

DOCUMENT REVIEW AND SIGNATURE POLICY

Authorized signers must be identified for each CLA area (and approved by the area class manager) by type of document: BA23, COA, budget, accounting (excluding payroll), personnel, and payroll. These document types are defined below.

Authorized signers should be those that know enough about the transaction to ensure its accuracy and consistency with policy. Many levels of approval are not recommended, unless higher levels “add value” to the transaction. In addition, an individual’s own transactions (HRMS documents, reimbursements, etc.) must be approved by his/her supervisor. (See policy F-6, Fiscal Responsibility.)

The CLA Authorization Signature Record (ASR) should be updated annually or more frequently if staffing changes occur. This record should be submitted to the CLA Budget Office, 209 Johnston Hall, for review and approval. An approved copy of the ASR will be sent to the area manager. (Note: Deletions of authorized signers can be noted on the department’s copy of the approved ASR and sent to the CLA Budget Office.)

Document Type Definitions

Accounting: Documents that record expense or income transactions. Documents appear on the OLGL (Online General Ledger) and TRNI (Transaction/Account Inquiry) tables. Examples include CR, vendor invoice, IV, IX, JV, POT, PVA, RX, TA, TP, TPA, etc. Note: HSA documents are included in the payroll section.

BA23: Approval document for sponsored grant proposals. It identifies the principal investigator, granting agency, requested amount, time period of proposed grant, use of research subjects, space needs (including remodeling), etc.

Budget: Documents that increase/decrease revenue and expense budgets as well as set up budget lines: RB, EB, and ET.

COA: Documents that add, delete, or change organizations, sub-organizations, reporting categories, and organization reporting codes.

Human Subjects in Research Application (HRSA): Approval document for use of human subjects in research.

Payroll: Payroll sheets for biweekly payroll as well as HSA and AVT documents to move payroll expenses.

Personnel: Civil Service Requisitions, Forms 16, 17, and 18, CLA HRMS Entry worksheets, and Leave of absence and Termination documents.

EXPENDITURE AUTHORIZATION POLICY

Program Managers, Principal Investigators, etc. may authorize expenditures without having “authorized signature” responsibilities. These individuals may approve expenditures up to the amount of their annual budgets or research grant budgets. They can do this by signing and dating vendor invoices, CUFS documents or personnel documents, or preferably by signing and dating internal departmental order forms. An authorized signature is still required on these documents. Whichever method is used by a department, the authorized signer will review and approve vendor invoices, CUFS documents, and/or personnel documents for the program manager or PI if he/she has approved the expenditure in writing and the expenditure complies with University policy and procedures. Each area should maintain a list of who can authorize expenditures without “authorized signature” responsibilities.