

Title:	<b>Research Signing Authority Policy</b>		
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## 1.0 PURPOSE

To establish a consistent framework of authority and accountability for the use of research funds and governance of research contractual matters at Unity Health Toronto (“Network”). The Research Signing Authority Policy (“Policy”) details the approval levels for Network research expenditures, transactions, and contractual commitments (“Research Commitments”). This Policy is applicable to all individuals, including leadership and researchers, at the Network.

## 2.0 POLICY

This Policy defines minimum standards for Contractual Signing Authority and Financial Approval Authority delegated to Research Staff and Principal Investigators. This Policy should be applied in conjunction with the Network’s Signing Authority Policy on matters this Policy does not explicitly address. Sub-delegation and temporary delegation of signing authorities, other than described in Section 2.1 and 2.2 of this Policy, shall follow the Network’s Signing Authority Policy.

Breach of this Policy may constitute research misconduct which can result in sanctions by the Network, funding agencies and/or regulatory agencies. Further, breach or non-compliance of this Policy, such as but not limited to signing or approving on commitments that an individual did not have authority to, may result in appropriate disciplinary actions from the Network up to and including termination of employment or termination of appointment.

This Policy acknowledges that the Network is required to align with the Broader Public Sector Expenses and Procurement Directives.

### 2.1 Contractual Signing Authority – Research

The Network’s Contractual Signing Authority for research shall follow as per the schedule below. In the absence of the VPRI, Contractual Signing Authority for research may be delegated to the Executive Director, Li Ka Shing Knowledge Institute, Executive Director, Keenan Research Centre for Biomedical Sciences, or the Senior Director of Research Operations. This preserves the sensitivity of research studies and ensures agreements are executed by someone familiar with research related matters.

<b>Functional Area</b>	<b>Agreement Type</b>	<b>Minimum Signing Authority</b>
Commercialization	Commercialization Agreement	VPRI, CFO
	Commercialization Term Sheet	VPRI
Contracts	Agreements Resulting in the Issuance of Shares	VPRI, CEO, Board, CFO
	Data or Material Transfer Agreements	Research Director or Sr. Director RO
	Licensing or Intellectual Property Agreements	VPRI or Delegate
	Other Study Agreements	VPRI or Delegate
Funding	Certificates & Attestations	Sr. Director RO or Delegate
	Funding Applications & Agreement	Sr. Director RO or Delegate

**2.2 Financial Approval Authority – Research**

Research expenditures shall be approved as per the schedule below. The signatories below represent the minimum signing authority in order of rank. For internal transfers including employee change forms, the Senior Director, Research Operations has authority over all research accounts regardless of amount and may authorize transfers if required without further approvals.

<b>Amount</b>	<b>Minimum Signing Authority</b>	<b>Non-Competitive Additional Approval</b>
\$3,000 or less	PI or Delegate	N/A
\$3,001 to \$50,000	PI and RFA	Manager, Research Finance
\$50,001 to \$250,000	PI, Manager Research Finance, Research Director	Senior Director, Finance
\$250,001 to \$500,000	PI, Manager Research Finance, Research Director or Sr. Director RO, Senior Director Finance	VPRI
\$501,000 to \$1,000,000	PI, Manager Research Finance, Sr. Director RO, VPRI, Senior Director Finance	CFO

\$1,000,001 to \$5,000,000	PI, Manager Research Finance, Sr. Director RO, VPRI, CFO	CEO
\$5,000,001 to \$10,000,000	PI, Manager Research Finance, Sr. Director RO, VPRI, CFO, CEO	Board
\$10,000,001+	PI, Manager Research Finance, Sr. Director RO, VPRI, CFO, CEO, Board	Board

**Goods & Non-Consulting Services - Non-Competitive:**

Non-competitive procurement of goods or non-consulting services must be approved by an authority one level higher as per listed above as minimum.

**Consulting - Competitive and Non-Competitive:**

The competitive and non-competitive procurement of consulting services will also require approval by VP or CEO, as per the Network’s Signing Authority Policy.

Principal Investigators may delegate Financial Approval Authority to enable the continuance of operations as follows:

Amount	Delegated Position
\$1,000 or less	Research Coordinator or Assistant
Up to \$2,000	Research Associate
Up to \$5,000	Manager

**3.0 DEFINITIONS**

Term/Acronym	Definition
<b>Contractual Signing Authority</b>	Person with authority to legally bind the Network.
<b>Financial Approval Authority</b>	Person with authority to approve research expenditures.
<b>Network</b>	Unity Health Toronto.
<b>PI</b>	Principal Investigator.
<b>Research Director</b>	Director of Research Facilities, Director of Research Operations, or another Director within research delegated by the Senior Director of Research Operations.
<b>RFA</b>	Research Financial Analyst.
<b>Sr. Director, RO</b>	Senior Director, Research Operations.
<b>VPRI</b>	Vice President Research & Innovation.
<b>Competitive Procurement</b>	The process of selecting successful suppliers of goods and services through the open, fair and transparent publication of

	business opportunities and evaluation of pre-determined criteria.
<b>Non-Competitive Procurement</b>	The process that is not competitively conducted but is permitted on the basis of an exception as provided in the Procurement Policy.
<b>Consulting Services</b>	The provision of expertise or strategic advice that is provided to the Network for consideration and decision-making purposes.

#### 4.0 PROCEDURE

[Insert steps or actions to complete a specific function, task or process; should provide clarity, direction, and how to perform a set of tasks]

#### 5.0 REFERENCES

Research Misconduct Policy

Signing Authority Policy

Version	Approval/Sub-approval body	Approval date
01	Research Leadership Committee	February 14, 2024
02		
03		

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