

POLICY 7.8 – Signing Authorities for Research Documents

Policy Category:	Research
Subject:	Signing Authority
Subsections:	Purpose, Definitions, Policy
Approving Authority:	Board of Governors
Responsible Officer:	Vice-President (Research)
Responsible Office:	Western Research
Related Procedures:	*
Officer(s) Responsible for Procedures:	*
Related Policies:	Policy 1.49 – Contract Management and Signing Authority Policy 2.1 – Gift Acceptance Policy 2.2 – Fund Raising & Canvassing Policy 2.8 – Procurement of Materials and Services Policy 7.0 – Responsible Conduct of Research Policy 7.9 – Establishment, Governance and Review of Research Institutes, Centres and Groups Policy 7.13 – Guidelines for International Partnerships Policy 7.17 – Establishment, Governance and Review of Core Research Facilities
Effective Date:	May 1, 2025
Supersedes:	June 24, 2008; October 15, 2009

PURPOSE

- 1.00 As detailed within MAPP Policy 1.49 – *Contract Management and Signing Authority*, all Research Documents being signed on behalf of Western University must be properly vetted, approved, and signed by an authorized institutional signing official.

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2.00 The purposes of this policy are to:

- Identify those persons who have the institutional authority to submit/sign Research Documents on behalf of the University;
- Identify the unit responsible for storage of Research Documents; and
- Support the University in meeting its obligations to research sponsors.

3.00 This Policy does not apply to the following:

- i. Corporate guarantees, leases of real property, Gifts, or any non-research related agreements for which signing authority is specifically provided under MAPP Policy 1.49 – Contract Management and Signing Authority;
- ii. Agreements relating to Gifts as outlined and defined in MAPP Policy 2.1 – Gift Acceptance and MAPP Policy 2.2 – Fund Raising & Canvassing;
- iii. Agreements and Contracts relating to the procurement of materials, supplies and services (MAPP Policy 2.8 – Procurement of Materials and Services);
- iv. The establishment of Research Institutes, Centres and Groups and other agreements relating to the creation of collaborative research entities under MAPP Policy 7.9 – Establishment, Governance and Review of Research Institutes, Centres and Groups;
- v. The establishment of Core Research Facilities under MAPP Policy 7.17 – Establishment, Governance and Review of Core Research Facilities; and
- vi. International Research Collaboration agreements established pursuant to MAPP Policy 7.13 – Guidelines for International Research Partnerships.

DEFINITIONS

Commercial Contract means any agreement or contract for intellectual property management and ownership related to commercialization activities, stemming from research activities, including licensing, equity transaction, spin-off corporation, purchase and sale agreements, shareholder agreements and intellectual property assignments.

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Notice of Award means a document from a funder wherein only one party's signature is required.

Proposal/Application means an official request for research funding to a funding sponsor, granting agency, government or organization. The proposal or application may be in response to an official research funding opportunity, or it may be a private one-time research funding opportunity. Letters of Intent often accompany proposals/applications and are included as part of this definition.

Research Contract means any research agreement (including community agreements), contract, subcontract, memorandum of understanding or any other document that requires a signature from two or more parties and which creates a research obligation, or which may be binding upon the University as it relates to research and/or the administration of clinical trials including contracts to manage data collection and aggregate and anonymize health information. This definition also includes contracts related to research that manage data collection, confidentiality, material transfer and agreements that aggregate and anonymize health information.

Research Document means any Commercial Contract, Notice of Award, Proposal/Application, Research Contract or Service Contract.

Service Contract means any agreement where the University agrees to provide research-related consulting, technical or research services or agrees to permit the use of University research facilities by a third party. This includes activities originating from a research unit, research facility including research core facilities, research institutes, or research centres within the University.

POLICY

4.00 Signing of Research Documents is subject to appropriate legal and business unit review and acknowledgement in accordance with MAPP Policy 1.49 – Contract Management and Signing Authority and Western Research's policies and procedures.

5.00 The following individuals have institutional authority to sign Research Documents:

- i) President & Vice-Chancellor or Vice-President (Research):
 - Any Research Document contemplated under this policy.
- ii) Associate Vice-Presidents and the Executive Director, Western Research:
 - Any Research Document contemplated under this policy, provided

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that the value of the agreement/contract does not exceed \$10,000,000.

iii) Director-level positions within Western Research:

- Any Research Document contemplated under this policy, provided that the value of the document does not exceed \$3,000,000.

6.00 Value as determined by the monetary limits set out in 5.00 reflects the aggregate value of the University's financial involvement. In cases where other institutions are party to the agreements or contracts, the value represented is the University's *pro rata* participation.

7.00 Western Research is responsible for maintaining records of research related to Research Documents.

8.00 The Vice-President (Research) is responsible for administration of this policy and is authorized to approved related guidelines and procedures.