President	VP Administration	Financial Services for financial issues, Human Resources for personnel issues
Termination Agreements	President	VP Administration or AVP HR	Human Resources

8. Fundraising / University Advancement

Agreement / Commitment Description	Approval Authority <i>committing the University</i>	Execution Authority <i>Signatory</i>	Department Responsible
Fundraising Capital Campaigns	Board of Governors	President	UAC (Development)
Promotional Activities	President	Director, Communications or Director, Advancement	UAC (Development)
Advancement Publications	President	Director, Advancement	UAC (Development)

Alumni Affinity Partners Contracts	President	Director, Advancement	UAC (Alumni Relations) Supply Management Services
Issuance of CRA Charitable Donation Receipts	VP Administration	Director, Advancement	UAC
Valuation and issuance of receipts for Gifts in Kind	VP Administration	Director, Supply Management Services	UAC
Research priorities for fundraising	VP Research	Director, Advancement	UAC (Development)
Academic priorities for fundraising	Provost	Director, Advancement	UAC (Development)
Annual Case for Support	President	Director, Advancement	UAC (Development)

9. Endowment and Special Purpose Contributions

Agreement / Commitment Description	Approval Authority committing the University	Execution Authority Signatory	Department Responsible
Special Purpose Funds	AVP Finance	Director, Advancement and/or Deans	Financial Services
Scholarship Fund Creation GOV-010-025	AVP Finance	Director, Advancement	UAC (Development) and Financial Services
Externally Funded* Gift Agreements: ≤\$250,000	AVP Finance	Director, Advancement	UAC (Development)
Externally Funded* Gift Agreements: >\$250,000	President	Director, Advancement	UAC (Development)

Student Award Terms of Reference Undergraduate**	Director, Advancement	Dean of Faculty Associated	Student Awards and Financial Aid (SAFA)
Student Award Terms of Reference Graduate**	Director, Advancement	Dean of Graduate Studies and/or Dean of Faculty Associated	Faculty of Graduate Studies and Research (FGSR)
Special Project Fund Creation	AVP Finance	Financial Analyst, Research & Special Projects	Financial Services
Financial Reports under the terms and conditions of Grants and Contracts	AVP Finance	Financial Analyst, Research & Special Projects	Financial Services

*This differentiates a Faculty setting up a Scholarship from its internal funds versus a Scholarship funded by an external donor

**Three-step process: 1) University Advancement and Communications does the gift agreement, regardless of internal or external donor, 2) University Advancement and Communications works with SAFA to develop the Terms of Reference, at which point 3) SAFA administers the award

10. Trust and Endowment Administration

Agreement / Commitment Description	Approval Authority committing the University	Execution Authority Signatory	Department Responsible
Governance including approval of asset mix, investment managers and endowment payout percentage	Board of Governors (approval reflected in minutes)	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP HR ▪ AVP Finance ▪ Financial Analyst-Accounts Payable/Banking/Trust 	Financial Services

Authorization of expenses relating to the general operation of the Trust and Endowment Funds including investment management fees	AVP Finance	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP HR ▪ AVP Finance ▪ Director, Financial Reporting ▪ Financial Analyst-Accounts Payable/Banking/Trust 	Financial Services
Authorization of Trust and Endowment investment transactions	AVP Finance	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP HR ▪ AVP Finance ▪ Director, Financial Reporting ▪ Financial Analyst-Accounts Payable/Banking/Trust 	Financial Services

11. Research Grants/ Research Contracts

For research grants/contracts that are non-precedent setting, signing officers designated below may sign all accessory documents and perform all acts imposed upon or permitted to the University, in virtue of the research agreement and such accessory documents. For multi-year contracts – if the agreement value, pro-rated on an annual basis, is within the approval limits – signing authority applies.

Agreement / Commitment Description	Approval Authority <i>committing the University</i>	Execution Authority <i>Signatory</i>	Department Responsible
Contracts/ contribution agreements/ grant applications/ proposals:			
≤\$100,000	*Director, Research Office	*Director, Research Office or AVP Research	Research Office
>\$100,000 and ≤\$500,000	VP Research	VP Research or AVP Research	Research Office
>\$500,000 and ≤ \$25M	President	VP Research and President	Research Office

>\$25M	Board of Governors	President	Research Office
Incorporation, acquisition of subsidiary, acquisition of majority shares in a corporation, or dissolution of a corporation GOV-010-015	Board of Governors	President	VP Administration
Research Accounts Administration	VP Research	Director, Research Office and AVP Finance	Research Office and Financial Services
Research Fund Creation	VP Research	Director, Research Office	Research Office and Financial Services
Initiation of Expenditures within a Research FOAPAL	Fund Manager	See Tri-Agency Delegated Signing Authority	Fund Manager's Academic Faculty or Department

*In the absence of both the Director, Research Office, and the AVP Research, the VP Research retains the authority to execute documents.

12. Fees

The Board shall approve all student fees assessed for credit courses.

Agreement / Commitment Description	Approval Authority committing the University	Execution Authority Signatory	Department Responsible
Credit course tuition and all other related Student Fees <i>Act-62(k)</i> GOV-010-020 GOV-090-045	Board of Governors	Not applicable	Financial Services
Non-credit course tuition/fees and related fees; Interdepartmental Fees	Provost or VP Administration	Not applicable	Financial Services and/or Centre for Continuing Education
URSU Fee Collection	Board of Governors	Not applicable	Financial Services

13. Expenditures / Accounts Payable

Please also refer to:

Policy [GOV-010-035](#) regarding Purchasing Goods and Services,

Policy [GOV-090-035](#) regarding Budgetary Limits on Spending, and

Policy [RCH-030-010](#) regarding Budgetary Limits on Spending Research Funds.

Accounts Payable Signing Authority Overview

Each individual CASPUR/Banner Finance FOAPAL has a "Financial Manager" who is the responsible person and is the official signing authority on the FOAPAL. This person is authorized to spend the funds/budget in the FOAPAL as he/she deems appropriate within the purpose for which the FOAPAL was created. The spending of these funds shall adhere to all applicable University policies, including Purchasing and Tendering policies, and, with respect to Contracts, to the expenditure limits outlined in Part 2 of this registry.

A file of authorized signatures is maintained by Accounts Payable in Financial Services. All documents received by Accounts Payable are checked for proper authorization before payment is processed. If an expenditure originates with a CASPUR/Banner requisition by the signing authority, the requisition is subsequently matched with the purchase order and electronic receiving document and paid without further approval of the signing authority. If an expenditure originates with a procurement card charge, the authorized person must reconcile the account online.

If there is any change in signing authority for your department (FOAPAL or account number), even for a short period of time (e.g. during vacation) please notify Accounts Payable immediately. This should be done by way of a memo describing the circumstances of the change, a sample signature of the person now given authority to sign on behalf of your department, and the FOAPALs affected.

14. Information Services

Agreement / Commitment Description	Approval Authority committing the University	Execution Authority Signatory	Department Responsible
Information Services Projects ≤\$249,999	AVP IS	Any one of: <ul style="list-style-type: none"> ▪ AVP IS ▪ IS Director 	Information Services
Information Services Projects >\$249,999	VP Administration or AVP Finance	Any two of: <ul style="list-style-type: none"> ▪ VP Administration ▪ AVP Finance ▪ AVP IS 	Information Services

15. Professional Services

Agreement / Commitment Description	Approval Authority <i>committing the University</i>	Execution Authority <i>Signatory</i>	Department Responsible
Legal Services	VP Administration	VP Administration or University Secretary	Supply Management Services
External Auditors of University of Regina financial statements	Board of Governors	VP Administration and University Secretary	Supply Management Services
Insurance Contracts	VP Administration	AVP Finance	Financial Services