



Colgate University
Signatory Authority for Federal Grants
Adopted: January 1, 2011

I. Policy Statement:

Colgate University requires that all of its federally funded proposals and awards be executed by authorized individuals. Pursuant to a resolution regarding the authorization and empowerment of the Treasurer of the University dated October 3, 2009, the Board of Trustees has vested the Vice President for Finance and Administration (the Treasurer of the University) with the institutional authority to approve proposals and accept award agreements and any subsequent amendments on behalf of Colgate University. The Vice President for Finance and Administration has formally delegated this institutional signatory authority to the Associate Vice President, Controller. No federally funded proposals or award agreements will be accepted without the proper institutional signatory authority.

II. Purpose:

The purpose of this policy is to formally assign institutional authority for executing federally sponsored proposals and awards. It is also intended to increase awareness of the need for proper approvals when entering into federally sponsored agreements.

III. Who Should be Knowledgeable about this Policy

- a. Vice President for Finance and Administration
- b. Controller
- c. Assistant Controller
- d. Director of Corporate, Foundation and Government Relations (Grants Office)
- e. Principal Investigators and Project Directors
- f. Department Chairs
- g. Division Directors
- h. Associate Provost
- i. Provost and Dean of the Faculty

IV. Procedural Statement / Implementation

Colgate University's establishment of institutional signatory authority for federally funded proposals and awards is subject to the following conditions:

- A. Formal assignment or delegation of institutional signatory authority is required for all those who commit institutional resources for federally sponsored agreements. Only the Vice President for Finance and Administration, the Controller, or their assigned delegates have the authority to execute federally sponsored proposals and awards.
- B. Individuals who initiate proposals or enter agreements without the necessary authority are subject to personal legal liability, disciplinary action and, at a minimum will be required to submit all documentation according to standard university procedures.
- C. The Vice President for Finance and Administration will have the ability to amend or revoke assignments of delegated authority at any time. He or she is expected to periodically review any assigned delegations.
- D. As the delegate of institutional signatory authority for federally sponsored proposals and awards, the Controller will be responsible for executing documents in the majority of situations. This assignment of delegated authority is subject to the following conditions:
 - The Controller may not approve proposals or agreements when a real or apparent conflict of interest exists. In these cases, the Controller must disclose any potential conflicts of interest to the Vice President for Finance and Administration. If a conflict of interest is determined to exist by the Vice President for Finance and Administration, he or she shall amend assignment of delegated authority in a manner appropriate to avoid the



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conflict. Subdelegations will not be allowed unless established in advance and specifically documented as an assignment of delegated authority.

- If the Controller is absent, the Vice President for Finance and Administration must sign on his or her behalf unless appropriate advance subdelegations have been made by the Controller.
- E. All federally sponsored proposals and award documentation must be routed through the Office of Corporate, Foundation and Government Relations before review and approval by the Controller or the Vice President for Finance and Administration.
- F. Institutional signatory authority delegation is further documented in the memo, titled "Signatory Authority for Federally Sponsored Proposals and Awards," dated January 1, 2011. This memo is filed in the Office of the Vice President for Finance and Administration, the Office of Accounting and Control and the Office of Corporate, Foundation and Government Relations.

V. Attachments

- a. Memorandum: "Signatory Authority for Federally Sponsored Proposals and Awards," dated January 1, 2011

SOURCE: Office of the Vice President for Finance and Administration

ISSUE DATE: January 1, 2011

SUBJECT: Signatory Authority for Federally Sponsored Proposals and Awards

PURPOSE: To establish and clarify the delegation of institutional signature authority for proposals and agreements between the University and federal sponsors.

I. General

No officer, agent, or employee of the University has the authority to sign contracts or other agreements on behalf of the University or any unit, department or subdivision of the University in the absence of a formal assignment of delegated authority as described below.

This delegation of institutional signature authority applies to all documents that obligate the University to activities featuring federal sponsors, irrespective of the title or designation of the document; e.g. "proposals", "award agreements" and "amendments" are all covered herein.

II. Assignment of Delegated Authority

The Board of Trustees has granted the Vice President for Finance and Administration (the Treasurer of the University) specific institutional authority to execute documents pertaining to federally funded proposals and agreements on behalf of the University. The Vice President for Finance and Administration has formally subdelegated this full institutional signatory authority to the Associate Vice President, Controller.

III. Subdelegation of Authority

In certain circumstances, the Controller may further subdelegate the authority to sign documents related to federally sponsored proposal and agreements to other officers acting in conjunction with the Controller.

Subdelegation shall be issued in full consistency with the parameters established in the Signatory Authority Policy, including, where necessary, routing of subject documents through the Office of Corporate, Foundation and Government Relations prior to review and approval by the delegated institutional signatory.

Any documents signed by the delegated institutional signatory shall have the same force and effect as if the documents were signed by the Controller. Any subdelegation of authority may be revoked at the discretion of the Controller.

IV. Format for Changes to Assignment of Delegated Institutional Signature Authority

Changes to the assignment of delegated institutional authority shall be recorded by memo to the Vice President for Finance and Administration by the authorized individual requesting the change and shall include the following elements:

- Name, signature, and title of the authorized individual (requestor) and the affected individual
- Description of action including the name and title of the individuals concerned (i.e., whether the change is an assignment or full or partial revocation of delegated authority)
- Effective date of the change

V. Proposal Application Certification

The University is the sponsor for proposals and agreements and is ultimately responsible for the performance of activities and the proper use of federal funds; however, additional individuals shall be called upon to certify commitment to meeting the obligations set forth in proposals. Prior to submission to a federal sponsor, proposals should be routed for approvals following the instructions on the University's Grant Application Approval Cover Sheet and shall include signature by the following:

- Controller
- Director of Corporate, Foundation and Government Relations (Grants Office)
- Department Chairs
- Division Directors
- Associate Provost
- Provost and Dean of the Faculty

Upon completion of the reviews by parties specified in the Grant Application Approval Cover Sheet, the Grants Office shall coordinate with the Project Director or Principal Investigator for proposal submission. A copy of the entire proposal package (consisting of the Cover Sheet and proposal) is to be maintained by the following Office:

- Corporate, Foundation and Government Relations (Grants Office)

VI. Award Acceptance

As the institutional signatory of the University, the Controller or his or her authorized delegate shall hold responsibility for executing agreements issued by federal sponsors. The Office of Corporate, Foundation and Government Relations shall assist with review, negotiation, and acceptance of all federally sponsored award agreements. The Offices of Accounting and Control and Corporate, Foundation and Government Relations are jointly responsible for ensuring compliance with agreement obligations, the application of sponsor guidelines, and compliance with University policies and procedures.

A copy of the fully executed agreement is to be maintained by the following Offices:

- Corporate, Foundation and Government Relations (Grants Office)
- Accounting and Control