

## DELEGATION OF AUTHORITY

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**TABLE OF CONTENTS**

<b>DEFINITIONS AND ABBREVIATIONS.....</b>	<b>2</b>
<b>STANDARD AUTHORITY CODES.....</b>	<b>3</b>
<b>A. PURPOSE AND OBJECTIVES.....</b>	<b>4</b>
<b>B. GUIDING PRINCIPLES.....</b>	<b>4</b>
<b>C. GENERAL PROVISIONS.....</b>	<b>6</b>
<b>D. DELEGATION OF AUTHORITY MATRIX.....</b>	<b>8</b>
<b>I. PROCUREMENT.....</b>	<b>8</b>
<b>II. FINANCE.....</b>	<b>17</b>
<b>III. CORPORATE SERVICES.....</b>	<b>21</b>
<b>IV. HUMAN RESOURCES.....</b>	<b>25</b>
<b>V. AUDITING.....</b>	<b>41</b>
<b>VI. BUDGET.....</b>	<b>42</b>
<b>VII. ADMINISTRATION.....</b>	<b>44</b>
<b>VIII. GOVERNANCE, OUTREACH AND COMMUNICATIONS.....</b>	<b>47</b>

## 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 Management and Administration is responsible for the overall interpretation and consistent application of this DoA and the DoA Matrix, in consultation with the Head of Legal Services.

## DELEGATION OF AUTHORITY MATRIX

### I. PROCUREMENT (GOODS, WORKS AND CONSULTING 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	Deputy Director-General	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 Section IV *Human Resources*.



	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Head of Procurement</b>	<b>Concerned Task Manager</b>	<b>Procurement Committee</b>	<b>Procurement Review Committee</b>
<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)						<b>A</b>				
<b>2.2</b>	USD 1,001 to USD 10,000					<b>C</b>	<b>A</b>		<b>I</b>		
<b>2.3</b>	USD 10,001 to USD 100,000				<b>A</b>	<b>C</b>	<b>I</b>	<b>R</b>	<b>I</b>		
<b>2.4</b>	USD 100,001 to USD 500,000			<b>A</b>	<b>C</b>		<b>I</b>	<b>R</b>			
<b>2.5</b>	USD 500,001 and above	<b>A</b>		<b>R</b>	<b>I</b>			<b>R</b>			

<sup>2</sup> All purchases of ICT hardware, software, furniture and the like must be cleared by ICT & Facilities Manager prior to purchase.

<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.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Head of Procurement</b>	<b>Concerned Task Manager</b>	<b>Procurement Committee</b>	<b>Procurement Review Committee</b>
<b>3.</b>	<b>Direct Procurement<sup>4</sup></b>										
<b>3.1</b>	USD 1,000 or less <sup>5</sup> (cumulative amount)						<b>A</b>				
<b>3.2</b>	USD 1,001 to USD 10,000				<b>A</b>		<b>I</b>				
<b>3.3</b>	USD 10,001 to USD 100,000				<b>A</b>		<b>I</b>	<b>R</b>			
<b>3.4</b>	USD 100,001 to USD 500,000			<b>A</b>		<b>I<sup>6</sup></b>		<b>R</b>			
<b>3.5</b>	USD 500,001 and above	<b>A</b>		<b>R</b>	<b>I</b>			<b>R</b>			
<b>3.6</b>	Approval of direct procurement in cases not specifically provided for in Procurement Rules <sup>7</sup>	<b>A<sup>8</sup></b>		<b>A<sup>9</sup></b>	<b>C</b>			<b>R</b>	<b>I</b>		<b>R</b>

<sup>4</sup> Where permitted in accordance with the provisions of the Procurement Rules.

<sup>5</sup> Subject to footnote 3 above.

<sup>6</sup> Where no Director, Unit Head to initiate or, where purchase is for Country Office, Country Representative to initiate.

<sup>7</sup> To be reported to the Council in accordance with Procurement Rule 3.5(i) periodically.

<sup>8</sup> For procurement USD 500,001 and above.

<sup>9</sup> For procurement up to USD 500,000.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Head of Procurement</b>	<b>Concerned Task Manager</b>	<b>Procurement Committee</b>	<b>Procurement Review Committee</b>
3.7	Honorarium (irrespective of the amount)			A		R	I				
4.	<b>Competitive bidding</b>										
4.1	Advertising / tender invitations							A			
4.2	Forming an evaluation committee				C			A			
4.3	Preparation of short list and request for proposal				C			A			
4.4	Bid proceedings, bid evaluation and reports				C			A			

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Head of Procurement</b>	<b>Concerned Task Manager</b>	<b>Procurement Committee</b>	<b>Procurement Review Committee</b>
<b>4.5</b>	<b>Approval of award recommendations / contract award</b>										
	a. USD 10,000 or less (cumulative amount for contract period)						<b>A</b>		<b>I</b>		
	b. USD 10,001 to USD 100,000					<b>R<sup>10</sup></b>		<b>A</b>	<b>I</b>		
	c. USD 100,001 to USD 500,000			<b>A</b>	<b>R</b>			<b>I</b>			
	d. USD 500,001 and above	<b>A</b>		<b>R</b>				<b>I</b>			<b>R</b>

<sup>10</sup> Where no Director, Concerned Division Head to Review.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Head of Procurement</b>	<b>Concerned Task Manager</b>	<b>Procurement Committee</b>	<b>Procurement Review Committee</b>
<b>4.6</b>	<b>Signing of (i) contracts, (ii) purchase orders and (iii) call-off contracts (framework agreements)</b>										
4.6.1	USD 10,000 or less (cumulative amount for contract period)						<b>S</b>				
4.6.2	USD 10,001 to USD 100,000							<b>S</b>			
4.6.3	USD 100,001 to USD 500,000			<b>S</b>							
4.6.4	USD 500,001 and above	<b>S</b>									

	ACTION	Director-General	Management Team	Deputy Director-General	Concerned Division Head	Concerned Director	Concerned Unit Head / Country Representative	Head of Procurement	Concerned Task Manager	Procurement Committee	Procurement Review Committee
<b>5.</b>	<b>Contract Modifications</b>										
<b>5.1</b>	Decreased value or no cost amendment						AS <sup>11</sup>	AS <sup>12</sup>	I		
<b>5.2</b>	Cumulative value of modifications less than or equal to 20% of initial contract amount	Approval and Signature by the level corresponding to the added (cumulative) value of the contract as modified, as indicated in parts 4.5 and 4.6 above.									
<b>5.3</b>	Cumulative value of modifications greater than 20% of initial contract amount	Shall be handled, approved as Direct Procurement, but may be executed as an amendment to the original contract with signature authority based on the cumulative value.									
<b>5.4</b>	Exercising contract options already provided for in the approved contract (for example, extension of term or additional quantity)					C	A <sup>13</sup>	A <sup>14</sup>	I		

<sup>11</sup> For contracts with cumulative value for full contract period of USD 10,000 or less, taking into account the modification.

<sup>12</sup> For contracts with cumulative value for full contract period of USD 10,001 and above, taking into account the modification.

<sup>13</sup> For contracts with cumulative value of USD 10,000 or less.

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

	ACTION	Director-General	Management Team	Deputy Director-General	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 and/or procedure or exercise exception provided for in relevant rule or procedure</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 100,000				<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 100,001 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 <sup>16</sup>				<b>A</b>			<b>C</b>		<b>I</b>			<b>C</b>

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

<sup>16</sup> This is an exceptional method of payment that may only be used with prior written authorization from the relevant Division Head and clearance from the Finance Director when it is demonstrated that a supplier or service provider is unable to provide an invoice and/or payment can only be made using cash or a credit card. The inability of the supplier or service provider to provide an invoice or the requirement for payment by cash or credit card must be sufficiently documented as part of the request from the initiating party.

	ACTION	Director-General	Management Team	Deputy Director-General	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					(i)			I		A		
8.	Contractor Performance Evaluation				A	C		C	(i)	I			
9.	Examination of Complaints <sup>17</sup>			(i)					I				R

<sup>17</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	Deputy Director-General	Concerned Division Head	Concerned Director	Concerned Unit Head	Finance Director	Concerned Country Representative	Concerned Task Manager	Finance Officer/Specialist (HQ)	Finance Officer (Field)	
<b>1.</b>	<b>Payment Processing<sup>18</sup></b>												
<b>1.1</b>	Payable up to USD 10,000						C <sup>19</sup>	(i)	C <sup>19</sup>		A		
<b>1.2</b>	Payable USD 10,001 to USD 100,000					C <sup>19</sup>		A			A		
<b>1.3</b>	Payable USD 100,001 to USD 500,000			A	C <sup>19</sup>			A					
<b>1.4</b>	Payable USD 500,001 and above	A			C <sup>19</sup>			A					

<sup>18</sup> Dual approval for limits up to USD 10,000 by Finance Specialist and Finance Officer.

<sup>19</sup> Confirmation of successful completion of work / delivery of goods of appropriate quality and quantity.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Finance Director</b>	<b>Concerned Country Representative</b>	<b>Concerned Task Manager</b>	<b>Finance Officer (HQ)</b>	<b>Finance Officer (Field)</b>	
<b>2.</b>	<b>Petty Cash<sup>20</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 / Petty cash reimbursement								<b>A</b>			<b>I</b>	
<b>3.</b>	<b>Corporate Credit Card</b>												
<b>3.1</b>	Establish and adjust limits on corporate cards (including determination of eligibility)			<b>A</b>				<b>C</b>			<b>I</b>	<b>I<sup>21</sup></b>	
<b>3.2</b>	Issuance of corporate cards							<b>A</b>			<b>I</b>	<b>I<sup>22</sup></b>	

<sup>20</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.

<sup>21</sup> For Country Offices or persons based in Country Offices.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Finance Director</b>	<b>Concerned Country Representative</b>	<b>Concerned Task Manager</b>	<b>Finance Officer (HQ)</b>	<b>Finance Officer (Field)</b>	<b>Investment Committee</b>
<b>4.</b>	<b>Foreign Exchange / Currency</b>												
<b>4.1</b>	Hedging instruments / derivative transactions / risk mitigation instruments	<b>A</b>		<b>R</b>				<b>I</b>					
<b>5.</b>	<b>Investment</b>												
<b>5.1</b>	Short-term investments	<b>A</b>		<b>R</b>				<b>I</b>					<b>R</b>
<b>6.</b>	<b>Bank Accounts</b>												
<b>6.1</b>	Issuing RFP for global banking			<b>A</b>				<b>R</b>			<b>I</b>		
<b>6.2</b>	Issuing RFP for local (field office) banking			<b>A</b>				<b>C</b>	<b>R</b>		<b>R</b>	<b>I</b>	
<b>6.3</b>	Selection of banks	<b>A</b>		<b>C</b>				<b>R</b>	<b>R</b>		<b>IR<sup>22</sup></b>	<b>I<sup>22</sup></b>	

<sup>22</sup> 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.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Finance Director</b>	<b>Concerned Country Representative</b>	<b>Concerned Task Manager</b>	<b>Finance Officer (HQ)</b>	<b>Finance Officer (Field)</b>	
<b>6.4</b>	Opening and closing of bank accounts	<b>A</b>		<b>C</b>				<b>R</b>			<b>IR<sup>23</sup></b>	<b>I<sup>23</sup></b>	
<b>6.5</b>	Appointment of signatories	<b>A</b>		<b>C</b>				<b>R</b>			<b>IR<sup>23</sup></b>	<b>I<sup>23</sup></b>	
<b>6.6</b>	Bank Reconciliation Statements							<b>A</b>			<b>IR<sup>23</sup></b>	<b>I<sup>23</sup></b>	
<b>7.</b>	<b>Accounting</b>												
<b>7.1</b>	Journal Entries							<b>A</b>			<b>IRC</b>	<b>I</b>	
<b>7.2</b>	New chart of accounts							<b>A</b>		<b>I</b>	<b>IR</b>		
<b>8.</b>	<b>Reporting</b>												
<b>8.1</b>	Annual Financial Statement	<b>A</b>		<b>C</b>				<b>C</b>			<b>IR</b>		
<b>8.2</b>	Various finance reports – such as, fixed assets variance, contributions in arrears, etc.							<b>A</b>			<b>IR</b>	<b>IR</b>	

<sup>23</sup> 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.

### 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	Concerned Division Head	Concerned Director	Head of Corporate Services	ICT and Facilities Manager	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	R		I, C	(i)		
<b>1.2</b>	Asset Inventory Verification (Physical Count) for other offices							R	A	I, C	(i)		
<b>1.3</b>	Write-offs for USD 10,000 or less for HQ						A	C		I	A		
<b>1.4</b>	Write-offs for USD 10,000 or less for other offices						(i)	C	A	I	A		

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Head of Corporate Services</b>	<b>ICT and Facilities Manager</b>	<b>Concerned Country Representative</b>	<b>Concerned Task Manager</b>	<b>Finance Director</b>	<b>ICT &amp; Facilities Team</b>	<b>Concerned Unit Head</b>
<b>1.5</b>	Write-offs for USD 10,001 and above for HQ			<b>A</b>			<b>A</b>	<b>C</b>		<b>I</b>	<b>A</b>		
<b>1.6</b>	Write-offs for USD 10,001 and above for other offices			<b>A</b>			<b>A</b>	<b>C</b>	<b>A</b>	<b>I</b>	<b>A</b>		
<b>2.</b>	<b>ICT &amp; Facilities</b>												
<b>2.1</b>	Connection to GGGI Network						<b>(i)</b>	<b>A</b>	<b>I</b>			<b>C</b>	<b>I</b>
<b>2.2</b>	Software Installation						<b>(i)</b>	<b>A</b>	<b>I</b>			<b>C</b>	<b>I</b>
<b>2.3</b>	Access Permission						<b>(i)</b>	<b>A</b>	<b>I</b>			<b>C</b>	<b>I</b>
<b>2.4</b>	Desk Allocation & Assignment				<b>C</b>		<b>A</b>	<b>C</b>				<b>I</b>	

	<b>ACTION</b>	<b>Director-General</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Department Head</b>	<b>Budget Owner</b>	<b>Concerned Manager (Direct Supervisor)</b>	<b>Concerned Staff (Traveler)</b>	<b>Events &amp; Travel Manager</b>	<b>Travel Focal Point</b>	<b>Travel Management Company</b>	<b>Finance (Treasury) Officer</b>	<b>Head of Corporate Services</b>
<b>3.</b>	<b>Mission (Travel) Program/Plan - Annual/Quarterly</b>			<b>A</b>	<b>R</b>	<b>I</b>	<b>(i)</b>	<b>(i)</b>	<b>(i)</b>	<b>(i)</b>			
<b>4.</b>	<b>Mission (Travel) Authorization on Purpose &amp; Cost<sup>24</sup></b>												
<b>4.1</b>	Domestic travel				<b>A<sup>25</sup></b>	<b>R</b>	<b>R</b>	<b>I</b>	<b>(i)</b>	<b>(i)</b>	<b>(i)</b>		
<b>4.2</b>	International travel			<b>A</b>	<b>R</b>	<b>R</b>	<b>C</b>	<b>I</b>	<b>(i)</b>	<b>(i)</b>	<b>(i)</b>		
<b>5.</b>	<b>Travel Advance Payment<sup>26</sup></b>					<b>A</b>	<b>C</b>	<b>I</b>	<b>(i)</b>			<b>(i)</b>	
<b>6.</b>	<b>Travel Claim Processing<sup>27</sup></b>												
<b>6.1</b>	Domestic travel					<b>A</b>	<b>C</b>	<b>I</b>	<b>(i)</b>	<b>(i)</b>		<b>(i)</b>	
<b>6.2</b>	International travel					<b>A</b>	<b>C</b>	<b>I</b>	<b>(i)</b>	<b>(i)</b>		<b>(i)</b>	

<sup>24</sup> For staff in the Executive category, the direct supervisor will have approval authority.

<sup>25</sup> In this case, the Concerned Department Head is the Concerned Country Representative.

<sup>26</sup> Finance office will authorize release of funds based on compliance with applicable procedures.

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

	<b>ACTION</b>	<b>Director-General</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Department Head</b>	<b>Budget Owner</b>	<b>Concerned Manager (Direct Supervisor)</b>	<b>Concerned Staff (Traveler)</b>	<b>Events &amp; Travel Manager</b>	<b>Travel Focal Point</b>	<b>Travel Management Company</b>	<b>Finance (Treasury) Officer</b>	<b>Head of Corporate Services</b>
<b>7.</b>	<b>Back to Office Report (BTOR)</b>			<b>A</b>		<b>C</b>	<b>(i)</b>	<b>I</b>		<b>(i)</b>			
<b>8.</b>	<b>Waivers or exceptions from Travel Policy or Guidelines</b>												
<b>8.1</b>	USD 1,000 or less			<b>A</b>		<b>R</b>		<b>I</b>	<b>R</b>	<b>C</b>			<b>(i)</b>
<b>8.3</b>	USD 1,001 or above		<b>A</b>			<b>R</b>		<b>I</b>	<b>R</b>	<b>C</b>			<b>R</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	Management Team	Deputy Director-General	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
<b>1.</b>	<b>Resource Planning</b>												
<b>1.1</b>	Recruitment Plan (Annual and Quarterly Review)				A	R		I	C		(i)	C	

<sup>28</sup> The parts of this Section 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 positions held by Staff and positions held by Individual Contractors engaged under an Individual Contractor Agreement between the Individual Contractor and UNOPS on behalf of GGGI (“ICA Holders”).

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 of M&A under rules prescribed by the Director-General. Accordingly, delegations of authority concerning the engagement, use and management of individual consultants (other than ICA Holders) are contained in part 13 *Individual Consultants* of this Section IV *Human Resources* of the DoA Matrix.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>
<b>1.2</b>	Deviation from Recruitment Plan												
1.2.1	Non-executive position			<b>A</b>	<b>C</b>	<b>R</b>		<b>I</b>	<b>C</b>			<b>C</b>	
1.2.2	Executive position	<b>I/A</b>		<b>R</b>					<b>C</b>			<b>C</b>	
<b>2.</b>	<b>Vacancy Management</b>												
<b>2.1</b>	Requisition (includes job description)												
2.1.1	Non-executive position			<b>A<sup>28</sup></b>	<b>C</b>			<b>I</b>	<b>A<sup>29</sup></b>			<b>C</b>	
2.1.2	Executive position	<b>IA</b>							<b>C</b>			<b>C</b>	
<b>2.2</b>	Advertising (outreach)							<b>I</b>	<b>C</b>	<b>R</b>			
<b>2.3</b>	Maintenance of Candidate Roster								<b>A</b>	<b>I</b>			

<sup>29</sup> Head of Human Resources to approve for national non-executive positions and Deputy Director-General to approve for international non-executive positions.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>	
<b>2.4</b>	Short listing													
2.4.1	Non-executive position					<b>R</b>		<b>I</b>	<b>A</b>	<b>C</b>				
2.4.2	Executive position (other than DG)	<b>IA</b>							<b>RC</b>					
<b>2.5</b>	Interview panel composition													
2.5.1	Non-executive position							<b>I</b>	<b>A<sup>30</sup></b>	<b>R</b>				
2.5.2	Executive position <sup>31</sup>								<b>R</b>	<b>I</b>				
<b>2.6</b>	Final Selection Decision													
2.6.1	Non-executive position			<b>A</b>	<b>A</b>	<b>I</b>		<b>I</b>	<b>C</b>					

<sup>30</sup> Deviation Only.

<sup>31</sup> Determined in accordance with applicable provisions of Staff Regulations and Rules.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>
2.6.2	Executive position (other than DG) <sup>32</sup>	<b>A</b>							<b>C</b>	<b>I</b>			
<b>2.7</b>	Determination of Salary / ICA Holder Fee												
2.7.1	Non-executive position				<b>A</b>			<b>C</b>	<b>A</b>	<b>I</b>			
2.7.2	Executive position (other than DG)	<b>A</b> <sup>33</sup>							<b>R</b>	<b>I</b>			
<b>2.8</b>	Offer letter / appointment letter / contract												
2.8.1	Non-executive position			<b>S</b> <sup>33</sup>					<b>S</b> <sup>34</sup>	<b>I</b>			
2.8.2	Executive position (other than DG)	<b>S</b>							<b>I</b>				
<b>2.9</b>	Probation assessment				<b>AS</b>	<b>C</b>		<b>I</b>					

<sup>32</sup> Decision made by Selection Committee in accordance with applicable provisions of the Staff Rules.

<sup>33</sup> Authorization to submit salary level to Council for approval in accordance with applicable provisions of Staff Rules.

<sup>34</sup> Head of HR to sign for offer/appointment letters and contracts with a cumulative value up to USD 100,000. DDG to sign offer/appointment letters and contracts with cumulative value of USD 100,001 and above.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>	
<b>3.</b>	<b>Management of positions/ Transfer of Personnel</b>													
<b>3.1</b>	Creation of new positions / Deletion of positions / Headcount changes				<b>A</b>	<b>IC</b>		<b>I</b>	<b>R</b>			<b>R</b>		
<b>3.2</b>	Transfer within a department				<b>(i)</b>	<b>A</b>		<b>I</b>	<b>C</b>	<b>R</b>				
<b>3.3</b>	Transfer of position within division			<b>(i)</b>	<b>A</b>	<b>IC</b>		<b>I</b>	<b>C</b>	<b>R</b>				
<b>3.4</b>	Transfer of position between divisions			<b>A</b>	<b>A</b>	<b>IC</b>		<b>I</b>	<b>C</b>			<b>R</b>		
<b>4.</b>	<b>Job descriptions</b>													
<b>4.1</b>	Establish and update job descriptions (specific)				<b>A</b>	<b>R</b>		<b>I</b>	<b>A</b>	<b>R</b>				
<b>4.2</b>	Evaluation / re-evaluation of jobs				<b>A</b>	<b>R</b>		<b>I</b>	<b>A</b>	<b>R</b>				

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>	
<b>5.</b>	<b>Compensation and Benefits</b>													
<b>5.1</b>	Compensation framework / salary adjustments	<b>A</b>		<b>R</b>					<b>C</b>	<b>I</b>		<b>R</b>	<b>(i)</b>	
<b>5.2</b>	Salary increments / ICA Fee increase													
5.2.1	Non-executive position	<b>A</b>		<b>R</b>					<b>C</b>	<b>I</b>		<b>R</b>	<b>(i)</b>	
5.2.2	Executive position <sup>35</sup>								<b>C</b>	<b>I</b>		<b>R</b>	<b>(i)</b>	
<b>5.3</b>	Determination of individual personnel eligibility to receive allowances (in line with Staff Rules)								<b>A</b>	<b>I</b>			<b>I</b>	
<b>5.4</b>	Determination of individual personnel eligibility to receive tax reimbursement (within Staff Rules)			<b>A</b>					<b>C</b>	<b>I</b>				
<b>5.5</b>	Granting of salary advance (within Staff Rules)	<b>A</b>		<b>R</b>					<b>C</b>			<b>C</b>		

<sup>35</sup> Reserved power of Council.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>	
<b>6.</b>	<b>Payroll</b>													
<b>6.1</b>	Addition to payroll database			<b>A</b>					<b>C</b>	<b>I</b>			<b>(i)</b>	
<b>6.2</b>	Changes to entitlements in payroll database			<b>A</b>					<b>C</b>	<b>I</b>			<b>(i)</b>	
<b>7.</b>	<b>Payment Processing (benefits, others and deductions)</b>													
<b>7.1</b>	Payroll execution and approval			<b>A</b>					<b>C</b>	<b>I</b>		<b>C</b>		
<b>7.2</b>	ERP HR master data (personnel, salaries, ICA fees, benefits, dependents, etc.)								<b>C</b>	<b>I</b>				
<b>7.3</b>	Adjustments / correction for accounting entries			<b>A</b>					<b>C</b>	<b>I</b>		<b>C</b>		

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>	
<b>8.</b>	<b>Leave and other Absences</b>													
<b>8.1</b>	Normal leave (annual and home)							A <sup>36</sup>					I	
<b>8.2</b>	Special leave in connection with new duty station							A <sup>35</sup>		(i)			I	
<b>8.3</b>	Special leave for other reasons (with/without pay)	A			C			C <sup>35</sup>	R	(i)			I	
<b>8.4</b>	Compensatory leave							A <sup>35</sup>		(i)			I	
<b>8.5</b>	Sick leave							A <sup>35</sup>		(i)			I	
<b>8.6</b>	Maternity leave / Paternity leave / Adoption leave							A <sup>35</sup>		(i)			I	

<sup>36</sup> For personnel assigned to a Country Office, the Concerned Manager is the Country Representative of the assigned duty station.



	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>	
<b>8.7</b>	Official holidays			A					C	I			(i)	
<b>8.8</b>	Working hours			A					C	I				
<b>9.</b>	<b>Performance Evaluation</b>													
<b>9.1</b>	Preparation and launch of performance evaluation campaign and mid-year review	(i)		(i)					A				(i)	
<b>9.2</b>	Setting performance objectives													
9.2.1	Non-executive position				R	R		A					I	
9.2.2	Executive position (other than DG)	A											I	
<b>9.3</b>	Performance Assessment				C	C		A					I	

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>
<b>10.</b>	<b>Training</b>												
<b>10.1</b>	Determining individual training needs and proposing corresponding plans and schedules				<b>A</b>	<b>R</b>		<b>I</b> <sup>37</sup>		<b>R</b>			<b>I</b>
<b>10.2</b>	Corporate Training Plans			<b>A</b>	<b>C</b>	<b>C</b>		<b>R</b>	<b>I</b>				
<b>10.3</b>	Training Requisition												
10.3.1	Within approved training plan				<b>A</b>	<b>C</b>		<b>C</b>					<b>I</b>
10.3.2	Outside approved training plan				<b>A</b>	<b>C</b>		<b>C</b>					<b>I</b>

<sup>37</sup> For personnel assigned to a Country Office, the Concerned Manager is the Country Representative of the assigned duty station.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Staff</b>	
<b>11.</b>	<b>Separation from Service</b>													
<b>11.1</b>	Termination	<b>AS</b>		<b>R</b>	<b>C</b>	<b>R</b>		<b>I</b>	<b>C</b>					
<b>11.2</b>	Acceptance of resignation													
11.2.1	Non-executive position				<b>(i)</b>	<b>(i)</b>		<b>A</b>	<b>AS</b>	<b>(i)</b>	<b>(i)</b>	<b>(i)</b>	<b>I</b>	
11.2.2	Executive position (other than DG)	<b>AS</b>		<b>(i)</b>					<b>(i)</b>	<b>(i)</b>	<b>(i)</b>	<b>(i)</b>	<b>I</b>	
<b>11.3</b>	Extension of retirement age in specific cases	<b>A</b>		<b>R</b>	<b>C</b>	<b>R</b>		<b>I</b>	<b>C</b>				<b>(i)</b>	
<b>12.</b>	<b>Medical / Pension Plan Administration</b>													
<b>12.1</b>	Approval of medical and non-medical benefit policies and pension plan terms	<b>A</b>		<b>C</b>					<b>C</b>	<b>I</b>		<b>R</b>	<b>R</b>	

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Concerned Task Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Consultant</b>	
<b>13.</b>	<b>Individual Consultants</b>													
<b>13.1</b>	<b>Raising request (including job description)</b>													
13.1.1	USD 10,000 or less					C	A	I	R					
13.1.2	USD 10,001 to USD 100,000				A	C	I	I	R					
13.1.3	USD 100,001 to USD 500,000			A	C		I	I	R					
13.1.4	USD 501,000 and above	A		R	I				R					
<b>13.2</b>	<b>Direct Engagement<sup>38</sup> (cumulative amount)</b>													
13.2.1	USD 100,000 or less				A		I		C					
13.2.2	USD 100,001 to USD 500,000			A	C	I			R					

<sup>38</sup> Where permitted in accordance with the provisions of the *Rules Concerning the Procedures for the Engagement of and Use of Individual Consultants*.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Concerned Task Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Consultant</b>
13.2.3	USD 501,000 and above	<b>A</b>		<b>R</b>	<b>I</b>				<b>R</b>				
<b>13.3</b>	<b>Competitive Selection</b>												
13.3.1	Advertising / Consultant Roster							<b>I</b>	<b>A</b>				
13.3.2	Forming Evaluation Committee				<b>C</b>				<b>A</b>				
13.3.3	Short listing				<b>C</b>				<b>A</b>				
13.3.4	Approval of Selection Decision												
	a. USD 10,000 or less					<b>(i)</b>	<b>IA</b>	<b>I</b>	<b>R</b>				
	b. USD 10,001 to USD 100,000				<b>A</b>	<b>R</b>	<b>I</b>		<b>C</b>				
	c. USD 100,001 to USD 500,000			<b>A</b>	<b>C</b>	<b>IR</b>	<b>I</b>		<b>C</b>				
	d. USD 501,000 and above	<b>A</b>		<b>R</b>	<b>R</b>	<b>R</b>			<b>C</b>				

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Concerned Task Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Consultant</b>
<b>13.4</b>	<b>Determination of Fee<sup>39</sup></b>				<b>A</b>		<b>C</b>		<b>A</b>	<b>I</b>			
<b>13.5</b>	<b>Signing of Contracts</b>												
13.5.1	USD 10,000 or less						<b>S</b>						
13.5.2	USD 10,001 to USD 100,000								<b>S</b>				
13.5.3	USD 100,001 and above			<b>S</b>									
13.5.4	USD 501,000 and above			<b>S</b>									

<sup>39</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*.

	ACTION	Director-General	Management Team	Deputy Director-General	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	
<b>13.6</b>	<b>Contract Modifications / Extensions</b>													
13.6.1	Contract modification	Approval and Signature by the level corresponding to the cumulative value of the contract as modified, as indicated in parts 13.3.4 and 13.5 above.												
13.6.2	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.												
<b>13.7</b>	<b>Cancellation of process</b>			A	(i)	(i)			I					
<b>13.8</b>	<b>Contract Management</b>													
13.8.1	Contractor Performance Evaluation				A	C	IR		(i)					

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Unit Head / Country Representative</b>	<b>Concerned Task Manager</b>	<b>Head of Human Resources</b>	<b>Applicable HR Officer</b>	<b>Head of Corporate Services</b>	<b>Finance Director</b>	<b>Concerned Consultant</b>	<b>Head of Legal</b>
<b>13.9</b>	<b>Payment Processing</b>						<b>A</b>		<b>C</b>			<b>A</b>	<b>I</b>	
<b>13.10</b>	<b>Leave and other absences</b>						<b>A</b>		<b>(i)</b>				<b>I</b>	
<b>13.11</b>	<b>Termination of Contract</b>	<b>(i)</b>		<b>A<sup>40</sup></b>	<b>C</b>		<b>I</b>		<b>A<sup>41</sup></b>					
<b>13.12</b>	<b>Examination of Complaints<sup>42</sup></b>			<b>(i)R</b>			<b>R</b>		<b>IC</b>					<b>R</b>
<b>13.13</b>	<b>Annual Post Review of Consultant Recruitment Processes</b>	<b>(i)</b>	<b>(i)</b>	<b>IA</b>	<b>(i)</b>				<b>R</b>					

<sup>40</sup> For contracts with a cumulative value of USD 100,001 and above.

<sup>41</sup> For contracts with a cumulative value of USD 100,000 or less.

<sup>42</sup> To be handled in accordance with the procedures established in the *Rules Concerning the Procedures for the Engagement and Use of Individual Consultants*.



**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	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	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Governance & Outreach	Head of Strategy & Donor Relations	Finance Director	Budget Officer
1.	Annual budget preparation	A <sup>43</sup>		R	I/C				(i)	(i)	C	I
2.	Budget portion of Work Program and Budget (WPB) <sup>44</sup>	A <sup>43</sup>		R	C					R	C	I

<sup>43</sup> Authorization to submit to Council for approval.

<sup>44</sup> Work Program portion of WPB to be prepared under direction of Strategy & Donor Relations as indicated in line item 7 of *Part VIII Governance, Outreach and Communications*.

ACTION		Director-General	Management Team	Deputy Director-General	Concerned Division Head	Concerned Director	Concerned Unit Head	Concerned Country Representative	Governance & Outreach	Head of Strategy & Donor Relations	Finance Director	Budget Officer
<b>3.</b>	<b>Supplementary and revised budget preparation</b>											
<b>3.1</b>	Within approved budget limit	<b>A</b>		<b>R</b>	<b>R</b>						<b>C</b>	<b>I</b>
<b>3.2</b>	Above approved budget limit	<b>A<sup>45</sup></b>		<b>R</b>	<b>R</b>						<b>C</b>	<b>I</b>
<b>4.</b>	<b>Budget Implementation / Transfers</b>											
<b>4.1</b>	Transfers between divisions	<b>A</b>		<b>R</b>	<b>C</b>	<b>I</b>					<b>C</b>	
<b>4.2</b>	Transfers within a division			<b>(i)</b>	<b>A</b>	<b>I</b>					<b>C</b>	
<b>5.</b>	<b>Advances from the Working Capital Fund<sup>46</sup></b>	<b>A</b>		<b>R</b>					<b>(i)</b>		<b>C</b>	<b>I</b>
<b>6.</b>	<b>Monthly Budget Reporting</b>			<b>(i)</b>							<b>A</b>	<b>I</b>

<sup>45</sup> Approval of submission to Council.

<sup>46</sup> Director-General to periodically report to Council advances made from the Working Capital Fund.

## VII. ADMINISTRATION

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	Concerned Division Head	Head of M&A	Concerned Director	Concerned Unit Head	Concerned Country Representative	Concerned Task Manager	Head of Strategy & Donor Relations	Finance Director	Head of Legal
1.	Institutional Arrangements / Financing Agreements (loan or grant financing from GGGI)	AS				R	I		I				C
2.	Contribution / Funding Agreements (funds coming into GGGI)	AS				R					I		C
3.	Defrayment of Attendance Costs					AS			I				
4.	Arbitration and mediation services	(i)				AS						R	IC

	ACTION	Director-General	Management Team	Deputy Director-General	Concerned Division Head	Head of M&A	Concerned Director	Concerned Unit Head	Concerned Country Representative	Concerned Task Manager / Staff	Governance & Outreach	Finance Director	Head of Legal
5.	Non-Disclosure/Confidentiality Agreements			AS						I			C
6.	Approvals under Guidance on Gift Acceptance			A						I			
7.	Revising the organizational structure	IA	R	R	R								
8.	Establishing management subcommittees	IA	(i)	R									
9.	Communications with members, prospective members and other parties relating to legal status, privileges and immunities of GGGI and related agreements			AS							(i)		IR

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Head of M&amp;A</b>	<b>Concerned Director</b>	<b>Concerned Unit Head</b>	<b>Concerned Country Representative</b>	<b>Concerned Task Manager</b>	<b>Governance &amp; Outreach</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, Governance & Outreach and Monitoring, Evaluation and Reporting (M&E)	A <sup>47</sup>	(i)			I		I			(i)		R
<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, Governance & Outreach and M&E	A				I		I					R
<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, Governance & Outreach and M&E					A		I					R

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

### 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	Concerned Division Head	Concerned Director	Concerned Country Representative / Concerned Manager <sup>48</sup>	Head of Communications	Governance and Outreach	Head of Strategy and Donor Relations	Finance Director	Head of Legal
1.	Routine communications with current and prospective members <sup>49</sup>			AS					I			
2.	Assembly and Council decisions and related correspondence	A		CS	R <sup>50</sup>				IC <sup>51</sup>			C
3.	Non-routine communications with current or prospective members <sup>50</sup>	AS		R				(i)	I			(i)

<sup>48</sup> Concerned Manager for projects or activities not under a country program.

<sup>49</sup> Other than communications relating to legal status, privileges and immunities and related agreements (*see Part VII Administration*, line 9).

<sup>50</sup> Concerned Division Heads to review underlying documentation, if any, that relates to their respective areas of responsibility.

<sup>51</sup> Governance & Outreach to Clear where document not initiated by Governance & Outreach.

	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Country Representative / Concerned Manager<sup>52</sup></b>	<b>Head of Communications</b>	<b>Governance and Outreach</b>	<b>Head of Strategy and Donor Relations</b>	<b>Finance Director</b>	<b>Head of Legal</b>
4.	<b>Routine communication with current and prospective donors<sup>52</sup></b>	AS		C						I		
5.	<b>Non-routine communications with current or prospective donors<sup>53</sup></b>	AS		R				(i)		I	(i)	(i)
6.	<b>Routine communication relating to project operational activities with focal agencies/co-implementers</b>				(i)	A	IS					
7.	<b>Non-routine communication relating to project operational activities with focal agencies/co-implementers</b>	(i)	(i)		AS	IC	I	(i)				(i)
8.	<b>Publications and Communications with the media and press<sup>54</sup></b>	A		(i)		I	I <sup>55</sup>	IC				
9.	<b>Annual Report</b>	A	(i)	R				I				
10.	<b>Work Program portion of Work Program and Budget (WPB)<sup>56</sup></b>	A	(i)	R						I	R	

<sup>52</sup> Concerned Manager only for projects or activities not under a country program.

<sup>53</sup> Other than communications relating to legal status, privileges and immunities and related agreements (*see Part VII Administration*, line 9).

<sup>54</sup> The clearance of the Head of Communications is required for all communications with the media and the press.

<sup>55</sup> For communications relating to project operational activities.

<sup>56</sup> Budget portion of WPB to be prepared by Finance per line item 2, *Section VI Budget*.



	<b>ACTION</b>	<b>Director-General</b>	<b>Management Team</b>	<b>Deputy Director-General</b>	<b>Concerned Division Head</b>	<b>Concerned Director</b>	<b>Concerned Country Representative</b>	<b>Head of Communications</b>	<b>Governance and Outreach</b>	<b>Head of Strategy and Donor Relations</b>	<b>Finance Director</b>	<b>Head of Legal</b>
<b>11.</b>	<b>Policy</b>											
11.1	Preparation and revision of governance / outreach / communications-related regulations	A <sup>57</sup>	(i)	C				I	I	I		R
11.2	Preparation and revision of governance / outreach / communications-related rules	A		R				I	I	I		R
11.3	Preparation and revision of governance / outreach / communications-related guidelines, manuals and related procedures	(i)		A				I	I	I		R

<sup>57</sup> Authorization to submit to Council for approval.