

Policy 1-5 Rev. 3
Date: December 27, 1999

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Subject: **PROCESSING AND SIGNING OFFICIAL DOCUMENTS**

I. PURPOSE

To establish responsibilities for the review, approval, and signing of official documents.

II. REFERENCES

[Policy and Procedures No. No. 3-4](#), Banking Policy

[Policy and Procedures No. 4-2](#), Requisition Preparation and Processing

[Policy and Procedures No. 4-6](#), Lease or Rental of Property for University Use

[Policy and Procedures No. 4-14](#), Independent Consultant and Independent Contractor Professional Service Agreements

III. DEFINITIONS

Official Document - For the purpose of this policy and procedure, an "official document" is a written agreement, proposal, or other formal instrument regarding a course of action or the expenditure of university funds which is intended to be binding upon the university.

Authorized Signature - The actual signature of the responsible individual authorized to sign official university documents as outlined in this policy. A rubber-stamped signature is not acceptable on official documents.

Authorized Alternate Signature - The actual signature of the individual designated by the principal investigator, department chair/head, director, dean, or vice president to act in his or her behalf in matters requiring signatures on official university documents as outlined in this policy. The individual designated as an authorized alternate will sign his or her own name and not the name of the higher supervisory officer who made the designation, or of any other person.

IV. POLICY

A. The originator of an official document shall route the document to the office of the appropriate university officer for review, processing, and signature after obtaining necessary approval and/or signature of the department head, dean, or director.

B. Exceptions to the signature requirements of this policy may be authorized by the president or the appropriate vice president when special circumstances or emergency conditions make strict compliance impracticable. Authorization shall be in writing and filed in the office of the vice president for administrative services.

C. Official documents with significant legal implications should be forwarded to the university legal counsel for review before execution by the appropriate university officer. Documents such as summonses or subpoenas may be received and signed for by a university officer as appropriate, but should be referred to the legal counsel for review before any action is taken.

D. During the absence of individuals authorized to sign official documents, approval and signature should be obtained from the authorized alternate or next higher supervisory officer.

V. PROCEDURES

A. Office of Vice President for Research

The following documents, including the official document summary sheet, shall be routed to the office of the vice president for research for review, processing, and signature by the vice president or authorized alternate:

1. Research contracts, grants, agreements, and proposals/applications for same.
2. Training and/or Institutional Service contracts, grants, agreements, and proposals/applications for same.
3. Patent agreements.
4. General contractual agreements:
 - a. Testing programs over \$5,000 between University of Utah Experiment Station and governmental agencies or private sources.
 - b. Other applicable general service agreements, such as independent consultant/contractor agreements.
5. Closing documents on cost reimbursement type contracts and agreements.

B. Office of Vice President for University Relations

The following documents shall be routed to the office of the vice president for university relations or designee for review, processing, and signature by the vice president or authorized alternate:

1. Documents from the Athletic Department, including:

- a. Intercollegiate athletic game contracts.
- b. Intercollegiate athletic air charter contracts.
- c. Contracts to televise and broadcast athletic events.
- d. Athletic letters-of-intent.

2. Documents from the Development Office, correlating with the assistant treasurer:

- a. Gift agreements.
- b. Pledge agreements.
- c. Charitable remainder unitrusts.
- d. Annuity trusts.
- e. Bequests.

3. Contracts with nonuniversity users of university facilities:

- a. Alumni House
- b. Rice Stadium

C. Office of Vice President for Health Sciences

The following documents shall be routed to the office of the vice president for health

sciences for review, processing, and signature by the vice president or authorized alternate:

1. Hospital service agreements with federal or local agencies for patient care.
2. Affiliation agreements with hospitals and other health-related agencies to train medical residents and health sciences students.
3. Letters of agreement between the university and outside agencies for student internships.
4. Support agreements for WICHE students and agreements on interstate exchange and education of students in the health sciences.
5. Nursing loan programs.
6. Contracts with nonuniversity users of university facilities:
 - a. College of Medicine
 - b. College of Nursing
 - c. College of Pharmacy
7. Self-insurance malpractice trust for the University Hospital and individual malpractice contracts, as a joint responsibility with the vice president for administrative services.

D. Office of Vice President for Administrative Services

The following documents shall be routed to the office of the vice president for administrative services for review, processing, and signature by the vice president or authorized alternate.

1. Banking agreements in accordance with university banking policy ([Policy and Procedures No. 3-4](#)).
2. Financial documents, including:
 - a. Debt financing documents.
 - b. Bond and stock powers as directed by the Board of Trustees.

c. Construction and remodeling contracts less than specified under current law, or such other limits as set from time to time by the State Department of Facilities Construction and Management.

d. Sole source contracts without bidding when there is only one practicable source for needed item(s).

e. Waiver of bidding requirement when circumstances warrant.

3. All real property and real estate interest contracts, including:

a. Purchase or sale agreements.

b. Leases, with the university as either lessor or lessee.

c. Easements, right-of-way and right-of-entry agreements.

d. Quit claim deeds.

e. Use of access roads, etc.

f. Gifts of real property.

4. Professional service agreements with:

a. Architects, engineers and design consultants.

b. Accounting and auditing firms.

5. Agreements with federal and state government related to audits:

a. Overhead rate agreements.

b. Resolution of audit disallowances.

6. Special contracts:

a. Group insurance plans.

- b. Employee benefit agreements.
- c. Applications for permits and licenses with Federal Communications Commission to operate two-way radio communications on campus.
- d. Self-insurance malpractice trust for the University Hospital and individual malpractice contracts as a joint responsibility with the vice president for health sciences.

E. Office of Vice President for Academic Affairs

The following documents shall be routed to the office of the vice president for academic affairs or designee for review, processing, and signature by the vice president or authorized alternate:

- 1. Applications and grant awards for academic purposes:
 - a. Grant-in-aid awards.
 - b. Scholarship grants.
 - c. Awards for student loans and employment-aid programs.
- 2. Applications for permits and licenses with Federal Communications Commission and other government agencies for operation of KUED and KUER.
- 3. Personal service contracts and agreements with:
 - a. Speakers and special lecturers.
 - b. Artists, choreographers, and star performers in university theatre productions.
- 4. General contractual agreements:
 - a. Contracts for production of educational television programs.

- b. Agreements with countries for housing, maintenance, and operation of television signal stations.

5. Contracts with nonuniversity users of university facilities:

- a. Kingsbury Hall
- b. Pioneer Memorial Theatre
- c. Marriott Library
- d. College of Law
- e. Museum of Fine Arts
- f. Museum of Natural History
- g. Olpin Union
- h. Residence Halls
- i. Sill Center
- j. Other facilities, not specifically mentioned in this policy, processed through the Scheduling Office.

6. Foreign educational exchange contracts for review before final approval by the president.

F. Office of the President

1. The following documents shall be routed through the Office of the President for signature by the president and/or the chair or secretary of the Board of Trustees:

- a. Foreign educational exchange contracts after review by the vice president for academic affairs.
- b. Diplomas and certificates originating with the registrar's office, signed personally or in facsimile by the president and chair of the Board of Trustees.
- c. Certificates originating within the Academic Outreach and Continuing Education, signed personally or in facsimile by the president.

d. Special diplomas and certificates.

e. Official Notice of Appointments (routed through the Office of Budget and Resource Planning) for signature by the secretary of the Board of Trustees.

f. Certificates of resolutions passed by the Board of Trustees for signature by the secretary of the Board of Trustees.

2. Items normally processed through committees of the State Board of Regents require routing through the Office of the President, e.g., grant proposals in the amount of \$500,000 or above.

3. The executive assistant to the president shall be responsible for signing university-wide license agreements for public performances of nondramatic musical works on university premises, after review and processing by the university coordinator of copyright compliance.

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