SECTION 2:   AKSAS SECURITY & AUTHORITIES
Certifying Officer Authority

INTRODUCTION

Certifying Officer Authority provides guidelines and procedures for authorizing an employee as a certifying officer. A certifying officer is a department head (commissioner), or responsible representative designated by a department head, who has responsibility for the certification (formal approval) of a document or online transaction. In accordance with AS 37.10.020, all financial transactions in AKSAS must be certified by a certifying officer.

To be designated as a certifying officer, an AKSAS Certifying Officer's Affidavit must be completed and forwarded to the Division of Finance. The affidavit must be accepted by and filed with the Division of Finance prior to an individual performing certification duties. Copies of all Certifying Officer Affidavits must be kept on file in each agency's fiscal office, and updated and replaced as needed.

An AKSAS Certifying Officer's Affidavit must be completed in the following situations:

- Appointment of an employee to a position requiring the performance of certification duties.
- Addition of certification duties to a current employee's work responsibilities.
- Change in the type of transactions to be certified by a designated certifying officer.
- Resignation of a designated certifying officer.
- Removal of certification duties from a designated certifying officer's work responsibilities.
- Change in administration.

The most recent Certifying Officer's Affidavit on file for an individual reflects the certifying officer's current authority. Replacement Certifying Officer's Affidavits must include **all** transactions and certifying RD codes the individual is authorized to certify. Certifying Officer's Affidavits (Form 02-933) are available from the Department of Administration, Division of General Services Forms Catalog or the Division of Finance web site.

Certifying officers are identified by RD codes. To be appointed as a certifying officer in AKSAS, an individual's RD code must be designated as a certification RD code on the SMF Authorized RD Code Transaction Table (SAU). The SAU, maintained by the Division of Finance, specifies the certification RD code(s) for a specific combination of source RD code and transaction code. One certification RD code listed for a transaction must certify the transaction before it will process. Refer to *Section 4: Financial Transactions & Batch Processing* for certification procedures.

Every certifying officer has the responsibility to review and/or certify transactions on a daily basis. AS 37.10.020-040 defines the duties and responsibilities of a certifying officer. Also, refer to the *Alaska Administrative Manual (AAM) 15.010 - 040.*

FORM

AKSAS Certifying Officer's Affidavit

PROCEDURES

I. **Complete the AKSAS Certifying Officer's Affidavit.**

    A. Complete the Certifying Officer's Affidavit as follows:

       1. **Name** - Enter the name of the employee for whom certifying authority is being requested.

       2. **Social Security Number** - Enter the nine-digit Social Security Number of the employee for whom certifying authority is being requested.

       3. **AKSAS RD Code** - The five-digit AKSAS RD code is obtained from the agency finance officer. This code is used to specify the functions the user is authorized to certify in AKSAS. The RD code is entered here only if the employee will be certifying transactions in AKSAS.

       4. **Department** - Enter the name of the agency where the employee is employed.

       5. **Division** - Enter the name of the division where the employee is employed.

       6. **Action** - Enter an **X** preceding one of the following:

          a. **Add** - Add a new certifying officer.

          b. **Replace** - To change or replace an existing Certifying Officer's Affidavit with a new affidavit.

            NOTE: When changing the authority of an employee, check all applicable items. This affidavit supersedes the affidavit currently on file. Always indicate "replace" if an affidavit is already on file for an employee and is to be replaced. The old form is removed from the Division of Finance's files.

          c. **Delete** - To delete certifying authority for an individual.

    B. Complete the AKSAS transaction section of the form by entering an **X** immediately preceding the transaction major code for each type of transaction the employee should have authority to certify.

    NOTE: Only transaction major codes are listed for each category. The certifier will be authorized to certify all minor codes associated with the transaction major code unless specific minor codes are identified. See Step I.D.

       1. **BUDGETARY** - Authorizes the user to certify all budgetary transactions.

       2. **EXPENDITURES** - Authorizes the user to certify specific add and change expenditure open item and warrant transactions.

       3. **REVENUE** - Authorizes the user to certify specific revenue open item and/or treasury journal entry transactions.

       4. **JOURNAL ENTRIES** - Authorizes the user to certify specific journal entry transactions.

       5. **STRUCTURES** - Authorizes the user to certify change collocation code, change appropriation, and/or change appropriation indicative structural transactions.

       6. **VENDORS** - Authorizes the user to certify add or change vendor transactions.

    7. **MISCELLANEOUS** - Authorizes the user to sign the physical warrants for field warrants and/or jury service warrants and to sign Warrant Status Change Request forms.

C. If the employee is restricted to any minor codes, list the major and all minor codes that can be certified.

Certifying officer authority is given at the transaction major code level meaning, unless otherwise stipulated, the certifying officer can certify all transactions associated with each transaction major code specified. If the certifying officer should be restricted to specific minor codes, list the transaction major and minor code(s) in this area. For example, if a certifying officer should be restricted to certifying just field warrants, enter 310-46 in this block.

D. Obtain the appropriate signatures.

The employee signing this form as the Certifying Officer must read the entire reverse side of the form to fully understand the responsibilities and what actions may be taken should certifying officer authority be abused.

    1. **CERTIFYING OFFICER** - Signature of individual designated on this form to be appointed as a certifying officer. Complete the **Certifying Officer's Signature** and the **Certifying Officer's Name (Typed)** and **Date** fields.

    2. **APPOINTING AUTHORITY -** Usually the agency's commissioner or Administrative Services Director. When deleting an employee's certification authorization, the Agency Security Contact signs here. A Certifying Officer signature is not necessary for deleting certification authority. Complete the **Department Head's Signature** and the **Department Head's Name (Typed)** and **Date** fields.

    3. **DIVISION OF FINANCE ACCEPTANCE** - The Division of Finance signs in this area when the Certifying Officer's Affidavit is accepted.

II. **Submit a request to add the certifying officer as an authorized certifier in AKSAS.**

A. Completing the Certifying Officer's Affidavit does not automatically enable the individual to certify transactions in AKSAS. The certifying RD code must be added to the SMF Authorized RD Code Transaction Table (SAU) maintained by the Division of Finance.

B. Notify the Division of Finance to add the new certifying officer's RD code to the SAU. The request must be in writing and must identify each source RD code and transaction combination that the certifying RD code should certify. Refer to *Source RD Code Transaction Authority* in this Section for more information.

III. **Submit the completed AKSAS Certifying Officer's Affidavit form and request to update the SAU to the Division of Finance.**

A. Forward the original Certifying Officer's Affidavit and the request to update the SAU to the Department of Administration, Division of Finance, Systems Administration, Mail Stop 0204.

B. Retain a copy of the Certifying Officer's Affidavit form as a suspense copy for your files.

IV. **The Division of Finance processes forms and notifies the agency.**

    A.   The Division of Finance processes the AKSAS Certifying Officer's Affidavit within three to eight days of receipt. The Division of Finance also adds certification authority to AKSAS if a request to update the SAU is received.

    B.   Upon acceptance by the Division of Finance, a copy of the signed affidavit is returned to the agency. If the form is incomplete or incorrect, the agency is notified.

    C.   Periodically, the Division of Finance verifies all Certify Officer's Affidavits on file against SAU records. Agencies are notified of any discrepancies and corrective action.