

United States Department of Agriculture
Research, Education, and Economics

ARS □ CSREES □ ERS □ NASS

Policies and Procedures

Title: Delegation of Authority for Authorized Departmental Officers

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This Replaces:

Distribution: ARS, Headquarters, Areas, and Locations

This P&P prescribes ARS policy for delegating extramural agreement authority, effective August 1, 2005.

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1. Background

The authority to commit the resources of the Agency on behalf of the Administrator, known as Delegation of Authority, flows from the Secretary of Agriculture through the Under Secretary for Research, Education, and Economics to the Administrator, ARS (Administrator). For the purposes of this Agency policy, the Administrator has exercised his discretion to further delegate this authority to the Director, EAD. This further delegation of authority to the Director, EAD, includes: 1) delegating signature authority to all authorized employees; 2) administering the Agency's system of delegation of authority; and, 3) initiating, resolving and/or executing suspension and/or revocation actions prescribed by this P&P. The delegation of authority to the Director, EAD, may be revoked by the Administrator at any time without benefit of appeal.

Employees acting under a Delegation of Authority are acting as an agent of the Administrator. Delegating the signature authority of the Administrator accomplishes numerous program objectives and efficiencies. Aside from relieving the Administrator of the burden of personally signing individual agreements, the Delegation of Authority allows for closer monitoring and administration of extramural agreements by ARS personnel. In addition to signing agreements, ARS personnel to whom authority has been delegated, are responsible for obligating agency resources, directing technical performance, and assuring fiscal and program accountability. ARS personnel acting under a Delegation of Authority are known as Authorized Departmental Officers (ADO's).

2. Abbreviations & Definitions

AAO	Area Administrative Officer
AD	Area Director
ADO	Authorized Departmental Officers
ADODR	Authorized Departmental Officer's Designated Representatives
AFM	Administrative and Financial Management
ARS	Agricultural Research Service
DAD	Deputy Area Director
CFR	Code of Federal Regulations
EAD	Extramural Agreements Division
LAO	Location Administrative Officer
LAT	Location Administrative Technician
OTT	Office of Technology Transfer
PI	Principle Investigator
RSA	Research Support Agreement
SCA	Specific Cooperative Agreement
U.S.C.	United States Code
USDA	United States Department of Agriculture

Administrator - The Administrator of the Agricultural Research Service.

Agency - The Agricultural Research Service.

Authorized Departmental Officer - The Agency's Official authorized to enter into, administer, and terminate extramural agreements. **The ADO is the only person that can obligate funds or commit the resources of the Agency with regard to extramural agreements.**

Authorized Departmental Officer's Designated Representative - The Agency's technical representative, acting on behalf of the ADO. **The ADODR has no authority to obligate funds or commit the resources of the Agency.**

Award - A fully executed extramural agreement (grant or cooperative agreement), which contains the terms, conditions, and basis for awarding funds to the recipient signed by an Agency official delegated authority to commit Agency resources.

Cooperator, Grantee, Recipient - An individual or organization that enters into an arrangement with ARS for Federal funding under an extramural agreement or receives grant funds through an Agency sponsored grant.

Extramural Agreement - Any grant, cooperative agreement (including incoming agreements), or memorandum of understanding entered into by and between ARS and any other organization.

3. Authorities

7 CFR 2.21 is the authority that provides for Delegation of Authority from the Secretary of Agriculture to the Under Secretary for Research, Education, and Economics.

7 CFR 2.65 is the authority that provides for Delegation of Authority from the Under Secretary Research, Education, and Economics to the Administrator, Agricultural Research Service.

ARS has authority to enter into a number of different types of agreements. With these statutory authorities comes the delegated authority for ADO's to sign these agreements on behalf of the Administrator. The statutory authorities for ARS extramural agreements are as follows:

Agreement Type	Authority
<i>Incoming Grants and Agreements</i> - involve cooperative research between ARS and another party in which ARS is paid to conduct research.	7 U.S.C. § 3318b

Grant - The transfer of money, property, services or anything of value to a recipient in order to accomplish a public purpose of support or stimulation authorized by Federal statute. No substantial involvement is anticipated.	7 U.S.C. § 3318c
Assistance Type Cooperative Agreement or ATCA's - All elements are identical to a grant except that substantial involvement, in the performance of the project, is anticipated between the Agency and the recipient.	7 U.S.C. § 3318c
Specific Cooperative Agreement or SCA - An agreement between ARS and another party which details a jointly planned, executed, and funded research project or program. Mutuality of interest and mutual contribution of resources are required. Contribution of resources on the part of both parties must be more than nominal.	7 U.S.C. § 3318(b)
Research Support Agreement or Cost Reimbursable Agreement - An agreement with college or university for the acquisition of goods and services without regard to Federal competition and other acquisition regulations.	7 U.S.C. 3319a

4. Policy

ADO's are delegated authority to act as an agent of the Administrator, ARS, with regard to: 1) signing agreements that obligate funds and commit the resources of the Agency; and 2) providing fiscal and administrative oversight for extramural agreements.

ADO functions defined in this P&P shall be performed only by Agency personnel possessing a *Certificate of Delegation of Authority* for extramural agreements issued by the Administrator, ARS, or the Director, EAD.

Agency personnel who obtain a Delegation of Authority for extramural agreements are authorized to sign only the types of agreements specified within the respective level of delegation of authority they have attained.

An agreement signed by any person that does not possess a valid *Certificate of Delegation of Authority* for extramural agreements is not considered a legally binding agreement.

ADO's will be responsible for meeting the training requirements contained in this P&P (see **Exhibit 4 - Training Requirements**). ADO's that are "grandfathered" into this system upon initial publication of this P&P, will have 3 years from the date of this publication to complete the training requirements for their respective levels of delegation of authority.

Employees that complete the training requirements for any level of certification are not guaranteed that they will be awarded a Delegation of Authority. Other factors such as the organizational need for additional ADO's with signature authority will be considered when assigning such a delegation.

All international awards (awards involving foreign Federal governments and other entities) will be negotiated, approved, and signed by ARS Headquarters ADO's only.

ADO authority is not transferable and shall not be delegated by the ADO to any other Agency personnel.

It is the policy of the Agency to allow a further Delegation of Authority for **technical responsibility and oversight** of the project in areas such as research planning and project performance to the ADODR. The ADODR is responsible for representing the interests of the ADO with regard to technical performance and program accountability of extramural agreements, working directly with the Principle Investigator (PI) of the cooperating/recipient institution on a day-to-day basis.

5. Levels of Delegation of Authority

There are four Levels of Delegation of Authority available to ADO's. Delegation of Authority is granted by the Director, EAD. Responsibilities increase as the respective level increases.

Responsibilities - Level 1 Delegation of Authority

- Signature authority for Standard Cooperative Agreements Zero dollar amounts. Format must not vary from the "standard" language as recommended in the ARS Extramural Agreements Manual 280.0. (7 USC 3318(b))
- Signature authority for Research Support Agreement (RSA) Task Orders which includes: issuing task order to establish cost estimates; obligating and deobligating funds; and authorizing payment for goods and services received; unlimited dollar amount. (7 USC 3319(a))
- Issues written Delegation of Authority assigning technical oversight responsibilities to the ADODR for RSA Task Orders and Standard Cooperative Agreements.

Responsibilities - Level 2 Delegation of Authority

All Level 1 functions plus:

- Signature authority for routine administrative actions on all types of existing domestic extramural awards (including Incoming Agreements) in accordance with the authorities listed in Section 3. Authority does not include approval of new awards or pre-award costs. (7 USC 3318(b), 7 USC 3318c)

Routine administrative actions include:

Funding increases up to \$50,000 (within scope of original agreement); certification and approval of domestic vouchers, invoices, and advance payments up to \$50,000; budget revisions; changes to ADODR and PI; administrative changes to accounting codes and/or project numbers; extending periods of performance; deobligating funds to close expired agreements; approving revisions of payment methods.

Note: Some administrative actions require close consultation with ADO's to ensure that the actions are consistent with program goals and objectives.

Responsibilities - Level 3 Delegation of Authority

All Level 1 and 2 functions plus:

- Signature authority for all types of new or existing domestic extramural awards up to \$100,000 in accordance with the authorities for the types of extramural agreements listed in Section 3.
- Responsibility for all administrative actions related to domestic awards and transactions up to \$100,000.
- Disallowance of costs incurred by the performing organization, which were not approved during pre-award negotiations and/or determined to be unallowable, unallocable, or unreasonable.

Responsibilities - Level 4 Delegation of Authority

- All level 1, 2, and 3 functions plus signature authority for all types of domestic extramural awards and no dollar limit on transactions made under those awards. (Note: Execution of all international awards/actions are limited to Headquarter's AFM, EAD ADO's.)

Level 4 Delegation of Authority also includes responsibility for:

- Authority to award and amend all types of domestic extramural agreements (unlimited dollar limit);
- Initiating and conducting site visits of cooperator facilities that are sufficient in scope and frequency to assess program performance and the facility's compliance with Agency and Area procedures;

- Initiating and conducting agreement training for Headquarters, Area, and Location personnel;
- Post-award changes in budgets and projects requiring prior written approval of the awarding Agency;
- Issuing written delegation of authority for technical oversight and areas of responsibilities to the ADODR;
- Suspending and/or terminating extramural awards for failure to comply with the terms and conditions of the agreement;
- Withholding payment for failure to comply;
- Conducting negotiations with cooperators to determine appropriate language regarding intellectual property rights, insurance and liability clauses, and any other clauses as may be necessary to protect the Agency's interests.

6. Training Requirements

In order to progress through the various levels of delegated authority, ADO's or prospective ADO's, must meet certain prescribed training requirements in order to be considered minimally qualified to perform the duties associated with a particular level of delegated authority. Proof of satisfactory course completion must be provided to obtain a Delegation of Authority and required maintenance training must be kept current in order to retain the authority, see Section 7 Requesting and Obtaining Delegation of Authority. A list of required courses is provided in Exhibit 4 - Training Requirements. A variety of sources including vendor records, ARS training tracking system records, or other types of documentation may serve as proof of course completion.

Equivalent Courses

The courses stipulated in Exhibit 4 have been determined to contain the core competencies required to meet the demands of the various levels of Delegation of Authority. Under certain circumstances, the Director, EAD, may approve "equivalent courses," which may be substituted for a required training course.

Before registering for a course that is not listed under Training Requirements, an employee should submit a written request for approval of that course to the Director, EAD. The request should specify the name of the course, the provider, the course it is intended to replace, and the reason that it is necessary to substitute a course. In order to be considered, the course being substituted must meet the same core competencies that would have been attained in the required course.

The Director, EAD, may consider equivalent courses to meet the requirements for “grandfathering” existing ADO’s and LAO’s into various levels of Delegations of Authority. The course being substituted must meet the same core competencies that would have been attained in the required course.

Maintenance Training

Employees should complete those courses that are mandatory for their respective level of delegation of authority before taking other courses. Credit for maintenance training can begin only after mandatory classes have been completed.

After receiving a Delegation of Authority, employees are required to take a minimum of 16 hours (usually 2 days) of additional relevant training every 3 years to supplement the courses required to attain their delegation.

The 16-hour requirement can be met by attending training conferences offered by the Agency or other organizations, or completion of other courses, which are relevant to the competencies that are necessary to perform their duties. Exhibit 5 of this P&P itemizes some courses that could be considered as relevant maintenance courses. Any employee with questions regarding the relevance of a particular course, or whether a course meets the maintenance requirement, should contact the Director, EAD, to make sure the course is appropriate before they take the course.

Grandfathering After Initial Issuance

After the initial issuance of this P&P, existing ADO’s will be grandfathered into the Delegation of Authority system. Area Office personnel with unlimited signature authority for extramural agreements will (with limited exceptions) be grandfathered into the system with Level 4 Delegation of Authority. In order to retain Level 4 Delegation of Authority, ADO’s must be able to demonstrate prior completion of the courses listed in Exhibit 4, or as an alternative, complete those courses within 3 years of the effective date of this P&P.

ADO’s that are grandfathered into the Delegation of Authority system at Levels 1 through 3 must, within 3 years of the effective date of this P&P, complete all courses (or submit documentation demonstrating prior completion) required of their current and previous levels. [For example, an ADO grandfathered in at Level 3 must complete all of the courses identified in Exhibit 4 for Levels 1 through 3.]

LAO/LATs with existing signature authority for RSA Task Orders and Standard Cooperative Agreements, will be grandfathered in at Level 1.

7. Requesting and Obtaining Delegation of Authority

All requests for Delegation of Authority will be submitted by the Deputy Area Director/Area Administrative Officer (DAD/AAO) to the Director, EAD (see Exhibit 1 - Sample Memo). The Area Director (AD) shall demonstrate concurrence of the request by countersigning the letter requesting Delegation of Authority. The request should include the name of the individual for whom the delegation is being requested, a narrative description of the individual's experience with regard to processing or administering extramural agreements, and a comprehensive listing of any required and relevant courses taken by the individual. Copies of the training certificates will be forwarded with the letter and will be held on file in the EAD.

For delegations to Levels 1 through 4, the Director, EAD, will approve or disapprove the request based on the information contained in the letter.

8. Certification and Certificates

Upon receipt of a letter requesting Delegation of Authority, the Director, EAD, will review the information and make a determination regarding the request. If the request for Delegation of Authority is approved, two documents will be issued.

The first document to be issued will be a letter from the authorizing official stating that the delegation has been approved and detailing the types of agreements that the ADO is authorized to sign (see Exhibit 2 - Sample Memo). The second document will be a *Certificate of Delegation of Authority* (see Exhibit 3 - Sample Certificate). The certificate will serve as the ADO's license or certificate of appointment. The *Certificate of Delegation of Authority* must be displayed in an open area in the ADO's office or primary work location at all times.

A copy of the letter will be forwarded to the Human Resources Division and become part of the employees Official Personnel Folder.

9. Suspension

Suspension is the temporary removal of delegated authority. Suspension is generally used to: 1) hold in abeyance the delegated authority of an individual until situations causing suspension can be remedied; or, 2) investigate grounds for permanent revocation of authority.

General

Suspension can be proposed for a wide variety of reasons ranging from minor infractions of Agency policy to more serious matters related to scientific or other willful misconduct, fraud or other reasons. The person initiating the suspension must have demonstrable grounds for their action. The suspension of authority can be for any length of time deemed necessary to remedy the cause for suspension.

Suspension actions can be proposed by the DAD/AAO, and/or the AD for respondents within their respective Areas. The Director, EAD, is authorized to initiate a suspension action against any respondent to whom authority has been delegated, notwithstanding the concurrence of any other official in the line of supervisory authority. Any person can bring to the attention of the Director, EAD, matters which may meet the criteria for grounds for suspension.

Suspension of delegated authority can only be conveyed by way of letter from the Director, EAD.

Grounds for Suspension

Grounds for suspension may include (but are not limited to):

- Unsatisfactory performance
- Failure to maintain training standards
- Failure to follow established Agency policies and procedures
- Any of the reasons itemized in Section 10 under Grounds for Revocation

Suspension Procedures

The procedures listed below must be followed in proposing a suspension:

- 1) The Agency official proposing suspension will draft two letters of notification. One letter will be forwarded to the respondent. The second letter will be forwarded to the Director, EAD. The letters, which should be submitted simultaneously, will communicate the circumstances or grounds for the proposed suspension.
- 2) If the suspension is a required preliminary action for a revocation of delegated authority (see Section 10, Revocation), this must be clearly stated in the letter.
- 3) The respondent will be provided ten (10) working days (from the date of the letter proposing the action, Step 1) to submit, to the Director, EAD, a written rebuttal of the circumstances surrounding the proposed suspension or revocation.
- 4) The Director, EAD, will consider all relevant facts related to the suspension and/or proposed revocations that are received within ten (10) working days.
- 5) After consideration and review of the facts the Director, EAD, will provide written notification of his decision to uphold or release the suspension.
- 6) In cases of proposed revocation the additional procedures in Section 10, Revocation Procedures, will be followed.

10. Revocation

Revocation is the permanent removal of delegated authority and its use is reserved for serious offenses. The authorities delegated to ADO's can be revoked for a variety of reasons which impact, or have the potential to impact, the services rendered by the ADO. The grounds for revocation include matters related to scientific or other willful misconduct, fraud, and other reasons (see Grounds for Revocation below).

General

Suspension is the first step in initiating a revocation of Delegation of Authority under these provisions. For all proposed revocation actions, the suspension procedures listed in Section 9, Suspension, will be followed prior to revocation of authority. The suspension of delegated authority can be for any length of time deemed necessary to investigate the grounds for revocation.

Revocation actions can be proposed by the DAD/AAO, and/or the AD for respondents within their respective Areas. The Director, EAD, is authorized to initiate a revocation action against any respondent to whom authority has been delegated, notwithstanding the concurrence of any other official in the line of supervisory authority. Final revocation of delegated authority can only be conveyed by way of letter from the Director, EAD.

Revocation actions for Levels 1 through 4 Delegation of Authority can be initiated by the DAD/AAO, the AD, or the Director, EAD. Any person can bring to the attention of the Director, EAD, matters which may meet the criteria for grounds for revocation. Final revocation of authority can only be conveyed by way of letter from the Director, EAD.

The signature authority granted to the Director, EAD, may be revoked by the Administrator at any time without benefit of appeal.

Grounds for Revocation

Some of the grounds for which revocation actions may be initiated include (but are not limited to):

- Failure to follow established Agency policies and procedures
- Exceeding delegated authority
- Violating ethical standards
- Criminal acts related to extramural agreement activity or fraud
- Misuse of delegated authority
- Misappropriation of funds

- Scientific misconduct
- Failure to maintain training standards after being provided adequate time to rectify
- Misrepresentation of research results
- Convictions in a criminal or civil court that seriously and directly affect the business integrity or business honesty of an employee

Revocation Procedures

The procedures listed below must be followed in pursuing revocation of delegation of authority:

- 1) The suspension procedures referenced in Section 9, Suspension, must be followed in proposing a revocation of delegated authority.
- 2) After consideration and review of the facts submitted by the agency official proposing revocation and by the respondent during the Suspension Procedures, the Director, EAD, will provide written notification of his decision to uphold or deny the proposed revocation. The Director, EAD, may decide to suspend the respondent in lieu of revocation or add special conditions to the suspension.

Appeal Procedures

- 1) The respondent will have 30 days (from the date of written notification of revocation) to appeal the decision of the Director, EAD.
- 2) The appeal of the decision will be considered by the Deputy Administrator, Administrative and Financial Management (DAAFM). Any appeal and subsequent decision by the DAAFM will be considered final. There will be no further appeal available to the respondent.
- 3) Appeals should be forwarded to:

DAAFM
5601 Sunnyside Avenue, MS 5108
Room 3-2157
Beltsville, Md. 20705

11. Summary of Responsibilities

Administrator

The Administrator is responsible for delegating his signature authority to the Director, EAD, for further delegation to ADO's throughout the Agency.

Area Director (AD)

The AD is responsible for the programmatic direction and leadership of the Area's extramural agreements program.

The AD is responsible for ensuring that ADO's operate in an independent manner free from undue pressure to fund an award that has not met all requirements for funding.

The AD will countersign memos requesting Delegation of Authority for ADO's.

The AD will forward relevant information regarding actions that may warrant suspension or revocation of ADO's to the Director, EAD.

Deputy Administrator, Administrative and Financial Management (DAAFMM)

The Deputy Administrator will consider the appeal of revocation actions for delegations of Authority 1 through 4.

Director, EAD

The Director, EAD, is responsible for the overall management of the Agency's extramural agreements program. The Director, EAD, is also responsible for:

- providing overall policy and operational support for the Agency's system of Delegation of Authority for extramural agreements;
- approving or disapproving requests for delegations of authority for extramural agreements from AD's and DAD/AAO's for Levels 1 through 4;
- tracking ADO maintenance training requirements;
- initiating or responding to matters of suspension and/or revocation of Delegation of Authority for ADO's level 1 through 4 ;
- making final determinations on proposed suspension and revocation actions for all persons with delegated authority Levels 1 through 4 (see Sections 9 and 10);
- issuing *Certificate(s) of Delegation of Authority for Extramural Agreements* to employees to whom authority has been delegated.

Deputy Area Director/Area Administrative Officer

The DAD/AAO is responsible for the implementation and management of the Area's extramural agreements program. The DAD/AAO is responsible for enhancing the development of a professional extramural agreement workforce in his or her respective Area by assuring compliance with extramural agreement training requirements as outlined in Section 6 of this P&P.

The DAD/AAO is responsible for submitting all requests for Delegation of Authority (see Section 7) and forwarding the request to the Director, EAD. The DAD/AAO is also responsible for making available any necessary training required by Section 6 of this P&P.

Authorized Departmental Officer (ADO)

ADO's bear the primary responsibility for all aspects of accountability for extramural agreements and project performance.

For the purpose of this P&P anyone with a delegation of authority to sign extramural agreements and commit the resources of the Agency is considered an ADO.

For information regarding the specific types of actions that can be taken by ADO's within certain levels of certification see Section 5 - Levels of Certification, in this P&P.

Other ADO Responsibilities include:

- determining the proper type of award to document the appropriate relationship between the parties;
- approving changes in budget, specifications, objectives, scope, or level of effort;
- assuring that project time schedules, performance goals, and other appropriate requirements, terms, and conditions are set forth in the agreement;
- monitoring cooperator/recipient performance;
- conducting site visits of cooperator facilities and program performance;
- making decisions on questions of fact, resolving conflicts of interest and discriminatory acts, and responding to Freedom of Information Act requests;
- signing and issuing the award document making sure that all appropriate terms and conditions are included in the agreement to protect the interests of the Federal Government;

- making administrative revisions to the award to reflect changes in terms and conditions of the award; start dates; term of the award; amount of funds, and categories in which funds are to be expended;
- assuring that a potential cooperator has adequate financial and business management capabilities to support the project into which they are about to enter;
- maintaining the official agreement file including: copies of the agreement; copies of all correspondence related to the agreement; all progress and final reports; claims for payment; and, any other document necessary to support a detailed and accurate history of the actions taken over the life of the agreement;
- making fiscally sound and programmatically sound policy determinations that are consistent with Agency and Federal Government rules;
- signing notices of agreement suspension and termination;
- performing cost analyses and negotiations as may be necessary to finalize statements of work and estimated cost or cost sharing arrangements;
- ensuring that all applicable patent clauses in the agreement are adhered to and that the cooperators' invention disclosures are reported through I-Edison;
- assuring proper disposition of Federal Government property during and after the term of the extramural agreement; and,
- performing any other duties that are necessary in the initiation, administration, oversight, and closeout of extramural agreements.
- completing a minimum of 16 hours of maintenance training every 3 years

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Edward B. Knipling
Administrator
Agricultural Research Service

Exhibit 1 - Sample Memo from DAD/AAO Requesting Delegation of Authority for ADO

SUBJECT: Request for Extramural Agreements Delegation of Authority

TO: Curtis Wilburn, Jr.
Director, Extramural Agreements Division

FROM: DAD/AAO

The purpose of this memorandum is to request a formal Delegation of Authority, Level __, for J. Smith, Extramural Agreements Specialist _____ Area Office. Mr./Ms. Smith has completed all required training courses for Level __ Certification and **(summarize other applicable/relevant experience)**. Attached are copies of Mr./Ms. Smith's training completion certificates for the required courses for your files.

The Area Director, _____ Area concurs with this request for Delegation of Authority by signing below:

Area Director

Date

If you have any questions regarding this request for a delegation of authority, please contact me at _____.

cc:
Area Director

Exhibit 2 - Sample Memo from Authorizing Official Granting Delegation of Authority

SUBJECT: Delegation of Extramural Agreement Authority - Level Two

TO: (NAME)
Extramural Agreements Specialist

FROM: Curtis Wilburn, Jr., Director
Extramural Agreements Division

Effective immediately, extramural agreements authority is hereby delegated to you in accordance with the following provisions:

1. Signature authority for Specific Cooperative Agreements (no dollar amounts). Format must not vary from the “standard” language as recommended in the ARS Extramural Agreements Manual 280.0. **(7 USC 3318(b))**
2. Signature authority for Research Support Agreements (RSA) Task Orders which includes: issuing task orders to establish cost estimates; obligating and deobligating funds; authorizing payment for goods and services received; and, issuing written delegations of authority assigning technical oversight and responsibilities to the ADODR for RSA Task Orders. Unlimited dollar amount. **(7 USC 3319a)**
3. Signature authority for routine administrative actions on all types of existing domestic extramural awards (including Incoming Agreements). **(7 USC 3318(b), 7 USC 3318c)**

Routine administrative actions include:

Funding increases up to \$50,000; certification and approval of domestic vouchers, invoices and advance payments \$50,000; budget revisions; changes to ADODR and PI; administrative changes to accounting codes and/or project numbers; extending periods of performance; deobligating funds to close expired agreements; approving revisions of payment methods.

Note: Some administrative actions require close consultation with Area or HQ ADO’s to ensure that the actions are consistent with program goals and objectives.

4. Authority and responsibility for administration and closeout of all types of previously established extramural agreements.

In accordance with the Ethics Reform Act (ERA) of 1989, individuals involved in nonprocurement (agreements/grants) activities must complete Form OGE-450, Executive Branch Confidential Financial Disclosure Report. The ERA requires this form be submitted within 30 days of the date of the appointment.

Notification of this appointment will be submitted to the Human Resources Division, and you will be contacted concerning filing of the OGE-450, if an updated report is required. You are responsible for including this requirement in Authorized Departmental Officer Designated Representative appointment letters. Questions concerning this matter should be directed to the Ethics Officer.

This delegated authority may not be re-delegated and cancels and supersedes all previous delegations of research agreement authority.

cc:
AD
DAD/AAO
HRD

United States Department of Agriculture
Agricultural Research Service



Certificate of Delegation of Authority for Extramural Agreements

Jane Doe

Certification Level 4

Pursuant to ARS Policy and Procedure 700.0 is hereby granted Delegation of Authority
and is authorized to obligate the resources of the
U. S. Department of Agriculture, Agricultural Research Service

Date _____

Director, Extramural Agreements
Agricultural Research Service

Exhibit 4 - Training Requirements

All courses included in this curriculum must be completed before moving to the next level of Delegation of Authority.

USDA Online - These courses are available online from various USDA web sites.

Minimum Training Requirements for Level 1 Certification	
Cost Principles: OMB Circulars A-21, A-122, and A-87, & FAR 31.2 (MCI)	ARS Extramural Agreements Training (To Be Developed)
Ethics Training - (available USDA online) The following TWO modules must be completed to meet this requirement. Modules on: - Gifts from Outside Sources - Conflicting Interests	

Minimum Training Requirements for Level 2 Certification All level 1 courses and training requirements plus:	
Uniform Administrative Requirements: OMB Circulars A-102 and A-110 (MCI)	Ethics Training - (USDA online) The following modules must be completed to meet this requirement. Module on: Seeking Non-Federal Employment

Minimum Training Requirements for Level 3 Certification All level 1 and 2 courses and training requirements plus:	
Federal Assistance Law (MCI)	Monitoring Grants and Cooperative Agreements (MCI)
Essential Skills for Grants Professionals (MCI) or Negotiating Techniques (Graduate School)	

Minimum Training Requirements for Level 4 Certification All level 1, 2, and 3 courses and training requirements plus:	
Appropriations Law (MCI or USDA Graduate School Online)	Evaluating Federal Funds Management Capabilities of Recipients and Subrecipients (MCI)
Audits of Federal Grants and Cooperative Agreements (MCI)	

Exhibit 5 – Maintenance Courses

RECOMMENDED/SUGGESTED COURSES

(Courses that can be used to meet Maintenance Training and other continuing education needs)

Federal Grants Update (MCI)

Introduction to Grants and Cooperative Agreements (MCI)

Federal Grants Update (MCI)

Resolving Conflict (MCI)

Critical Thinking (MCI)

Problem Solving (MCI)

Creative Problem Solving (USDA Grad School)

Audits of Federal Grants & Cooperative Agreements (MCI)

Cooperative Resolution (ARS/HRD - Frick)

Negotiating Techniques (USDA Graduate School)

Essential Skills for Grants Professionals (MCI)

Effective Communication with Customers (USDA Grad School)

Clear Writing Through Critical Thinking (USDA Grad School)

Writing for Government and Business (USDA Grad School - Self Paced)

Plain Language: Writing for Success (MCI)

Briefing Techniques (USDA Grad School)

Briefing and Presentation Skills (MCI)

Adobe Acrobat Training

The Budget Process (MCI)

Grants Administration for Federal Program Personnel (MCI)

Applying for Federal Grants and Cooperative Agreements (MCI)