

4 FAH-3 H-060 AUTHORIZATION PROCEDURES

4 FAH-3 H-061 GENERAL RESPONSIBILITIES

4 FAH-3 H-061.1 Purpose And Scope

(TL:FMP-6; 11-30-95)

This subchapter covers the various methods of designating, delegating, appointing, and assigning individuals and functions for purposes of collecting, disbursing, and safeguarding funds and for certifying vouchers for payment.

4 FAH-3 H-061.2 Separation Of Duties

(TL:FMP-6; 11-30-95)

Department of State employees will not hold dual capacities as certifying officers and disbursing officers. An individual serving as approving officer may not function as a United States Disbursing Officer (USDO) or cashier at the same time. An individual responsible for contracting, initiating purchases, or approving obligation documents may not function as a certifying officer at the same time, and may not certify those same documents which they have approved. When it is impractical to separate any of these functions, special Departmental authorization and for such dual capacity must be obtained. The post must contact the Department, (FMP/F/IFS/OFMO), for guidance.

4 FAH-3 H-062 UNITED STATES DISBURSING OFFICER

4 FAH-3 H-062.1 Basic Authority And Delegation

(TL:FMP-6; 11-30-95)

a. Department of State U.S. citizen employees are assigned to a Finance Service Center and designated as a USDO by the Department. The Chief Disbursing Officer of the Department of Treasury delegates disbursing authority to the USDO in accordance with 31 U.S.C. 3321, and with authorization from the Secretary of the Treasury codified in 31 U.S.C. 3321. Two copies of the designation letter must be furnished to the Department of State, one retained by the Department, and one sent to the RFSC.

b. A new designation is required when a USDO transfers to another RFSC. A new designation must be completed when there is a legal change in the USDO's name. Legal change means by marriage, divorce, or other legal action. A change in method of signing is not in itself a legal change (for example John S. Smith to J. S. Smith). The post must request the new delegation and designation from the Department. The new legal name cannot be used for disbursing purposes until the redelegation has been received by the USDO.

4 FAH-3 H-062.2 Specimen Signatures

(TL:FMP-6; 11-30-95)

One copy of the TFS-5583, signature card, must be completed at the time an employee is initially named as USDO, and when there is any change in the employee's signature, either legal change or change in method of signing.

4 FAH-3 H-062.3 Department/RFSC Notifications

(TL:FMP-6; 11-30-95)

a. Upon appointment, the Department advises the RFSC of the USDO's name, and period and place where the USDO will exercise the authority. The USDO is not authorized to function without this authority.

b. After arrival of the USDO, the RFSC informs the Department (FMP/F/IFS/OFMO) of the date the individual actually began performing the USDO functions at the post.

c. Upon transfer of a USDO, the RFSC informs the Department (FMP/F/IFS/OFMO) of the date the individual ceased performing the USDO function at the post, and the number of the last Treasury check issued by the USDO.

d. Upon the death of a USDO, the RFSC must notify the Department (FMP/F/IFS/OFMO) by telegram and request that the assistant USDO be authorized and designated to act in that capacity. See 4 FAH-3 H-343 for further guidance.

4 FAH-3 H-063 ASSISTANT U.S. DISBURSING OFFICER

(TL:FMP-6; 11-30-95)

Department of State U.S. citizen employees may be assigned to a specific RFSC as assistant USDO, in the same manner as the USDO. An assistant USDO is named at each RAMC having a USDO to perform disbursing duties during the temporary absence or incapacity of the USDO or, where

circumstances warrant, actively to assist the USDO in the daily disbursing functions.

4 FAH-3 H-064 CASHIERS

(TL:FMP-6; 11-30-95)

Cashiers, alternate cashiers, and subcashiers are authorized in accordance with 4 FAH-3 H-390 .

4 FAH-3 H-065 OCCASIONAL MONEY HOLDERS

(TL:FMP-6; 11-30-95)

The requirements for designation and the accompanying responsibilities of occasional money holders are covered in 4 FAH-3 H-392 .

4 FAH-3 H-066 AUTHORIZED CERTIFYING OFFICER AND ALTERNATE (STATE)

4 FAH-3 H-066.1 Policy

(TL:FMP-6; 11-30-95)

a. The Secretary of State, per 31 U.S.C. 3325, is granted authority to certify payments, and by written authorization delegates officers and employees to certify. For Department of State, FMP/F/IFS, has been delegated the Secretary's authority to certify payments, and to redelegate the same authority to others. Such redelegations, in writing, may be made to one or more U.S. citizen employees at posts or offices as circumstances may require, and to a foreign service national employee at a post meeting the criteria prescribed in section 4 FAH-3 H-066.2 . In addition, principal officers abroad are automatically authorized to certify vouchers (see 4 FAH-3 H-066.2).

b. Responsibilities of certifying officers are prescribed in 4 FAM . Financial Management Officers (FMO) abroad are responsible for voucher certification. American Financial Management Officers normally serve as principal Authorized Certifying Officers (ACO). If a Foreign Service National (FSN) employee serves as an ACO under the supervision of the FMO or an American designee with certifying authority, the FSN's authority may be limited both in terms of dollar amounts and local currency equivalents for single transactions, and types of payments to be certified.

c. At specified posts serviced by regional FMO offices, the ACO is only authorized to certify cash payment vouchers. No certifying officer may

simultaneously act in either a contracting or disbursing capacity. No certifying officer may be required to certify a payment or payments. Certifying officers may, however, be instructed not to certify a particular payment or payments by FMP/F/IFS/OFMO, from which their authority is delegated. In the event a certifying officer declines to certify a payment, the payment document in question may be referred to FMP/F/IFS/OFMO, and/or through FMP/F/IFS/OFMO to the General Accounting Office (GAO), for adjudication in accordance with 4 FAM .

d. All ACOs need access to the U.S. Code of Federal Regulations, Title 31 U.S.C., the Foreign Affairs Manual, and the General Accounting Office Principles of Federal Appropriation Law. Some of the forementioned guidance is available on CD ROM or in hard copy.

4 FAH-3 H-066.2 Designation Of Authorized Certifying Officer

4 FAH-3 H-066.2-1 Designation of U.S. Citizens

(TL:FMP-6; 11-30-95)

The designation of a U.S. citizen employee as an ACO whose name is not on the current "Official List of Authorized Certifying Officers" (see 4 FAH-3 H-066.4), should be requested telegraphically from FMP/F/IFS/OFMO (Subject: Certifying Officer Designation) at least 30 days before the effective date. The request shall include the individual's name, position, effective date of designation, whether the individual is to be designated as principal or alternate certifying officer, the name of any officer being replaced as ACO, date replaced person will cease to certify, a statement that the signature card (see 4 FAH-3 H-066.2-5) has been sent or will be forwarded immediately, and an explanation of any exceptions to the policies prescribed in 4 FAH-3 H-066.1 .

4 FAH-3 H-066.2-2 Designation Of Foreign Service National Employees

(TL:FMP-6; 11-30-95)

a. FSN candidates must meet the professional qualification criteria set forth in the local employees position classification handbook for FSN certifying positions and must have proven records of integrity and consistent superior performance. FSN certifying officers shall normally be voucher audit function supervisors.

b. Requests to establish FSN certifying authority are addressed telegraphically to FMP/F/IFS/OFMO. Each request must include the employee's name, nationality, functional title and grade, U.S. dollar equivalent

of current salary, date and place of birth, number of years of U.S. Government service, retirement status, complete education and employment history, and family status.

c. Requests to designate FSN employees in certifying capacities require posts to obtain a written determination of the extent to which host-country laws allow for criminal prosecution and civil suits against FSN certifying employees in case of fraud, illegality, error or impropriety and for the seizure of employee assets. The determination must come from a competent independent legal counsel and include an assessment of the U.S. Government right to funds set aside for retirement and social security accruals, in such cases.

d. Each request must also include post comments on the local internal control environment as it relates to financial matters.

e. FMP/F/IFS/OFMO shall approve or disapprove each post request and will notify the post concerned accordingly. On the notification of approval to post FMP/F/IFS/OFMO will also notify M/FSI of FSN nominee's eligibility to take the M/FSI training course "How to be a Certifying Officer." Post must then communicate directly with M/FSI to obtain course material and for scheduling details. FMP/F/IFS/OFMO will officially designate certifying authority to the FSN concerned after a passing grade is received in the course exam.

f. FSN Certifying Officers (FSNCO) may only certify payments from which the establishment of obligations has specifically been approved in advance by an American FMO or other American designee with certifying authority. In addition, FSNCO shall not have "write" access to accounting data bases. FMP/F/IFS/OFMO may establish limitations on dollar and/or local currency amounts or types of payments the FSN are authorized to certify. Monetary limitations shall not exceed the amount the U.S. Government could recover under host country personal liability laws.

g. FSN certifying activity will be subject to periodic unannounced review. Once a month the FMO (or their designee with certifying experience) must review the vouchers certified by the FSN certifying officer during the review period. Statistical sampling methods may be used. Documentation must be maintained for three years indicating the frequency and method of reviews. If a statistical sampling method is used, the number of vouchers certified, type and dollar equivalent of each voucher reviewed, results of the review, and corrective action taken must be recorded.

4 FAH-3 H-066.2-3 Principal Officer As Authorized Certifying Officer (ACO)

(TL:FMP-6; 11-30-95)

Principal officers at post abroad are automatically authorized to certify certain payments. The principal officer's name and facsimile signature are not required on the official list for this purpose. Such authorization, however, is limited to certifying whenever:

(1) Emergencies occur because of the absence or illness of all authorized certifying officers at post; and

(2) A voucher, other than a payroll voucher, is drawn in favor of an ACO and the other ACOs at post are absent.

When a principal officer abroad is designated a principal or alternate ACO, designation procedures contained in 4 FAH-3 H-066.2-1 apply.

4 FAH-3 H-066.2-4 Designation When Name Is On Official List

(TL:FMP-6; 11-30-95)

The designation as an ACO for a person whose name already appears on the current "Official List of Authorized Certifying Officers" (see 4 FAH-3 H-066.4) shall be requested from FMP/F/IFS/OFMO (Subject: Certifying Officer Designation), and is effective as of the date on the request. The request shall indicate that the person previously served as ACO. The officer's name will be continued in the next list. A new signature card is not required, unless the signature has changed. The card on file must be revised to show the new post location and date.

4 FAH-3 H-066.2-5 Official Signature Card

(TL:FMP-6; 11-30-95)

One signed copy of Form DS-1088A, Signature Card for Certifying Officers, is forwarded to FMP/F/IFS/OFMO immediately upon requesting the designation whether from an American or an FSN, if this is the person's first assignment as an authorized certifying officer, or if there are any questions about the person's Form DS-1088A already on file in FMP/F/IFS/OFMO. The completed signature card is forwarded to FMP/F/IFS/OFMO (Subject: Certifying Officer Designation). To avoid delays in processing, the card must be neatly signed in black ink above the first line, and the name, post, and date must be typed.

4 FAH-3 H-066.2-6 Signature Change

(TL:FMP-6; 11-30-95)

When a certifying officer has a change in signature, either a legal change or a change in the method of signing including the adding or deleting of SR., JR., etc., a new signature card must be completed. The old signature is used until the new signature appears on the official list.

4 FAH-3 H-066.3 Revocation Of Authority

(TL:FMP-6; 11-30-95)

a. At the time of permanent departure from a post, the certifying officer's authority to certify vouchers shall be revoked. The post must immediately notify FMP/F/IFS/OFMO (Subject: Certifying Officer Revocation) of the date the officer ceased to certify and request that the officer's authority be revoked. For FSNCOs, the FMO has the authority to suspend the FSN from certifying if involvement in fraud, malfeasance or negligence is suspected. The circumstances relating to the fraud, or negligence shall be documented and submitted as prescribed by 3 FAM .

b. For delegation of authority following revocation of a previous delegation, the instructions in 4 FAH-3 H-066.2 apply.

4 FAH-3 H-066.4 Official List Of Authorized Certifying Officers

(TL:FMP-6; 11-30-95)

The names and facsimile signatures of all persons authorized to certify vouchers for the Department of State are shown on the "Official List of Authorized Certifying Officers," which is maintained by FMP/F/IFS/OFMO and provided to all USDOs. A comprehensive list is furnished to the USDO annually. Supplements to this list are issued as necessary to reflect revocations and new delegations. The list and supplements are issued in a numbered series. Missing lists or supplements should be immediately requested from FMP/F/IFS/OFMO.

4 FAH-3 H-067 AUTHORIZATION TO CERTIFY FOR OTHER AGENCIES

4 FAH-3 H-067.1 General Policy

(TL:FMP-6; 11-30-95)

a. Other agencies normally designate their own employees to certify vouchers chargeable to their funds. Listings and specimen signatures of other agency certifying officers must be forwarded to posts by the agency. However, some agencies have chosen to delegate certifying authority to the Department of State certifying officers. Certain agencies have delegated unlimited certifying authority covering all bureaus of that agency. In agencies where authority to delegate is at the bureau level, certain bureaus have delegated unlimited authority, while other bureaus have delegated restricted authority only. Delegations of authority from other agencies are listed in 4 FAH-3 H-067.2 .

b. Delegations of authority limited to specific activities or specific posts are sent to the individual posts concerned, and are not cited here.

c. When a post receives a request for certifying services from an agency for which no certifying authority is on record, the Department must obtain the delegation from the agency concerned. If there are any questions, posts should contact FMP/F/IFS/OFMO, Interagency Liaison Officer.

4 FAH-3 H-067.2 Regular Certifying Authority

(TL:FMP-7; 1-31-97)

The following departments, agencies and bureaus have delegated regular certifying authority to Department of State certifying officers:

ACTION (Peace Corps)

Agency for International Development

Agriculture, Department of:

Agricultural Research Service

Animal & Plant Health

Inspection Service

Commodity Credit Corporation

Farmers Home Administration

Food Safety and Quality Service

Foreign Agricultural Service

National Agricultural Library

Commerce, Department of

Office of the Secretary

Office of the Under Secretary for Economic Affairs

Office of the Under Secretary for Technology

Bureau of Economic Analysis

Bureau of Export Administration

Bureau of Industrial Economics

Bureau of the Census

Economic Development Administration

International Trade Administration

Minority Business Development

National Bureau of Standards

National Institute of Science and Technology

National Oceanic and Atmospheric Administration

National Telecommunications and Information Administration

Patent and Trademark Office

United States Travel and Tourism Administration

Commodity Future Trading Commission

Defense, Department of:

Defense Intelligence Agency

Defense Mapping Agency

Department of the Air Force

DFAS Cleveland Center

Department of the Army

Department of the Navy and Marine Corps

Department of the Navy

DFAS Columbus Center

White House Communications Agency (at Defense Information Systems Agency)

DFAS Denver Center Department of the Air Force

Energy Research and Development Administration

Environmental Protection Agency

Federal Communications Commission

Foreign Claims Settlement Commission

Health, Education, and Welfare

Interior, Department of

Office of the Secretary

Bureau of Mines

Bureau of Reclamation

Fish and Wildlife Service

Geological Survey

National Park Service

Justice, Department of

Labor, Department of

Library of Congress

National Aeronautics and Space Administration

National Technical Information Service

National Science Foundation

Office of Management and Budget

Smithsonian Institution

Transportation, Department of

Federal Aviation Administration

United States Coast Guard

Treasury, Department of:

United States Secret Service

United States Arms Control and Disarmament Agency

United States Information Agency

Veterans Administration

These agencies have delegated restricted authority:

Department of Energy:

(Authority is provided to specific embassies only via cable from the Office of Domestic and International Energy Policy)

DFAS Columbus Center:

Defense Logistics Agency (DLA)

Defense Contract Management Command Int'l (DCMCI)

Defense Fuel Supply Center (DFSC)

Defense Personnel Support Center (DPSC) (Authority limited to countries that have Foreign Military Sales agreements with these agencies)

DFAS Kansas City

Marine Corps

Labor, Department of

Bureau of International Labor Affairs, Sarajevo, Bosnia and Herzegovina

Smithsonian Institution

(Disbursements authorized only by the Smithsonian's Office of International Relations)

United States Nuclear Regulatory Commission (Subject to limitations of agency)

For specific questions regarding the above, please contact Interagency Liaison Office in FMP/F/IFS/OFMO.

4 FAH-3 H-068 THROUGH H-069 UNASSIGNED