

Original Approval Date: May 25, 2005

Most Recent Approval Date: April 20, 2015

Most Recent Editorial Date: February 13, 2014

Parent Policy: [Contract Review and Signing Authority Policy](#)

Schedule A

Signing Authority for Contractual Obligations on Behalf of the Board of Governors of the University of Alberta

Office of Administrative Responsibility:	General Counsel
Approver:	Board Audit Committee
Scope:	Compliance with the University procedure extends to all members of the University community

The following persons are hereby authorized to enter into contracts on behalf of the University of Alberta:

EXPLANATORY NOTES

Note 1: When “or” or “/” is used in the Signing Authority column, only one of the signatures is required whereas “and” requires both signatures.

Note 2: When reference is made to the Responsible Department being the Provost and V-P (Academic) or another V-P, it is the office, and not the position, that is being referred to.

Note 3: When reference is made to a V.P. or Dean generally as having signing authority, it must be the V.P. or Dean of the Responsible Department or, if it is not the Responsible Department, of the relevant faculty or portfolio.

Note 4: In all cases, all other relevant contract review and financial authority policies and procedures must be followed, and, the required governance reviews and approvals must be obtained prior to contract execution.

Note 5: In circumstances where a contract may fit into more than one category, the General Counsel shall be notified and shall determine who the appropriate Responsible Department and Signing Authority will be.

Note 6: The dollar values referred to are over the entire term of the contract.

Note 7: PSLA is the Post-Secondary Learning Act (Alberta).

Note 8: Department means a non-academic unit or a faculty.

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A. Land and Space Agreements including Acquisition or Disposition of Land and Space Leasing

Contracts / documents that involve easements, leasing, sale or purchase of real property.

Document Description	Dept Responsible	Signing Authority
Acquisition of land (except gifts of land) < \$100,000	V-P (Facilities and Operations)	AV-P (Ancillary Services)
Acquisition of land (except gifts of land) \$100,000 - \$1 million	V-P (Facilities and Operations)	V-P (Facilities and Operations)
Acquisition of land (except gifts of land) \$1 million - \$5 million	V-P (Facilities and Operations)	V-P (Facilities and Operations) and V-P (Finance and Administration)
Acquisition of Land (except gifts of land) >\$5 million	V-P (Facilities and Operations)	President and V-P (Facilities and Operations)
Sale of Land	V-P (Facilities and Operations)	President and V-P (Facilities and Operations) May require prior approval from Lieutenant Governor in Council – see PSLA
Lease of land - 5 years or less (to or from the University) (excluding well-site access leases)	V-P (Facilities and Operations)	V-P (Facilities and Operations)
Lease of land – greater than 5 years (to or from the University) (excluding well-site access leases)	V-P (Facilities and Operations)	President and V-P (Facilities and Operations) May require prior approval from Lieutenant Governor in Council – see PSLA

Other Documents (including leasing of space to or from the University) <\$1 million	V-P (Facilities and Operations)	V-P (Facilities and Operations) May require prior approval from Lieutenant Governor in Council – see PSLA
Other Documents (including leasing of space to or from the University) \$1 million - \$5 million	V-P (Facilities and Operations)	V-P (Facilities and Operations) and V-P (Finance and Administration) May require prior approval from Lieutenant Governor in Council – see PSLA
Other Documents (including leasing of space to or from the University) >\$5 million	V-P (Facilities and Operations)	President and V-P (Facilities and Operations) May require prior approval from Lieutenant Governor in Council – see PSLA
Right of way/easement	V-P (Facilities and Operations)	V-P (Facilities and Operations)
Venue Rental Agreements * does not include long term rentals and displays (such as advertising, sponsorship and vending equipment) which are covered by Section “F”	Faculty/Office of V-P that controls the relevant venue	Dean of the relevant Faculty/Relevant V-P
Site or Facility Access Agreements by which the personnel of a third party access a University site or facility	V-P (Facilities and Operations)	V-P (Facilities and Operations)
Well-Site Access Leases	V-P (Facilities and Operations)	V-P (Facilities and Operations) May require prior approval from Lieutenant Governor in Council – see PSLA

B. Research and Intellectual Property Contracts

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

Document Description	Dept Responsible	Signing Authority
Applications for research funding and proposals	Research Services Office	V-P (Research)
Sponsored research funding agreements for grants, contracts and service	Research Services Office	V-P (Research)
Sponsored research funding agreements for grants, contracts, and services that include the following terms to license (or options to license) the patentable intellectual property created during research: - whether the license being granted to the sponsor is exclusive or non-exclusive - whether the license is royalty-free or royalty bearing - timeframe of license - geographic area of license	Research Services Office	V-P (Research)
Proprietary rights from inventions – patent, copyright, trademark, trade name, plant breeders’ rights	TEC Edmonton	V-P (Research)

License/Options to license to make, use or sell the product of an invention, includes: - sub-licensing - stand alone licensing documents - licenses attached as schedules to other agreements - licensing terms that appear in a sponsored research funding agreement excepting those licensing terms specified above as the responsibility of Research Services Office - licensing terms in any other agreement	TEC Edmonton	V-P (Research)
Material transfer agreements	TEC Edmonton	V-P (Research)
Data sharing agreements	TEC Edmonton	V-P (Research)
Confidentiality Agreements relating to intellectual property (research)	TEC Edmonton	V-P (Research)
Spin-off company documentation including shareholders agreements	TEC Edmonton	V-P (Research) and V-P (Finance and Administration)
Intellectual Property Management agreements	TEC Edmonton	V-P (Research)
Research Affiliation Agreements ie. network, relationship, partnership, memorandum of understanding, etc.	Research Services Office	V-P (Research)
Trademark Agreements (non-research)	V-P (University Relations)	V-P (University Relations)
Site or Facility Access Agreements permitting University personnel to access a third party's site or facilities, the primary purpose of such access being the performance of a research project – will assist researchers in understanding what we mean	Research Services Office	V-P (Research)
Other research related agreements not dealt with elsewhere in this document	V-P (Research)	V-P (Research)
Clinical Trials Agreements	Research Services office [through Northern Alberta Clinical Trials and Research Centre (NACTRC)]	V-P (Research)

C. Banking and Transactions

Document Description	Dept Responsible	Signing Authority
Establishment of Line of Credit	Financial Services	President and V-P (Finance and Administration)
Drawing down on a Line of Credit	Financial Services	V-P (Finance and Administration)
Investments	Financial Services	AVP (Finance & Supply Management Services)
Banking Contracts	Financial Services	V-P (Finance and Administration)
Banking Resolutions	Financial Services	V-P (Finance and Administration)
Borrowing Resolutions	V-P (Finance and Administration)	Chair or Vice Chair - Board of Governors,

Bank Signing Authorities	Financial Services	Any two of the following: <ul style="list-style-type: none"> • Chair of the Board of Governors • President • Provost and V-P (Academic) • V-P (Finance and Administration) • AVP (Finance & Supply Management Services) • Director, Investments and Treasury (Financial Services) • Director, Financial Accounting and Reporting (Financial Services)
Guarantee	V-P (Finance and Administration)	President and V-P (Finance and Administration) <ul style="list-style-type: none"> • Requires prior approval from Lieutenant Governor in Council
Debenture Borrowing Agreements	Financial Services	V-P (Finance and Administration) <ul style="list-style-type: none"> • Requires prior approval of Lieutenant Governor in Council
Agreements for issuance of notes, bonds, debentures or other securities	Financial Services	V-P (Finance and Administration) <ul style="list-style-type: none"> • Requires prior approval of Lieutenant Governor in Council
Credit Card Agreements	V-P (Finance and Administration)	V-P (Finance and Administration)
Housing Support Loan Agreements	Provost and V-P (Academic) Faculty and Staff Relations	Provost and V-P (Academic)
All other financial agreements	V-P (Finance and Administration)	V-P (Finance and Administration)

D. Academic Programs

All academic agreements including agreements for the pursuit or termination of any academically related activity, the establishment or management of an arrangement, program or organization, within or outside the University premises, or the creation or dissolution of a centre or institute of the University of Alberta.

Document Description	Dept Responsible	Signing Authority
Academic Affiliation and other, similar, Agreements	Provost and V-P (Academic)	Provost and V-P (Academic)
Reciprocal student exchange agreements within Canada	Provost and V-P (Academic)	Provost and V-P (Academic)
<ul style="list-style-type: none"> • Student Field Experience • Field placements • Project placements • Independent studies • Clinical Placement Agreements <ul style="list-style-type: none"> • *Including international agreement UNLESS there is a student exchange element to it 	Relevant Faculty	Dean of the relevant Faculty
Agreements for the creation or dissolution of centres or institutes	Relevant Faculty/Office of V-P	Provost and V-P (Academic)
Confidentiality Agreements relating to academic/course information	Provost and V-P (Academic)	Provost and V-P (Academic)
Academic Conference or Workshop Agreements	Provost and V-P (Academic)	Dean of the relevant Faculty and Provost and V-P (Academic)

Post-Doctoral Fellows Appointment Letters	V-P (Research)	Supervising Faculty Member (if any) and Dean/Chair/Director of Institute
Academic Funding Agreements (Faculty Specific)	Relevant Faculty	Provost and V-P (Academic) and Dean of the relevant Faculty
Academic Funding Agreements (Institutional with more than one Faculty)	Provost and V-P (Academic)	Provost and V-P (Academic)
Agreement with Post Doctoral Fellows Association	Provost and V-P (Academic)	Provost and V-P (Academic) and V-P Research
Graduate Student Funding/Scholarship Agreements	Faculty of Graduate Studies and Research	Dean, Faculty of Graduate Studies and Research
Other Academic Agreements not dealt with elsewhere in this document	Provost and V-P (Academic)	Provost and V-P (Academic)

E. Employment

Contracts for the hiring of staff and for all other agreements relating to the management and administration of employee matters. In all cases, any relevant provisions of the relevant Collective Agreement must be complied with.

Document Description	Dept Responsible	Signing Authority
Appointment letters	Relevant Faculty/Office of V-P /Libraries	The provisions of the relevant Collective Agreement and any relevant University policies and procedures must be followed.
President	Board of Governors	Chair -Board of Governors
Senior Executive	President	President
Collective Agreements	Human Resource Services	V-P (Finance and Administration) and Provost and V-P (Academic)
Pension Agreements	Human Resource Services	President and V-P (Finance and Administration) <ul style="list-style-type: none"> • Need to comply with s. 69 of PSLA
Senior Executive Retirement Plans	Human Resource Services	As determined by BHRCC <ul style="list-style-type: none"> • Need to comply with s.69 of the PSLA
Benefit Agreements	Human Resource Services	V-P (Finance and Administration)
Secondment Agreements (both to and from the University) – Faculty Position	Provost and V-P (Academic) Faculty and Staff Relations	Dean of the relevant Faculty and Provost and V-P (Academic)
Secondment Agreements for Academic Staff (both to and from the University) – Non-Faculty Position	Relevant Faculty/Office of V-P	Provost and V-P (Academic) for positions within Faculties and Relevant V-P for positions within administrative units
Secondment Agreements (both to and from the University) – Non-academic position	Relevant Faculty/Office of V-P	Dean of the relevant Faculty (if applicable) and V-P of the relevant Department
Resignation/Separation Agreements (Academic Position)	Human Resource Services	President or Provost and V-P (Academic)
Resignation/Separation Agreements (Non-Academic Position)	Human Resource Services	V-P (Finance and Administration)

F. Purchasing (Goods and Services)

Purchase or acquisition of all goods and services not described in any other category, even if there is no cost associated with acquiring the goods or service. This section includes contracts for building construction and alterations and for the retention of professional services (i.e. consulting agreements). Note that all SMS procurement policies and procedures will also apply to such purchases, including the delegation of authority to the faculties and administrative units for certain types of purchases that are set out in the Supply of Goods and Services Policy and its related procedures. (ex. Low dollar system purchase procedure; Corporate Purchasing Card procedure).

Document Description	Dept Responsible	Signing Authority
Goods and Services	SMS	V-P (Finance and Administration)
Insurance Contracts	Insurance & Risk Management	AVP (Risk Management Services) and V-P (Finance and Administration)
License of Software to the University	SMS	V-P (Finance and Administration)
Law Firm Retainer Agreements	Office of General Counsel	V-P (Finance and Administration) and General Counsel

G. Utilities

All contracts relating to the acquisition of utility services.

Document Description	Dept Responsible	Signing Authority
Short Term Contracts for Utilities (less than 1 year) < \$1,000,000	V-P (Facilities and Operations)	AVP (Utilities)
Short Term Contracts for Utilities (less than 1 year) > \$1 million	V-P (Facilities and Operations)	AVP (Utilities) and V-P (Facilities and Operations)
Long Term Contracts for Utilities (greater than 1 year)	V-P (Facilities and Operations)	AVP (Utilities) and V-P (Facilities and Operations)

H. Advancement

Any Agreement relating to the advancement activities of the University, including such things as estates and gift planning.

Document Description	Dept Responsible	Signing Authority
Estate Administration Agreements (such as releases and approval of estate accounts)	Office of Advancement	V-P (Advancement)
Interest free loans and trusts (charitable remainder or residual)	Office of Advancement	V-P (Advancement) and V-P (Finance and Administration) • Requires prior review by Financial Services
Gifts of Land to the University	Office of Advancement	V-P (Advancement) • Requires prior review by office of V-P (Facility and Operations)
Assignment of leases or royalty agreements to the University	Office of Advancement	V-P (Advancement) • Requires prior review by Financial Services
Affinity Agreements for alumni (ex. credit card or insurance agreements)	Office of Advancement	V-P (Advancement) • Requires prior review by Financial Services
Gift Agreements (not including museum, archival or library materials)	Office of Advancement	V-P (Advancement)
Charitable Gift Annuity Agreements (< \$1 million)	Office of Advancement	V-P (Advancement)
Charitable Gift Annuity Agreements (\$1 million - \$5	Office of Advancement	V-P (Advancement) and V-P

million)		(Finance and Administration)
Charitable Gift Annuity Agreements (> \$5 million)	Office of Advancement	V-P (Advancement) and President

I. Endowment and Special Purpose Funds

Document Description	Dept Responsible	Signing Authority
Endowment Funds - [Statement of Trust]	Office of Advancement / Financial Services	V-P (Advancement) and AVP (Finance & Supply Management Services)

J. International

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

Document Description	Dept Responsible	Signing Authority
Letters of agreement, contracts and /or contribution agreements with international funding agencies	University of Alberta International	Provost and V-P (Academic)
Letters of agreement, contracts and /or contribution agreements with funding agencies for international activities	University of Alberta International	Provost and V-P (Academic)
Commitments to participate in consortia on international projects (not research related)	University of Alberta International	Provost and V-P (Academic)
Amendments to previously approved funding or contribution agreements	University of Alberta International	Vice- Provost and AVP (International)
Memoranda of understanding, letters of agreement and/or contracts with international entities	University of Alberta International	Provost and V-P (Academic)
Memoranda of understanding, letters of agreement and/or contracts with international entities - Research Related	Provost and V-P (Academic) and V-P (Research)	Provost and V-P (Academic) and V-P (Research)
International exchange agreements and other international student mobility agreements	University of Alberta International	Provost and V-P (Academic)
Contracts for the provision of services by the University to a foreign third party	University of Alberta International	Provost and V-P (Academic)
International Clinical Placement Exchange Agreements	University of Alberta International	Provost and V-P (Academic) and Dean of the relevant Faculty

K. Settlement Agreements

Any document that settles a legal claim by or 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. This does not include Resignation/Separation Agreements which are covered in Section "E".

Document Description	Dept Responsible	Signing Authority
Settlement agreements	Office of the General Counsel	Either of the President; or Provost and V-P (Academic); and V-P (Finance and Administration)

L. Athletics

All contracts relating to the various athletic programs at the University.

Document Description	Dept Responsible	Signing Authority
Athletic Program Agreements	Relevant Faculty	Dean of the relevant Faculty
Athletic Facility - Venue Use or License Agreement	Relevant Faculty	Dean of the relevant Faculty
Agreements relating to teams playing at other locations	Relevant Faculty	Dean of the relevant Faculty



U of A Policies and Procedures On-Line (UAPPOL)

M. Library, Bookstore, Museums & Collections and University Press

All contracts relating to the acquisition and provision of library information resources, bookstore materials for resale, and for the acquisition of collections for museums and collections and archives.

Document Description	Dept Responsible	Signing Authority
Agreements for the acquisition of collections, information resources and related products	Libraries	Vice-Provost (Learning Services)
Agreements for the re-sale or redistribution of information resources and related products	Libraries or Bookstore or University Press	Vice-Provost (Learning Services)
Information Resource Licenses	Libraries or Bookstore	Vice-Provost (Learning Services)
Museums and Collections Acquisitions/Donation Agreements	Museums and Collections Services/Relevant Faculty	Vice-Provost (Learning Services)
Libraries Acquisitions/Donation Agreements	Libraries	Vice-Provost (Learning Services)
Loans of Museum Objects	Museums and Collections Services/Relevant Faculty or Department	Vice-Provost (Learning Services)
Loans of Libraries & Archives Material/Exhibits	Libraries	Vice-Provost (Learning Services)
Copyright and license agreements for reproductions of digitized images and works of the Libraries and Archives	Libraries or University Press	Vice-Provost (Learning Services)
Copyright and license agreements for reproductions of work of art and related museum objects	Libraries or University Press or Museums and Collections Services	Vice-Provost (Learning Services)
License Agreements for use of collections data	Museums and Collections Services/Relevant Faculty or Department	Vice-Provost (Learning Services)
Funding agreements with museum-specific program Note: museums granting agencies require central unit with museum expertise to coordinate museum grant applications to ensure compliance with museum practices and legislation	Museums and Collections Services	Vice-Provost (Learning Services)
Funding agreements with library and archives specific program • Note: library and archives granting agencies require central unit with library and archives expertise to coordinate grant applications to ensure compliance with library and archives practices and legislation	Libraries	Vice-Provost (Learning Services)
Agreements for the provision of information resources and services to third parties	Libraries	Vice-Provost (Learning Services)
Agreements for the purchase of goods and services directly relating to the above noted areas (and not otherwise falling within the scope of SMS policies and procedures)	Libraries or Museums and Collections Services	Vice-Provost (Learning Services)
Agreements to share information resources and other services with other parties	Libraries or University Press	Vice-Provost (Learning Services)

N. Miscellaneous

Document Description	Dept Responsible	Signing Authority
Prescription Drugs (Non-Research)	Office of Dean of Students	Dean of Students
Agreements for live animal purchase	Relevant Faculty	Dean of the relevant Faculty and Director of Animal Care
Sale of surplus assets	SMS	V-P (Finance and Administration)
Other sales of goods	Relevant Faculty/Office of V-P	Dean of the relevant Faculty/Relevant V-P
Contract for the provision of services by the University to a third party	Relevant Faculty/Office of V-P/libraries providing the service	Dean of the relevant Faculty/Relevant V-P/Relevant Associate V-P
Joint Venture, Partnership or other similar agreements (which are not dealt with elsewhere in this Schedule A)	Relevant Faculty/Office of V-P	Provost and V-P (Academic) and V-P (Finance and Administration) May require prior approval from Lieutenant Governor in Council – see PSLA
Waivers or Releases	Relevant Faculty/Office of V-P	Dean of the relevant Faculty/Relevant Vice-President
Student Residence Leases and Contracts	Ancillary Services	AVP (Ancillary Services)
Information Sharing Agreements (as contemplated under FOIPP)	Information and Privacy Office	Provost and V-P (Academic)
Conference or Workshop Agreements for other than Academic matters (see Section "D")	Relevant Faculty/Office of V-P	Dean of the relevant Faculty or Relevant V-P
Agreements for third parties to film on campus	V-P (University Relations)	V-P (Facilities and Operations) and V-P (University Relations)
Confidentiality or Non-Disclosure Agreements (non-research)	Relevant Faculty/Office of V-P	Relevant V-P
Assignment or transfer of Copyright and other Copyright Agreements (non-research)	Relevant Faculty/Office of V-P	Dean of the relevant Faculty or Relevant V-P
Sponsorship Agreements	Relevant Faculty/Office of V-P	Dean of the relevant Faculty/Relevant V-P
Non-Research related Site or Facility Access Agreements permitting University personnel to access a third party's site or facilities	Relevant Faculty/Office of V-P	Dean of the relevant Faculty/Relevant V-P

O. Contracts - Other

Any type of contract not otherwise described in this Schedule, such as Confidentiality Agreements.

Document Description	Dept Responsible	Signing Authority
Contract < \$100,000	Relevant Faculty/Office of V-P	Dean of the relevant Faculty/Relevant Assoc. V-P/V-P
Contract > \$100,000 - \$1 Million	Faculty/Office of V-P	President/Relevant V-P
Contract >\$1 - \$5 Million	Faculty/Office of V-P	Provost and V-P (Academic) and V-P (Finance and Administration)
Contract > \$5 Million	Faculty/Office of V-P	President and Provost and V-P (Academic)