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## **Appendix to the Signing Authority Policy**

### **Approved University Signatories**

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**Please Note: Where the Primary Signatory is absent**

In all relevant cases set out in this appendix where the Primary Signatory (as per the bulleted list below) is absent then their respective designated Deputy may sign the contract or document, as the case may be, on their behalf. The Deputy must inform the Primary Signatory as soon as possible after their return to campus.

Primary Signatories

- President
- Deputy President
- Director of Human Resources
- Director of Finance
- Chief Operations Officer

**Appendix – List of contracts and similar or related documents**

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## 1. Academic Activities - Collaborative Provision Agreements

Ref	Description of Activity Type	Unit(s) Responsible	<u>Review &amp; Endorse</u> Documents, as defined by Education Committee, to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
1.1.1	<b>Entry Related</b>  - Foundation	Office of the Vice President for Academic Affairs	1) Head of School  & 2) Faculty Teaching & Learning Committee  & 3) Admissions Officer, Registry	Executive Dean  or  Vice President Academic Affairs	Nominee	Office of the Primary Signatory until such time as the Institutional Digital Repository is operational (Pending)
1.1.2	<b>Entry Related</b>  - Articulation	Office of the Vice President for Academic Affairs	1) Executive Dean  & 2) Education Committee	Vice President Academic Affairs	Nominee	
1.2.1	<b>Collaborative Delivery (Single Award)</b>  - Industrial Placement	Office of the Vice President for Academic Affairs	1) Programme Chair or Nominee  & 2) INTRA Coordinator	Head of School	Nominee	
1.2.2	<b>Collaborative Delivery (Single Award)</b>  - Professional Placement  a) where placement is organised on an individual basis and supervised by	Office of the Vice President for Academic Affairs	1) Programme Chair & 2) Placement Coordinator	Head of School	Nominee	

Ref	Description of Activity Type	Unit(s) Responsible	<u>Review &amp; Endorse</u> Documents, as defined by Education Committee, to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	DCU staff e.g. teaching placements					Office of the Primary Signatory until such time as the Institutional Digital Repository is operational (Pending)
1.2.3	<b>Collaborative Delivery (Single Award)</b>  - Professional Placement  b) where placement is organised on a contractual basis between the University and a partner e.g. nursing clinical placements	Office of the Vice President for Academic Affairs	1) Head of School  &  2) Faculty Management Board	Executive Dean  or  Vice President Academic Affairs	Vice President Academic Affairs  Delete text above and replace with  'Nominee'	
1.2.4	<b>Collaborative Delivery (Single Award)</b>  - Exchange (including Erasmus)	Office of the Vice President for Academic Affairs - DCU Placement	1) Head of School  & 2) Faculty Teaching & Learning Committee  & 3) Placement Unit	Executive Dean  or  Vice President Academic Affairs	Nominee	
1.2.5	<b>Collaborative Delivery (Single Award)</b>  - Study abroad (incoming)	Office of the Vice President for Academic Affairs	Subject to availability as determined at individual School level			

Ref	Description of Activity Type	Unit(s) Responsible	<u>Review &amp; Endorse</u> Documents, as defined by Education Committee, to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
1.2.6	<b>Collaborative Delivery (Single Award)</b>  - Study abroad (DCU award registered students)	Office of the Vice President for Academic Affairs - -DCU Placement	1) Head of School & 2) Faculty Teaching & Learning Committee	Executive Dean  or  Vice President Academic Affairs	Nominee	Office of the Primary Signatory until such time as the Institutional Digital Repository is operational (Pending)
1.2.7	<b>Collaborative Delivery (Single Award)</b>  - Shared delivery (DCU staff, partner credits) leading to partner award	Office of the Vice President for Academic Affairs	1) Head of School & 2) Faculty Teaching & Learning Committee  If >10 ECTS, Dean of Teaching & Learning	Executive Dean  or  Vice President Academic Affairs	Nominee	
1.2.8	<b>Collaborative Delivery (Single Award)</b>  - Shared delivery (DCU staff, DCU credits) leading to partner award	Office of the Vice President for Academic Affairs	1) Head of School & 2) Faculty Teaching & Learning Committee  If >10 ECTS, Dean of Teaching & Learning	Executive Dean  or  Vice President Academic Affairs	Nominee	
1.2.9	<b>Collaborative Delivery (Single Award)</b>	Office of the Vice President for Academic Affairs	1) Head of School & 2) Faculty Teaching & Learning Committee	Executive Dean  or	Nominee	

Ref	Description of Activity Type	Unit(s) Responsible	<u>Review &amp; Endorse</u> Documents, as defined by Education Committee, to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	- Shared delivery (partner delivery, DCU credits) leading to a DCU award			Vice President Academic Affairs		Office of the Primary Signatory until such time as the Institutional Digital Repository is operational (Pending)
1.2.10	<b>Collaborative Delivery (Single Award)</b>  - Shared delivery (partner delivery, partner credits) leading to a DCU award	Office of the Vice President for Academic Affairs	1) Executive Dean  &  2) Education Committee	Vice President for Academic Affairs	Nominee	
1.2.11	<b>Collaborative Delivery (Single Award)</b>  - Shared supervision / graduate researcher training (research awards) whereby a DCU graduate researcher spends time at one or more partner institutions for the purposes of supervision and/or training, leading to a DCU award	Office of the Vice President for Academic Affairs	Principal Supervisor(s)	Head of School	Nominee	
1.2.12	<b>Collaborative Delivery (Single Award)</b>  - Shared supervision / graduate researcher training (research awards), whereby a graduate researcher from	Office of the Vice President for Academic Affairs	Principal Supervisor(s)	Head of School	Nominee	

Ref	Description of Activity Type	Unit(s) Responsible	<u>Review &amp; Endorse</u> Documents, as defined by Education Committee, to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	another institution spends time at DCU for the purposes of supervision and/or training leading to an award by a partner institution					Office of the Primary Signatory until such time as the Institutional Digital Repository is operational (Pending)
1.2.13	<b>Collaborative Delivery (Single Award)</b>  - Off-site delivery  a) Where the total number of credits is $\geq 30$ or the entirety of the teaching or supervision constitutes an award	Office of the Vice President for Academic Affairs	1) Executive Dean & 2) Education Committee	Vice President for Academic Affairs	None	
1.2.14	<b>Collaborative Delivery (Single Award)</b>  - Off-site delivery  b) where the total number of credits is less than 30	Office of the Vice President for Academic Affairs	1) Head of School & 2) Faculty Management Board	Executive Dean	None	
1.2.15	<b>Collaborative Delivery (Single Award)</b>  - Franchising (Partner award)	This is not a current activity but will, if entered into, require Faculty endorsement (Exec Dean) and University level (VPAA) approval and signing.				
1.2.16	<b>Collaborative Delivery (Single Award)</b>	This is not a current activity but will, if entered into, require Faculty endorsement (Exec Dean) and university level (VPAA) approval and signing.				



Ref	Description of Activity Type	Unit(s) Responsible	<u>Review &amp; Endorse</u> Documents, as defined by Education Committee, to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	- Franchising (DCU award)					Office of the Primary Signatory until such time as the Institutional Digital Repository is operational (Pending)
1.2.17	<b>Collaborative Delivery (Single Award)</b>  - Contracting leading to credits / award	Office of the Vice President for Academic Affairs	1) Head of School & 2) Faculty Management Board	Executive Dean	None	
1.2.18	<b>Collaborative Delivery (Single Award)</b>  - Contracting	Office of the Vice President for Academic Affairs	1) Head of School & 2) Faculty Management Board	Executive Dean	None	
1.3.1	<b>DCU accreditation and award for programmes in partner institution</b>  - DCU accreditation and award, programme taught in partner institution	Office of the Vice President for Academic Affairs	1) Dean of Teaching & Learning & 2) Education Committee & 3) Academic Council	Vice President for Academic Affairs	None	
1.3.2	<b>DCU accreditation and award for programmes in partner institution</b>  - DCU research award, supervised in partner institution	Office of the Vice President for Academic Affairs	1) Dean of Graduate Studies & 2) GRBS &	Vice President for Academic Affairs	None	

Ref	Description of Activity Type	Unit(s) Responsible	<u>Review &amp; Endorse</u> Documents, as defined by Education Committee, to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
			3) Academic Council			Office of the Primary Signatory until such time as the Institutional Digital Repository is operational (Pending)
1.4.1	<b>Awards across more than one institution</b>  - Joint taught award	Office of the Vice President for Academic Affairs	1) Executive Dean (based on Faculty T&L Committee review)  & 2) Education Committee (incl. validation & modified accreditation process)	Vice President for Academic Affairs	None	
1.4.2	<b>Awards across more than one institution</b>  - Joint research award	Office of the Vice President for Academic Affairs	1) Executive Dean (taking cognisance of DCU Policy on Joint Research Supervision & Awards) & 2) VPAA (compliance with Policy on Joint Research Supervision & Awards) & 3) GRSB (detail of specific proposed arrangements)	Vice President for Academic Affairs	None	
1.4.3	<b>Awards across more than one institution</b>  - Double / Multiple taught award	Office of the Vice President for Academic Affairs	1) Executive Dean (based on Faculty T&L Committee review)  &	Vice President for Academic Affairs	None	

Ref	Description of Activity Type	Unit(s) Responsible	<u>Review &amp; Endorse</u> Documents, as defined by Education Committee, to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
			2) Education Committee (incl. validation & modified accreditation process)			Office of the Primary Signatory until such time as the Institutional Digital Repository is operational (Pending)
1.4.4	<b>Awards across more than one institution</b>  - Dual taught award	Office of the Vice President for Academic Affairs	1) Executive Dean (based on Faculty T&L Committee review)  &  2) Education Committee (incl. validation & modified accreditation process)	Vice President for Academic Affairs	None	
1.4.5	<b>Awards across more than one institution</b>  - Double research award	DCU Policy on Joint Research Supervision & Awards indicates that this is not the preferred arrangement. It is unlikely an agreement will be entered into as it raises issues of double counting of credit, and less than optimum transparency. It also does not deliver benefits of coherence in process.				

## 2. Acquisition / Disposal / Lease of Land and Property

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
2.1	Acquisition of land (excluding gifts of land) with a value less than €750,000	Office of the Chief Operations Officer	1) Office of the Chief Operations Officer & 2) DCU Executive	President	Chief Operations Officer	Office of the Chief Operations Officer.
2.2	Acquisition of land (excluding gifts of land) with a value equal to, or greater than, €750,000	Office of the Chief Operations Officer	1) Office of the Chief Operations Officer & 2) DCU Executive & 3) Governing Authority	President	Chief Operations Officer	Office of the Chief Operations Officer.
2.3	Sale of land or property with a market value of less than €150,000	Office of the Chief Operations Officer	1) Office of the Chief Operations Officer & 2) DCU Executive	Chief Operations Officer	Director of Estates	Office of the Chief Operations Officer.
2.4	Sale of land or property with a market value equal to, or greater than, €150,000	Office of the Chief Operations Officer	1) Office of the Chief Operations Officer & 2) DCU Executive & 3) Governing Authority	President	Chief Operations Officer	Office of the Chief Operations Officer.
2.5	Lease of land or property <u>to or from</u> the University for a term up to 5 years	Office of the Chief Operations Officer	1) Chief Operations Officer & 2) Director of Finance	Chief Operations Officer	Director of Estates	Office of the Chief Operations Officer.
2.6	Lease of land or property <u>to or from</u> the University for a term exceeding 5 years	Office of the Chief Operations Officer	1) Chief Operations Officer & 2) DCU Executive	1) Chief Operations Officer & 2) Director of Finance	Director of Estates	Office of the Chief Operations Officer.

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
2.7	Right of way / easement.	Office of the Chief Operations Officer	DCU Executive	Chief Operations Officer	Director of Estates	Office of the Chief Operations Officer
2.8	Space licence/lease agreements by DCU Subsidiary Companies with a third party - specific	Respective Subsidiary Company (e.g. DCU Invent, DCU Alpha, Campus Property)	Chief Operations Officer or Director of Commercialisation	Chief Operations Officer  or Director of Finance	Director of Estates (In place of COO)	Office of the Chief Operations Officer or DCU Invent DAC
2.9	Assignment of leases to University Subsidiaries	Office of the Chief Operations Officer	Chief Operations Officer	Chief Operations Officer	Director of Finance	Office of the Chief Operations Officer

### 3. Banking Activities

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
3.1	Establishment of a line of credit or financial loan to the University	Finance Office	Governing Authority	Director of Finance	1) Deputy Director of Finance or 2) Group Financial Controller	Finance Office

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
3.2	Formal document to permit the drawing down of a line of credit or financial loan.	Finance Office	Director of Finance	Director of Finance	1) Deputy Director of Finance or 2) Group Financial Controller	Finance Office
3.3	Documentation relating to financial investments (excluding short term deposits)	Finance Office	Governing Authority	Director of Finance	1) Deputy Director of Finance or 2) Controller Group Financial Operations or 3) Group Financial Controller	Finance Office
3.4	Corporate banking services (including mandates & resolutions)	Finance Office	Governing Authority	1) Director of Finance & 2) Chief Operations Officer	None	Finance Office
3.5	Bank guarantees	Finance Office	DCU Executive	Director of Finance	1) Deputy Director of Finance or 2) Group Financial Controller	Finance Office

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
3.6	Credit card agreements	Finance Office	Senior Finance Office staff in line with Credit Card Policy	Director of Finance	1) Deputy Director of Finance  or  2) Controller Group Financial Operations	Finance Office
3.7	Short term banking deposits	Finance Office	Financial Operations Accountant	Financial Operations Accountant	Senior DCU Accountant	Finance Office
3.8	All other financial agreements	Finance Office	Director of Finance	Director of Finance	1) Deputy Director of Finance  or  2) Group Financial Controller  or  3) Controller Group Financial Operations	Finance Office

## 4. Campus Subsidiary Companies / Spin-out Companies (under DCU Invent DAC)

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
Please note: Where matters refer to a company that was a spin-out of the University and the University has equity stake in the company, all matters listed below should be referred to DCU Invent DAC. All other company matters should be referred to DCU Finance.						
4.1	Initial subsidiary company formation documents e.g. - Shareholder Agreements - Memo & Articles of Association etc.	Finance Office	1) Governing Authority & 2) DCU Legal Advisors	Director of Finance	Chief Operations Officer	Office of the Chief Operations Officer
4.2	Establishment of a University Spin-Out Company, where DCU takes an equity stake in the company.	DCU Invent DAC	Board of DCU Invent DAC	Director of Commercialisation	Vice-President for Research	DCU Invent DAC
4.3	Subsequent modifications to subsidiary company documents.	Finance Office	1) Governing Authority & 2) DCU Legal Advisors	Director of Finance	Chief Operations Officer	Office of the Chief Operations Officer
4.4	Incubation Centre occupation agreements / licences to utilise space.	DCU Invent DAC	DCU Legal Advisors	Director of Commercialisation	None	DCU Invent DAC
4.5	Disposal of company assets on liquidation or winding up of the company where their market value is less than €150,000.	Finance Office or DCU Invent DAC (as applicable)	1) Company Board & 2) DCU Legal Advisors	Director of Finance or Director of Commercialisation (as applicable)	None	Finance Office or DCU Invent DAC (as applicable)
4.6	Disposal of company assets on liquidation or winding up of the company where their market value is equal to, or greater than, €150,000.	Finance Office or DCU Invent DAC (as applicable)	1) Governing Authority & 2) DCU Legal Advisors	Director of Finance or Director of Commercialisation (as applicable)	None	Finance Office or Invent DCU Ltd (as applicable)
4.7	Waiver of Pre-emption Rights (e.g. the first option to buy newly issued shares).	Finance Office or	Director of Commercialisation	Director of Finance or	None	Finance Office or DCU Invent DAC (as applicable)



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Please note: Where matters refer to a company that was a spin-out of the University and the University has equity stake in the company, all matters listed below should be referred to DCU Invent DAC. All other company matters should be referred to DCU Finance.						
		DCU Invent DAC (as applicable)		Director of Commercialisation (as applicable)		

## 5. Concessions on Campus

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
5.1	Provision of banking services	Finance Office	1) Governing Authority & 2) DCU Legal Advisors	1) Director of Finance & 2) Chief Operations Officer	None	Finance Office & Copy to the Central Procurement Team & Copy to Office of the Chief Operations Officer
5.2	Agreement for provision of retail services	Office of the Chief Operations Officer	1) Executive & 2) DCU Legal Advisors	Chief Operations Officer	None	Office of the Chief Operations Officer & Copy to the Central Procurement Team
5.3	Agreement for services provided by medical clinicians	Student Support & Development	1) Central Procurement Team & 2) Chief Operations Officer	Director of Student Support & Development	None	Health Centre & Copy to the Central Procurement Team
5.4	Any agreement covering access to DCU property or infrastructure for commercial	Office of the Chief Operations Officer	1) Executive & 2) DCU Legal Advisors	Chief Operations Officer	None	Office of the Chief Operations Officer &

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	purposes not already covered under refs 5.1, 5.2 and 5.3 above.					Copy to the Central Procurement Team

## 6. Consolidated Financial Statements

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
6.1	Statement of Governing Authority's responsibilities	Finance Office	1) Governing Authority & 2) Audit Committee	1) President & 2) Chancellor	None	Finance Office
6.2	Statement of Governance and Internal Control	Finance Office	1) Governing Authority & 2) Audit Committee	1) President & 2) Chancellor	None	Finance Office
6.3	Consolidated Income & Expenditure Account	Finance Office	1) Governing Authority & 2) Audit Committee	1) President & 2) Chancellor	None	Finance Office
6.4	Consolidated Balance Sheet	Finance Office	1) Governing Authority & 2) Audit Committee	1) President & 2) Chancellor	None	Finance Office
6.5	Letter of Representations in connection with the year-end audit	Finance Office	1) Governing Authority & 2) Audit Committee	1) President & 2) Chancellor	None	Finance Office

## 7. Construction Contracts / works related services including consultancy services

Ref	Description of Document	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
7.1	Contract value up to €50,000	Office of the Chief Operations Officer	1) Chief Operations Officer & 2) Estates Office Director	Director of Estates	1) Estates Manager or 2) Assistant Estates Manager	Estates Office (& copy to Central Procurement Team)
7.2	Contract value is between €50,001 - €1,000,000	Office of the Chief Operations Officer	1) Chief Operations Officer & 2) Estates Office Director & 3) Central Procurement Team  & 4) Governing Authority if value is greater than €750,000	Chief Operations Officer	Director of Estates	Estates Office (& copy to Central Procurement Team)
7.3	Contract value is greater than €1,000,000	Office of the Chief Operations Officer	1) Chief Operations Officer & 2) Estates Office Director & 3) Central Procurement Team  & 4) Governing Authority if value is greater than €750,000	President	Chief Operations Officer	Estates Office (& copy to Central Procurement Team)

## 8. Consultancy Contracts that are non - construction in nature & where a DCU unit, or unit staff, act as a consultant

Ref	Description of Document	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
8.1	Contracts for the provision of services by academic staff of the University to a third party and the total value of the contract (excluding VAT) is less than or equal to €10,000	All Academic Units	1) Research Support Office & 2) Head of School or Head of Group in the case of the DCU Business School (as applicable).  (Note: In all cases a signed DCU Consultancy Approval Form is required & the contract must use the standard DCU pro-forma Consultancy Agreement template and must not include any Intellectual Property Issues)	Faculty Executive Dean	Director of Research  or  Vice-President for Research  or  Vice President for Academic Affairs (Registrar)	Faculty Office (& copy to RSS)
8.2	Contracts for the provision of services by non-academic staff of the University to a third party and the total value of the contract (excluding VAT) is less than or equal to €10,000	All Support Units	Head of Department  (Note: In all cases a signed DCU Consultancy Approval Form is required & the contract must use the standard DCU pro-forma Consultancy Agreement template and must not include any Intellectual Property Issues)	Chief Operations Officer	None	Office of the Chief Operations Officer (& copy to RSS)

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
8.3	Contracts for the provision of services by academic staff of the University to a third party and the total value of the contract (excluding VAT) is greater than €10,000	All Academic Units	Research Support Services  (Note: A signed DCU Consultancy Approval Form is required)	VP for Research  or Vice President for Academic Affairs (Registrar)  as appropriate.	Nominee of VP for Research or Nominee of the VP Academic Affairs (Registrar)  as appropriate	Faculty Office (& copy to RSS)
8.4	Contracts for the provision of services by non-academic staff of the University to a third party and the total value of the contract (excluding VAT) is greater than €10,000	All Support Units	Research Support Services  (Note: A signed DCU Consultancy Approval Form is required).	VP for Research	Nominee of VP for Research	Office of the Chief Operations Officer (& copy to RSS)
8.5	Contracts for the provision of services by academic or non-academic staff of the University to a third party where: a) project involves a complex schedule of work <u>or</u> b) an alternative contract format (i.e. different to the DCU Pro-Forma Consultancy agreement for amounts up to €10,000) is proposed by the third party <u>or</u>	All Academic & Support Units	Research Support Services  (Note: A signed DCU Consultancy Approval Form is required).	VP for Research  or Vice President for Academic Affairs (Registrar)  as appropriate	Nominee of VP for Research or Nominee of the VP for Academic Affairs (Registrar)	Faculty Office or Office of the Chief Operations Officer as appropriate. (& copy to RSS)

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	c) alternative contract terms & conditions are proposed by the third party <u>or</u> d) Where issues of intellectual property are involved				as appropriate	

## 9. Consultancy Contracts that are non - construction in nature & where a DCU unit engages the consultant

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
9.1	Total value of contract is up to €5,000	All Academic & Support Units	Senior Management in the School or Support Unit as applicable  (Note: The Director of Commercialisation is to be consulted if Intellectual Property issues are involved)	For an Academic Unit - Head of School / Faculty  For a Support Unit - Head of Support Unit	None	Unit engaging the consultant & Copy to the Central Procurement Team
9.2	Total value of contract is between €5,001 & €25,000	All Academic & Support Units	Academic Unit - Next management level above unit seeking contract i.e. Faculty Management for a School's consultancy contract	For an Academic Unit - Head of School / Faculty  For a Support Unit - Head of Support Unit	Senior Manager in relevant Academic or Support Unit.	Unit engaging the consultant & Copy to the Central Procurement Team

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
			Support Unit - Next management level above the unit engaging the consultant  (Note: The Director of Commercialisation is to be consulted if Intellectual Property issues are involved)			
9.3	Total value of contract is between €25,001 and €50,000	All Academic & Support Units	1) Academic Unit - Next management level above unit seeking contract i.e. Faculty Management for a School's consultancy contract.  Support Unit - Next management level above the unit engaging the consultant. (Note: The Director of Commercialisation is to be consulted if Intellectual Property issues are involved) & 2) Central Procurement Team	Academic Unit - Head of School / Faculty  Support Unit - Head of Support Unit	None	Unit engaging the consultant & Copy to the Central Procurement Team
9.4	Total value of contract is greater than €50,000	All Academic & Support Units	1) Academic Unit - Next management level above unit seeking contract i.e. Faculty Management for a School's consultancy contract.	<u>Two signatures required</u>  Academic Unit - President & Head of Unit	<u>Two signatures required</u>  Academic Unit - Deputy	Unit engaging the consultant & Copy to the Central Procurement Team

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
			<p>Support Unit - Next management level above the unit engaging the consultant. (Note: The Director of Commercialisation is to be consulted if Intellectual Property issues are involved)</p> <p>&amp;</p> <p>2) Central Procurement Team</p> <p>&amp;</p> <p>3) Governing Authority if value of contract is greater than €750,000</p>	<p>or</p> <p>Support Unit - President &amp; Head of Unit</p> <p>(As appropriate)</p>	<p>President &amp; Head of Unit</p> <p>or</p> <p>Support Unit - Deputy President &amp; Head of Unit</p> <p>(As appropriate)</p>	
9.5	All contracts for consultancy where the services are requested by an SFI Funded Centre and/or services relating to research	Research Support Services	Director of Research	Director of Research	Vice-President for Research	Research Support Office & Copy to the Central Procurement Team



## 10. Employment Contracts

Ref	Description of Document	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
10.1	Appointment of the President	Human Resources Office	1) University Chancellor acting on behalf of Governing Authority & 2) Human Resources Office	Director of Human Resources	Deputy Human Resources Manager / Officer	Human Resources Office
10.2	Appointment to any permanent post (other than post of President)	Human Resources Office	1) Resource Committee & 2) DCU Executive & 3) Human Resources Office.	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
10.3	Appointment of fixed term contract staff for a period less than one year	Human Resources Office	1) Finance Office & 2) Human Resources Office	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
10.4	Appointment of fixed term contract staff for a period exceeding one year	Human Resources Office	1) Resource Committee & 2) DCU Executive & 3) Human Resources Office & 4) Finance Office for externally funded projects	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
10.5	Hourly / occasional staff – teaching	All Academic Units & Human Resources Office	1) Head of School & 2) Human Resources Office & 3) Finance Office	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office & copy held by Academic Unit

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
10.6	Hourly / occasional staff – support	All Support Units & Human Resources Office	1) Head of Unit & 2) Human Resources Office	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office & copy held by Support Unit
10.7	Contract for promotions up to, but excluding, Senior Lecturer level, resulting from internal academic promotions process	Human Resources Office	1) Academic Promotions Committee & 2) President & 3) Human Resources Office	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
10.8	Contract for promotions to Senior Lecturer Level & above, resulting from internal academic promotions process.	Human Resources Office	1) Academic Promotions Committee & 2) Governing Authority & 3) Human Resources Office	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office

## 11. Employment Documentation

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
11.1	General pension administration correspondence i.e. transfers, provisional statements of benefits,	Human Resources Office	N/a	Human Resources Manager / Officer	Pension Administrator	Human Resources Office

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	purchase of added years quotes etc.					
11.2	Local collective pay agreements	Human Resources Office	Senior Management Group	Director of Human Resources	Deputy Human Resources Manager / Officer	Human Resources Office
11.3	Secondment agreements (both to and from the University) - academic positions	All Academic Units & Human Resources Office	1) Head of School & 2) Dean of Faculty	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
11.4	Secondment agreements (both to and from the University) - administrative positions	All Academic & Support Units & Human Resources Office	Head of Department	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
11.5	Sabbatical leave	All Academic & Support Units	Approval by relevant Head or Executive Dean and a Finance Office Manager. Final approval is given by Director of Human Resources	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
11.6	Statutory leave arrangements correspondence e.g. maternity leave, parental leave	All Academic & Support Units	Relevant manager is to be notified of arrangement.	Human Resources Manager / Officer	HR Statutory Leave Administrators	Human Resources Office
11.7	All other employment contract arrangements including leave of absence, job share, reduced hours etc.	All Academic & Support Units	Leave arrangement applications will have been approved by the relevant Head of Department in the first instance	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
11.8	Final written warning to staff	Human Resources Office	Review with relevant Head of Department	Director of Human Resources	Human Resources	Human Resources Office

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
					Manager / Officer	
11.9	Notice of dismissal from employment	Human Resources Office	Review with relevant Head of Department. Final decision to be taken by President	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
11.10	Heads of agreement, Start-Up Fund agreement (Strategic appointment)  Specific Heads of agreement document; detailed letter of offer/appointment and/or supplement to employment contract	Human Resources Office	1) Dean of Faculty & 2) Director of Human Resources & 3) Director of Finance & 4) President	Director of Human Resources	Human Resources Manager / Officer	Human Resources Office

## 12. Equipment Leases

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
12.1	Leases up to €25,000 - for the life of the lease	All Academic & Support Units	Finance Office	1)Deputy Director of Finance or 2)Group Financial Controller	Controller Group Financial Operations	Finance Office (& copy held within Unit office).
12.2	Leases between €25,000 - €50,000 for the life of the lease	All Academic & Support Units	1) Finance Office &	1) Deputy Director of Finance or 2) Group Financial Controller	Controller Group Financial Operations	Finance Office (& copy held within Unit office & copy to

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
			2) Central Procurement Team			Central Procurement Team)
12.3	Leases over €50,000 for the life of the lease	All Academic & Support Units	1) Finance Office & 2) Central Procurement Team & 3) Governing Authority if value of lease is greater than €750,000	1) Director of Finance 2) Deputy Director of Finance	1) Controller Group Financial Operations or 2) Group Financial Controller	Finance Office (& copy held within Unit office & copy to Central Procurement Team)

### 13. Funding Agreements (Non-Research)

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
13.1	Non-research related proposals, applications and contracts for funding from funding agencies for amounts up to €250,000	All Academic & Support Units	For an academic unit – Dean and the relevant Unit of academic affairs depending upon the nature of commitment  or  For a support unit - Member of the SMG responsible for the Unit	Head of Unit	None	Unit Office

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
13.2	Non-research related proposals, applications and contracts for funding from funding agencies for amounts greater than €250,000	All Academic & Support Units	For an academic unit – Dean and the relevant unit of academic affairs depending upon the nature of commitment  For a support unit - Member of the SMG responsible for the Unit	Relevant member of Senior Management Group to which the Unit reports	None	Unit Office

## 14. Gift & Endowment Agreements

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
14.1	Monetary donations, bequests, endowment fund agreements for academic, research or capital purposes - where DCU is the receiving entity	Office of the Chief Operations Officer	1) Chief Operations Officer & 2) Director of Finance	Chief Operations Officer	None	Office of the Chief Operations Officer
14.2	Monetary donations, bequests, endowment fund agreements for academic, research or capital purposes - received via the DCU Educational Trust	Office of the Chief Operations Officer	1) Chief Operations Officer & 2) Director of Finance	Chief Operations Officer	None	Office of the Chief Operations Officer
14.3	The establishment of a Trust	President's Office	Governing Authority	President	Deputy President	President's Office
14.4	Non-monetary donations and gifts (e.g. research equipment)	All Academic Units	Dean of Faculty	Head of School	Faculty Manager	Faculty Office

## 15. Income Related Contracts

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
15.1	Conference Contracts where: 1) the University acts as either the primary or co-signatory on a conference contract & 2) it is provided either on or off campus & 3) the conference is organized by a conference umbrella body & 4) Contract value is less than €50,000	All Academic Units & Support Units	1) For an academic unit - Dean or for a support unit - Member of the SMG responsible for the unit & 2) Finance Office & 3) Chief Operations Officer	Head of Unit	None	Unit Office
15.1.1	Conference Contracts where: 1) the University acts as either the primary or co-signatory on a conference contract & 2) it is provided either on or off campus & 3) the conference is organized by a conference umbrella body & 4) Contract value is greater than €50,000	All Academic Units & Support Units	1) For an academic unit - Dean or for a support unit - Member of the SMG responsible for the unit & 2) Finance Office & 3) Chief Operations Officer	Relevant member of the Senior Management Group to which the unit reports	None	Unit Office
15.1.2	Conference Contracts where: 1) the University acts as either the primary or co-signatory on a conference contract & 2) it is provided either on or off campus & 3) the conference is organized by a professional conference organizer & 4) contract value is less than €50,000	All Academic Units & Support Units	1) For an academic unit - Dean or for a support unit - Member of the SMG responsible for the unit & 2) Finance Office & 3) Chief Operations Officer	Head of Unit	None	Unit Office
15.1.3	Conference Contracts where 1) the University acts as either the primary or co-signatory on a conference contract &	All Academic Units & Support Units	1) For an academic unit - Dean or for a support unit - Member of the SMG responsible for the unit	Relevant member of the Senior Management	None	Unit Office

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	2) it is provided either on or off campus & 3) the conference is organized by a professional conference organizer & 4) contract value is greater than €50,000		& 2) Finance Office & 3) Chief Operations Officer	Group to which the unit reports		
15.2	Any agreement for the sale or disposal of assets (not-Property/land) for a consideration of less than €150,000	All Academic Units & Support Units	Director of Finance	Financial Operations Accountant	None	Finance Office
15.2.1	Any agreement for the sale or disposal of assets (not-Property/land) for a consideration of €150,000 or more.	All Academic Units & Support Units	Governing Authority	1) Chief Operations Officer & 2) Director of Finance	None	President's Office

## 16. Insurance & Legal

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
16.1	Agreement for insurance policies and cover	Finance Office	Finance Office Insurance Manager	Director of Finance	Deputy Director of Finance or Group Financial Controller	Finance Office



Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
16.2	Agreement regarding settlement of a legal case under an insurance policy	Finance Office	Finance Office Insurance Manager	Financial Operations Accountant	Financial Controller	Finance Office
16.3	Settlement agreements: i.e. any document that settles a legal claim against the University (excluding insurance claim documentation)	Office of the Chief Operations Officer	Finance Office/HR/Office of the COO/VPAA/VPR depending on the nature of the claim	Chief Operations Officer	Director of Finance	Office of the Chief Operations Officer
16.4	Affidavits (A written statement confirmed by oath or affirmation, for use as evidence in court)	Relevant DCU Department	Finance Office/HR/Office of the COO/VPAA/VPR depending on the nature / context of the affidavit	Chief Operations Office	Director of Finances	Finance Office
16.5	Settlement agreements arising from employment law cases	1) Human Resources Office & 2) Office of the Chief Operations Officer	Senior Management Group	Deputy Director of Human Resources	Human Resources Manager / Officer	Human Resources Office
16.6	Contracts for the provision of legal services to university	Office of the Chief Operations Officer	1) Governing Authority & 2) Audit Committee & 3) Central Procurement Team	Chief Operations Officer	None	Office of the Chief Operations Officer & Copy to the Central Procurement Team
16.7	Sealing of documents: Application of the University seal to contracts and other legal agreements and instruments	Office of the Chief Operations Officer	Chief Operations Officer	Chief Operations Officer	None	Office of the Chief Operations Officer
16.8	Contract to appoint an insurance broker	Finance Office	Central Procurement Team	Director of Finance	None	Central Procurement Team

## 17. Student Recruitment Documentation

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
17.1	Documentation setting out fees applicable to certain categories of students: - Fee status / category assessment decisions - Decisions made following a simple / initial appeal	External Engagement Office	Not Applicable	Manager in Office of External Engagement	Executive Director for Engagement	External Engagement Office
17.2	Documentation setting out fees applicable to certain categories of students: - Decisions made following a further appeal	Office of the Vice President for Academic Affairs	Not Applicable	Manager in Office of the Vice President for Academic Affairs	None	Office of the Vice President for Academic Affairs
17.3	US Federal Loans - Loan requests / loan agreements - Loan approval letters - Student progress reports - Loan deferrals - Loan agreements between DCU and US Government Departments	External Engagement Office	Not Applicable	Manager in Office of External Engagement	None	External Engagement Office
17.4	US Federal Loans - Eligibility certificate	External Engagement Office	Executive Director for Engagement	President	None	External Engagement Office
17.5	US Federal Loans - Compliance audit documentation / assertion letter	External Engagement Office	DCU External Auditors	President	None	External Engagement Office

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
17.6	Documentation for International students - Offer letters - Payment receipts for visa application - Visa support letters - Certificates of enrolment - Enrolment letters for GNIB - Enrolment letters for bank - Enrolment letters for PPS - Work availability letter - Third level graduate scheme support letter - Completion verification documentation	External Engagement Office	Office of External Engagement  (All signed documents listed must use the template for the document approved by the External Engagement Office)	Manager in Office of External Engagement	None	External Engagement Office
17.7	Agency agreements - where an external agent promotes or acts on behalf of the External Engagement Office	External Engagement Office	Director of External Engagement & Central Procurement Team	Director of External Engagement	Head of Student Recruitment	External Engagement Office
17.8	Overseas offices contracts - Lease or purchase of property	External Engagement Office	1) External Engagement Office & 2) Central Procurement Team	Director of External Engagement	None	External Engagement Office

## 18. Letter of Intent, Memorandum of Understanding, Memorandum of Agreement

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
18.1	Letter of Intent (LoI)  Level 1 - between an individual acting on behalf of the university and another individual	All Units	Head of School	Head of School	Not Applicable	School Office
18.1.1	Letter of Intent (LoI)  Level 2 – Between a Faculty & Another Faculty	All Academic Units	Executive Dean	Executive Dean	Not Applicable	Faculty Office
18.1.2	Letter of Intent (LoI)  Level 3 - Between the University and another 3rd level Institution where it involves one or more of the following: a) Financial obligation of €250k or more; b) More than one University faculty; c) A significant number of students	All Units	Director of External Engagement  Other members of senior management as appropriate.	1) Deputy President or 2) Vice President for Research or 3) Vice President for Academic Affairs	Not Applicable	Office of External Engagement
18.1.3	Letter of Intent (LoI)  Level 4 - Between the University and a Strategic Partner where it involves one or more of the following: a) Financial obligation of €250k or more b) More than one University faculty	All Units	President  Other members of senior management as appropriate.	Nominee of the Governing Authority	Not Applicable	Office of External Engagement

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	c) A significant number of students					
18.2	Memorandum of Understanding (MoU)  Level 1 - between an individual acting on behalf of the university and another individual	All Units	Head of School	Head of School	Not Applicable	School Office
18.2.1	Memorandum of Understanding (MoU)  Level 2 - Between a Faculty and another Faculty	All Academic Units	Executive Dean	Executive Dean	Not Applicable	Faculty Office
18.2.2	Memorandum of Understanding (MoU)  Level 3 - Between the University and another 3rd level Institution where it involves one or more of the following: a) Financial obligation of €250k or more b) More than one university faculty c) A significant number of students* *Collaborative provision falls under the relevant section above	All Units	Director of External Engagement  Other members of senior management as appropriate.	1) Deputy President or 2) Vice President for Research or 3) Vice President for Academic Affairs	Not Applicable	Office of External Engagement
18.2.3	Memorandum of Understanding (MoU)  Level 4 - Between the University and a Strategic Partner where it involves one or more of the following:	All Units	President  Other members of senior management as appropriate.	1) Deputy President or	Not Applicable	Office of External Engagement

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	a) Financial obligation of €250k or more b) More than one university faculty c) A significant number of students*  *Collaborative provision falls under the relevant section above			2) Vice President for Research or 3) Vice President for Academic Affairs		
18.3	Memorandum of Agreement (MoA)  Level 1 - between an individual acting on behalf of the university and another individual	All Units	Head of School	Head of School	Not Applicable	School Office
18.3.1	Memorandum of Agreement (MoA)  Level 2 - Between a Faculty and another Faculty	All Academic Units	Executive Dean	Executive Dean	Not Applicable	Faculty Office
18.3.2	Memorandum of Agreement (MoA)  Level 3 - Between the University and another 3rd level Institution where it involves one or more of the following: a) Financial obligation of €250k or more b) More than one university faculty c) A significant number of students*  *Collaborative provision falls under the relevant section above	All Units	Director of External Engagement  Other members of senior management as appropriate.	1) Deputy President or 2) Vice President for Research or 3) Vice President for	Not Applicable	Office of External Engagement

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
				Academic Affairs		
18.3.3	<p>Memorandum of Agreement (MoA)</p> <p>Level 4 - Between the University and a Strategic Partner where it involves one or more of the following:</p> <p>a) Financial obligation of €250k or more</p> <p>b) More than one university faculty</p> <p>c) A significant number of students*</p> <p>*Collaborative provision falls under the relevant section above</p>	All Units	<p>President</p> <p>Other members of senior management as appropriate.</p>	Nominee of the Governing Authority	Not Applicable	Office of External Engagement

## 19. Miscellaneous

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
19.1	<p>Any agreement for the transfer or sharing of personal data with a party external to the university</p> <p>(Excluding category # 19.1.1)</p>	All Academic & Support Units	Data Protection Unit	Member of the SMG responsible for the DCU unit processing the data.	Head of Unit	Unit involved & Copy to Data Protection Unit

Ref	Description of Document	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
19.1.1	Any agreement for the transfer or sharing of personal data where it relates to research collaborations with Industry or publicly funded Research Performing Organisations (RPOs)	All Academic & Support Units	Data Protection Unit	IP Operations Manager	Senior Research Officer	Unit involved & Copy to Data Protection Unit
19.2	Academic related communications to current or past students - <b>Transcript of Training</b> for nursing graduates seeking registration abroad	Faculty of Science & Health	Not Applicable	Programme Chairperson (Co-ordinator)	Pathway leader (General, Mental Health etc.); Allocations Officer	Faculty Office
19.3	Academic-related communications to current or past students - <b>Offer of Exit Award</b> to nursing students who have successfully completed required theory modules but who have not successfully completed practice modules and cannot therefore practice as Nurses	Faculty of Science & Health	Not Applicable	Programme Chairperson (Co-ordinator)	Not Applicable	School & Faculty Offices
19.4	Any document giving rise to a commitment of €750,000 or more on behalf of the University	All Academic & Support Units	Governing Authority	President	Chief Operations Officer	President's Office
19.5	Agreements for live animal purchases or sales	Biological Resources Unit	Not Applicable	Chief Technical Officer - Bio Resources Unit	None	Biological Resources Unit
19.6	Postgraduate research student related letters on behalf of the University other	Graduate Studies Office	None	GSO Research Administrator	None	Graduate Studies Office



Ref	Description of Document	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	than those referred to in Section 17, 22 or 25.					
19.7	SSL Certificates (Secure Sockets Layer), miscellaneous software / hardware licence agreements	ISS	Not Applicable	Appropriate Team Manager in ISS	Appropriate Team Leads in ISS	ISS
19.8	Domain name registrations	ISS	DCU Executive	Director of ISS	None	ISS
19.9	Online purchase of centrally provided (i.e. ISS) cloud-based services	ISS	Director of ISS	Director of ISS	None	ISS
19.10	Audit engagement letter - for provision of audit services related to University Financial Statements	Finance Office	1) Governing Authority & 2) Audit Committee	President	Deputy President	Finance Office
19.11	Agency agreements - where an external agent promotes or acts on behalf of the DCU Estates Office	Estates Office	1) Chief Operations Officer & 2) Central Procurement Team (Depending upon value / scope)	Director of Estates	Chief Operations Officer	Estates Office & Central Procurement Team

Ref	Description of Document	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
19.12	Agreement for the acquisition of collections	Library	Deputy President	Director of Library Services	Sub Librarian - Collections and Systems Services	Library
19.13	Consortial agreement for the acquisition of information resources and complementary products for resale	Library	Director of Library Services	Director of Library Services	1) Head of Collections and Systems Services 2) Acquisition Librarian (books and electronic books). 3) Periodicals and E-resource Librarian (e-resources and periodicals).	Library
19.14	Activation form for an External Framework established by Central Purchasing Body (e.g. Office of Government Procurement - OGP)	Central Procurement Team	Central Procurement Team	Strategic Procurement & Supply Chain Manager	Procurement & Contracts Manager or Deputy Director of Finance	Central Procurement Team
19.15	Non-Disclosure Agreements - Placement Students	Office of the Vice President for Academic Affairs	Director of Placement	Vice President for Academic Affairs	Director of Placement	Office of the VPAA
19.16	Non-Disclosure Agreements - Research Students	Office of the Vice President for Academic Affairs	Dean of Graduate Studies	Vice President for Academic Affairs	Dean of Graduate Studies	Office of the VPAA

## 20. Purchasing – Departmental (Excluding Construction and Consultancy)

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
20.1	Contracts (not invoices) for goods, services and equipment purchases up to €5,000	All Academic & Support Units	Budget Holder	Budget Holder	None	Unit managing the purchase
20.2	Contracts (not invoices) for goods, services and equipment purchases between €5,001 & €25,000	All Academic & Support Units	Senior Management in the Academic or Support Unit as applicable	Budget Holder	None	Unit managing the purchase
20.3	Contracts (not invoices) for goods, services and equipment purchases between €25,001 & €50,000	All Academic & Support Units	1) Central Procurement Team & 2) Senior Management in the School or Support Unit as applicable	Senior Manager in academic or support unit as applicable	None	Unit managing the purchase
20.4	Contracts (not invoices) for goods, services and equipment purchases between €50,001 & €75,000	All Academic & Support Units	1) Central Procurement Team & 2) Senior Management in the School or Support Unit as applicable	Member of the Senior Management Group	None	Unit managing the purchase
20.5	Contracts (not invoices) for goods, services and equipment purchases between than €75,001 & €250,000	All Academic & Support Units	1) Central Procurement Team & 2) Senior Management in the School or Support Unit as applicable	Deputy President	Chief Operations Officer or Director of Finance	Unit managing the purchase

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
20.6	Contracts (not invoices) for goods, services and equipment purchases greater than €250,001	All Academic & Support Units	1) Central Procurement Team & 2) Senior Management Group & 3) Governing Authority if value of contract is greater than €750,000	President	Deputy President or Chief Operations Officer	Unit managing the purchase
20.7	Building maintenance agreements & associated service level agreements for goods or services provided with an annual value up to €1,000,000	All Academic & Support Units	1) Estates Manager or the Assistant Estates Manager & 2) Central Procurement Team if value greater than €25,000 & 3) Governing Authority if value is greater than €750,000.	Director of Estates	Estates Manager or Assistant Estates Manager	Unit managing the purchase
20.8	Building maintenance agreements & associated service level agreements for goods or services provided with an annual value greater than €1,000,000	All Academic & Support Units	1) Estates Manager or the Assistant Estates Manager & 2) Central Procurement Team if value greater than €25,000 & 3) Governing Authority if value is greater than €750,000.	Chief Operations Officer	Director of Estates	Unit managing the purchase

## 21. Purchasing - Research

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
21.1	Contracts (not invoices) for goods, services and equipment purchases up to €5,000	All Academic Units	Principal Investigator	Principal Investigator	Head of School	School Office
21.2	Contracts (not invoices) for goods, services and equipment purchases between €5,001 & €25,000	All Academic Units	1) Senior Management in the Academic Unit as applicable & 2) Fund provider if required under fund agreement	Head of School	None	Unit Office
21.3	Contracts (not invoices) for goods, services and equipment purchases between €25,001 & €50,000	All Academic Units	1) Central Procurement Team & 2) Senior Management in the Academic Unit as applicable & 3) Fund provider if required under fund agreement	Head of School	None	Unit Office
21.4	Contracts (not invoices) for goods, services and equipment purchases between €50,001 and €750,000	All Academic Units	1) Central Procurement Team & 2) Senior Management in the Academic Unit as applicable & 3) Fund provider if required under fund agreement	Dean of Faculty	None	Faculty Office
21.5	Contracts (not invoices) for goods, services and equipment purchases for greater than €750,000 where funding has (or will be) provided by an external	All Academic Units	1) Central Procurement Team & 2) Senior Management in the Academic Unit as applicable &	Vice President for Research	Dean of the Faculty	Faculty Office

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
	<p>provider to the extent that DCU will not incur any net cost.</p> <p>The funding must either have been received in advance of the purchase or reflected in a legally binding agreement with the funder.</p>		<p>3) Fund provider if required under fund agreement &amp; 4) Governing Authority</p>			

## 22. Registry Documentation

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
22.1	Student registration letters to government departments, agencies, employers and banks	Registry	Must use the standard templates drafted and approved by members of the Registry management team	Managers in Registry Office	Director of Registry	Registry
22.2	Appointment letters for University External Examiners	Registry	<p>1) Graduate Studies Board &amp; 2) University Standards Committee.</p>	Awards Officer in Registry	None	Registry

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
22.3	IT licensing and service agreements	Registry (& ISS in some instances)	Registry Management Team and ISS in some instances.	Managers in Registry Office	Director of Registry	Registry
22.4	Agreement with Placement Setting Providers for purposes of Student Vetting	Registry	Director of Registry	Director of Registry	Admissions Officer	Registry
22.5	Transcripts of student results	Registry	Results will already have been approved by Progression & Award Boards or Faculty Research Award Boards	Director of Registry	None	Registry
22.6	Parchments	Registry	Results will already have been approved by Progression & Award Boards or Faculty Research Award Boards	President	VP Academic Affairs (Registrar)	Held by recipient
22.7	Admission postgraduate offers by letter	Registry	Programme Chairperson	Senior Enrolment Coordinator	None	Held by recipient
22.8	Admission undergraduate offers by letter	Registry	Deans / Programme Chairperson	Registry Admissions Officer	None	Held by recipient
22.9	Admission direct offers to international students by letter	Registry & Student Recruitment Office	1) Programme Chairperson & 2) Student Recruitment Office	Registry Admissions Officer	Senior / Deputy Enrolment Officer	Held by recipient
22.10	1st year students - invitation to register by letter	Registry	Not Applicable	Registry Admissions Officer	None	Held by recipient
22.11	External examiner expense claims	Registry	Registry Admin Staff	Director of Registry	1) Student Enrolment Officer	Registry

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
					or 2) Student Awards Manager	

### 23. Research & Intellectual Property Contracts

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
23.1	Application for research funding	All Academic Units	1) Research Support (& IP Team in Invent if applicable) & 2) Finance Office & 3) Budget Holder / Principal Investigator	Director of Research	VP for Research or Director of Commercialisation or IP Operations Manager	Research Support
23.2	Grant / research contracts	All Academic Units	1) Research Support (& IP Team in Invent if applicable) & 2) Finance Office & 3) Budget Holder / Principal Investigator	Director of Research	VP for Research or Director of Commercialisation or IP Operations Manager	Research Support
23.3	Consortium agreements	All Academic Units	1) DCU Executive & 2) Research Support (& IP Team in Invent if applicable) & 3) Finance	Director of Research	VP for Research	Research Support



Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
			& 4) Budget Holder / Principal Investigator			
23.4	Propriety rights and associated documentation from inventions e.g. assignment agreements, powers of attorney etc.	DCU Invent DAC	DCU Invent DAC	Director of Commercialisation	VP for Research or IP Operations Manager	DCU Invent DAC
23.5	Licence / options to license to make use or sell the product of an invention (including sub-licencing)	DCU Invent DAC	1) DCU Invent DAC & 2) Research Support & 3) Finance Office & 4) Budget Holder / Principal Investigator	Director of Commercialisation	VP for Research or IP Operations Manager	DCU Invent DAC
23.6	Patent ownership - assignment to a third party	DCU Invent DAC	DCU Invent DAC	Director of Commercialisation	VP for Research or IP Operations Manager	DCU Invent DAC
23.7	Material Transfer Agreements	DCU Invent DAC	DCU Invent DAC	IP Operations Manager	1) VP for Research or 2) Director of Research or 3) Director of Commercialisation	DCU Invent DAC
23.8	Confidentiality agreements relating to Intellectual Property	DCU Invent DAC	DCU Invent DAC	Director of Commercialisation	1) VP for Research or	DCU Invent DAC

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
					2) Director of Research or 3) IP Operations Manager	
23.9	Researcher undertakings regarding confidentiality	DCU Invent DAC	DCU Invent DAC	Director of Commercialisation	1) VP for Research or 2) Director of Research or 3) IP Operations Manager	DCU Invent DAC
23.10	Joint Ownership Management agreements	DCU Invent DAC	DCU Invent DAC	Director of Commercialisation	Director of Research or IP Operations Manager	DCU Invent DAC
23.11	Agreements for the creation or dissolution of research centres or research institutes	All Academic Units	President	Director of Research	VP for Research	Research Support
23.12	Other technology transfer and industrial interaction related matters	All Academic Units	DCU Invent DAC	Director of Commercialisation	1) VP for Research or 2) Director of Research Or 3) IP Operations Manager	DCU Invent DAC

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
23.13	Transfer of research assets to other parties	Research Support	After consultation with Head of School or Centre Director	Director of Research	VP for Research	Research Support
23.14	Transfer of research contracts from / to other institutions and related documentation	Research Support	Research Support (& IP Team in Invent if applicable)	Director of Research	VP for Research	Research Support
23.15	Research contract with an industry partner that <u>does not</u> contain an unlimited liability clause (See Ref 23.16 below)	Research Support	1) Research Support (& IP Team in Invent if applicable) & 2) Finance Office & 3) Budget Holder / Principal Investigator	Director of Research	1) VP for Research or 2) Director of Research	Research Support
23.16	Research contract with an industry partner that contains an unlimited liability clause	Research Support	1) Research Support (& IP Team in Invent if applicable) & 2) Senior Management Group & 3) Executive & 4) Governing Authority Risk Committee & 5) Governing Authority	President	VP for Research	Research Support
23.17	IP Declarations to Enterprise Ireland	DCU Invent DAC	IP Operations Manager	IP Operations Manager	Director of Commercialisation or VP for Research	Research Support

## 24. Revenue Returns

Ref	Description of Document	Unit(s) Responsible	Review Steps Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
24.1	Intrastat returns (details of DCU trade, both imports & exports with intra community suppliers & customers) - prepared by Multi Cargo Ltd on DCU's behalf.	Finance Office	Controller Group Financial Operations	Controller Group Financial Operations	None	Finance Office
24.2	PAYE / PRSI / USC - monthly (P30) and annual returns (P35)	Finance Office - Payroll Section	Payroll Manager	Payroll Administrator responsible for ROS processing	N/a	Finance Office - Payroll Section
24.3	Professional Services Withholding Tax - monthly return (F30) and annual return (F35)	Finance Office	Controller Group Financial Operations using ROS login	Finance Office Staff responsible for ROS processing	N/a	Finance Office
24.4	VAT Return - Bi-monthly (VAT 3)	Finance Office	Controller Group Financial Operations using ROS login	Finance Office Staff responsible for ROS processing	N/a	Finance Office
24.5	VAT Return - annual return of trading details	Finance Office	Controller Group Financial Operations using ROS login	Controller Group Financial Operations using ROS login	N/a	Finance Office
24.6	Annual return of 3rd party information - Form 46G	Finance Office	Controller Group Financial Operations using ROS login	Controller Group Financial Operations using ROS login	N/a	Finance Office
24.7	Returns to Revenue in relation to payments to students under the studentship concession	Graduate Studies Office	Dean of Graduate Studies	Dean of Graduate Studies	None	Graduate Studies Office

## 25. Scholarships

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
25.1	Endorsing Irish Research Council (IRC) postgraduate fellowship applications on behalf of the University	Graduate Studies Office	GSO scholarship administrator	Dean of Graduate Studies	Research Administrator in GSO	Graduate Studies Office (on the IRC System)
25.2	Terms and conditions agreements with external funder for directly funded student fellowships (e.g. IRC)	Graduate Studies Office	GSO scholarship administrator	Dean of Graduate Studies	Director Research Support	Graduate Studies Office
25.3	Agreements with external research funder which encompass funding for scholarships	All Academic Units	Research Support or Academic Affairs depending on student type and context	Director of Research or Dean of Graduate Studies or Dean of Teaching and Learning	VP for Research or VP Academic Affairs	Research Support or Graduate Studies Office
25.4	Letters of offers of research student scholarships funded from internal budgets	All Academic Units & Graduate Studies Office	Depends on scholarships scheme. All offers should be subject to meeting academic entry or progress criteria.	Budget holder: PI or Head of School for School / Group funded scholarships; Chair / Secretary of Faculty Research Committee for Faculty specific scheme; Dean of Graduate Studies for university level schemes	None	Unit of signatory
25.5	Terms and conditions agreements for research student scholarships funded from internal budgets	All Academic Units & Graduate Studies Office	Faculty research administrator or GSO scholarship administrator	Budget holder: PI or Head of School for School/ Group funded scholarships;	None	Unit of signatory

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
				Chair / Secretary of Faculty Research Committee for Faculty specific scheme; Dean of Graduate Studies for university level schemes		
25.6	Approval for postgraduate research travel grant payments (internal scheme)	Graduate Studies Office	GSO travel grant scheme administrator	Research Administrator in GSO	None	Graduate Studies Office
25.7	Approval for stipend payments to research students	All Academic Units & Graduate Studies	Faculty Office and GSO stipend administrator	Budget holder	Research Administrator in GSO	Graduate Studies Office
25.8	Student progress reports shared by DCU with external government (non-Irish) funding agencies	Student Recruitment Office	Not applicable, but subject to student permission having been given in accepting funding.	Head of Student Recruitment Office	Manager in Student Recruitment Office	Student Recruitment Office
25.9	Student progress reports shared with other external funding or partner agencies	All Academic Units	Not applicable, but subject to student permission having been given in accepting funding of engaging with the scheme.	Research Supervisor or Head of School or Programme Chair	Dean of Graduate Studies or Dean of Teaching and Learning	Unit of signatory

## 26. Subsidiary / Joint Ventures


Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
26.1	Acquisition or creation of a wholly owned subsidiary company	Office of the Chief Operations Officer	Governing Authority	Chief Operations Officer	Director of Finance	Office of the Chief Operations Officer
26.2	Sealing of documents on behalf of a subsidiary company	Office of the Chief Operations Officer	Chief Operations Officer	Chief Operations Officer	Designated Deputy Chief operations Officer	Office of the Chief Operations Officer
26.3	100% wholly owned subsidiary documents to be signed on behalf of the shareholder (DCU)	Office of the Chief Operations Officer	Chief Operations Officer	Chief Operations Officer	Director of Finance	Office of the Chief Operations Officer
26.4	Contracts signed on behalf of a subsidiary company	Office of the Chief Operations Officer	1) Company Board & 2) Chief Operations Officer	Chief Operations Officer	Director of Finance	Office of the Chief Operations Officer
26.5	Disposal of a subsidiary or joint venture company	Office of the Chief Operations Officer	1) Company Board 2) Chief Operations Officer & 3) Governing Authority	Chief Operations Officer	None	Office of the Chief Operations Officer

## 27. Supply of Utilities – Contracts or Agreements

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
27.1	All utility contracts	Estates Office	Central Procurement Team if the value is greater than €25,000	Director of Estates	Chief Operations Officer	Estates Office &

Ref	Description of Document	Unit(s) Responsible	<u>Review Steps</u> Document to be reviewed & recommended for approval, prior to signing, by	Primary signatory	Delegated or alternative signatory	Location where final signed document is to be held
						Copy to the Central Procurement Team
27.2	Review of existing contracts	Estates Office	Central Procurement Team if the value is greater than €25,000	Director of Estates	Chief Operations Officer	Estates Office & Copy to the Central Procurement Team

## Version Control

<b>Document Name</b>	Signing Authority Policy Appendix		
<b>Unit Owner</b>	Office of the Chief Operations Officer		
<b>Version Reference</b>	<b>Version 2.0</b>	<b>Reviewed Version N/a</b>	
<b>Approved by</b>	Related Policy - DCU Executive	N/a	
<b>Effective Date</b>	This appendix - January 20 <sup>th</sup> 2023	N/a	