


## DELEGATION OF AUTHORITY

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**DEFINITIONS**

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

<b>I</b>	<b>Initiate/Originate/Prepare</b>	To initiate an action or activity and prepare the relevant instrument supporting documents.
<b>R</b>	<b>Recommend/Review</b>	To review and make a recommendation on which a decision will be made or an action taken.
<b>C</b>	<b>Clear</b>	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.
<b>A</b>	<b>Approve</b>	To provide the final approval that an action or decision can be undertaken or made following appropriate consultations.
<b>S</b>	<b>Sign</b>	To append one's signature on a document to signify acknowledgement, agreement, approval or acceptance and consent to be bound.
<b>(i)</b>	<b>Informed</b>	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 SERVICES FROM FIRMS)<sup>1</sup>

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

	ACTION	Director-General	Management Team	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)		A	I	R				(i)

<sup>1</sup> 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*.



	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee
<b>2.</b>	<b>Raising purchase requisition<sup>2</sup></b>										
<b>2.1</b>	USD 1,000 or less <sup>3</sup> (cumulative amount)						A				
<b>2.2</b>	USD 1,001 to USD 10,000 <sup>4</sup>						A		I		
<b>2.3</b>	USD 10,001 to USD 50,000					A	I	R	I		
<b>2.4</b>	USD 50,001 to USD 500,000			A	C		R	R	I		
<b>2.5</b>	USD 500,001 and above	A		R	I			R	I		

<sup>2</sup> 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.

<sup>3</sup> 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.

<sup>4</sup> Approval by Unit Head/Country Representative for goods and non-consulting services. For consulting services, approval in accordance with 2.3

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee
<b>3.</b>	<b>Direct Procurement<sup>5</sup></b>										
<b>3.1</b>	USD 1,000 or less <sup>6</sup> (cumulative amount)						A				
<b>3.2</b>	USD 1,001 to USD 10,000 <sup>7</sup>						A		I		
<b>3.3</b>	USD 10,001 to USD 50,000					A	I	R			
<b>3.4</b>	USD 50,001 to USD 500,000			A		I <sup>8</sup>		R			
<b>3.5</b>	USD 500,001 and above	A		R	I			R			
<b>3.6</b>	Approval of direct procurement in cases not specifically provided for in Procurement Rules <sup>9</sup>	A <sup>10</sup>		A <sup>11</sup>	C			R	I		R

<sup>5</sup> Where permitted in accordance with the provisions of the Procurement Rules.

<sup>6</sup> Subject to footnote 3 above.

<sup>7</sup> Approval by Unit Head/Country Representative for goods and non-consulting services. For consulting services, review/approval in accordance with 3.3

<sup>8</sup> Where no Director, Unit Head to initiate or, where purchase is for Country Office, Country Representative to initiate.

<sup>9</sup> To be reported to the Council in accordance with Procurement Rule 3.5(i) periodically.

<sup>10</sup> For procurement USD 500,001 and above.

<sup>11</sup> For procurement up to USD 500,000.

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Head of Legal <sup>12</sup>	Concerned Task Manager	Procurement Committee	Procurement Review Committee
4.	<b>Contract award decision and signing of contracts, purchase orders, framework agreements (FWA), and suborders under FWA</b>											
	a. USD 10,000 or less (cumulative amount for contract period)						A, S		R	I		
	b. USD 10,001 to USD 50,000							A, S	R	I, R		
	c. USD 50,001 to USD 500,000			A, S				I	R	R		
	d. USD 500,001 and above	A, S						I	R	R		R

<sup>12</sup> Legal to review and clear all contracts deviating in material terms from approved templates

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee
<b>5.</b>	<b>Contract Modifications</b>									
<b>5.1</b>	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.								
<b>5.2</b>	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.								
<b>5.3</b>	Exercising contract options already provided for in the approved contract (for example, extension of term or additional quantity)					<b>C<sup>13</sup></b>	<b>A<sup>14</sup></b>	<b>I</b>		

<sup>13</sup> Clearance needed in cases where contract amount or cost changed, not for extensions without financial implications

<sup>14</sup> For contracts with cumulative value of USD 10,001 and above.

	ACTION	Director-General	Management Team	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
<b>6.</b>	<b>Waiver of procurement rule or exercise exception provided for in the Procurement Rules, provided such waiver or exception does not violate the Procurement Regulations.</b>											
<b>6.1</b>	USD 10,000 or less (cumulative amount for contract period)					<b>R</b>	<b>A</b>		<b>I</b>			<b>C<sup>15</sup></b>
<b>6.2</b>	USD 10,001 to USD 50,000				<b>A</b>	<b>C</b>	<b>R</b>	<b>R</b>	<b>I</b>			<b>C<sup>15</sup></b>
<b>6.3</b>	USD 50,001 to USD 500,000			<b>A</b>	<b>C</b>		<b>R</b>	<b>R</b>	<b>I</b>			<b>C<sup>15</sup></b>
<b>6.4</b>	USD 500,001 and above	<b>A</b>		<b>R</b>	<b>C</b>	<b>R</b>		<b>R</b>	<b>I</b>			<b>C<sup>15</sup></b>
<b>6.5</b>	Use of credit card or cash payment for General Expense Claim of USD 10,000 or less						<b>A</b>		<b>I</b>			<b>C</b>

<sup>15</sup> Finance Director clearance required only in cases of advance payment without a performance guarantee.

	ACTION	Director-General	Management Team	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 Complaints <sup>16</sup>			(i)				I				R

<sup>16</sup> 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	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>1.</b>	<b>Payment Processing<sup>17</sup></b>											
<b>1.1</b>	Payable up to USD 10,000										A	
<b>1.2</b>	Payable USD 10,001 to USD 100,000					C		A			A	
<b>1.3</b>	Payable USD 100,001 to USD 500,000			A	C			A				
<b>1.4</b>	Payable USD 500,001 and above	A			C			A				

<sup>17</sup> Approval for limits up to USD 10,000 by Finance Officer (HQ)

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>2.</b>	<b>Petty Cash<sup>18</sup></b>											
<b>2.1</b>	Establish petty cash fund			<b>A</b>				<b>R</b>	<b>I</b>		<b>C</b>	<b>I</b>
<b>2.2</b>	Payment of expenditures using petty cash								<b>A</b>		<b>(i)</b>	<b>I</b>
<b>2.3</b>	Determination of limit of petty cash usage							<b>A</b>	<b>I</b>		<b>R</b>	<b>I</b>
<b>2.4</b>	Replenishment of petty cash								<b>A</b>			<b>I</b>
<b>2.5</b>	Petty cash reconciliation report								<b>A</b>			<b>I</b>

<sup>18</sup> 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.



	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>3.</b>	<b>Cash Advance</b>											
<b>3.1</b>	Payment of expenditures using cash advance								A			I
<b>3.2</b>	Replenishment of cash advance (below USD 10,000)					A			A		A	I
<b>3.3</b>	Replenishment of cash advance (over USD 10,000)					A			A		A	I
<b>3.4</b>	Cash advance reconciliation report								A		R	I
<b>4.</b>	<b>Corporate Credit Card</b>											
<b>4.1</b>	Establish and adjust limits on corporate cards (including determination of eligibility)			A				C			I	I <sup>19</sup>
<b>4.2</b>	Issuance of corporate cards							A			I	I <sup>19</sup>
<b>4.3</b>	Credit card payments (below USD10,000)								A			I

<sup>19</sup> For Country Offices or staff members based in Country Offices.

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>5.</b>	<b>Foreign Exchange / Currency</b>											
<b>5.1</b>	Hedging instruments / derivative transactions / risk mitigation instruments	<b>A</b>		<b>R</b>				<b>I</b>				
<b>6.</b>	<b>Investment</b>											
<b>6.1</b>	Short-term investments			<b>A</b>				<b>R</b>			<b>I</b>	
<b>6.2</b>	Advances from the Working Capital Fund <sup>20</sup>	<b>A</b>		<b>R</b>				<b>C</b>			<b>I</b>	

<sup>20</sup> Director-General to periodically report to Council advances made from the Working Capital Fund.

	ACTION	Director-General	Management Team	(Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>7.</b>	<b>Bank Accounts (HQ)</b>											
<b>7.1</b>	Issuing RFP for global banking			<b>A</b>				<b>R</b>			<b>I</b>	
<b>7.2</b>	Selection of banks	<b>A</b>		<b>C</b>				<b>R</b>	<b>R</b>		<b>I,R</b>	<b>I</b>
<b>7.3</b>	Opening and closing of bank accounts <sup>21</sup>	<b>A</b>		<b>C</b>				<b>R</b>			<b>I,R</b>	<b>I</b>
<b>7.4</b>	Appointment of signatories	<b>A</b>		<b>C</b>				<b>R</b>			<b>I,R</b>	<b>I</b>
<b>7.5</b>	Bank Reconciliation Statements							<b>A</b>			<b>I,R</b>	<b>I</b>
<b>7.6</b>	Bank Reconciliation Reports								<b>A</b>		<b>R</b>	<b>I</b>

<sup>21</sup> 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.

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>8.</b>	<b>Bank Accounts (Country Office)</b>											
8.1	Local Bank Analysis Report	A		C				R			R	I
8.2	Selection of banks	A		C				R			R	I
8.3	Opening and closing of bank accounts	A		C				R			R	I
8.4	Appointment of signatories	A		C				R			R	I
8.5	Bank reconciliation report								A		R	I

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>9.</b>	<b>Accounting</b>											
<b>9.1</b>	Journal Entries							A			I,R,C	I
<b>9.2</b>	New chart of accounts							A		I	I,R	
<b>9.3</b>	Write-offs below \$10,000			A				R			I	
<b>9.4</b>	Write-offs above \$10,000	A		C				R			I	
<b>9.5</b>	Accounting provisions			A				C			I	

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>10.</b>	<b>Reporting</b>											
<b>10.1</b>	Annual Financial Statement	<b>A</b>		<b>C</b>				<b>C</b>			<b>I,R</b>	
<b>10.2</b>	Various finance reports – such as, fixed assets variance, contributions in arrears, etc.							<b>A</b>			<b>I,R</b>	<b>I,R</b>
<b>10.3</b>	Financial Reporting to Donor			<b>A,S</b>				<b>C</b>			<b>R<sup>22</sup></b>	<b>I</b>
<b>11.</b>	<b>Disbursement Request to Donor</b>											
<b>11.1</b>	Disbursement Request to Core Contributor			<b>A,S</b>				<b>C</b>			<b>I</b>	
<b>11.2</b>	Disbursement Request to Earmarked Donor			<b>A,S</b>				<b>C</b>			<b>R<sup>23</sup></b>	<b>I</b>

<sup>22</sup> Reviewed by Budget Team

<sup>23</sup> Reviewed by Budget Team and informed to Accounting Team for invoice reference number generation and to Treasury

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Finance Officer (CO)
<b>12.</b>	<b>Fund Receipt to Donor</b>											
<b>12.1</b>	Fund receipt acknowledgment letter							<b>A</b>			<b>I</b>	

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer (HQ)	Project Manager	Individual Staff
<b>13.</b>	<b>Timesheet</b>												
<b>13.1</b>	Timesheet record											A <sup>24</sup>	I

<sup>24</sup> Approved by PM for timesheet record more than budgeted days for each staff



### 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	Head of OED	Concerned Division Head	Concerned Director	ICT Lead	Concerned Country Representative	Concerned Task Manager	Finance Director	ICT & Facilities Team	Concerned Unit Head
<b>1.</b>	<b>Asset Inventory</b>											
<b>1.1</b>	Asset Inventory Verification (Physical Count) for HQ						A		I	(i)	I	
<b>1.2</b>	Asset Inventory Verification (Physical Count) for other offices						C	A	I	(i)	I	
<b>1.3</b>	Write-offs and/or Disposal for USD 10,000 or less for HQ						C		I	A		

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	ICT Lead	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						C	C	I	A		
1.5	Write-offs for USD 10,001 and above for HQ			A			C		I	C		
1.6	Write-offs for USD 10,001 and above for other offices			A			C	C	I	C		

	ACTION	Director-General	Head of OED	Concerned Division Head	Concerned Director <sup>25</sup>	Concerned Unit Head / Country Representative	Concerned Manager (Budget Owner)	Concerned Manager (Direct Supervisor)	Concerned Staff (Traveler)	Travel Focal Point	Travel Management Company	Finance (Treasury) Officer
<b>2.</b>	<b>Travel Request Approval<sup>26</sup></b>											
<b>2.1</b>	Domestic Travel – Staff					A	C	C	I	(i)	(i)	(i)
<b>2.2</b>	International Travel – Staff				A		C	C	I	(i)	(i)	(i)
<b>2.3</b>	Governance Organ				A		C	C	I	(i)	(i)	(i)
<b>2.4</b>	External Parties (Consultants, secondees, interns)					A	C	C	I	(i)	(i)	(i)
<b>2.5</b>	GGGI-Funded Events				A	I				(i)	(i)	(i)

<sup>25</sup> If there is no director, the concerned Division Head will have approval authority.

<sup>26</sup> For staff in the Executive category, the direct supervisor will have approval authority. For the DG, Head of OED has approval authority.

	ACTION	Director-General	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Manager (Budget Owner)	Concerned Manager (Direct Supervisor)	Concerned Staff (Traveler)	Travel Focal Point	Travel Management Company	Finance (Treasury) Officer
<b>3.</b>	<b>Travel Claim Approval<sup>27</sup></b>											
<b>3.1</b>	Domestic Travel – Staff						<b>A</b>	<b>C</b>	<b>I</b>			<b>(i)</b>
<b>3.2</b>	International Travel – Staff						<b>A</b>	<b>C</b>	<b>I</b>			<b>(i)</b>
<b>3.3</b>	Governance Organ						<b>A</b>	<b>C</b>	<b>I</b>			<b>(i)</b>
<b>3.4</b>	External Parties (Consultants, secondees, interns)						<b>A</b>	<b>C</b>	<b>I</b>			<b>(i)</b>
<b>3.5</b>	GGGI-Funded Events				<b>A</b>	<b>I</b>						<b>(i)</b>

<sup>27</sup> For staff in the Executive category, the direct supervisor will have approval authority.

	ACTION	Director-General	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Manager (Budget Owner)	Concerned Manager (Direct Supervisor)	Concerned Staff (Traveler)	Travel Focal Point	Travel Management Company	Finance (Treasury) Officer
<b>4.</b>	<b>Waivers or exceptions from Travel Rules</b>											
<b>4.1</b>	USD 1,000 or less		<b>A</b>					<b>C</b>	<b>I</b>	<b>R</b>		
<b>4.2</b>	USD 1,001 or above			<b>A</b>				<b>C</b>	<b>I</b>	<b>R</b>		
<b>4.3</b>	International travel ticket issued less than 21 days before departure		<b>(i)</b>	<b>A</b>				<b>A</b>	<b>I</b>	<b>(i)</b>		
<b>4.4</b>	Domestic travel ticket issued less than 7 days before departure					<b>A</b>			<b>I</b>	<b>(i)</b>		

#### IV. HUMAN RESOURCES<sup>28</sup>

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

	ACTION	Director-General	Executive Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Deputy Head of Human Resources	Applicable HR Officer	OED Focal Point	Finance Director	Concerned Staff
1.	Resource Planning													
1.1	Annual Recruitment Plan	A			R	R	I	I		R	I			
1.2	Deviation from Recruitment Plan			A <sup>29</sup>		R,A	R	I			C			

<sup>28</sup> 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 section 9 *Individual Consultants* of this Part IV *Human Resources* of the DoA Matrix.

<sup>29</sup> If there's a change in budget and/or additional core budget is required.

	ACTION	Director-General	Executive Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Deputy Head of Human Resources	Applicable HR Officer	OED Focal Point	Finance Director	Concerned Staff
<b>2.</b>	<b>Vacancy Management</b>													
<b>2.1</b>	Requisition (includes job description)													
2.1.1	Non-executive position			A			A	R			C	I		
<b>2.2</b>	Short listing													
2.2.1	Non-executive position						R	I			R,C	I		
<b>2.3</b>	Interview panel composition													
2.3.1	Non-executive position						R	I			R,C			
<b>2.4</b>	Final Selection Decision													
2.4.1	Non-executive position (international)	A		C	C	C	C			C	R	I		
2.4.2	Non-executive position (national)			C	A	C	C	C		C	R	I		

	ACTION	Director-General	Executive Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Deputy Head of Human Resources	Applicable HR Officer	OED Focal Point	Finance Director	Concerned Staff
2.5	Determination of Salary													
2.5.1	Non-executive position									R	I			
2.6	Offer letter / appointment letter / contract													
2.6.1	Non-executive position	S,A								R	I			
2.7	Probation confirmation				A,S		C	I			R			
2.8	Probation non-confirmation / extension	A,S			C		C	I			R			



	ACTION	Director-General	Executive Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Deputy Head of Human Resources	Applicable HR Officer	OED Focal Point	Finance Director	Concerned Staff
<b>3.</b>	<b>Transfer/Rotation of Positions/Personnel</b>	<b>A</b>			<b>I</b>				<b>(i)</b>					
<b>4.</b>	<b>Job descriptions</b>													
<b>4.1</b>	Establish job descriptions						<b>C</b>	<b>I</b>		<b>A</b>	<b>R/ C</b>			
<b>4.2</b>	Evaluation / re-evaluation of jobs						<b>C</b>	<b>I</b>		<b>A</b>	<b>R/ C</b>			
<b>5.</b>	<b>Compensation and Benefits</b>													
<b>5.1</b>	Individual salary change													
<b>5.1.1</b>	Non-executive position	<b>A,S</b>		<b>C</b>					<b>C</b>	<b>R</b>	<b>I</b>			
<b>5.2</b>	Granting of salary advance (for medical emergency or unforeseen circumstances up to 3 months of base salary)			<b>A</b>					<b>C</b>	<b>R</b>	<b>R</b>			<b>I</b>
<b>5.3</b>	Salary advance (Education and Housing rental fee of up to 6 months of base salary)								<b>A</b>	<b>C</b>	<b>R</b>			<b>I</b>

	ACTION	Director-General	Executive Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Manager	Head of Human Resources	Deputy Head of Human Resources	Applicable HR Officer	OED Focal Point	Finance Director	Concerned Staff
<b>6.</b>	<b>Leave and other Absences</b>													
<b>6.1</b>	Special leave (Administrative leave, and special leave without pay)	A			C			C	R		(i)			I
<b>6.2</b>	Establishment of and Deviation from approved list of public holidays			A			I		C		R			
<b>7.</b>	<b>Separation from Service</b>													
<b>7.1</b>	Termination	A,S		R	C	R		I	C					
<b>7.2</b>	Acceptance of resignation													
7.2.1	Non-executive position				(i)	(i)		A	S		(i)			I
7.2.2	Executive position (other than DG)	A,S		(i)					(i)		(i)			I
<b>8.</b>	<b>Medical / Pension Plan Administration</b>													
<b>8.1</b>	Approval of medical and non-medical benefit policies and pension plan terms	A		C					I					

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Manager	Head of Human Resources	Deputy Head of Human Resources	Applicable HR Officer	OED Focal Point	Finance Director	Concerned Consultant
<b>9.</b>	<b>Individual Consultants</b>													
<b>9.1</b>	Raising request to initiate recruitment (ERP and e-recruit)													
9.1.1	USD 10,000 or less <sup>30</sup>						A	R				I		
9.1.2	USD 10,001 to USD 50,000 <sup>30</sup>					A	C	R			R	I		
9.1.3	USD 50,001 to USD 500,000 <sup>30</sup>				A	C	C	R			R	I		
<b>9.2</b>	Direct Engagement <sup>31</sup> (cumulative amount)													
9.2.1	USD 50,000 or less <sup>30</sup>				A	C	R	R		C		I		
9.2.2	USD 50,001 to USD 500,000 <sup>30</sup>			A	C	C	R	R		C		I		

<sup>30</sup> Cumulative value in a calendar year

<sup>31</sup> Where permitted in accordance with the provisions of the *Rules Concerning the Procedures for the Engagement of and Use of Individual Consultants*.

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Task Manager	Head of Human Resources	Deputy Head of Human Resources	Applicable HR Officer	OED Focal Point	Finance Director	Concerned Consultant
<b>9.3</b>	Approval of Selection, Determination of Fee, <sup>32</sup> Signing of Contracts													
9.3.1	USD 10,000 or less <sup>33</sup>					(i)	A, S	R				I		
9.3.2	USD 10,001 to USD 50,000 <sup>33</sup>					A	C	R		C,S	C	I		
9.3.3	USD 50,001 to 500,000 <sup>33</sup>			A, S	C	C	C	R		C	C, R	I		
<b>9.4</b>	<b>Internship</b>													
9.4.1	Raising request						A	R			R	I		
9.4.2	Approval of selection and contract signing					(i)	A, S	R			R	I		
9.4.3	Internship certificate signing						S					I		

<sup>32</sup> HR to establish fee scale for Individual Consultants as provided in the *Rules Concerning the Procedures for the Engagement and Use of Individual Consultants*.

<sup>33</sup> Cumulative value for a calendar year

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Concerned Task Manager	Head of Human Resources	Deputy Head of Human Resources	Applicable HR Officer	OED Focal Point	Finance Director	Concerned Consultant
<b>9.5</b>	<b>Contract Modifications / Extensions</b>													
9.5.1	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 9.3 above.												
9.5.2	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.												
<b>9.6</b>	<b>Contract Management</b>													
9.6.1	Termination of Contract	Shall be handled and approved by the same levels of authority as indicated in section 9.3 above.												

## 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	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Head of Internal Audit	Governance (for transmission to Audit Focal Points and MPSC)
1.	Annual Risk Assessment	C <sup>34</sup>	(i)	(i)					I	(i)
2.	Annual Audit Plan	C <sup>34</sup>	(i)	(i)					I	(i)
3.	Internal Audit Reports	C <sup>34</sup>		(i)	(i)	(i)	(i)	(i)	I	(i)
4.	Annual OIAI Activity Report	C <sup>34</sup>	(i)	(i)					I	(i)
5.	Special Investigations			A					I	(i)

<sup>34</sup> Approved by MPSC

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

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Director ODG	Head of Strategy & Head of Partnership	Finance Director	Designated Project Manager	Budget Officer	Head of HR	Staff Supervisor
<b>1</b>	<b>Biennium Work Program and budget (WPB) preparation</b>														
<b>1.1</b>	Biennium budget (WPB) preparation Core Envelope	A	C	R	R	R	I,R	I,R	(i)	I <sup>35</sup>	(i)	R <sup>36</sup>	I		
<b>1.2</b>	Biennium budget (WPB) preparation: Earmarked / Program Earmarked Budget	A	C	R	R	R	I, R	I, R	(i)	I, R <sup>37</sup>	(i)	I <sup>38</sup>	C	(i)	

<sup>35</sup> Head of Partnership reviews on Earmarked/ Program Earmarked project WPB only

<sup>36</sup> Work with Country Rep/ Unit Head on the project WPB

<sup>37</sup> Head of Partnership reviews on Earmarked/ Program Earmarked project WPB only

<sup>38</sup> Work with Country Rep/ Unit Head on the project WPB

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Director ODG	Head of Strategy & Head of Partnership	Finance Director	Designated Project Manager	Budget Officer	Head of HR	Staff Supervisor
<b>2.</b>	<b>Revised Core Envelope Allocation</b>														
<b>2.1</b>	Transfers between core projects within Envelope			A			I	I			(i)	I	C		
<b>2.2</b>	Transfers between Staff Envelope and Operations Envelope			A			I	I			(i)	I	C		
<b>2.3</b>	Request for additional allocation to the approved envelope			A			I	I			(i)	I	C		



ACTION		Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Director ODG	Head of Strategy & Head of Partnership	Finance Director	Designated Project Manager	Budget Officer	Head of HR	Staff Supervisor
3.	<b>Revised Project Budgets at ERP</b>														
3.1	Revised ERP budget for CORE funded PIN Projects/Danish Program EM Projects			A			R	R			(i)	I	C		
3.2	Revised ERP budget for EARMARKED projects					R	R					I <sup>39</sup>	C		
4.	<b>Monthly Financial and Budget Reporting</b>			A <sup>40</sup>	(i) <sup>41</sup>	(i) <sup>42</sup>					C	(i) <sup>43</sup>	I <sup>44</sup>		
5.	<b>Staff Position Management</b>														
5.1	Staff Position Creation			A							(i)	R	R	R	I
5.2	Change of Staff Position			A							(i)	R	R	R	I

<sup>39</sup> ERP Budget should be submitted along with the approval documents from the donor

<sup>40</sup> Reported to Assistant Director-General (Head of OED) for review and approval for monthly financial statement including Budget vs Actuals

<sup>41</sup> Division Heads are informed for Monthly Report (Budget vs Actual)

<sup>42</sup> Department Heads are informed for Monthly Report (Budget vs Actual) and respond to Finance team in case to be adjusted.

<sup>43</sup> PM is to review Monthly Report (Budget vs Actual) and respond to Finance team in case to be adjusted.

<sup>44</sup> Monthly Report (Budget vs Actual) is sent to PM for review.

## 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	Head of OED	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Concerned Project Manager / Task Manager	Director of ODG	Finance Director	Head of Partnerships	Head of Legal
1.	Institutional Agreement - financing from GGGI	A, S		C					I		R	R	R <sup>45</sup>
2.	Institutional Agreement - funds coming into GGGI	A, S		C					I		R	R	R <sup>45</sup>
3.	Institutional Agreement - no financial undertaking	A, S			R				I			R	R <sup>45</sup>
4.	Non-Disclosure/Confidentiality Agreements			A, S					I				R <sup>45</sup>

<sup>45</sup> Legal review not required if no material deviation from GGGI template.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Head of OED</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Country Representative</b>	<b>Concerned Task Manager / Staff</b>	<b>Director of ODG</b>	<b>Finance Director</b>	<b>Head of Legal</b>
5.	<b>Payment under Guidelines for External Participation in GGGI-Funded Events (including Defrayment of Attendance Costs)<sup>46</sup></b>					A,S		I				
6.	<b>Arbitration and mediation services</b>	(i)		A,S							R	I, C
7.	<b>Approvals under Guidance on Gift Acceptance</b>			A					I			
8.	<b>Establishing management subcommittees</b>	I,A	(i)	R								
9.	<b>Official communications with members, prospective members and other parties relating to legal status, privileges and immunities of GGGI and related agreements</b>			A,S				(i)		(i)		I,R

<sup>46</sup> For GGGI-Funded Event related Travel, please see also Travel section in Part III. *Corporate Services*

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Head of OED</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Country Representative</b>	<b>Concerned Task Manager</b>	<b>Director of ODG</b>	<b>Finance Director</b>	<b>Head of Legal</b>
<b>10.</b>	<b>Policy</b>											
<b>10.1</b>	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)	<b>A<sup>47</sup></b>	<b>(i)</b>	<b>I</b>			<b>I</b>			<b>(i)</b>		<b>R</b>
<b>10.2</b>	Preparation and revision of rules relating to management and administration including, without limitation, those related to Procurement, Finance, Corporate Services, HR and M&E	<b>A</b>		<b>I</b>			<b>I</b>					<b>R</b>
<b>10.3</b>	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			<b>A</b>			<b>I</b>					<b>R</b>

<sup>47</sup> Authorization to submit to Council for approval.

## VIII. DUE DILIGENCE

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

	ACTION	Director-General	Concerned Division Head	Head of OED	Head of Partnerships	Head of CAID	Head of Legal	Finance Director	Head of HR	Head of Procurement	Concerned Project Manager	Unit Head/Country Representative
1.	Due Diligence – Partnership		A		R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	I	
2.	Due Diligence – Procurement											
2.1	USD 10,000 or less					R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>		I, A
2.2	USD 10,001 to USD 50,000					R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	I, A		
2.3	USD 50,001 to USD 500,000			A		R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	I		
2.4	USD 500,001 and above	A				R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	R <sup>48</sup>	I		

<sup>48</sup> Review required only if there is any issue related to the area of the concerned authority.

## IX. 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	Head of OED	Concerned Division Head	Concerned Director	Concerned Country Representative / Project Manager <sup>49</sup>	Director, ODG	Head of Communications and Knowledge Sharing	Head of Governance	Head of Partnerships	Finance Director	Head of Legal
1.	Routine communications with current and prospective members <sup>50</sup>			(i)				A, S		I	I		
2.	Assembly and Council decisions and related correspondence	A			R <sup>51</sup>			C, S	(i)	I, C <sup>52</sup>			C
3.	Non-routine communications with current or prospective members	A, S		R				R	(i)	I	I		(i)

<sup>49</sup> Project Manager for projects or activities not under a country program.

<sup>50</sup> Other than communications relating to legal status, privileges and immunities and related agreements (*see* Part VII Institutional Matters, section 9).

<sup>51</sup> Concerned Division Heads to review underlying documentation, if any, that relates to their respective areas of responsibility.

<sup>52</sup> Head of Governance Clear where document not initiated by Governance

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Country Representative / Project Manager <sup>53</sup>	Director, ODG	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 <sup>54</sup>	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						
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 press <sup>55</sup>	(i)		(i)		I	I <sup>56</sup>	A	I, C				
9.	Annual Report	A	(i)	R				R	I				
10.	Work Program portion of Work Program and Budget (WPB) <sup>57</sup>	A	(i)	R				R	(i)		I	R	

<sup>53</sup> Project Manager only for projects or activities not under a country program.

<sup>54</sup> Other than communications relating to legal status, privileges and immunities and related agreements (*see* Part VII Institutional Matters, section 9).

<sup>55</sup> The clearance of the Head of Communications and Knowledge Sharing is required for all communications with the media and the press.

<sup>56</sup> For communications relating to project operational activities.

<sup>57</sup> Budget portion of WPB to be prepared by Finance per Part VI Budget.

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Country Representative	Director, ODG	Head of Communications	Head of Governance	Head of Partnerships	Finance Director	Head of Legal
<b>11.</b>	<b>Policy</b>												
11.1	Preparation and revision of governance / outreach / communications-related regulations	A <sup>58</sup>	(i)	R				C	I	I	I		R
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

<sup>58</sup> Authorization to submit to Council for approval.



## X. EARMARKED-FUNDED PROGRAM AND PROJECT

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

	ACTION	Director-General	Management Team	Head of OED	Concerned Division Head	Concerned Director	Concerned Country Representative / Project Manager <sup>59</sup>	Director, ODG	Head of Communications and Knowledge Sharing	Head of Governance	Head of Partnerships	Finance Director	Head of Legal
1.	Go/no-go decision on opportunity/idea	A				(i)	I				R,C		
2.	Sign pre-bid/team/partner agreement for a consortium <sup>60</sup>	Shall be handled and approved as <i>VII.3 Institutional Agreement - no financial undertaking</i>											
3.	Submission of concept note/ proposal to resource partner	A		C <sup>61</sup>			I				R,C	R,C <sup>62</sup>	
4.	Funding/grant agreement with resource partner	Shall be handled and approved as <i>VII.2 Institutional Agreement - funds coming into GGGI</i>											

<sup>59</sup> Project Manager for projects or activities not under a country program.

<sup>60</sup> For due diligence of a consortium partner, refer to section VIII.1 Due Diligence – Partnership.

<sup>61</sup> For co-financing.

<sup>62</sup> Proposed budget.