

DELEGATION OF AUTHORITY

VERSION CONTROL		
Date of Approval:	28 November 2018	Approval: Director- General
Current Version:	04	
Effective Date:	28 November 2018	

TABLE OF CONTENTS

DEFINITIONS AND ABBREVIATIONS.....	2
STANDARD AUTHORITY CODES.....	3
A. PURPOSE AND OBJECTIVES.....	4
B. GUIDING PRINCIPLES.....	4
C. GENERAL PROVISIONS.....	6
D. DELEGATION OF AUTHORITY MATRIX.....	7
I. PROCUREMENT.....	7
II. FINANCE.....	15
III. CORPORATE SERVICES.....	21
IV. HUMAN RESOURCES.....	25
V. AUDITING.....	40
VI. BUDGET.....	41
VII. INSTITUTIONAL MATTERS.....	44
VIII. GOVERNANCE, OUTREACH AND COMMUNICATIONS.....	47

DEFINITIONS

Acting Officer	An officer who has officially been designated by the Director-General to assume management functions for a position that is vacant.
Concerned Country Representative	The Country Representative to whose responsibilities the instrument, action or activity most closely relates.
Concerned Director	The Director or Department Head to whose responsibilities the instrument, action or activity most closely relates.
Concerned Division Head	The Division Head to whose responsibilities the instrument or action most closely relates.
Concerned Manager	The manager or supervisor to whom the initiator of the instrument, action or activity directly reports.
Concerned Task Manager	The person who is functionally responsible for that activity or action.
Concerned Unit Head	The Head of Unit to whose responsibilities the instrument, action or activity most closely relates.
Officer-in-Charge	An officer designated to assume management functions for an encumbered position, when the incumbent is absent or incapacitated.

STANDARD AUTHORITY CODES

The standard authority codes used in the Delegation of Authority are as follows:

I	Initiate/Originate/Prepare	To initiate an action or activity and prepare the relevant instrument supporting documents.
R	Recommend/Review	To review and make a recommendation on which a decision will be made or an action taken.
C	Clear	To permit an action or decision to proceed to the next step for approval or signature after ensuring that all relevant preconditions have been satisfied and that the action or decision is in compliance with GGGI regulations, rules, policies, processes and procedures.
A	Approve	To provide the final approval that an action or decision can be undertaken or made following appropriate consultations.
S	Sign	To append one's signature on a document to signify acknowledgement, agreement, approval or acceptance and consent to be bound.
(i)	Informed	To be informed of the decision made or action undertaken.

A. PURPOSE AND OBJECTIVE

The purpose of this Delegation of Authority (“DoA”) is to ensure the efficient operation of GGGI by establishing levels of authority and/or designate officers who may sign written instruments or take other actions in the name of and on behalf of GGGI.

This DoA also serves to provide a strong foundation for a country-based operations model, while ensuring that the necessary control measures are in place. Implementation of this DoA will facilitate the effective devolution of activities, transfer of required decision-making powers and better segregation of duties and responsibilities.

This DoA is a living corporate instrument and is the starting point upon which periodic reviews and continuous improvements will be made in response to evolving business demands.

In exercising the authority delegated herein, consideration should be given to:

- (a) the relevant GGGI Regulations, Rules, Policies, Guidelines and Procedures, as then in effect;
- (b) the role of the Management Team, the Procurement Review Committee, Procurement Committees and other committees that may be established from time to time by the Director-General; and
- (c) functional responsibilities within the organization.

B. GUIDING PRINCIPLES

1. All authority delegated herein derives from the authority of the Director-General and is delegated for the effective administration of GGGI’s operations. The Director-General at all times reserves the right to exercise any of the delegated authority.
2. Subject to paragraph B.1. above, the exercise of authority for all matters shall be in accordance with this DoA and the Delegation of Authority Matrix (the “DoA Matrix”) attached hereto. All authority not delegated pursuant to the DoA Matrix or paragraph B.10. below is reserved for the Director-General.
3. The delegation of authority set out in the DoA Matrix is functional and not personal in nature, and shall be exercised in the best interest

of GGGI.

4. Any authority delegated in the DoA Matrix may be exercised by an officer of a higher function, taking into account paragraph B.9. below.
5. The delegation of authority to a certain officer does not relieve such officer of the responsibility to obtain the required technical advice and to carry out the appropriate consultations which would inform the exercise of such authority.
6. Officers with delegated authority are responsible for assuring the following, as applicable:
 - a. An understanding of what is being approved;
 - b. The information and supporting documentation is accurate and complete;
 - c. The transaction or action is allowable, reasonable and justified;
 - d. The transaction is charged to the correct project(s) / account(s);
 - e. There are adequate funds to cover the expense; and
 - f. The funding source is appropriate to the expenditure.
7. An Acting Officer has the delegated authority of the function he or she has been designated to assume.
8. An Officer-in-Charge has the same authority of his or her incumbent.
9. When officers of one or more divisions, departments, units or offices are delegated authority for the purposes of any particular instrument or action, the authority so conferred should be exercised by the officer to whose responsibilities the instrument or action most closely relates.
10. This DoA and the DoA Matrix do not preclude the special designation by the Director-General of officers to sign written instruments or undertake actions in particular cases.
11. Officers may not approve transactions for themselves or their relatives or approve transactions that directly benefit themselves or their relatives or that in any way create a conflict of interest with the officer's responsibilities to GGGI. Such transactions must be approved

by the officer of next higher authority.

12. The same officer may not initiate, review and approve the same action. The same officer may not approve and reconcile the same expenditure.
13. It is not permitted to divide a contract into two or more contracts to reduce the amounts thereof and thereby change the required level of authority.
14. Cumulative amount in reference to any contract for acquisition of any goods or works or engagement of any services refers to the cumulative amount of the contract for the contract period. Where acquisitions of the same or similar type are recurring, the total cumulative estimated amount for the calendar year shall be used to determine the procurement method, procurement contract type and procurement contract signatory.
15. Abuse of delegated authority or violation of the provisions of this DoA (including these Guiding Principles) or the relevant underlying GGGI regulation, rule, policy, guideline or procedure shall constitute misconduct, leading to appropriate disciplinary action.
16. Any action taken or any instrument signed by anyone other than the Director-General or those officers who have delegated authority in accordance with this DoA and the DoA Matrix, may be declared null and void unless formally ratified by the Director-General or authorized officer.

C. GENERAL PROVISIONS

1. Each Division Head shall be responsible for the proper implementation of this DoA in their respective division.
2. This DoA and the DoA Matrix may be amended, modified or repealed, in full or in part, by the Director-General. Any such amendment, modification or repeal shall be evidenced by a writing.
3. The Head of Operations Enabling Division (OED) is responsible for the overall interpretation and consistent application of this DoA and the DoA Matrix, in consultation with the Head of Legal.

DELEGATION OF AUTHORITY MATRIX

I. PROCUREMENT (GOODS, WORKS AND CONSULTING FIRMS)¹

Authority Codes	
I	Initiate/Originate/Prepare
R	Recommend/Review
C	Clear
A	Approve
S	Sign
(i)	To be informed

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee	Finance Director
1.	Annual Procurement Plan			(i) ²	A	I		R				(i)

¹ This Procurement section relates to the procurement of goods, the procurement of works and the procurement of services from any entity other than an individual. This section does not apply to the engagement of individual consultants, which is covered under Part IV *Human Resources*.

² Or, informed to the Chief Financial Officer, depending to whom the function reports

	ACTION	Director-General	Management Team	Deputy Director-General (OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee
2.	Raising purchase requisition³										
2.1	USD 1,000 or less ⁴ (cumulative amount)						A				
2.2	USD 1,001 to USD 10,000 ⁵						A		I		
2.3	USD 10,001 to USD 50,000					A	I	R	I		
2.4	USD 50,001 to USD 500,000			A ⁶	C		I	R			

³ All purchases of ICT hardware, software, and the like in an amount exceeding USD 1,000 must be cleared by ICT Manager prior to purchase. All purchases of non-ICT goods such as furniture in an amount exceeding USD 1,000 must be cleared by the Facilities Manager.

⁴ For “*Minor Purchase*” items as defined in the Procurement Rules, no documentation in the form of procurement request or purchase order needs to be submitted and acquisition of such services, goods or works may be conducted without using a specific procurement method, however, supporting documents for the acquisition should be submitted when making a disbursement request. Where Minor Purchases of the same or similar type are recurring, the total cumulative estimated amount for the calendar year shall be used to determine the procurement method, procurement contract type and procurement contract signatory. As of the date of approval of this DoA, “*Minor Purchase*” items are defined as purchases with a value of USD 1,000 or less.

⁵ Approval by Unit Head/Country Representative for goods and non-consulting services. For consulting services, approval in accordance with 2.3

⁶ Approved by Chief Financial Officer

2.5	USD 500,001 and above	A		R ⁷	I						
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee
3.	Direct Procurement⁸										
3.1	USD 1,000 or less ⁹ (cumulative amount)						A				
3.2	USD 1,001 to USD 10,000 ¹⁰						A		I		
3.3	USD 10,001 to USD 50,000					A	I	R			R
3.4	USD 50,001 to USD 500,000			A ¹¹		I ¹²		R			R
3.5	USD 500,001 and above	A		R	I			R			R

⁷ Review by Chief Financial Officer

⁸ Where permitted in accordance with the provisions of the Procurement Rules.

⁹ Subject to footnote 3 above.

¹⁰ Approval by Unit Head/Country Representative for goods and non-consulting services. For consulting services, review/approval in accordance with 3.3

¹¹ Approved by Chief Financial Officer

¹² Where no Director, Unit Head to initiate or, where purchase is for Country Office, Country Representative to initiate.

3.6	Approval of direct procurement in cases not specifically provided for in Procurement Rules ¹³	A ¹⁴		A ¹⁵	C			R	I		R
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee

¹³ To be reported to the Council in accordance with Procurement Rule 3.5(i) periodically.

¹⁴ For procurement USD 500,001 and above.

¹⁵ For procurement up to USD 500,000.

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Head of Legal ¹⁶	Concerned Task Manager	Procurement Committee	Procurement Review Committee
4.	Contract award decision and signing of contracts, purchase orders and call-off contracts (framework agreements)											
	a. USD 10,000 or less (cumulative amount for contract period)						A, S		C	I		
	b. USD 10,001 to USD 50,000						A, S	C		I, R		
	c. USD 50,001 to USD 500,000			A, S				I	C	R		
	d. USD 500,001 and above	A, S						I	C	R		R

¹⁶ Legal to review and clear all contracts deviating in material terms from approved templates

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee
5.	Contract Modifications									
5.1	Decreased value, no cost modifications and modifications of a cumulative value of less than or equal to 20% of initial contract amount. (value referring to cumulative amended amount for contract period).	Approval and Signature by the level corresponding to the added value (non-cumulative) of the contract as modified, as indicated in section 4 (Contract Award Decisions) above. No-cost modifications may be approved and signed by Head of Procurement.								
5.2	Cumulative value of modifications greater than 20% of initial contract amount.	Shall be handled, approved as section 3 (Direct Procurement) above, but may be executed as an amendment to the original contract with signature authority based on the cumulative value.								
5.3	Exercising contract options already provided for in the approved contract (for example, extension of term or additional quantity)					C ¹⁷	A ¹⁸	I		

¹⁷ Clearance needed in cases where contract amount or cost changed, not for extensions without financial implications

¹⁸ For contracts with cumulative value of USD 10,001 and above.

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee	Finance Director
6.	Waiver of procurement rule or exercise exception provided for in the Procurement Rules, provided such waiver or exception does not violate the Procurement Regulations.											
6.1	USD 10,000 or less (cumulative amount for contract period)					R	A		I			C ¹⁹
6.2	USD 10,001 to USD 50,000				A	C	R	R	I			C ¹⁵
6.3	USD 50,001 to USD 500,000			A ²⁰	C		R	R	I			C ¹⁵
6.4	USD 500,001 and above	A		R ²¹	C	R		R	I			C ¹⁵
6.5	Use of credit card or cash payment for General Expense Claim of USD 10,000 or less						A		I			C

¹⁹ Finance Director clearance required only in cases of advance payment without a performance guarantee.

²⁰ Approved by Chief Financial Officer

²¹ Reviewed by Chief Financial Officer

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee	Head of Legal
7.	Cancellation of procurement process (Cancellation of procurement process to correspond to the authority to initiate the procurement, as set out in Part I, section 2)											
8.	Contractor Performance Evaluation				A	C	C	(i)	I			
9.	Examination of Complaints²²			(i)				I				R

²² Complaint review process to be undertaken in accordance with relevant provisions of the Procurement Rules.

II. FINANCE

Authority Codes	
I	Initiate/Originate/Prepare
R	Recommend/Review
C	Clear
A	Approve
S	Sign
(i)	To be informed

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (Field)	
1.	Payment Processing²³												
1.1	Payable up to USD 10,000										A		
1.2	Payable USD 10,001 to USD 100,000					C ¹⁹		A			A		
1.3	Payable USD 100,001 to USD 500,000			A	C ¹⁹			A					
1.4	Payable USD 500,001 and above	A			C ¹⁹			A					

²³ Approval for limits up to USD 10,000 by Finance Specialist

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (Field)	
2.	Petty Cash²⁴												
2.1	Establish petty cash fund			A				R	I		C	I	
2.2	Payment of expenditures using petty cash								A		(i)	I	
2.3	Determination of limit of petty cash usage							A	I		R	I	
2.4	Replenishment of petty cash / Petty cash reimbursement								A			I	
3.	Corporate Credit Card												
3.1	Establish and adjust limits on corporate cards (including determination of eligibility)			A²⁵				C			I	I²⁶	

²⁴ At the time of approval of this DoA Matrix, petty cash may be used for expenditures incurred in a country office in an amount up to (and less than) USD 1,000. This amount may be adjusted periodically in line with this DoA Matrix.

²⁵ Approved by Chief Financial Officer

²⁶ For Country Offices or persons based in Country Offices.

3.2	Issuance of corporate cards							A			I	I²²	
3.3	Credit card payments (below USD10,000)								A			I	
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (Field)	Investment Committee
4.	Foreign Exchange / Currency												
4.1	Hedging instruments / derivative transactions / risk mitigation instruments	A		R²⁷				I					
5.	Investment												
5.1	Short-term investments	A		R²⁸				I					R

²⁷ Approved by Chief Financial Officer

²⁸ Recommended by Chief Financial Officer

6.	Bank Accounts												
6.1	Issuing RFP for global banking			A ²⁹				R			I		
6.2	Issuing RFP for local (field office) banking			A ³⁰				C	R		R	I	
6.3	Selection of banks	A		C ³¹				R	R		I,R²³	I³²	
6.4	Opening and closing of bank accounts ³³	A		C ³⁴				R			I,R³⁵	I²⁴	
6.5	Appointment of signatories	A		C ³⁶				R			I,R²⁴	I²⁴	
6.6	Bank Reconciliation Statements							A			I,R²⁴	I²⁴	

²⁹ Approved by Chief Financial Officer

³⁰ Approved by Chief Financial Officer

³¹ Cleared by Chief Financial Officer

³² For bank accounts for Country Offices, the Finance Officer in respective country office to initiate and Finance Officer (HQ) to review; for all others or where no Finance Officer in country office, Finance Officer (HQ) to initiate.

³³ NB that account agreements could subject GGGI to national laws, including adding restrictions on financial transactions/exchange which we should be exempt from where we have an HCA in place. Legal to be consulted.

³⁴ Cleared by Chief Financial Officer

³⁵ For bank accounts for Country Offices, the Finance Officer in respective country office to initiate and Finance Officer (HQ) to review; for all others or where no Finance Officer in country office, Finance Officer (HQ) to initiate.

³⁶ Cleared by Chief Financial Offer

	ACTION	Director-General	Management Team	Deputy Director-General (OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (Field)	
7.	Accounting												
7.1	Journal Entries							A			I,R,C	I	
7.2	New chart of accounts							A		I	I,R		
7.3	Write-offs below \$10,000			A³⁷				R			I		
7.4	Write-offs above \$10,000	A		C³⁸				R			I		
7.5	Accounting provisions			A³⁹				C			I		
8.	Reporting												
8.1	Annual Financial Statement	A		C⁴⁰				C			I,R		

³⁷ Approved by Chief Financial Officer

³⁸ Cleared by Chief Financial Officer

³⁹ Approved by Chief Financial Officer

⁴⁰ Cleared by Chief Financial Officer

8.2	Various finance reports – such as, fixed assets variance, contributions in arrears, etc.							A			I,R	I,R		
------------	------------------------------------------------------------------------------------------	--	--	--	--	--	--	----------	--	--	------------	------------	--	--

III. CORPORATE SERVICES

Authority Codes	
I	Initiate/Originate/Prepare
R	Recommend/Review
C	Clear
A	Approve
S	Sign
(i)	To be informed

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Head of Technology Services	Head of Administrative Services	ICT Manager	Concerned Country Representative	Concerned Task Manager	Finance Director	ICT & Facilities Team	Concerned Unit Head
1.	Asset Inventory													
1.1	Asset Inventory Verification (Physical Count) for HQ						A		R		I, C	(i)		
1.2	Asset Inventory Verification (Physical Count) for other offices								R	A	I, C	(i)		
1.3	Write-offs and/or Disposal for USD 10,000 or less for HQ						A	(i)	C		I	A		

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Head of Technology Services	Head of Administrative Services	ICT and Facilities Manager	Concerned Country Representative	Concerned Task Manager	Finance Director	ICT & Facilities Team	Concerned Unit Head
1.4	Write-offs and/or Disposal for USD 10,000 or less for other offices							(i)	C	A	I	A		
1.5	Write-offs for USD 10,001 and above for HQ			A			A		C		I	A		
1.6	Write-offs for USD 10,001 and above for other offices			A			A		C	A	I	A		

	ACTION	Director-General	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Department Head	Concerned Manager (Budget Owner)		Concerned Manager (Direct Supervisor)	Head of Administrative Services	Concerned Staff (Traveler)		Travel Focal Point	Travel Management Company	Finance (Treasury) Officer	
2.	Mission (Travel) Program/Plan -(Quarterly)			A	C	C		R	(i)	I		(i)			
3.	Mission (Travel) Authorization on Purpose & Cost⁴¹														
3.1	Domestic Travel				A ⁴²	C		R		I		(i)	(i)		
3.2	International Travel			A	C	C		R		I		(i)	(i)		
4.	Travel Advance Payment⁴³					A		C		I				(i)	
5.	Travel Claim Processing⁴⁴														
5.1	Domestic Travel					A		C		I		(i)		(i)	

⁴¹ For staff in the Executive category, the direct supervisor will have approval authority. For the DG, Head of OED has approval authority.

⁴² In country offices, for this case the Country Representative will be considered Concerned Department Head

⁴³ Finance office will authorize release of funds based on compliance with applicable procedures.

⁴⁴ For staff in the Executive category, the direct supervisor will have approval authority.

5.2	International Travel					A		C		I	(i)									
	ACTION	Director-General	Deputy Director-General, (Head of OED)	Concerned Division Head	Concerned Department Head	Concerned Manager (Budget Owner)	Concerned Manager	Concerned Manager (Direct Supervisor)	Head of Administrative Services	Concerned Staff (Traveler)		Travel Focal Point	Travel Management Company	Finance (Treasury) Officer	(i)					
6.	Waivers or exceptions from Travel Policy or Guidelines																			
6.1	USD 1,000 or less					C			A	I		R								
6.2	USD 1,001 or above			A		C			R	I		R								

IV. HUMAN RESOURCES⁴⁵

Authority Codes	
I	Initiate/Originate/Prepare
R	Recommend/Review
C	Clear
A	Approve
S	Sign
(i)	To be informed

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Staff
1.	Resource Planning												
1.1	Recruitment Plan (Annual and Quarterly Review)				A	R		I	C		(i)	C	

⁴⁵ The sections of this Part IV on *Resource Planning, Vacancy Management, Management of Personnel/Transfer of Personnel, Job Descriptions, Payroll, Payment Processing, Leave and other Absences and Performance Evaluation and Training* apply equally to all positions held by Staff, as defined in the Staff Rules.

Individual consultants are considered human resources of GGGI and the engagement and use of individual consultants is undertaken and managed by the Human Resources Services unit under rules prescribed by the Director-General. Accordingly, delegations of authority concerning the engagement, use and management of individual consultants are contained in part 13 *Individual Consultants* of this Part IV *Human Resources* of the DoA Matrix.

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer		Finance Director	Concerned Staff	
1.2	Deviation from Recruitment Plan													
1.2.1	Non-executive position			(i)	C,A	R		I	C			C		
1.2.2	Executive position	I,A		R					C			C		
2.	Vacancy Management													
2.1	Requisition (includes job description)													
2.1.1	Non-executive position							I,A		C				
2.1.2	Executive position	IA							C			C		

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Staff
2.2	Short listing												
2.2.1	Non-executive position							I		A			
2.2.3	Executive position (other than DG)	I,A							R,C				
2.3	Interview panel composition												
2.3.1	Non-executive position							I		R, C			
2.3.2	Executive position ⁴⁶	R,A							I				
2.4	Final Selection Decision												
2.4.1	Non-executive position	A			C	C		I	R,C				

⁴⁶ Determined in accordance with applicable provisions of Staff Regulations and Rules.

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Staff
2.4.2	Executive position (other than DG) ⁴⁷	A							I	C			
2.5	Determination of Salary / ICA Holder Fee												
2.5.1	Non-executive position				C			C	A	I			
2.5.2	Executive position (other than DG)	A ⁴⁸							R	I			
2.6	Offer letter / appointment letter / contract												
2.6.1	Non-executive position	S								I			
2.6.2	Executive position (other than DG)	S							I				
2.7	Probation assessment				A,S	C		I	C	R			

⁴⁷ Decision made by Selection Committee in accordance with applicable provisions of the Staff Rules.

⁴⁸ Authorization to submit salary level to Council for approval in accordance with applicable provisions of Staff Rules.

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head (Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer	Head of OED	Finance Director	Concerned Staff	
3.	Management of positions/ Transfer of Personnel													
3.1	Creation of new positions / Deletion of positions / Headcount changes	(i)			A	IC		I	C			C		
3.2	Transfer within a department				(i)	A		I	C	R		C		
3.3	Transfer of position within division	(i)			A	I,C		I	C	R		C		
3.4	Transfer of position between divisions	(i)			A ⁴⁹	I,C		I	C	R		C		
4.	Job descriptions													

⁴⁹ For transfer between divisions, approval is required from both division heads.

4.1	Establish job descriptions (specific)				C	C		I	A	R/ C ⁵⁰				
4.2	Evaluation / re-evaluation of jobs	A			C	C		I		R/ C ⁵¹				
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer		Finance Director	Concerned Staff	
5.	Compensation and Benefits													
5.1	Compensation framework / salary band adjustments	A,S	C						I			R	(i)	
5.2	Salary increments / ICA Fee increase													
5.2.1	Non-executive position	A,S		R					C	I		R	(i)	

⁵⁰ Job description evaluations done and cleared by the job evaluation committee

⁵¹ Job description evaluations done and cleared by the job evaluation committee

5.2.2	Executive position ⁵²									C	I		R	(i)	
5.3	Determination of individual personnel eligibility to receive allowances (in line with Staff Rules)									A	I			I	
5.4	Determination of individual personnel eligibility to receive tax reimbursement (within Staff Rules)									C	I				
5.5	Granting of salary advance (within Staff Rules)	A								A	R			I	
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Staff		
6.	Payroll														
6.1	Addition to payroll database									A	I			(i)	
6.2	Changes to entitlements in payroll database									A	I			(i)	

⁵² Reserved power of Council.

7.	Payment Processing (benefits, others and deductions)													
7.1	Payroll execution and approval				A				C	I		C		
7.2	ERP HR master data (personnel, salaries, ICA fees, benefits, dependents, etc.)								C	I				
7.3	Adjustments / correction for accounting entries								C	I				
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Staff	
8.	Leave and other Absences													
8.1	Normal leave (annual and home)							A ⁵³					I	
8.2	Special leave in connection with new duty station							A ³⁵		(i)			I	

⁵³ For personnel assigned to a Country Office, the Concerned Manager is the Country Representative of the assigned duty station.

8.3	Special leave for other reasons (with/without pay)	A			C			C ³⁵	R	(i)			I	
8.4	Compensatory leave							A ³⁵		(i)			I	
8.5	Sick leave							A ³⁵		(i)			I	
8.6	Maternity leave / Paternity leave / Adoption leave							A ³⁵		(i)			I	
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Staff	
8.7	Official holidays	A							C	I			(i)	
8.8	Working hours	A							C	I				
9.	Performance Evaluation													
9.1	Preparation and launch of performance evaluation campaign and mid-year review	(i)	(i)						I				(i)	
9.2	Setting performance objectives													
9.2.1	Non-executive position				R	R		A					I	

10.3.2	Outside approved training plan				A	C		C	A ⁵⁶				I	
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Staff	
11.	Separation from Service													
11.1	Termination	A,S		R	C	R		I	C					
11.2	Acceptance of resignation													
11.2.1	Non-executive position				(i)	(i)		A	AS	(i)	(i)	(i)	I	
11.2.2	Executive position (other than DG)	A,S		(i)					(i)	(i)	(i)	(i)	I	
12.	Medical / Pension Plan Administration													
12.1	Approval of medical and non-medical benefit policies and pension plan terms	A		C					I			R	R	

⁵⁶ Approval by Head of HR for Corporate Training

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Task Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Consultant
13.	Individual Consultants												
13.1	Raising request (including job description)												
13.1.1	USD 10,000 or less						A	I					
13.1.2	USD 10,001 to USD 50,000				A	C	I	I		C			
13.1.3	USD 50,001 to USD 500,000			A	C		I	I		C			
13.1.4	USD 501,000 and above	A		R	I				R				
13.2	Direct Engagement ⁵⁷ (cumulative amount)												
13.2.1	USD 100,000 or less				A		I		C				

⁵⁷ Where permitted in accordance with the provisions of the *Rules Concerning the Procedures for the Engagement of and Use of Individual Consultants*.

13.2.2	USD 100,001 to USD 500,000			A	C	I			R					
13.2.3	USD 501,000 and above	A		R	I				R					
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Task Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Consultant	
13.3	Approval of Selection, Determination of Fee, ⁵⁸ , Signing of Contracts													
13.3.1	USD 10,000 or less				(i)		I, A, S	I						
13.3.2	USD 10,001 to USD 50,000					A	I		C S					
13.3.3	USD 50,001 to 500,000			A, S	C	I, R			C					
13.3.4	USD 501,000 and above	A, S		C	R	R			C					
13.5	Internship													

⁵⁸ HR to establish fee scale for Individual Consultants as provided in the *Rules Concerning the Procedures for the Engagement and Use of Individual Consultants*.

13.5.1	Raising request					A	C	I		(i)				
13.5.2	Approval of selection and contract signing					(i)	A, S			(i)				
13.5.3	Internship certificate signing						S			(i)				
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Task Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Consultant	
13.6	Contract Modifications / Extensions													
13.6.1	No cost amendments and modifications of a cumulative value of less than or equal to 20% of initial contract amount.	Approval and Signature by the level corresponding to the cumulative value of the contract as modified, as indicated in section 13.3 above.												
13.6.2	Modifications of a cumulative value greater than 20% of initial contract amount	Shall be handled and approved as Direct Engagement, but may be executed as an amendment to the original contract with signature authority based on the cumulative value.												
13.6.3	Extension / Renewal of Contract	Extensions and renewals of contracts shall be treated as new engagements and follow standard processes and procedures in relation to request, selection, approval and signature.												
13.7	Contract Management													
13.7.1	Contractor Performance Evaluation				A	C	I,R		(i)					

13.7.2	Termination of Contract	(i)		A ⁵⁹	C		I		A ⁶⁰					
13.7.3	Examination of Complaints⁶¹			(i)R			R		IC					R
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Task Manager	Head of Human Resources	Applicable HR Officer	Head of Corporate Services	Finance Director	Concerned Consultant	Head of Legal
13.8	Payment Processing – in accordance with Section II, Finance													
13.9	Honorarium⁶² (irrespective of the amount)			A	R		I							

⁵⁹ For contracts with a cumulative value of USD 100,001 and above.

⁶⁰ For contracts with a cumulative value of USD 100,000 or less.

⁶¹ To be handled in accordance with the procedures established in the *Rules Concerning the Procedures for the Engagement and Use of Individual Consultants*.

⁶² In accordance with Guideline for External Participation in GGGI-funded Events

V. AUDITING

Authority Codes	
I	Initiate/Originate/Prepare
R	Recommend/Review
C	Clear
A	Approve
S	Sign
(i)	To be informed

ACTION		Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Head of Internal Audit	Governance and Outreach (for transmission to Audit Focal Points and MPSC)
1.	Annual Risk Assessment	A	(i)	C					I	(i)
2.	Annual Audit Plan	A	(i)	C					I	(i)
3.	Internal Audit Reports	A		C	(i)	(i)	(i)	(i)	I	(i)
4.	Annual OIAI Activity Report	A	(i)	C					I	(i)
5.	Special Investigations			A					I	(i)

VI. BUDGET

Authority Codes	
I	Initiate/Originate/Prepare
R	Recommend/Review
C	Clear
A	Approve
S	Sign
(i)	To be informed

	ACTION	Director-General	Management Team	Deputy Director-General (OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Director SPC	Head of Strategy & Donor Relations	Finance Director	Designated Project Manager	Budget Officer	Head of HR	
1	Biennium Work Program and budget (WPB) preparation														
1.1	Biennium Core Envelope budget (WPB) preparation	A	R	C	R	R	R	R	I	(i)	R	R ⁶³	(i)	R	

⁶³ For staffing budget only

1.2	Project budget for draw-down from CORE Envelope Budget	A	R	C	(i)	R	R	C		C	(i)	I	(i)	(i)	
1.3	Project budget for EARMARKED funding proposals ⁶⁴	A	R	C	(i)	R	R	C		R	(i)	I	C	(i)	
ACTION		Director-General	Management Team	Deputy Director-General	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Director SPC	Head of Strategy & Donor Relations	Finance Director	Designated Project Manager	Budget Officer	Head of HR	
2.	Revised Project Budgets														
2.1	Revised budget preparation for CORE funded Projects														
2.1.1	Within approved budget limit				A	R	C	C			(i)	I	(i)	(i) ⁶⁵	

⁶⁴ This is only for the budget provisions on the assumption that the relevant clearances in the other functional areas have been obtained by the designated Project Manager in accordance with the Project Cycle Management (PCM) guidelines

⁶⁵ For adequacy and accuracy of provision for staffing costs

2.1.2	Above approved budget limit	A ⁶⁶	R	(i)	R	R	C	C	C	C	C	I	(i)	C	
2.2	Revised Project EARMARKED budget preparation ⁶⁷														
2.2.1	Within approved budget limit				R		C	C			(i)	I	(i)	C	
2.2.2	Above approved budget limit	A	R		R		C	C		R	C	I	(i)	C	
3.	Revised Envelope budget Allocation (including draw down from “Unallocated funds” and “Corporate Contingency”)														
3.1	Transfers within approved envelope allocation	A	R	(i)	C	C	C	C	(i)	(i)	C	I	(i)	C	
3.2	Transfers between approved Envelop allocation	A	R	(i)	R	I	R	I	C	C	C	I	(i)	C	

⁶⁶ Approval of submission to Council.

⁶⁷ This is for internal GGGI reviews in alignment to Donor agreement prior to submission to the donors

ACTION		Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Director SPC	Head of Strategy & Donor Relations	Finance Director ⁶⁸	Designated Project Manager	Budget Officer	Head of HR	Staff Supervisor
4.	Advances from the Working Capital Fund ⁶⁹	A		R ⁷⁰					(i)		C		I		
5.	Monthly Budget Reporting			A ⁷¹							C		I		
6.	Allocation of staff costs to another support project for monthly payroll			(i)					(i)		C	A	C	C	I

⁶⁸ Finance Director shall mean Chief Financial Officer when the Chief Financial Officer has taken up office

⁶⁹ Director-General to periodically report to Council advances made from the Working Capital Fund.

⁷⁰ Reviewed by CFO

⁷¹ Reviewed by CFO

VII. INSTITUTIONAL MATTERS

Authority Codes	
I	Initiate/Originate/Prepare
R	Recommend/Review
C	Clear
A	Approve
S	Sign
(i)	To be informed

ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Deputy Division Head	Head of OED	Concerned Director	Concerned Unit Head	Concerned Country Representative	Concerned Task Manager	Director of SPC	Finance Director	Head of Partnerships	Head of Legal ⁷²
	1. Institutional Arrangements / Financing Agreements (financing from GGGI)	A, S					R	I		I		I	C	
2. Contribution / Funding Agreements (funds coming into GGGI)	A, S					R					I	(i)	R	C

⁷² Review and clearance from Legal required in cases of material deviations from approved templates

3.	Institutional agreements on programmatic activities (no financial undertakings)	AS			C			R		I			R	C ⁷³
4.	Defrayment of Attendance Costs					A,S				I				
5.	Arbitration and mediation services	(i)		A,S								R		IC
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Deputy Division Head		Concerned Director	Concerned Unit Head	Concerned Country Representative	Concerned Task Manager / Staff	Director of SPC	Finance Director	Head of Legal
6.	Non-Disclosure/Confidentiality Agreements			AS							I			C
7.	Approvals under Guidance on Gift Acceptance			A							I			
8.	Establishing management subcommittees	I,A	(i)	R										

⁷³ Legal review and clearance required only if material deviations approved document templates

9.	Official communications with members, prospective members and other parties relating to legal status, privileges and immunities of GGGI and related agreements			A,S						(i)		(i)			I,R
----	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------	--	--	-----	--	--	--	--	--	-----	--	-----	--	--	-----

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Concerned Task Manager	Director of SPC	Finance Director	Head of Legal
10.	Policy											
10.1	Preparation and revision of regulations relating to management and administration including, without limitation, those related to Procurement, Finance, Corporate Services, HR and Monitoring, Evaluation and Reporting (M&E)	A ⁷⁴	(i)	I			I			(i)		R
10.2	Preparation and revision of rules relating to management and administration including, without limitation, those related to Procurement, Finance, Corporate Services, HR and M&E	A		I			I					R

⁷⁴ Authorization to submit to Council for approval.

10.3	Preparation and revision of guidelines, manuals and related procedures relating to management and administration including, without limitation, those related to Procurement, Finance, Corporate Services, HR and M&E			A			I					R
-------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--	--	----------	--	--	----------	--	--	--	--	----------

VIII. GOVERNANCE AND OUTREACH AND COMMUNICATIONS

Authority Codes	
I	Initiate/Originate/Prepare
R	Recommend/Review
C	Clear
A	Approve
S	Sign
(i)	To be informed

	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Country Representative / Project Manager ⁷⁵	Director of SPC	Head of Communications	Director, Governance	Head of Partnerships	Finance Director	Head of Legal
1.	Routine communications with current and prospective members ⁷⁶			(i)				A, S			I		

⁷⁵ Project Manager for projects or activities not under a country program.

⁷⁶ Other than communications relating to legal status, privileges and immunities and related agreements (*see* Part VII Institutional Matters, section 9).

2.	Assembly and Council decisions and related correspondence	A			R ⁷⁷			C,		I,C, S ⁷⁸			C
3.	Non-routine communications with current or prospective members	A,S		R				R	(i)	I	I		(i)
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Country Representative / Project Manager⁷⁹	Director of SPC	Head of Communications	Director, Governance	Head of Partnerships	Finance Director	Head of Legal
4.	Routine communication with current and prospective donors			(i)				A, S			I		
5.	Non-routine communications with current or prospective donors ⁸⁰	A,S		R				R	(i)		I	(i)	(i)
6.	Routine communication relating to project operational activities with focal agencies/co-implementers				(i)	A	I,S						

⁷⁷ Concerned Division Heads to review underlying documentation, if any, that relates to their respective areas of responsibility.

⁷⁸ Director, Governance Clear where document not initiated by Governance

⁷⁹ Project Manager only for projects or activities not under a country program.

⁸⁰ Other than communications relating to legal status, privileges and immunities and related agreements (*see* Part VII Institutional Matters, section 9).

7.	Non-routine communication relating to project operational activities with focal agencies/co-implementers	(i)	(i)		A,S	I,C	I		(i)				(i)
8.	Publications and Communications with the media and press⁸¹	(i)		(i)		I	I ⁸²	A	I,C				
9.	Annual Report	A	(i)	R				R	I				
10.	Work Program portion of Work Program and Budget (WPB)⁸³	A	(i)	R				R			I	R	
	ACTION	Director-General	Management Team	Deputy Director-General (Head of OED)	Concerned Division Head	Concerned Director	Concerned Country Representative	Director of SPC	Head of Communications	Head of Governance	Head of Partnerships	Finance Director	Head of Legal
11.	Policy												
11.1	Preparation and revision of governance / outreach / communications-related regulations	A ⁸⁴	(i)	R				C	I	I	I		R

⁸¹ The clearance of the Head of Communications is required for all communications with the media and the press.

⁸² For communications relating to project operational activities.

⁸³ Budget portion of WPB to be prepared by Finance per Part VI Budget.

⁸⁴ Authorization to submit to Council for approval.

11.2	Preparation and revision of governance / outreach / communications-related rules	A		R				C	I	I	I		R
11.3	Preparation and revision of governance / outreach / communications-related guidelines, manuals and related procedures	(i)		A				C	I	I	I		R