

Delegation of Authority Procedure

Effective Date: October 16, 2018

Function: The Office of Compliance Services

Contact: Chief Compliance Officer

518.434.7145

RFCompliance@rfsuny.org

Basis for Procedure

This procedure implements The Research Foundation for The State University of New York's ("Research Foundation" or "RF") [Delegation of Authority Policy](#).

Procedure Summary

This procedure outlines the process to ensure delegations are properly executed, documented and maintained, pursuant to the RF's [Delegation of Authority Policy](#).

The three required elements of effective delegation of authority at the RF are:

- I. Delegating Authority
- II. Updating Delegations
- III. Record Keeping

Procedure

I. Delegating Authority

Submit a delegation of authority form, consistent with the method for your location detailed below:

Delegations of authority at Central Office:

1. Submit a completed [Central Office Transaction Authority form](#) to the [Office of Compliance Services](#) (OCS) for each Designee.
2. If there is a need to delegate authority not addressed in the Central Office Transaction Authority form, specific delegations via delegation of authority memorandum is suggested.
 - For guidance and assistance with this, contact the RF OCS via RFCompliance@rfsuny.org or 518.434.7145.

Delegations of authority at campus operating locations:

1. Operations Managers (OMs) must submit a completed Campus Delegation of Authority form through the [RF Compliance Management System](#) to designate Key Employees and individuals with specific authority. For example, any Sponsored Program Office Director(s) or equivalent at the campus operating location.

- a. Any Deputy Operations Manager appointments will also require a formal appointment using the [Deputy OM Letter Template](#).
2. OM or Designee must complete and maintain detailed delegations to be made available upon request. This will capture all Designees with authority including specific delegated job functions at the campus operating location.
 - a. Campuses may use the following template [Detailed Delegation \(Template\)](#) or a similar form of the campus' design.
3. OM or Designee must complete an [RF Campus Authorized Signatures Form](#).
 - a. Send to the Office of Compliance Services via RFCompliance@rfsuny.org.
4. OM or Designee notify all designees of their granted authority in writing, including, but not limited to:
 - a. the date authority will be effective;
 - b. list of authorities delegated;
 - c. any limits to authority; and
 - d. the following statement:

“No person may authorize a payment to oneself or benefitting oneself, including but not limited to: personnel transactions, reimbursements, and travel expenditures. Any transaction that benefits, or could be perceived as benefiting, an individual with approval authority requires approval by another Qualified Designee of equal authority or greater.”

II. Updating Delegations

All delegations of authority must be reviewed at the beginning of each fiscal year, consistent with the annual delegation of authority process administered by the OCS.

Changes to existing delegations of authority must be submitted consistent with the steps outlined in section I above.

III. Record Keeping

The RF Office of Compliance Services is the office of record for Campus Delegations of Authority submitted through the [RF Compliance Management System](#), all Central Office delegations of authority and any delegations of authority that are submitted to the attention of the OCS.

The Operations Manager or Designee must maintain record of completed detailed delegations for their operating location.

Definitions

Appointed Officer– An individual appointed by the Research Foundation President pursuant to the RF Bylaws. For example, RF Vice Presidents and Operations Managers.

Delegator– An individual to whom authority has been either vested by election or appointment as an Officer, or to whom authority has been delegated pursuant to this policy.

Designee– Any individual that has been delegated authority pursuant to this policy, who may delegate their authority to other Qualified Designees, consistent with his or her own authority pursuant to the RF Bylaws.

Elected Officer– An officer elected by the Board of Directors pursuant to the RF Bylaws. For example, the Research Foundation’s President, Chief Operating Officer, Chief Financial Officer, Secretary, and General Counsel.

Key Employee– A “Key Employee” per the RF Conflict of Interest Policy includes:

1. At the campus;
 - Vice presidents
 - Operations managers
 - Deputy operations managers
 - Chief research officers when fulfilling RF obligations
 - Technology transfer directors
 - Sponsored program office directors or equivalent
 - Other appointed officers
2. At the Central Office; and
 - Vice presidents
 - Senior directors
 - Assistant vice-presidents
 - Directors
 - Other appointed officers

Any other persons who have RF procurement authority equal to or exceeding \$100,000 per transaction.

Officer– “Officer” shall include both Elected Officers and Appointed Officers as defined in this section.

Qualified Designee– A person who could reasonably be expected to understand and act in respect to the powers being delegated.

Transaction– A commitment by the Research Foundation involving the exchange of money or property; an obligation to perform services requiring payment, commitment, or use of Research Foundation resources; personnel transactions including promotions and salary; or the assumption of a financial liability.

Related Information

[Delegation of Authority Policy](#)

[RF Compliance Management System](#)

Forms

[Central Office Transaction Authority Form](#)

[Deputy OM Letter Template](#)
[Detailed Delegation \(Template\)](#)
[RF Campus Authorized Signatures Form](#)

Change History

Date	Summary of Change
10/16/2018	Revised for clarity and broke down procedure into three main steps: Delegating Authority, Updating Delegations, and Record Keeping. Added instructions for Central Office. Added the link to the Central Office Transaction Authority form. Updated definitions that were updated in the Delegation of Authority Policy.
11/15/2013	Updated for new process
6/15/2013	New document created from CO procedure

Feedback

Was this document clear and easy to follow? Please send your feedback to webfeedback@rfsuny.org.