

Signing Authority Register

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Signing Authority Register

<i>Document</i>				
1.				
Academic Agreements	<i>Terms</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/Document Used</i>
Externally funded Chairs or Professorships ¹	Any	Dean /Principal/ University Librarian and Vice-President Academic & Provost	President	Application or Agreement for externally funded academic chair
Practicum Agreements	Any	Vice-President Academic & Provost	Dean/Principal	Practicum Placement Agreement
Student Exchange Programs, University-wide	Any	Vice-President Academic & Provost	Vice-President Academic & Provost <u>and</u> one of President or Associate Vice-President International	Letter/ Memorandum of Agreement
Student Exchange Programs, Faculty specific	Any	Vice-President Academic & Provost <u>and</u> Dean(s)/Principal	Vice-President Academic & Provost <u>and</u> Dean(s)/Principal	Letter/ Memorandum of Agreement
Inter-institutional Collaborations (other than student exchanges, e.g., Joint Programs; York-Sheridan Design, etc.)	Any	Vice-President Academic & Provost <u>and</u> one of: President or Vice-President Finance & Administration	Vice-President Academic & Provost and one of: President or Secretary of University	Inter-institutional Agreements or Letters of Understanding
Delivery of non-degree programs/ courses to outside organizations, corporations, or institutions (e.g. Schulich Executive Education)	\$100,000 or more	Dean/Principal/University Librarian and Vice-President, Academic & Provost	Dean/Principal/University Librarian and Vice-President, Academic & Provost	Contracts or Agreements
Delivery of non-degree programs/ courses to outside organizations, corporations, or institutions (e.g. Schulich Executive Education)	Under \$100,000	Dean/Principal/University Librarian	Academic Program Director	Contracts or Agreements

¹ See also 7. Gift Agreements and 12. Research Agreements

<i>Document</i>				
2.				
Arbitration and Grievance Settlements	<i>Dollar Threshold</i>	<i>Approval Authority Committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
Non-Academic				
Final Stage Resolution	\$500,000 or more	Vice-President Finance & Administration <u>and</u> Relevant Vice-President	Assistant Vice-President Human Resources	Memorandum of Settlement or Agreement
	Under \$500,000 where cost is attributed in whole or part to a Faculty or Department	Assistant Vice-President Human Resources <u>and</u> Relevant Vice-President	Director, Employee Relations <u>or</u> Associate Director, Employee Relations	
	No financial cost	Assistant Vice-President Human Resources ²	Associate Director, Employee Relations	
At Step 1 Grievance		Dean/Principal/University Librarian, AVP, Director, Manager, Executive Officer or Administrative Officer of the Faculty or Department	Dean/Principal/University Librarian, AVP, Director, Manager, Executive Officer or Administrative Officer of the Faculty or Department	Grievance response or Memorandum of Settlement or Agreement
At Step 2 Grievance		Assistant Vice-President Human Resources ²	Associate Director, Employee Relations	
Academic				
Final Stage Resolution	\$500,000 or more	Vice-President Finance & Administration <u>and</u> Relevant Vice-President	Executive Director, Faculty Relations	Memorandum of Settlement or Agreement
	Under \$500,000	Executive Director, Faculty Relations ² <u>and</u> Relevant Vice-President	Executive Director, Faculty Relations	
	No financial cost	Executive Director, Faculty Relations ²	Associate Director, Faculty Relations	Memorandum of Settlement or Agreement
Step 2 Grievance		Dean/Principal/University Librarian <u>and</u> Executive Director Faculty Relations	Chair	
Step 3 Grievance		Dean/Principal/University Librarian <u>and</u> Executive Director Faculty Relations	Associate Dean	

² As applicable, the Assistant Vice-President Human Resources or the Executive Director Faculty Relations shall consult the Department Head (Dean, Associate Dean, Director, Executive Officer), particularly where an arbitration/grievance settlement may have an impact on operations or resources.

<i>Document</i>				
3.				
Capital Projects ^{3, 4}	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory Capital Budget Approval</i>	<i>Process of Implementation/ Document Used</i>
	\$2,000,000 or more	Board of Governors (via Board Finance and Audit Committee)	Vice-President Finance & Administration <u>and</u> one of President <u>or</u> Secretary of University	Capital Budget Approval (CBA)
	\$500,000 to \$1,999,999	President <u>or</u> Vice-President Finance & Administration	Vice-President Finance & Administration <u>and</u> one of President <u>or</u> Secretary of University	Capital Budget Approval (CBA)
	\$250,000 to \$499,999	Assistant Vice-President Campus Services & Business Operations	Vice-President Finance & Administration	Capital Budget Approval (CBA)
	Under \$250,000	Dean, Director, Executive Officer	Assistant Vice-President Campus Services & Business Operations	Capital Budget Approval (CBA) <u>or</u> Renovation Budget Approval (RBA)

³ Capital Project approval shall be based on (1) project need, (2) technical/logistical approval by Campus Services & Business Operations, and (3) funding availability

⁴ This is an internal approval to spend. Procurement for a capital project (e.g. contractor, architectural/design services, etc.) shall be authorized and executed as outlined under Procurement of Goods and Services.

⁵ The dollar threshold represents the **net** financial impact on York University.

<i>Document</i>				
4.				
Collective Bargaining Memoranda of Settlement <i>that the parties have agreed to terms</i>	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
Non-Academic	Any	Assistant Vice-President Human Resources <u>or</u> Vice-President Finance & Administration ⁶ <i>N.B. Collective Agreement settlements are ratified by the Board of Governors.</i>	Chief Negotiator for the Employer (Director / Associate Director Employee Relations or designate) <i>N.B. Bargaining Team members sign as witnesses.</i>	Memorandum of Settlement
Academic	Any	Executive Director, Faculty Relations <u>or</u> Vice-President Finance & Administration ⁶ <i>N.B. Collective Agreement settlements are ratified by the Board of Governors.</i>	Chief Negotiator for the Employer (Executive Director / Associate Director of Faculty Relations or designate) <i>N.B. Bargaining Team members sign as witnesses.</i>	Memorandum of Settlement

⁶ The Vice-President Academic & Provost shall be consulted prior to signing of Memoranda of Settlement related to YUFA and CUPE 3903

<i>Document</i>				
5.				
Commercial Business Contracts ^{7, 8}	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
	\$2,000,000 or more regardless of the term of the contract	Board of Governors (via Board Finance and Audit Committee)	Vice-President Finance & Administration <u>and</u> one of President <u>or</u> Secretary of University	Contract or agreement signed first by third party <u>or</u> Letter of intent /understanding signed first by third party
	\$500,000 to \$1,999,999 regardless of the term of the contract	President <u>or</u> Vice-President Finance & Administration	Vice-President Finance & Administration <u>and</u> one of President <u>or</u> Secretary of University	Contract or agreement signed first by third party <u>or</u> Letter of intent /understanding signed first by third party
	Under \$500,000 regardless of the term of the contract	Relevant Vice-President <u>and</u> Assistant Vice-President Campus Services & Business Operations	Vice-President Finance & Administration	Contract or agreement signed first by third party
Revenue Producing Contract - Return To the University (RTU)	As noted above based on projected gross sales	As noted above based on projected gross sales	As noted above based on projected gross sales	Contract or agreement signed first by third party

⁷ Note: This category, "Commercial Business Contracts," includes contracts that may not otherwise be covered under the University's Procurement of Goods and Services Policy and Procedure. Examples may include, but are not limited to, sponsorships, commercial advertising, enterprises operating within York, etc. Contracts in which third-parties engaged in commercial activity provide services to or for the University for an agreed upon price, cost or benefit are normally arranged through or as an outcome of tendering, requests for proposals, or other procurement processes associated with the University's Policy and Procedure for the Procurement of Goods and Services.

⁸ The dollar threshold represents the **net** financial impact on York University.

<i>Document</i>				
6. Employment				
The University's Compensation Internal Control Framework (Appendix 2 hereto) imposes additional approval requirements for employment contracts, compensation changes, pay adjustments and severance agreements for Vice-Presidents (and others who report to the President) and their direct reports.				
Employment Contracts / Transactions Academic	<i>Appointment Type</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
	Tenure Stream Faculty/Librarian ⁹	President <u>and</u> Vice-President Academic	Dean or Principal or University Librarian	Letter of Appointment [Employee Transaction Form (ETF) signed by Dean, Associate Dean or Executive Officer]
	Faculty/Librarian - Contractually Limited Appointments & Special Renewable Contract Appointments	Vice-President Academic	Dean or Principal or University Librarian	Letter of Appointment [Employee Transaction Form (ETF) signed by Dean, Associate Dean or Executive Officer]
	Teaching Assistantships	Departmental Chair <u>and</u> Dean of Graduate Studies or designate ¹⁰	Departmental Chair	Posting Approval Dean/Associate Dean Offers posted in ARM, for approval by FGS Letter of Appointment Departmental Chair [Electronic Employee Transaction Form (ETF) created by Dept. Admin. Asst. and submitted to Payroll.]
	Part-time Contract Faculty	Departmental Chair <u>and</u> Relevant Dean or designate	Departmental Chair	Posting Approval Dean/Associate Dean Letter of Appointment Departmental Chair [Electronic Employee Transaction Form (ETF) created by Dept. Admin. Asst. and submitted to Payroll.]
	Graduate Assistantships	Dean of Graduate Studies or designate	Graduate Program Director <u>or</u> Dean of Graduate Studies or designate	Workload Form signed by the GA, the Supervisor of the GA and the Grad Program director or designate [Electronic Employee Transaction Form (ETF) created by Dept. Admin. Asst., approved electronically by FGS, and submitted to Payroll.]

<i>Document</i>				
6. Employment				
Employment Contracts / Transactions Academic <i>continued</i>	<i>Appointment Type</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
	Termination of Full-time faculty	President	President	Letter of Termination Employee Transaction Form initiated and signed by home Faculty (Dean, Associate Dean or Executive Officer)

⁹ The appointment of a tenure stream faculty member or librarian normally results from a recommendation from the collegium within the relevant academic program that is channeled through the appropriate Dean (Principal, University Librarian) to the Vice-President Academic.

¹⁰ Normally, the authority to offer a TA resides with the Department Chair; however the Dean of the hiring Faculty vets the contract (in the context of accuracy, resource availability, etc.); and the ultimate authority on finalizing the contract offer resides with the Dean of the Faculty of Graduate Studies or his/her designate.

<i>Document</i>				
Employment Contracts / Transactions Non-Academic	<i>Appointment / Transaction Type</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
a)	Posting of New Positions: <ul style="list-style-type: none"> ▪ full-time permanent ▪ part-time permanent (<24 hours per week) ▪ full-time or part-time contract (>3 months to a maximum of 24 months) 	Divisional Vice-President or Vice-Presidential equivalent	Hiring manager and/or department head (Dean, Director, Executive Officer) and Divisional Vice-President or Vice-Presidential equivalent ¹⁰	Recruitment request
b)	Posting for Replacements in Existing Positions: <ul style="list-style-type: none"> ▪ full-time permanent ▪ part-time permanent ▪ contractual 	Dean/Principal/University Librarian <u>or</u> AVP <u>or</u> Vice-President or Vice-Presidential equivalent	Executive Officer or Director	Recruitment request
c)	Posting of New Positions: <ul style="list-style-type: none"> ▪ full-time contract ≤ 3 months ▪ part-time contract <24 hours per week 	Dean/Principal/University Librarian <u>or</u> Department Head	Dean/Principal/University Librarian <u>or</u> Department Head	Full-time contracts ≥ 24 hours per week and ≤ 3 months, contact YUTA Part-time contracts <24 hours per week, posted by hiring unit
d)	Waiver of Posting	Assistant Vice-President, Human Resources	Assistant Vice-President Human Resources <u>or</u> Manager Job Evaluation & Compensation Services	Memorandum or e-mail from Execution Signatory
e)	Extension of Contract: <ul style="list-style-type: none"> ▪ full-time or part-time limited term contract (more than 12 months) 	Divisional Vice-President or Vice-Presidential equivalent	Divisional Vice-President or Vice-Presidential equivalent	ETF Extension letter
	Extension of Contract: <ul style="list-style-type: none"> ▪ full-time or part-time temporary contract (total employment not to exceed 12 months) 	Department Head	Hiring Manager	ETF Extension letter
f)	Offer of Employment a), b), d) and e) above	Dean/Principal/University Librarian <u>or</u> Department Head ¹⁴	Hiring Manager ^{11, 12, 14}	Letter of offer / contract extension and ETF ¹¹
	Offer of Employment c) above	Hiring manager ¹⁴	Hiring Manager ¹⁴	Letter or e-mail confirming hire

<i>Document</i>				
Employment Contracts / Transactions Non-Academic <i>continued</i>	<i>Appointment / Transaction Type</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
g)	Termination Letter and Severance at Termination	Assistant Vice-President Human Resources or designate ¹¹ <u>and</u> University Legal Counsel	Employee's Manager	Termination Letter and Termination ETF
h)	Final Severance Agreement, if required	Assistant Vice-President Human Resources or designate ¹¹ <u>and</u> University Legal Counsel	Assistant Vice-President Human Resources or designate <u>or</u> University Legal Counsel	Severance Agreement and Termination ETF
i)	Compensation Changes and Pay Adjustments, including: Merit, special incentives, stipend, market adjustment, anomalies	Department Head (Dean, Director, Executive Officer) <u>and</u> Divisional Vice-President ^{13, 14}	Department Head (Dean, Director, Executive Officer) <u>and</u> Divisional Vice-President ^{13, 14}	ETF

¹¹ Positions reporting to a Vice-President require both the signature of the Vice-President and the signature of the President in accordance with the Internal Control Framework.

¹² Employment contracts for Executive positions (e.g., Vice-Presidents, Assistant/Associate Vice-Presidents and Deans) will be prepared in consultation with and approved by the Assistant Vice-President Human Resources.

¹³ Compensation adjustments for CPM Grade J and other positions reporting to a Vice-President or equivalent require both the signature of the Vice-President and the signature of the President in accordance with the Internal Control Framework. Compensation changes and pay adjustments for Vice-Presidents and above must be routed through the office of the Vice President Finance & Administration for authorization to process the change or payment.

¹⁴ In accordance with **Compensation Internal Control Frameworks** (see Appendix 2), the Compensation Office in the Department of Human Resources has accountability for maintaining the pay practices for all CPM employees ensuring consistent and fair practices are applied across the CPM organization and being sensitive to internal equity, employment related legislation and public sector restraint measures that may be imposed from time to time. Recommendations for compensation changes and pay adjustments for CPM employees in salary grades A to I must be discussed with and approved by the Compensation Office or the Assistant Vice-President Human Resources **prior** to any commitment being made to the employee *and prior to the approval authority committing the University*.

<i>Document</i>				
7.				
Gift Agreements 15, 16	<i>Dollar Threshold</i>	<i>Approval Authority</i> <i>committing the University</i>	<i>Execution</i> <i>Signatory</i>	<i>Process of</i> <i>Implementation/</i> <i>Document Used</i>
Gifts of Real Estate Assets	Any	Board of Governors or designated Board Committee	Vice-President Advancement and Vice-President Finance & Administration or University Secretary	Gift Agreement
Designated Gift, with terms and conditions relating to an academic unit or activity	Academic or Research Chairs and Professorships	Dean /Principal/ University Librarian and Vice-President Academic & Provost and Vice-President Advancement	Dean/Principal/ University Librarian and Vice-President Advancement	Gift Agreement
	Other, at any threshold	Dean /Principal/ University Librarian and Vice-President Advancement	Dean/Principal/ University Librarian and Vice-President Advancement	Gift Agreement
Designated Gift, with terms and conditions relating to a research unit or activity	\$500,000 or more	Vice-President Research & Innovation and Vice-President Advancement	Vice-President Research & Innovation and Vice-President Advancement	Gift Agreement for Research
	Under \$500,000	Associate Vice-President Research and Vice-President Advancement	Vice-President Research & Innovation and Vice-President Advancement	Gift Agreement for Research

Gift Agreements <i>continued</i> ^{15, 16}	<i>Dollar Threshold</i>	<i>Approval Authority</i> <i>committing the University</i>	<i>Execution</i> <i>Signatory</i>	<i>Process of</i> <i>Implementation/</i> <i>Document Used</i>
Designated Gift, with terms and conditions relating to student financial support	\$25,000 or more	Vice-President Advancement and Vice-Provost Students	Vice-President Advancement and Vice-Provost Students	Gift agreement for scholarship, bursary or award
	Under \$25,000	Vice-President Advancement and Vice-Provost Students or Dean/Principal	Vice-President Advancement and Vice-Provost Students or Dean/Principal	Gift agreement for scholarship, bursary or award
Designated Gift, with terms and conditions relating to capital projects, renovations, etc. ¹⁷	\$250,000 or more	Vice-President Advancement and Vice-President Finance and Administration	Vice-President Advancement and Vice-President Finance and Administration	Gift Agreement
	Under \$250,000	Vice-President Advancement and Vice-President Finance and Administration	Vice-President Advancement and Dean /Principal/University Librarian <u>or</u> Divisional Vice-President	Gift Agreement
Designated Gift, with terms and conditions relating to other (non-academic, non-research) projects or programs	\$250,000 or more	Vice-President Advancement and Divisional Vice-President	Vice-President Advancement and Divisional Vice-President	Gift Agreement
	Under \$250,000	Vice-President Advancement and Divisional Vice-President	Vice-President Advancement and Dean /Principal/University Librarian <u>or</u> Divisional Vice-President	Gift Agreement

¹⁵ The process for Gift Agreements requires review of the Gift Agreement by University Counsel.

¹⁶ In all cases, one or more signatures may be added to a Gift Agreement (e.g., the Dean/Principal/University Librarian, President, Vice-President Academic & Provost, etc.) if important to the donor relationship.

¹⁷ Gift Agreements related to Capital Projects may be enacted only for University approved projects unless otherwise authorized by the President.

<i>Document</i>				
8.				
Investment Manager and Banking Agreements	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
	Any	Board of Governors or Appropriate Board Committee designated by the Board	Assistant Vice-President Finance & CFO <u>and</u> Treasurer	

<i>Document</i>				
9.				
Leases, Licences and Hosting Agreements ¹⁸	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
York as Landlord ¹⁹	\$2,000,000 or more regardless of the term of the lease, licence or agreement	Board of Governors (via Board Finance and Audit Committee)	Vice-President Finance & Administration and one of: President or Secretary of University	Lease, licence or agreement signed first by prospective tenant
	\$500,000 to \$1,999,999 regardless of the term of the lease, licence or agreement or \$2,000,000 or more with prior Board of Governors approval	President or Vice-President Finance and Administration or designate	Vice-President Finance & Administration and one of: President or Secretary of University	
	\$50,000 to \$499,999 regardless of the term of the lease, licence or agreement	Assistant Vice-President Campus Services & Business Operations	Vice-President Finance & Administration or Assistant Vice-President Finance	
	Under \$50,000 regardless of the term of the lease, licence or agreement	Designates of Vice-President Finance and Administration (e.g., Accommodation & Conference Services, Facilities administrators)	Designates of Vice-President Finance and Administration (e.g., Accommodation & Conference Services, Facilities administrators)	

¹⁸ Hosting agreements are those through which York University commits the provision of space, services and/or resources to a third party to house an activity that supports the objectives of the University or its programs.

¹⁹ Where the tenancy or hosting arrangement involves an employee or student, Approval and Execution shall be guided by the University's Guidelines for Businesses and Programs Operating on York University premises.

Leases, Licences and Hosting Agreements	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
York as Tenant	\$2,000,000 or more regardless of the term of the lease, licence or agreement ²¹	Board of Governors or designated Board Committee	Vice-President Finance & Administration <u>and</u> one of: President <u>or</u> Secretary of University	Lease/licence or agreement signed first by York as prospective tenant ²⁰
	\$500,000 to \$1,999,999 regardless of the term of the lease, licence or agreement	Vice-President Finance and Administration or President	Vice-President Finance and Administration <u>and</u> one of: President <u>or</u> Secretary of University	
	\$100,000 to \$499,999 regardless of the term of the lease, licence or agreement	Assistant Vice-President Campus Services & Business Operations	Vice-President Finance & Administration <u>or</u> Assistant Vice-President Finance	
	Under \$100,000	Assistant Vice-President Campus Services & Business Operations	Relevant Executive Officer	

²⁰ Includes amending agreements, amendments to agreements and extension of a lease, licence or hosting agreement

²¹ Offers/proposals to lease, license or host, in the amount of \$2,000,000 may be authorized by the Vice-President Finance and Administration conditional upon approval of the Board of Governors; and executed by the Vice-President Finance and Administration and either the President or the Secretary of the University.

<i>Document</i>				
10.				
Legal Actions, Minutes of Settlement	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
	\$1 million or more	Board of Governors Executive Committee	Vice-President Finance and Administration <u>and</u> one of: President or University Counsel	Minutes of settlement, normally negotiated by Counsel
	\$500,000 or more	President <u>or</u> Divisional Vice-President	University Counsel <u>and</u> Either Approval Authority	
	\$50,000 to \$500,000	President <u>or</u> Divisional Vice-President	University Counsel	
	Less than \$50,000	Executive Officer, Director and University Counsel	University Counsel	

<i>Document</i>				
11.				
Procurement of Goods & Services 22, 23, 24, 25	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
Goods & Services without prior Board of Governors approval	\$2,000,000 or more per entire contract	Board of Governors (via Board Finance and Audit Committee)	Assistant Vice-President Finance <u>or</u> Director Procurement Services	Written resolution presented to the Board Finance and Audit Committee for recommendation to the full Board
Any Goods & Services	\$1,000,000 to \$1,999,999 (entire contract) <u>or</u> \$2,000,000 or more (entire contract) with prior Board of Governors approval <u>or</u> Non-competitive procurement of Consulting Services of \$1,000,000 or more (entire contract) with prior Board of Governors' approval	President <u>or</u> Vice-President Finance and Administration or designate	Assistant Vice-President Finance <u>or</u> Director Procurement Services	Purchase Requisition /Contract (including any subsequent Change Orders / Amendments) requires Approval Authority signature; Purchase Order /Contract requires Execution signatory; Invoices received under authorized and executed Purchase Orders require Approval Authority signature; An invoice under \$10,000 requires a Cheque Requisition with the Invoice, both signed by Approval Authority.
Any Goods & Services	\$500,000 to \$999,999 (entire contract)	Divisional Vice-President <u>or</u> Vice-President Finance and Administration <u>or</u> Assistant Vice-President Finance	Assistant Vice-President Finance <u>or</u> Director Procurement Services <u>or</u> Assistant Director Procurement Services	
Any Goods & Services	\$100,000 to \$499,999 (entire contract)	Associate/Assistant Vice-President <u>or</u> Dean	Assistant Vice-President Finance <u>or</u> Director Procurement Services <u>or</u> Assistant Director Procurement Services	
Any Goods & Services	\$50,000 to \$99,999 (entire contract)	Director <u>or</u> Executive Officer	Director Procurement Services <u>or</u> Assistant Director Procurement Services	
Any Goods & Services	Under \$50,000 (entire contract)	Signing Authority of Cost Centre	Director Procurement Services <u>or</u> Assistant Director Procurement Services	

<i>Document</i>				
Procurement of Goods & Services <i>continued</i> ^{22, 23, 24, 25}	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
Revenue Producing Contracts - Return To the University (RTU)	As noted above on projected gross sales	As noted above based on projected gross sales	As noted above based on projected gross sales	Contract

- ²² The Department Head is responsible for managing the goods or services upon delivery. This includes the management of contracts, and implementation of the terms and execution of commitments articulated in agreements with vendors or service providers.
- ²³ In accordance with the Policy and Procedure on the Procurement of Goods and Services, any acquisition of \$10,000 or more normally requires the issuance of a purchase order, which is the direct responsibility of the Director of Procurement Services. For acquisitions below \$10,000 (except consulting services), department heads hold the delegated authority to make any acquisition of a good or service at their discretion provided fair market value and the guidelines, processes, methods and other requirements outlined in the University Procedure on Procurement of Good and Services are observed.
- ²⁴ All documentation (e.g. Purchasing Requisitions, Purchase Orders, Non-Competitive Procurement {Sole or Single Source}, Standing Agreements, Contracts, etc.) related to the purchase of goods and services shall be approved and executed according to the signing authorities outlined in this section unless otherwise noted on the official document being signed. For example, non-competitive procurement (sole or single source) of consulting services with a value of \$1,000,000 or more requires Board of Governors approval, obtained via a written resolution presented to the Board Finance and Audit Committee for recommendation to the full Board of Governors.
- ²⁵ The dollar threshold for Procurement of Goods and Services is exclusive of applicable tax.

<i>Document</i>				
12.				
Research Agreements	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/Document Used</i>
Inter-institutional Collaborations	\$2,000,000 or more regardless of the term of the agreement	Board of Governors (via Board Finance and Audit Committee)	Vice-President Finance & Administration <u>and</u> one of President <u>or</u> Secretary of University	Inter-institutional Agreement
	\$1,000,000 to \$1,999,999 regardless of the term of the agreement	Vice-President Research & Innovation <u>and</u> one of: President <u>or</u> Vice-President Finance & Administration	Vice-President Research & Innovation <u>and</u> one of: President <u>or</u> Vice-President Finance & Administration	Inter-institutional Agreement
	Under \$1,000,000 regardless of the term of the agreement	Vice-President Research and Innovation <u>and</u> Dean/Principal	<u>Any two of:</u> Director, Office of Research Services Vice-President Research and Innovation Associate Vice-President Research	Inter-institutional Agreement
Granting Agencies Research Grants	\$1,000,000 or more	Vice-President Research & Innovation <u>and</u> Vice-President Finance & Administration	Vice-President Research & Innovation <u>and</u> one of: President <u>or</u> Vice-President Finance & Administration	Tri-Council – no instrument; Others: Grant Agreement (e.g. CFI); Contribution Agreement (e.g. CIDA)
	Under \$1,000,000	Vice-President Research and Innovation <u>and</u> Dean/Principal	<u>Any two of:</u> Director, Office of Research Services Vice-President Research and Innovation Associate Vice-President Research	Tri-Council – no instrument; Others: Grant Agreement (e.g. CFI); Contribution Agreement (e.g. CIDA)
Granting Agencies Research Chairs or Professorships	Any	Vice-President Research & Innovation <u>and</u> Vice-President Academic & Provost <u>and</u> Vice-President Finance & Administration	Vice-President Research & Innovation <u>and</u> one of: President <u>or</u> Vice-President Finance & Administration	Tri-Council – no instrument; Others: Grant Agreement (e.g. CFI); Contribution Agreement (e.g. CIDA)

12.				
Research Agreements <i>Continued</i>	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/Document Used</i>
Sponsored Research Research Grants	\$1,000,000 or more	Vice-President Research & Innovation <u>and</u> Vice-President Finance & Administration	Vice-President Research & Innovation <u>and</u> one of: President <u>or</u> Vice-President Finance & Administration	Collaboration Agreement <u>or</u> Research Contract <u>or</u> Service Agreement (depending on the agency and nature of agreement)
	Under \$1,000,000	Vice-President Research and Innovation <u>and</u> Dean/Principal	<u>Any two of:</u> Director, Office of Research Services Vice-President Research and Innovation Associate Vice-President Research	Collaboration Agreement <u>or</u> Research Contract <u>or</u> Service Agreement (depending on the agency and nature of agreement)
Sponsored Research Research Chairs or Professorships	Any	Vice-President Research & Innovation <u>and</u> Vice-President Academic & Provost <u>and</u> Vice-President Finance & Administration	Vice-President Research & Innovation <u>and</u> one of: President <u>or</u> Vice-President Finance & Administration	Contract <u>or</u> Donor Agreement

<i>Document</i>				
13.				
Sale or Disposal of Assets: Real Estate	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
	Any	Board of Governors (via the appropriate Board Committee)	Any 2 of: President <u>or</u> Vice-President Finance and Administration <u>or</u> Secretary of the University	Agreement of Purchase and Sale
14.				
Sale or Disposal of Assets: Personal Property	<i>Dollar Threshold</i>	<i>Approval Authority committing the University</i>	<i>Execution Signatory</i>	<i>Process of Implementation/ Document Used</i>
	\$2,000,000 or more	Board of Governors (via Board Finance and Audit Committee)	Any 2 of: President <u>or</u> Vice-President Finance and Administration <u>or</u> Secretary of the University	Normally would only occur pursuant to the University's Policy and Procedure on the Sale or Disposal of Surplus Assets; transaction would be by invoice issued by a third-party agent.
	\$1,000,000 to \$1,999,999	President <u>or</u> Vice-President Finance and Administration or designate	Assistant Vice-President Finance <u>or</u> Director Procurement Services	
	Under \$1 million	Divisional Vice-President	Assistant Vice-President Finance <u>or</u> Director Procurement Services <u>or</u> Assistant Director Procurement Services	

²⁶ The dollar threshold for Sale or Disposal of Assets is exclusive of applicable tax.

Appendix 1

Temporary Delegation of Authority to Approve or Execute Documents on behalf of York University

I hereby delegate my authority, as set out in the University Guideline on Signing Authority: Approval and Execution of Documents, as follows:

Delegation of Authority to Approve ___ No ___ Yes _____ Dollar Threshold

Delegation of Authority to Execute ___ No ___ Yes _____ Dollar Threshold

Document Type: _____
Please reference document name as it appears in the Signing Authority Guideline & Register

Purpose and/or Limitations of Delegation:

Name of Delegator: _____

Position/Title of Delegator: _____

Declaration of Delegator: *In the delegation of my authority to approve and/or execute documents on behalf of York University, I accept the very responsibility that I would normally accept in authorizing such documents directly, myself.*

Signature of Delegator Date

Name of Delegatee: _____

Position/Title of Delegatee: _____

Date Delegation of Authority to Commence: _____

Date Delegation of Authority to End: _____

Declaration of Delegatee: *I understand and hereby accept the authority delegated to me in approving and/or executing documents on behalf of York University, which I agree to undertake in accordance with established University policies, procedures and governance processes as well as applicable federal, provincial and municipal laws. I understand that I am being delegated the power to approve and/or execute and that all obligations to obtain proper University authority for the terms and conditions of any document are to be met prior to execution. I also undertake to provide the delegator an executed copy of any and all documents signed hereunder, forthwith after execution.*

Signature of Delegatee Date

Appendix 2

Compensation Internal Control Frameworks

Retention of Employment and Severance Contracts

1. Signed employment contracts/offer letters must accompany the initiating Employee Transaction Form (ETF) to the Department of Human Resources for all non-academic hires in order for the employee to be added to the York payroll. After processing, the signed contract/offer letter will be retained in the employees' personnel file located in the Department of Human Resources.
2. Employment contracts/offer letters for executive positions such as Vice-Presidents, Associate/Assistant Vice-Presidents and Deans, will be prepared in consultation with, and approved by the AVP Human Resources & CHRO. Subsequent to acceptance, the signed contract/offer letter will be retained in the Office of the AVP Human Resources & CHRO.
3. All York employee severance agreements will be approved by the AVP Human Resources & CHRO subject to legal counsel recommendations and will be retained in the office of the AVP Human Resources & CHRO.

Signing Authority for Compensation Changes or Pay Adjustments

1. Appropriate segregation of duties requires that individuals recommending a compensation change or payroll payment should not at the same time approve them. Approval must be granted by one level of management above. This principle applies at all levels including the senior levels of the organization including Directors, Deans/Principal/University Librarian, Assistant and Associate Vice Presidents, Vice-Presidents, and the President.
2. Pay adjustments (e.g. bonuses, severances, special payments) for direct reports must be approved by the manager once removed. This requirement applies at all levels of the University including Directors, Deans/Principal/University Librarian, Associate and Assistant Vice Presidents, Vice-Presidents, and the President.

The Compensation Office in the Department of Human Resources has accountability for maintaining the pay practices for all CPM employees ensuring consistent and fair practices are applied across the CPM organization and being sensitive to internal equity, employment related legislation and public sector restraint measures that may be imposed from time to time.

Recommendations for compensation changes and pay adjustments for CPM employees in salary grades A to I must be discussed with and approved by the Compensation Office or the AVP Human Resources & CHRO prior to any commitment being made to the employee.

Recommendations for compensation changes and pay adjustments including special incentives and taxable benefits for CPM employees in salary grade J, direct reports to the Vice-President and YUFA-Exempt employees must be discussed with and approved by the President who will consult with the AVP Human Resources & CHRO prior to any commitment being made to the employee.

Recommendations for compensation changes and pay adjustments for Vice-Presidents and above must be routed through the Office of the Vice President Finance & Administration for authorization to process the change or payment.

Please Note:

ETFs received by the Department of Human Resources without either the appropriate authorization or documentation attached will not be processed.