

ASC Delegations of Authority

Preamble

Pursuant to the Appraisal Subcommittee's (ASC) authority under Title XI¹ of the Federal Financial Institutions Reform, Recovery and Enforcement Act, the ASC has delegated specific functions and duties to its Chairperson and staff. In addition to the delegations listed in this document, general areas of responsibility and authority, as well as other specific delegations of authority, have been and will be made in other documents, including, but not limited to, ASC regulations, Policy Statements, manuals, position descriptions, orders and certain instructions. All authority not expressly delegated is reserved by the ASC. All delegations must agree with applicable laws and regulations. Unless specifically provided for in the delegations below, there is no authority to redelegate. An authority to make a redelegation is specifically set forth in these delegations. All authorized redelegations of authority shall be made in writing. An individual who acts in the capacity of another is vested with all of the delegated authority of the position. No redelegation is needed if one has been authorized in writing to act in the capacity of another.

The following compilation of delegations of authority reflects those authorities delegated or whose delegation was reaffirmed at the ASC's May 10, 1995 meeting, and as subsequently amended.

1. Title XI § 1105, 12 U.S.C. § 3334.

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General

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
GEN 1	Authority to bar any exercise of a delegated authority by revoking the delegation with respect to the specific matter in question.	Chairperson
GEN 2	Authority to sign all documents adopted and issued by and on behalf of the ASC (with authority to redelegate to the Executive Director).	Chairperson
GEN 3	Authority to record, signify and certify the official vote of individual ASC members when such vote is obtained through the use of telephonic or similar medium (with the authority to redelegate to the General Counsel).	Executive Director

Procurement and Property Management

Any actions under these procurement delegations that would cause the ASC to exceed its budget as a whole or by line item are subject to approval by the ASC.

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
PRO 1	Authority to approve, sign, issue and make payment on orders and contracts for goods or services required in the operations of the ASC (with authority to redelegate to the Executive Director).	Chairperson
PRO 2	Within approved budget limits, authority to serve as ASC Contracting Officer and, subject to a review by the General Counsel of single contracts and purchase orders for goods and/or services up to \$100,000; authority to approve, sign and issue procurement documents for all goods or services up to \$100,000 required for normal operations of ASC, and which are included in the current budget or to authorize modifications to such contracts and orders; approve, sign and issue Purchase Orders, Requests for Proposals, Invitations for Bids, Requests for Quotations, Certificates of Contract Awards, and Contract Addenda. Under this delegation are included: printing, leases, purchases of furniture and furnishings, purchases of supplies or services, and other items or services operationally required. [Amended 10/8/95, 12/11/13]	Executive Director
PRO 3	Authority to authorize payment for approved purchases of and contracts for property or services.	Executive Director
PRO 4	Authority to make payment of all expenses, expense allowances and payment for goods or services included in the current ASC budget or which are approved for payment by the ASC or other authorized persons (with authority to redelegate to one or more senior staff members).[Amended 10/8/95]	Executive Director

PRO 5	Authority to approve claims up to \$2,500 to reimburse ASC employees for damage or loss of personally owned equipment being used on ASC business.	Executive Director, with the concurrence of the Chairperson
PRO 6	Within approved budget limits, authority to purchase supplies and equipment not in excess of \$500 per item (with the authority to redelegate to the Administrative Assistant). [Amended 10/8/95, 2/14/96,. 12/11/13]	Executive Director
PRO 7	Within approved budget limits, authority to approve, sign and issue purchase orders and blanket purchase agreement (BPA) up to \$150,000 per purchase order and BPA for goods or services required for the ASC's normal operation.[Amended 12/11/13]	Executive Director

ASC Grants Program

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
GP 1	Determine amount of funding available for grants annually. [Amended 12/12/19]	ASC
GP 2	Approve funding opportunities overview prior to issuance of any notice of funding availability (NOFA). [Amended 12/12/19]	ASC
GP 3	Approve any award of grant funding prior to issuance of a Notice of Grant Award, including TAF grant and any competitive grants. [Amended 12/12/19]	ASC
GP 4	In the case of multi-year grant, approve annual budgets and performance plans. [Amended 12/12/19]	ASC
GP 5	Audits or financial reviews of grants awarded: <ul style="list-style-type: none"> • make final determination on recipient appeals of Management Decisions to resolve the audit findings. [Amended 12/12/19] 	ASC
GP 6	Single Audit program: <ul style="list-style-type: none"> • make final determination on recipient appeals of Management Decision. [Amended 12/12/19] 	ASC
GP 7	Indirect cost proposals: <ul style="list-style-type: none"> • make final decision on any disagreement on an ASC ICP adjustment. [Amended 12/12/19] 	ASC

GP 8	Fraud, waste or abuse: <ul style="list-style-type: none"> • make the final decision on termination. [Amended 12/12/19] 	ASC
GP 9	Prepare notice of notice of funding availability (NOFA) based on Board approval of the funding opportunities overview document. [Amended 12/12/19]	Grants Director
GP 10	Review applications, budgets and proposals prior to submission to the ASC Board. [Amended 12/12/19]	Grants Director
GP 11	Approve formula applications to the State Agencies. [Amended 12/12/19]	Grants Director
GP 12	After approval from ASC Board, to execute final award contingent upon applicants meeting all budget and programmatic changes required by the Grants Office. [Amended 12/12/19]	Grants Director
GP 13	Audits or financial reviews of grants awarded: <ul style="list-style-type: none"> • arrange audits or reviews; • identify system, fiscal and/or performance issues and define scope for any grant review; • review audits and approve audits, and prepare ASC's decisions for resolving audit findings and recommendations; and • track status of audits and implementation of audit. [Amended 12/12/19]	Grants Director
GP 14	Single Audit program: <ul style="list-style-type: none"> • administer and track Single Audits; • inform Executive Director of any recipient appeals of Management Decisions related to Single Audit 	Grants Director

findings; and

- track status of implementation of the actions necessary to resolve the recommendations. [Amended 12/12/19]

GP 15	Oversee close out of grants, and if the grantee reports any equipment purchased with ASC funds, determine whether the equipment will be used in subsequent grants from the ASC or transferred for use by the grantee on another federal program. [Amended 12/12/19]	Grants Director
GP 16	Sign award agreements. [Amended 12/12/19]	Executive Director
GP 17	Audits or financial reviews of grants awarded: <ul style="list-style-type: none"> • sign and issue Management Decision. [Amended 12/12/19] 	Executive Director
GP 18	Single Audit program: <ul style="list-style-type: none"> • sign and issue Management Decision. [Amended 12/12/19] 	Executive Director
GP 19	Indirect cost proposals: <ul style="list-style-type: none"> • process, negotiate, enter into agreements on indirect cost proposals (ICPs). [Amended 12/12/19] 	Executive Director
GP 20	Close out of grants: <ul style="list-style-type: none"> • issue final closeout letter. [Amended 12/12/19] 	Executive Director
GP 21	Fraud, waste or abuse: <ul style="list-style-type: none"> • sign letter of suspension. [Amended 12/12/19] 	Executive Director

GP 22	Indirect cost proposals: <ul style="list-style-type: none">• sign indirect cost rate agreement on behalf of the ASC. [Amended 12/12/19]	Financial Manager
GP 23	Close out of grants: <ul style="list-style-type: none">• issue invoice for any amount to be reimbursed;• if the grantee has unspent cash on hand, establish an accounts receivable for the balance and begin collection action; and• de-obligate the funds from the grantee's account if there is an unspent balance remaining in the grantee's account that has not been drawn down. [Amended 12/12/19]	Financial Manager

Personnel

Personnel Management

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
PERS 1	Authority to exercise all authorities related to personnel management, including appointment, removal, reassignment and direction of personnel and improvement of staff support (with the authority to redelegate to the Executive Director). The ASC, however, reserves the authority to approve the appointment, reassignment, removal and compensation of all staff at GS-15 or above (senior staff). The ASC also reserves the authority to approve the promotion of all individuals to, and in, these positions.	Chairperson
PERS 2	Authority to evaluate Executive Director's performance, and to review, evaluate and approve the Executive Director's appraisal of a senior staff member's performance.	Chairperson (Vice-Chairperson in the event Chairperson is unavailable for 15 days or more) [Amended 5/9/18]
PERS 3	Authority to evaluate and rate each staff employee's job performance, through the use of performance elements and standards. [Amended 10/8/95]	Executive Director
PERS 4	Authority to establish organizational structure and to hire persons to fill staff positions (with the authority to redelegate to the Executive Director).	Chairperson
PERS 5	Authority to allocate personnel within established staffing patterns, including authority to appoint Acting Executive Director and to delegate authority to that Acting Director.	Executive Director
PERS 6	Approval of Leave: a. Annual and sick leave up to the maximum earned yearly.	All Supervisors

- b. Leave without pay, administrative leave, and advanced annual and sick leave. Executive Director

- c. Within the basic eight-hour day and 40-hour week, authority to approve temporary flexible working hours. Executive Director

- d. Authority to approve flexible working hours. ASC

- e. Authority to approve retention of annual leave that exceeds 240 hours. Executive Director

Training and Training Expenses

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
TRN 1	Within approved budget limits, authority to budget for, approve, conduct, schedule, coordinate, monitor and evaluate all ASC training and career development activities.	Executive Director
TRN 2	Within approved budget limits, authority to plan, schedule and conduct data processing training for ASC staff.	Executive Director
TRN 3	Within approved budget limits, authority to approve SF-182's, Request, Authorization, Agreement, and Certification of Training up to \$10,000 per form (with authority to redelegate to Executive Director).	Chairperson

Incentive Awards

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
AWD 1	Authority to grant the following awards:	
	a. Superior Accomplishment Awards greater than \$5,000, but not more than \$10,000. (Awards over \$10,000 require OPM approval.)	ASC
	b. Special Act or Service Awards or Superior Accomplishment Awards up to \$2,500	Chairperson (Vice-Chairperson in the event Chairperson is unavailable for 15 days or more) [Amended 5/9/18]
	c. Quality Step Increase	Chairperson (authority to re-delegate to Executive Director)
	d. Letters of Commendation	Executive Director
	e. Length of Service Awards	Executive Director
	g. Time Off From Duty Award	Executive Director

Travel

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
TRV 1	Within approved budget limits, authority to approve travel orders and disbursements thereof.	Executive Director
TRV 2	Within approved budget limits, authority to approve advance of funds for travel.	Executive Director

Compliance Review Reports

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
CRR 1	Approve, sign and release Compliance Review Reports with recommended Finding of “POOR.” ² [Amended 12/11/13]	ASC
CRR 2	Approve, sign and release Compliance Review Reports with recommended Finding of “NOT SATISFACTORY.” ³ [Amended 12/11/13]	ASC
CRR 3	Approve, sign and release Compliance Review Reports with recommended Finding of “NEEDS IMPROVEMENT.” ⁴ [Amended 12/11/13]	Chairperson or Vice-Chairperson [Amended 5/9/18]
CRR 4	Approve, sign and release Compliance Review Reports with recommended Finding of “GOOD.” ⁵ [Amended 12/11/13]	Chairperson (authority to re-delegate to Executive Director)*
CRR 5	Approve, sign and release Compliance Review Reports with recommended Finding of “EXCELLENT.” ⁶ [Amended 12/11/13]	Chairperson (authority to re-delegate to Executive Director)*

*Executive Director to provide quarterly reports to ASC on Compliance Review Reports (may delegate to Deputy Executive Director).

2. Applies when deficiencies are significant and severe, require immediate attention and if not corrected represent critical flaws in the Program and high risk of Program failure.

3. Applies when deficiencies present a significant risk and if not corrected in a timely manner, pose a well-defined risk to the Program and substantial risk of Program failure.

4. Applies when deficiencies are material but manageable and if not corrected in a timely manner, pose a potential risk to the Program and moderate risk of Program failure.

5. Applies when deficiencies are minor in nature, State is adequately addressing deficiencies identified and correcting them in the normal course of business, and low risk of Program failure.

6. Applies when State maintains a strong regulatory Program and very low risk of Program failure.

Special Activities

<u>Reference</u>	<u>Authority</u>	<u>Delegation</u>
SPE 1	Authority to grant or deny any request made for information pursuant to the Freedom of Information Act and Subpart D of the ASC's Regulations, including the authority to release exempt information (with authority to redelegate approvals only to the General Counsel).	Executive Director
SPE 2	Authority to submit for publication in the <i>Federal Register</i> any ASC-approved Agency document and to take appropriate action to correct any obvious error of form, typographical error or similar error contained in such documents (with authority to redelegate to the General Counsel).	Executive Director
SPE 3	Authority to sign and release non-routine, significant correspondence (with the authority to redelegate to the Executive Director).	Chairperson or Vice-Chairperson [Amended 5/9/18]
SPE 4	Authority to sign and release routine correspondence.	Executive Director
SPE 5	Authority to coordinate and manage the ASC's ethics program as the ASC Designated Agency Ethics Officer (DAEO) with the ASC's Management and Program Analyst who serves as the alternate DAEO. [Amended 12/11/13]	General Counsel
SPE 6	Authority to sign and release documents or other communications relating to established ASC policies and procedures.	Executive Director