

I. Procedure to Authorize and Implement Electronic Signature Methods

A. Pursuant to TBR Guideline B-095, the procedure to authorize and implement the use of electronic signature methods must include the following steps:

1. A written request for approval to proceed in developing a process for the application of electronic signatures must be submitted to the Campus Approval Authority. This request shall include:

a. Identification of the specific transaction the institution proposes to conduct by electronic means and the form in which the process will take place. Any exceptions within that transaction which will not be conducted by electronic means must be clearly identified.

Example transactions/methods include:

(1) Signature approval granted via authenticated (userid/password) access to an application system such as Banner/Luminis:

- (a) Purchasing / Receiving using Banner / SciQuest
- (b) Online registration and bill payment using Banner account
- (c) Admissions Application
- (d) Transcripts Request
- (e) Request for Enrollment Verification

(2) Signature approval granted via authenticated (username/password) access to an electronic message (i.e. e-mail):

- (a) Approval of contracts (i.e. dual service, clinical affiliation, non-credit instruction, etc.)
- (b) Approve waivers for exceptions to Admissions policy
- (c) Approve waivers for exceptions to Graduation policy in Records In-house course substitution in CAPP for degree audit Performance Reviews
- (d) Status Changes in HR Pay Increases
- (e) New Hires
- (f) Terminations
- (g) Leave requests, time cards, payment requests, travel vouchers, and travel approval requests
- (h) Budget submission

b. Identification of the department(s)/position(s) which will be authorized to use the proposed electronic process.

c. Identification of the risks associated with using the proposed electronic process, and an assessment of the extent to which those risks are manageable. This assessment must include a clear description of the control processes and procedures that will ensure adequate preservation, disposition, integrity, security, confidentiality, and auditability of the electronic records.

d. An analysis of the nature of a transaction or process to determine the level of protection needed and the level of risk that can be tolerated. The analysis shall include:

(1) The potential costs, quantifiable and unquantifiable, direct and indirect, by performing a cost/benefit analysis;

(2) A comprehensive plan for converting the non-electronic process to the proposed electronic process and

(3) Any additional information relevant to the process

e. The Campus Approval Authority shall:

(1) Review the proposed process with the institutional internal auditor prior to approval.

(2) Upon approval, enter information related to the approved transaction in the institutional inventory of approved electronic signature methods

2. Upon written approval to proceed by the Campus Approval Authority, develop a step-by-step procedure for implementation of the process.

3. Submit an electronic version of the proposal as approved by the Campus Approval Authority to the TBR Office of Information Technology. If not already prepared, the materials submitted to the TBR must include a brief summary of the transaction(s) involved in the process.

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