



Policy 3-004, Processing and Signing Official Documents

Executive Summary

Nov. 16, 2009

The current version of Policy 3-004, *Processing and Signing Official Documents*, was written in 1983, with minor revisions in 1999; and summarized the then-current guidance for assigning responsibility re: what type of documents could be approved by whom.

During a recent internal audit, it was discovered that certain documents committing the University contractually and legally were being executed by individuals without the proper authority to do so. Policy 3-004 was consulted for guidance by the auditors, and found lacking – in currency and specificity, particularly in setting forth who may obligate the University, and the principles surrounding such actions, including appropriate delegation.

Also, as part of the current University initiative to re-structure and modernize our policy documents, this policy has now been revised with additional wording and formatting to conform the policy to the new standard template, and to update the definitions, terminology, and document types. In fact, whereas the policy previously attempted to list out each document type by responsible VP within the body of the policy text, the revised policy has that information stripped out, and maintained as a separate document, which is attached. This separate listing will change from time to time, and therefore should not be part of the policy per se.