

State of Rhode Island  
Department of Administration

OFFICE OF ACCOUNTS AND CONTROL

<b>SECTION</b>	<b>POLICY/PROCEDURE NUMBER</b>
	<b>A-6</b>
<b>SUBSECTION</b>	<b>EFFECTIVE DATE / PAGE NUMBER</b>
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<b>POLICY / PROCEDURE</b>	<b>AMENDMENT / REVISION</b>
<b>Appointment of Authorized Agents</b>	<b>December 1, 2014</b>

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**PURPOSE**

For the purpose of relieving Department Directors of the burden of approving and signing routine personnel, payroll and fiscal documents, a Director may delegate this approval authority to a responsible party by the appointment of an Authorized Agent, subject to the following limitations:

**STATUTORY REQUIREMENTS**

- A. When the statute under which the expenditure is being made does require approval by the Director, or by other officials specified by law, the authority to approve cannot be delegated, except to Deputy Directors appointed in accordance with Section 42-20-5.
- B. All public laws authorizing the issuance of general obligation bonds for capital development purposes contain the following language:

“All monies in such capital development fund shall be expended for the purposes specified in the proposition provided for in section (X) hereof under the direction and supervision of the director of administration (hereafter referred to as ‘said director’) said director or his delegate. The state controller is authorized and directed to draw his or her orders upon the general treasurer for payment out of such capital development bond fund of such sum or sums as may be required from time to time, upon receipt by him or her of properly authenticated vouchers approved by said director or his or her delegate as the case may be.”

This means that The Office of Accounts and Control will require the approval of the Director of Administration or his/her delegate for all expenditures of bond fund monies.

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**APPOINTMENT OF AUTHORIZED AGENT**

It is important to note that the appointment of authorized agents should be limited; however when the statute under which the expenditure is being made does not require approval by the Director or by other officials specified by law, the authority to approve may be delegated to an Authorized Agent, providing that a proper authorization has been filed with the State Controller's Office.

The authorized employee should have the qualifications to assume the administration and financial responsibility of this appointment.

IMPORTANT - By the appointment of an Authorized Agent, the Department Director automatically vests authority in the Authorized Agent to question the legality and propriety of all expenditure documents which are submitted to him/her for approval by Division Chiefs and other officials. The Authorized Agent has authority to withhold approval of expenditure documents which, in his/her opinion, do not meet the requirements of law or administrative regulations of the state.

**PREPARATION OF AUTHORIZED AGENT FORM**

The form can be prepared either online via the Controller's website or <http://operations.doit.ri.gov/documents/RIFANS/UserAuthorizedAgentForm.php> or a preprinted copy may be completed.

Authorized Agent Information:

Please include the employee's full name, phone number, email address, title, agency name and the effective date of the appointment.

Forms Information:

Care should be taken in designating the respective documents which the Authorized Agent is authorized to approve. The department director may limit this authorization to any number of documents by checking the proper box and noting on the form the extent of the limitation. Note that no employee may be appointed to approve both Payroll and Personnel

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documents. The form must be completed to check off each appropriate form of section of forms the appointee is designated to approval as well as the appropriation account number or numbers for type of form. If the appointee will be allowed access to all account numbers within an agency, please enter "All xxx accounts" where xxx represents the agency number.

**Signatures:**

The form requires two original signatures, signed in ink; the sample signature of the Authorized Agent and the signature of the Department Head making the appointment—usually the Department Director.

**Form Submission:**

The original signed hard copy form must be submitted to the Office of Accounts & Control for review, approval and Controller's signature before the Authorized Agent can begin to approve state expenditures.

**Use of the Form by Department Directors:**

The Form should also be used by the Department Director for submitting a sample of his/her official signature for those documents which he/she wishes to sign personally.

**Use of the Form by Boards and Commissions:**

When the statute covering a state board or commission states payments should be made by "authenticated vouchers", an Authorized Agent, or Agents, should be appointed by a special vote of the board or commission. (Usually, the Chairman, Vice Chairman or Secretary is appointed.) A copy of the minutes of the meeting whereby the appointment of authorized agent was made should accompany the Appointment of Authorized Agent Form sent to the Office of Accounts & Control.

If a Chairman of a board or commission is appointed by the Governor (as opposed to being voted such by the members of the board or commission)

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and, in turn, appoints him/her-self as an Authorized Agent, the Appointment of Authorized Agent Form should be accompanied by his/her letter of appointment.

**Use of the Form by General Officers:**

Any general officer that appoints him/her-self as an Authorized Agent should attach a copy of their Certificate of Engagement received from the Secretary of State upon their election to their Appointment of Authorized Agent Form.

**Use of the Form for Imprest Cash Funds:**

For imprest cash funds, the form should be used to appoint Disbursing Officers. The form should be submitted as follows:

1. Complete the information and personal signature of the Disbursing Officer
2. Check off "Disbursing Officer" under Fiscal Form
3. Signed by the Director or Department Head

**TERMINATION OF AUTHORIZATION**

The department should notify the Office of Accounts & Control of the termination of appointment of an Authorized Agent whether due to retirement, relocation to another agency or other reason. This may be done one of two ways:

1. Complete a new Authorized Agent form entering a termination date – only a director or department head signature is required
2. Submit a letter from a director or department head declaring the termination of Authorized Agent status including the employee's name and effective date of the termination.