Preamble

These procedures are to be read in conjunction with the Signing Authorities Policy (the “Policy”) passed by the Board of Governors at its 557th meeting (2010/03/25).

Copies of the Policy are available from the University Secretary or on the Secretariat web page at http://www2.carleton.ca/secretariat/policies/

Except as may otherwise be provided in these procedures, capitalized terms appearing in these procedures shall have the same meaning as ascribed to those terms in the Policy.

Purpose and Scope

These procedures outline the manner in which certain of the signing authorities granted pursuant to the Policy are to be exercised. If signing authority is purportedly exercised otherwise than in accordance with these procedures or the Policy, then such exercise shall be considered beyond the scope of employment of the person exercising such purported authority.

Procedures

1. Risk Assessment and Legal Implications Assessment

For the purposes of this Section 1 of these Procedures, the terms Contracts, Purchase Contracts, Research Proposals, Research Contracts and documents relating to confirmations of insurance coverage on any aspect of the University’s affairs are sometimes collectively called the “Documents” and individually a “Document.”

(a) Documents referred to in any of paragraphs 2(b), 3(b), 4(b) and 5(b) of the Policy may be signed on behalf of the University only following:

   (i) Review and approval by either the Financial Planning Group or the President and Vice-Presidents, such approval to be evidenced in writing (in advance of signing the
Document) under the signature of either the President or the Vice-President (Finance and Administration) in the form attached to these procedures and marked “B;”

(ii) An assessment by the Manager, Risk and Insurance, of the risks to which the University may be exposed by virtue of signing the Document, a copy of which assessment must be provided to the appropriate signing officers in advance of signing the Document; and

(iii) An assessment by the University Secretary of the legal implications of the Document for the University, a copy of which assessment must be provided to the appropriate signing officers in advance of signing the Document.

(b) Documents referred to in any of paragraphs 2(a), 2(c), 3(a), 4(a) and 5(a) of the Policy may be signed on behalf of the University only following:

(i) Satisfactory completion (by the person presenting the Document for signature) of the Contract Checklist for Risk Management and Legal Implications in the form attached to these procedures and marked “A”; and

(ii) Consultation with both the Manager, Risk and Insurance and the University Secretary in the event that the person intending to act on any of the signing authorities referred to in this paragraph 1(c) considers any matter disclosed on the Contract Checklist for Risk Management and Legal Implications to be of material concern to the University.

(c) For the purposes of either of paragraphs 1(a) or 1(b) of these Procedures, should either the Manager, Risk and Insurance or the University Secretary, or both, be unavailable to complete the assessments required by those paragraphs within the time reasonably required to finalize the Document for signature by the University, then the matter shall be referred to one of the Vice-Presidents for advice and direction, in which case the strict requirements of paragraphs 1(a) or 1(b) (as the case may be) may be waived or modified by such Vice-President.

(d) Documents referred to in Section 7 of the Policy may be signed on behalf of the University only in circumstances consistent with the provisions of the document called “Regulations for the Approval and Control of Capital Projects” appended to the mandate of the Building Program Committee of the Board of Governors (a copy of Approval and Control Document can be viewed by clicking here: http://www2.carleton.ca/boardofgovernors/board-committees/building-program/)

2. General Provisions

For the purposes of this Section 2 of these Procedures, the terms Contracts, Construction Contracts, Employment Contracts, Gift Agreements, Purchase Contracts, Research Proposals, Research Contracts and documents relating to confirmations of insurance coverage on any aspect of the University’s affairs are sometimes collectively called the “Documents” and individually a “Document.”

The signing authorities granted pursuant to the Policy are further subject to the following general procedural provisions:

(a) Documents creating external financial reporting requirements for the University must be sent for approval to the Assistant Vice-President (Finance) in advance of their signature, and evidence of the approval of the Assistant Vice-President (Finance) must be provided in advance to those intended to sign the Document.

(b) In the event that the President is of the view that any Document, irrespective of its Average Annual Value, its Total Value or the length of its term, is of extraordinary significance to the University (on the basis of either an unusually high risk factor, the potential for exceptional
public scrutiny, or impact on the academic reputation of the University), then the President shall bring such Document or cause such Document to be brought to the Board of Governors prior to its signature, and shall seek the Board’s direction in that respect.

(c) Questions as to the interpretation of these Procedures shall be referred to either the Vice-President (Finance and Administration) or the University Secretary.

Contacts

Vice-President (Finance and Administration)
University Secretary