

Memorandum



Unclassified

To: **Ivonne Higuero**
Secretary-General
Convention on the International Trade in
Endangered Species of Wild Fauna and Flora Date 15 September 2021

From: **Inger Andersen** 
Executive Office Reference **CSD/LU/EO/im**

Subject: **Notification of direct delegation of authority**

1. This memo refers to your new delegation of authority in line with the **Delegation of Authority Policy and Framework for the management and administration of Multilateral Environmental Agreement Secretariats effective 15 September 2021 (DAPF for MEA Secretariats)**, attached.
2. **Direct delegation of authority**
Under the authority delegated to me by the Secretary-General of the United Nations, I hereby directly delegate authority to you in accordance with the DAPF for MEA Secretariats.
3. **Duration**
This delegation of authority shall remain in full force and effect unless suspended, amended, revoked or withdrawn at my discretion or upon your separation or transfer from your current position, at which time the delegation will automatically terminate.
4. **Further delegation**
The authority delegated to you is a function of your assignment as the Secretary-General of the Convention on the International Trade in Endangered Species of Wild Fauna and Flora and may be further delegated at your discretion. In your temporary absence from your duty station and during that period, the authority may be exercised by the designated officer-in-charge.
5. **Accountability**
You will be held fully accountable and, if applicable, liable for exercising your duties and responsibilities with the utmost care, competency, efficiency, fairness and integrity. You must ensure strict adherence to all applicable United Nations Environment Programme regulations, rules, policies and procedures and be advised by relevant guidelines. If you require any clarification or have any questions regarding your responsibilities or the applicable regulations, rules, policies and procedures, you should consult the Director, Corporate Services Division, immediately. You will inform me immediately of any circumstances that would diminish your

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capacity to effectively exercise your delegated authority in compliance with the regulations and rules of the United Nations Environment Programme.

6. The holders of further delegation from you shall monitor each and every further delegation of authority granted to them and by themselves and report annually to you with copy to Corporate Services Division Director and me on the use of this facility. The appropriate use of delegated authority shall be reflected in the performance appraisal of each delegation holder. You are also required to report on the use of your delegation of authority.

7. Suspension, amendment, revocation and withdrawal

The delegation of authority may be suspended, amended, revoked or withdrawn in line with paragraph 51 of the DAPF for MEA Secretariats.

8. Acknowledgment of receipt

Please confirm that you have accepted the terms of this delegation of authority, that you have read and understood the DAPF for MEA Secretariats.

9. Please confirm acceptance by signing on the dotted line and submit to Rafael Peralta and Isabel Martinez.

A handwritten signature in blue ink, appearing to be 'Joyce Msuya', is written over a horizontal dotted line.

Accepted

11.10.2021

Date

cc: Joyce Msuya, Deputy Executive Director
Sonja Leighton-Kone, Director, Corporate Services Division
Rafael Peralta, Chief of Staff, Executive Office
Isabel Martinez, Senior Legal Officer, Corporate Services Division

United Nations Environment Programme

Delegation of Authority Policy and Framework for the management and administration of Multilateral Environmental Agreement Secretariats (DAPF for MEA Secretariats)

APPROVED:



Inger Andersen
Executive Director

Effective as of 15 September 2021

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1. POLICY SECTION - RATIONALE

1. Delegation of authority for exercising the secretariat functions of multilateral environmental agreements (MEAs) and other entities, for which the United Nations Environment Programme (UNEP) provides the Secretariat (**DAPF for MEA Secretariats**), is based on UNEP's Delegation of Authority and Framework (**UNEP DAPF**)¹ and includes only those aspects of the DAPF, which are relevant and applicable to the management and administration of the Secretariats of the MEAs and other entities for which UNEP provides the Secretariat (**MEA Secretariats**).
2. DAPF for MEA Secretariats is designed to simplify and make more efficient and transparent the direct delegation of authority. The policy incorporates best practices identified by the Multilateral Organisation Performance Assessment Network (MOPAN) and up-to-date guidance from the UN Secretariat Department of Management Strategy, Policy and Compliance (DMSPC). The policy acknowledges any memorandum of understanding (MoU) between UNEP Executive Director and the respective governing body (e.g. Conference/Meeting of the Parties) of the MEA², and recognizes relevant Regulations and Rules of the United Nations (UN) and policies and guidelines of UNEP.
3. The purpose of DAPF for MEA Secretariats is to delegate authority in line with the responsibilities of Executive Heads (referred to as Executive Secretary, Secretary-General, Chief Officer, Coordinator in accordance with the specificities of the relevant MEA or other entity for which UNEP provides the Secretariat) of MEA Secretariats, for decision-making on human resources, financial and administrative matters with respect to exercising the functions of their respective secretariats/entities.
4. The delegation of authority respects: a. the legal autonomy of the MEAs; b. ensures both managerial autonomy and efficiency of the MEAs Secretariats, and c. accountability of Executive Heads of MEA Secretariats to their respective bodies – Conference/Meeting of the Parties – for programme delivery and policy related outputs/outcomes as well as for resources management, and to the Executive Director of UNEP (UNEP Executive Director) for managing resources, including trust funds, in accordance with UN and UNEP regulations, rules, related-administrative issuances and, where applicable, policies.
5. The Policy is in line with the Secretary General's **Delegation of authority in the administration of the Staff Regulations and Rules and the Financial Regulations and Rules** ([ST/SGB/2019/2](#)).

2. DEFINITIONS

6. For the purpose of this document, the terms used have the following meanings:
7. **Authority** refers to the power and right to make a decision. In order to be lawful, all decisions must be made with authority by the decision-maker by virtue of his/her appointment and/or as appropriately delegated to him/her. Authority flows from top to bottom and should be accompanied with an equal amount of responsibility. Delegating authority to someone else does not mean abdicating accountability.
8. **Accountability** is the obligation of staff members to be answerable for all decisions made and actions taken by them, and to be responsible for honouring their commitments, without qualification or exception. Accountability includes achieving objectives and high-quality results in a timely and cost-effective manner, in fully implementing and delivering on all applicable mandates to the United Nations Secretariat approved by the United Nations intergovernmental bodies and other subsidiary organs established by them in compliance with all resolutions, regulations, rules and ethical standards; truthful, objective, accurate and timely reporting on performance results; responsible stewardship of funds and resources; all aspects of performance, including a clearly defined system of rewards and sanctions; and with due recognition to the important role of the oversight bodies and in full compliance with accepted recommendations. The primary accountability of the MEAs Secretariats is to the governing bodies of their respective agreements.
9. **Delegation of authority** refers to the assignment of decision-making authority of an appointment holder to another person (delegate), normally within the same office or along reporting lines.
10. **Directly-delegated authority** refers to authority delegated by and from the Executive Director of UNEP to the Executive Head of a MEA Secretariat.
11. **Further-delegated authority** refers to authority delegated by and from the Executive Head of a MEA Secretariat either along reporting lines and/or to a manager within the same office (e.g. his/her deputy, a unit chief/principal officer).
12. **Responsibility** refers to a duty or obligation to carry out an assigned task or tasks to a successful conclusion. Responsibility flows from bottom to top. The person held responsible for a duty or obligation is accountable for how that duty or obligation is met.³
13. **Administrative issuances** are defined in [ST/SGB/2009/4](#) on Procedures for the promulgation of administrative issuances. Section 1 of the bulletin stipulates two categories of administrative issuances: (a) Secretary-General's bulletins and (b) Administrative instructions.

3. PURPOSE

14. Further to paragraph 4 above, the DAPF for MEA Secretariats is designed to:

- Ensure administrative and management effectiveness by UNEP,
- Ensure managerial autonomy and efficiency of the MEAs Secretariats,
- Clarify who has the authority to decide,
- Establish appropriate accountabilities, and
- Ensure that due process is followed.

15. Standard operating procedures will be developed as required so as to efficiently operationalize this policy.

4. SOURCES OF AUTHORITY

16. The Secretary-General of the United Nations has delegated authority to UNEP Executive Director for strategic management of UNEP's programme and resources as per [ST/SGB/2019/2](#) on the Delegation of authority in the administration of the Staff Regulations and Rules and the Financial Regulations and Rules and the Executive Director's Senior Manager's Compact.
17. UNEP Executive Director is accountable to and reports to the Secretary-General. In addition, the Executive Director is responsive to and accountable to Member States through the United Nations Environment Assembly (UNEA) of UNEP and its subsidiary bodies, including the Committee of Permanent Representatives (CPR).⁴ UNEP Executive Director is also accountable to the UN General Assembly. While MEA Secretariats are accountable to their respective Conference/Meeting of the Parties for programme delivery and resources management, the Executive Heads of MEA Secretariats are also accountable to UNEP Executive Director. They operate with sufficient autonomy to discharge the functions that the various independent inter-governmental Conferences/Meetings

¹ UNEP Delegation of Authority Policy and Framework approved 4 November 2019. Some reference to the legal instrument to formalize the relationship between the MEA and UNEP or UNEP ED should be included, i.e. the MOU between the CITES Standing Committee and UNEP.

² For instance, the respective conferences of the Parties (COPs) to the Basel, Rotterdam and Stockholm conventions have each entered into, in 2019, a Memorandum of Understanding (MoU) with the UNEP Executive Director regarding the arrangements for the provision of the secretariat functions of the conventions (hereinafter referred to as "2019 BRS COP MoUs"). For the Convention on International Trade in Endangered Species of Wild Fauna and Flora (CITES) a Memorandum of Understanding was signed between the Standing Committee of the Conference of the Parties to CITES and the Executive Director of UNEP concerning secretariat services to and to support the Convention in 2011. For the Convention on Biological Diversity (CBD), UNEP and the Secretariat of CBD signed a Revised Administrative Arrangements in 2010.

³ By accepting a position and/or agreeing TORs, the person indicates acceptance of the duties and obligations.

⁴ In accordance with UNGA Resolution 67/251 of 13 March 2013, the governing body of UNEP was broadened, established universal membership and renamed the United Nations Environment Assembly.

of the Parties to the agreements have reposed in UNEP Executive Director.⁵ Furthermore, MEAs Secretariats are also bound to the dedicated agreements signed between UNEP Executive Directors and MEAs governing bodies relating to secretariat services.

18. The Executive Heads of MEAs delegated authority by UNEP Executive Director for the management of human and financial resources entrusted to the respective Secretariats to ensure successful exercise of the secretariat functions, as required by the MEA provisions and governing bodies' decisions notably on the basis of a duly-approved work plan and budget. The Executive Heads of MEAs are responsible for ensuring the efficient and effective use of such resources and for ensuring that these resources are used for the purposes, for which they are provided. Management decision taken by a delegation holder requires the execution/ implementation of an associated administrative process according to applicable UN rules.⁶
19. A delegation of authority granted under the UNEP DAPF for MEA Secretariats does not affect the nature or scope of the authority entrusted to MEA Secretariats by their respective agreements and/or Parties. Nevertheless, in case of doubt, an Executive Head shall consult with UNEP Executive Director in advance of any actions, or proposed decisions to be taken by himself/herself or by secretariat staff that may compromise or complicate adherence to applicable UN/UNEP regulations and rules as well as related administrative issuances, or that may require any action by UNEP. An Executive Head will promptly notify both UNEP Executive Director and the Parties to the MEA, through the Conference/Meeting of the Parties or its subsidiary bodies, if a potential inconsistency is perceived between (a) UN or UNEP regulations, rules or related administrative issuances (as defined under definitions above), (b) the performance of the Secretariat's duties under the MEA, or the execution of those duties in accordance with direction from the Parties through the governing body of the MEA. In the event of such an inconsistency, UNEP will discuss with the Parties to the MEA, through the leadership of Conference/Meeting of the Parties or its subsidiary bodies, to decide on a mutually-acceptable course of action.

5. KEY PRINCIPLES

5.1 Accountability and Ethical Behaviour

20. The Executive Heads of MEA Secretariats who hold directly-delegated authority are fully accountable to UNEP Executive Director for carrying out their day-to-day functions under the delegated authority set forth in the Delegation of Authority **framework**, which is an integral part of the DAPF for MEA Secretariats.
21. The act of delegating authority and responsibility does not absolve the official to whom authority was initially delegated of accountability for the manner, in which the authority is exercised. Accordingly, UNEP Executive Director may be held personally accountable, and must likewise hold those to whom he or she has delegated authority, accountable for their actions in performance of their delegated authority and responsibility.
22. UNEP has a responsibility to ensure that the funds entrusted to MEAs and their Secretariats by their Parties, donors and partners are expended correctly and transparently, according to the highest standards of accountability to ensure the utmost degree of public trust. All activities associated with the exercise of delegated authority will respect principles of fairness and transparency. Personnel responsible for administrative (including human resources) and financial functions will protect the integrity, impartiality and transparency of the process.

5.2 Direct Delegation of Authority

23. Authority entrusted to UNEP Executive Director is directly-delegated to UNEP staff holding positions for whom UNEP Executive Director or UNEP Deputy Executive Director is first reporting officer (FRO). These criteria follow from UN management practice wherein (i) authority generally cascades down a chain of command/direct reporting line; and (ii) the exercise of delegated authority is monitored through the UN's mandatory Performance Appraisal System (e-PAS). Authority may be further delegated to staff holding positions reporting to those with delegated authority, usually up to P5 level. Exceptionally, a further delegation of authority may be granted to UNEP/MEA staff at P4 level.
24. A direct delegation of authority to an Executive Head of an MEA Secretariat is granted upon the appointment of an individual to that position/office. The Executive Head will receive from UNEP Executive Director a standard notification of directly-delegated authority (see Appendix A) and will confirm receipt and acceptance of their delegation of authority (this communication shall be copied to Corporate Services Division Director). Confirmation by email is acceptable and binding. In this way, the direct delegation of authority enters into force. The Executive Office or Corporate Services Division shall upload the notification and the acceptance on UNEP Delegation of Authority Repository Portal on WeCollaborate.⁷ A new Delegation of Authority online portal has been developed by the UN Secretariat (located on the Unite Self Service System) and there will be a transition to also capturing the Secretariat's relevant delegations of authority (namely on human resources, budget and finance, procurement and property management, legal instruments) in such portal as well (see section below on templates and portals).

5.3 One person with authority in any business process

25. There can be only one person with authority, and overall accountability, in any given business process. It is the right and duty of the person with authority to decide, approve and to sign. Signature indicates approval. Therefore, unless there are strong reasons not to do so, the person who takes the decision, will sign the project document, legal instrument, contract, memo or any other relevant formal document. By signing, a person confirms knowledge, approval, acceptance, or obligation, and becomes accountable, responsible and liable.

5.4 Limits on Authority

26. All authority, directly-delegated authority and further-delegated authority, is limited. All delegation holders at UNEP/MEA Secretariats must exercise authority and make decisions:
 - (i) in full compliance with the relevant regulations and rules of the UN and UNEP,
 - (ii) within their allocated budget,
 - (iii) within the delegation holder's own office, and/or
 - (iv) within the scope / area of their clearly-assigned responsibility (e.g. as Executive Head of their respective MEA Secretariat).

5.5 Conflict of Interest

27. No personnel should approve or authorize a transaction or sign a communication from which he/she is a direct or indirect beneficiary. Furthermore, personnel must indicate in advance any real or perceived conflict of interest that might arise in any transaction or activity by virtue of direct or indirect benefit or personal association.
28. Delegation holders are reminded that with decision-making power over resources, comes responsibility and accountability. A delegation of authority entails: the responsibility for duly discharging the authority; and accountability for incorrectly applying or failing to correctly discharge the authority.⁸ Directly-delegated authority is possessed by virtue of an individual's appointment to a position or office. Accountability, however, is personal. Circumstances may arise for the authority to be extended, suspended, amended, revoked or withdrawn by the official who has delegated the authority. The decision to extend, suspend, amend, revoke or withdraw (in whole or in part) the authorities delegated to the respective UNEP/MEA Secretariat staff, including the reasons therefor, shall follow the

⁵ Based on ST/SGB/2006/13 on the Organization of the secretariat of the United Nations Environment Programme; sect. 18.

⁶ In general, administrative and financial tasks are the responsibility of staff cleared by the Management Strategy, Policy and Compliance (DMSPC). The United Nations Office in Nairobi (UNON) provides some financial and administrative services to UNEP and thus to MEA Secretariats. At UNEP non-HQ locations, some of these services are provided by other authorized agencies e.g. the United Nations Office in Geneva (UNOG), the United Nations Office in Vienna (UNOV).

⁷ <https://wecollaborate.unep.org/display/DAPF/Delegations+Repository>.

⁸ ST/SGB/2019/2, section 2.

necessary due process and, be notified and recorded through the online UN Portal⁹ and through the UNEP Delegation of Authority Repository Portal on WeCollaborate. By using the e-PAS system of performance management objectively and diligently, and knowing that they have the full support of the Organisation, managers (first and second reporting officers) will monitor the exercise of directly- and further-delegated authority and, as applicable, record misuse or poor judgment in the delegation holder's e-PAS.

5.6 Subsidiarity

29. The principle of subsidiarity states that decisions should be taken at the lowest possible level or closest to where they will have their effect, i.e. closer to the point of service delivery¹⁰. The principle favours delegated and decentralized authority within a tiered governance system. It has been established that subsidiarity promotes ownership, responsibility, economic efficiency and builds capacity. The principle of subsidiarity leads to the question: who should decide and who should act? Would a decision or an action be better taken at a lower level in the hierarchy?¹¹

5.7 Record Keeping

30. It is important to keep a record of what, where and when something was done and why a decision was made, who was involved and under whose authority. Records provide evidence of governance and individual activity and promote accountability and transparency. Holders of delegated authority should ensure that they keep the records that they will need for business, regulatory, legal, audit and accountability purposes. Electronic records are subject to the same requirements for record-keeping as paper documents. MEA Secretariats shall ensure that e-mail records under their control are identified, managed and stored in accordance with these requirements, for at least 5 (five) years.¹² Delegation holders may need to explain, and if necessary justify, past actions in the event of an audit, stakeholder enquiry, or other investigation. For example, auditors will expect to find accurate records of expenditure of public funds. Similarly, if a MEA Party questions/challenges a decision, the organisation will be expected to provide details of how the decision was made, the consultative process, and, if applicable, what evidence informed the decision.

5.8 Risk Management

31. The UN Secretary-General strongly believes enterprise risk management is the inherent core responsibility of management. The MEAs should develop their own risk management policies and tools, and in the absence of such policies and tools, MEAs should comply with a UNEP risk management policy/framework, and in the absence of this, Executive Heads of MEAs must adhere to the UN's Enterprise Risk Management and Internal Control Policy¹³. This policy provides a consistent methodology for assessing, treating, monitoring and communicating risks. It is designed to address both the strategic risks associated with the execution of mandates and objectives, as well as the risks inherent in the daily operations that support the achievement of those mandates, defining a flexible methodology that is fully compatible with the different risk management practices and organizational requirements.
32. The management of risks and internal controls in accordance with the principles as defined by this framework is the responsibility of all UN managers and staff members. All staff members, in accordance with their specific role and function, must embed risk management in operational decision making, identifying, managing and monitoring risks with regard to day-to-day operations within their respective areas of responsibility.

5.9 Ad hoc further delegation of authority

33. Whereas this policy delegates authority to the Executive Heads of MEA Secretariats through a standard framework (see Appendix E), UNEP Executive Director will continue to provide the flexibility required as needed, through ad hoc further delegated authority.

6. FURTHER DELEGATION

6.1 Automatic further delegation to Officer-in-Charge

34. Directly-delegated authority is conferred on whoever holds the office and is therefore extended to the official acting ad interim. When the official holding the delegated authority is absent, the authority shall automatically be further delegated on a temporary basis to the designated officer-in-charge, without limitation, unless otherwise specified in writing by the official who designated the officer-in-charge¹⁴. This automatic further-delegation ensures business continuity and avoids inefficiency and confusion.

6.2 Discretionary further delegation

35. Directly-delegated authority may be further delegated, unless such further delegation has been excluded in writing.¹⁵ Further delegation is at the discretion of the delegation holder and generally cascades down a chain of command/ reporting line (e.g. from Executive Head of MEA Secretariat (FRO) to senior staff/supervisee). Further-delegated authority is granted personally and may not be further-delegated by the person receiving the delegation except that the further-delegated authority will extend to the officer-in-charge in the temporary absence of the person to whom the further-delegation has been granted. The following examples of further delegation are merely indicative:

- An Executive Head may further delegate authority to heads of thematic offices and/or coordinators of programmes that report directly to him/her.
- An Executive Head may further delegate authority to his/her deputy.

36. The principles of subsidiarity and of appropriate and adequate risk management should inform each decision as to whether and to whom to further delegate authority. The delegation holder should assess whether the personnel to whom further delegation is granted have sufficient capacity to carry out the responsibilities effectively.

37. Whereas directly-delegated authority is automatically conferred by UNEP Executive Director upon the appointment of an Executive Head, further delegation of authority is not conferred automatically other than to the designated officer-in-charge. An Executive Head has discretion, and will decide on how quickly, how much and to whom to further delegate his/her authority. Criteria to be applied in this decision should be, to the extent possible, objective and transparent though there will inevitably a degree of subjective judgment. There is no presumption or requirement that the same level of authority will be further delegated to managers of the same professional grade. Essentially the decision will require risk assessment and inevitably different managers face different risks because they have different responsibilities.

38. Executive Heads with directly-delegated authority may further delegate authority, specifying financial limits, and documenting scope and limits in a further delegation of authority framework. Holders of directly-delegated authority have discretion to provide either a **general further delegation** or an **ad hoc further delegation**¹⁶. All further delegations of authority must be documented and confirmed using UNEP Delegation of Authority Repository Portal on WeCollaborate.

⁹ ST/SGB/2019/2, section 4.

¹⁰ ST/SGB/2019/2, section 2.

¹¹ Notwithstanding the subsidiarity principle, some services that are not affected by their location might benefit from centralizing functions.

¹² ST/SGB/242, ST/SGB/2007/5.

¹³ UN Enterprise Risk Management and Internal Control Policy, May 2011.

¹⁴ ST/SGB/2019/2.

¹⁵ ST/SGB/2019/2.

¹⁶ An **ad hoc further delegation** is granted personally, is time-bound and is used to further delegate authority to undertake a single action, or a series of actions pursuant to a single project or programme or emergency situation.

7. ENTRY INTO FORCE

39. This DAPF for MEA Secretariats and other bodies for which UNEP provides the secretariat functions supersedes any previous Delegation of Authority Policy and Framework for MEAs Secretariats by UNEP the Executive Director. **It will enter into force as of 15 September 2021.**
40. When deemed necessary, UNEP Executive Director or Executive Heads of MEA Secretariats may from time to time propose changes to this DAPF for MEA Secretariats and/or to the thresholds within the Delegation of Authority **framework**. In assessing these proposals, guidance should be sought, through Corporate Services Division Director, from relevant unit(s) within the Organisation, ensuring adequate consultation with Executive Heads of MEA Secretariats. Any changes will be subject to the approval of UNEP Executive Director.

8. ROLES AND RESPONSIBILITIES

8.1 Clarifying Roles and Responsibilities

41. The methodology and terminology used in the Delegations of Authority Framework (summarized in the table below) is and will be used to build consensus as to the roles, responsibilities and authorities for key business processes in the organisation.
42. In the Delegation of Authority **framework**, the letter A locates directly-delegated authority and the letters I, R, CL and F are used to clarify additional roles and responsibilities. Unless there are legal reasons why not, the delegation holder authorizes, approves and is accountable for the decision.

Table – Roles and responsibilities description	
Roles and Responsibilities	Description
I = Inputs	Provide inputs, information , evidence, data, business intelligence.
R = Recommends	Make recommendations and give advice based on analysis of inputs and information, technical or expert knowledge.
CL = Clears, confirms compliance	Review and provide clearance, confirm that action complies with legal, financial, HR rules
A = Authorizes, Approves	Delegation Holders Use authority to manage human and financial resources within organizational rules, regulations and bylaws. Make the decision; authorize action, approve, sign (including project document, legal instrument, contract, memo or any other relevant formal document), commit funds, be accountable , 'the buck stops here'.
F = Fulfills	Execute, implement , perform.
The above roles and responsibilities have to determined and reflected in the framework to the Delegation of Authority policy. Unless there are legal reasons why not, the delegation holder authorizes, approves and is accountable for the decision.	

8.2 Differentiating between two roles: "Clear" and "Authorize/Approve"

43. UNEP's DAPF for MEA Secretariats embodies the principle that there can be only one person, an individual, with authority and overall accountability, in any given business process.
44. The "**clear**" role should not be confused with the "**authorize/approve**" role. Those providing clearance (signified by the letters CL) do not have an absolute veto. Their role is to advise, to endorse or to refuse/withhold endorsement giving reasons e.g. the proposed Human Resources action does or does not comply with Human Resources rules; the decision complies with financial rules; the project as designed is incomplete. When clearance is withheld beyond standard operating timelines, without reasonable time or without justification, the delegation holder, taking into account the risks of doing so, may still proceed, documenting the reasons for doing so. The authority and the decision are hers/his alone, and s/he must be prepared to be held accountable and liable. It is the individual, manager, unit head, who has the delegated authority, the person with the "A", who has the authority either (i) to approve and to authorize, or (ii) to stop or to block the process.
45. Several units, different individuals, or a committee (such as the Project Review Committee -PRC-) can be assigned the "clear" role. Only a single person with delegated authority has the power to approve and sign. He/she must take into account all clearances, any lack of clearances, or partial clearances and all the identified risks. He/she must decide to approve (the project, the recruitment, the cancellation, the extension, the travel, etc.) or not to approve. By approving, the authorizer takes ownership of the decision and is accountable for it.
46. In the Delegation of Authority **framework**, it has been recognized that UNEP Executive Director, for operational expediency has delegated operationalization to the Assistant Secretary General (ASG) in Nairobi at the same levels and to the Director of Corporate Services Division up to certain limits. In instances where the Corporate Services Division Director has been designated in line with ASG and Under Secretary-General (USG) levels, it is expected that decisions will be taken at Director Corporate Services Division level.
47. The UNEP Delegation of Authority **Framework** goes beyond delegations that come from the Secretary General as specified in section 9 below and, has also been designed to clarify other operational requirements such as legal instruments.

8.3 Monitoring

48. In each business process, it is recommended good practice to assign a monitoring role. The holders of directly-delegated authority will monitor each and every further delegation of authority granted by themselves and report annually to UNEP Executive Director on the use of this facility. The appropriate use of delegated authority will be reflected in the e-PAS of each delegation holder.¹⁷

9. DELEGATION OF AUTHORITY FRAMEWORK FOR MEA SECRETARIATS

49. The direct Delegation of Authority **framework delineates** (i.e. provides scope and financial limits) the direct delegation of authority in four areas of management in line with the Secretary-General ST/SGB/2019/2:

- Human resources,
- Budget and Finance,
- Procurement, and
- Property management.

50. In addition, the Framework also delineates authority and roles and responsibilities as per applicable UNEP internal policies with respect to:

- Legal instruments, and
- Roles and Responsibilities with regards to partner validation.

10. AMENDMENT, SUSPENSION, REVOCATION AND WITHDRAWAL

51. Pursuant to UN regulations and rules situations under which the delegation of authority can be amended, suspended, revoked or withdrawn are:

- Financial loss to the organisation,
- Critical recommendations in audits which can be attributable to managerial decisions or lack of oversight,

¹⁷ ST/SGB/2019/2, Section 6. The Accountability Framework for Monitoring the Exercise of Delegated decision-making Authority developed by the Department of Management Strategy, Policy and Compliance (DMSPC) is available on isseek.

- Proved misconduct (i.e. failure by a staff member to comply with his or her obligations under the Charter of the United Nations, the Staff Regulations and Rules or other relevant administrative issuances or to observe the standards of conduct expected of an international civil servant) and,
- Disciplinary measures resulted from findings of investigations.

11. TEMPLATES AND PORTALS

52. In order to facilitate record keeping and monitoring, it is recommended that the same standard templates be used for:

- Notification of Direct Delegation of Authority (from UNEP Executive Director to Executive Head of MEA Secretariat) (Appendix A)
- Notification of Further Delegation of Authority (from Executive Head of MEA Secretariat to MEA officers) (see Appendix B)
- Notification of Ad Hoc Further Delegation of Authority (see Appendix C)
- Notification of Amendment/Withdrawal of Delegated Authority (see Appendix D)
- Standard framework to record Further Delegation of Authority (see Appendix E)

53. In the interest of transparency and accountability, all further-delegated officers are encouraged to upload their duly-completed further delegation of authority to UNEP Delegation of Authority Repository Portal on WeCollaborate and maintain it up-to-date (UNEP's Delegation of Authority Portal). Also those receiving an Ad Hoc Further delegation of authority. Officers will confirm receipt and acceptance of their further delegation of authority or ad hoc further delegation of authority. Confirmation by email is acceptable and binding.

54. UNEP Delegation of Authority Repository Portal on WeCollaborate shall at least contain the notification memos on the delegation of authority issued by UNEP Executive Director to Heads of MEA Secretariats and their acceptance.

55. There may be instances where specific delegations on the aspects of human resources, budget and finance, procurement and property management issued to relevant officers in line with ST/SGB/2019/2 shall be captured on the UN Delegation of Authority Portal (as mentioned further above this is located on the United Self Service System). In those instances, UNEP authorized officers will initiate the delegation in the system and the recipients shall accept the delegation as per the instructions in the email notification.

12. KEY RESOURCES

56. Key resources include:

- ST/SGB/2019/2 on "Delegation of authority in the administration of the Staff Regulations and Rules and the Financial Regulations and Rules".
- "Instrument on the Delegation of Authority from the Secretary-General to the Head of Unit" (Instrument).
- Department of Management Strategy, Policy and Compliance (DMSPC) - Accountability framework for monitoring the exercise of delegated decision-making authority.
- DMSPC -Policy guidance on sub-delegating decision-making authority.
- DMSPC-Questions and answers on delegation of authority.
- UN Human Resources portal.¹⁸
- iSeek "Delegation of Authority".

13. REVIEW OF POLICY AND ESCALATION MECHANISM

57. This document will be updated through a consultative process between UNEP and MEAs as necessary, based on aspects referred to in section 7 above as well as on the identification of gaps, lessons learned and frequently asked questions.

58. In case of any inconsistencies between this document and, the provisions of ST/SGB/2019/2, the delegation instrument, the Accountability framework for monitoring the exercise of delegated decision-making authority, the financial Regulations and Rules of the UN, or the staff Regulations and Rules of the UN, the latter documents shall prevail.

59. Clarifications or issues related to the interpretation, implementation and compliance with this document should be submitted by the Executive Heads of MEAs Secretariats to UNEP Executive Director through Corporate Services Division Director.

14. APPENDIXES

60. List of Appendixes:

- Appendix A – Standard Notification of Direct Delegation of Authority (from UNEP Executive Director to Executive Head of MEA Secretariat)
- Appendix B – Standard Notification of Further Delegation of Authority (from Executive Head of MEA Secretariat to MEA officers)
- Appendix C – Standard Notification of Ad Hoc Further Delegation of Authority
- Appendix D – Standard Notification of Amendment/Withdrawal of Delegated Authority
- Appendix E – Standard framework to record Further Delegation of Authority

¹⁸ <https://hr.un.org/topics/delegation-authority-0>.

Delegation of Authority Policy and Framework for the management and administration of Multilateral Environmental Agreement Secretariats

15. FRAMEWORK SECTION

Table – Roles and responsibilities description	
Roles and Responsibilities	Description
I = Inputs	Provide inputs, information, evidence, data, business intelligence.
R = Recommendations	Make recommendations and give advice based on analysis of inputs and information, technical or expert knowledge.
CL = Clears, confirms compliance	Review and provide clearance, confirm that action complies with legal, financial, HR rules
A = Authorizes, Approves	<p>Delegation Holders</p> <p>Use authority to manage human and financial resources within organizational rules, regulations and bylaws.</p> <p>Make the decision; authorize action, approve, sign (including project document, legal instrument, contract, memo or any other relevant formal document), commit funds, be accountable, 'the buck stops here'.</p> <p>Execute, implement, perform.</p>
F = Fulfills	
The above roles and responsibilities have to be determined and reflected in the framework to the Delegation of Authority policy. Unless there are legal reasons why not, the delegation holder authorizes, approves and is accountable for the decision.	

15.1 Delegation of authority: Human Resources

	Authority	Source Reference / Limits ¹⁴	From whom	To whom authority is directly delegated
HR1.1.a	Human Resource Action UN Regulations & Rules (specifically: ST/SGB/2018/1, ST/SGB/2019/2)	Staff Regulation 1.2 (c)	UNEP Executive Director	UNEP Deputy Executive Director ME A Executive Head reporting to Executive Office UNEP Director CSD in corporate role
HR1.1.b	Chapter I. Duties, obligations and privileges Decision on lateral assignment for a staff member across UNEP MEAs secretariats Divisions and Regions <ul style="list-style-type: none"> D2, D1 and P5 P4 and below (including General Service staff) 		A A	R R CL CL
HR1.1.c	Decision on lateral assignment for a staff member in the same duty station and within the same MEA secretariat <ul style="list-style-type: none"> D2, D1 and P5 P4 and below (including General Service staff) 	Staff Regulation 1.2 (c)	A A A A	A A A A
HR1.2.	Approval of acceptance of honour or gift with no financial implications <ul style="list-style-type: none"> ASG, D1 and D2 P5 and below (including General Service staff) 	Reg 1.2 (k) and (l); Rule 1.2 (l), (m), (o) and (p)	A A	A A
HR1.3.a	Outside employment and activities (activities related to "outside occupation or employment") <ul style="list-style-type: none"> D2, D1 and P5 P4 and below (including General Service staff) 	Reg 1.2 (p); Rule 1.2 (s), (t), (u) and (v)	A A	A A R A CL CL

¹⁴Limits on Authority. All delegation holders at UNEP must exercise authority and make decisions: (i) in full compliance with the relevant regulations and rules of the Organization, and (ii) within allocated budget, (iii) within the delegation holder's own office, and/or (iv) within the scope / area of clearly-assigned responsibility and (v) consistent with relevant decisions of MEAs governing bodies as long as they don't contravene UN regulations and rules.

	Authority	Source Reference / Limits ¹⁹	To whom authority is directly delegated			
			From whom	UNEP Deputy Executive Director	MEA Executive Head reporting to Executive Office	UNEP Director CSD in corporate role
HR.I.3.b	Human Resource Action UN Regulations & Rules (specifically: ST/SGB/2018/1, ST/SGB/2019/2)	ST/IC/2006/30 ST/AI/2000/13 Reg 1.2 (p); Rule 1.2 (s), (t), (u) and (v) ST/IC/2006/30 ST/AI/2000/13 Reg 1.2; Rule 1.5	A A	- -	A A	CL -
HR.II.1.	Chapter II. Classification of posts and staff Establish, recommend classification and cancel posts (classification of posts is done by UNON/Classification Board)	Based on budget available and linked to financial rules	A A A A	- - - -	R R R A	CL CL CL CL
HR.III.1	Chapter III. Salaries and related allowances Decision to grant a special post allowance (SPA) ²⁰	Reg 3.3; Rule 3.10	R A A A	- A - -	- R A A	I CL CL -
HR.III.2	Decision on compensation for overtime and compensatory time off, CSD has to approve only if exception to regulations or rules is requested.	Reg 3.3; Rule 3.11 ST/AI/2000/3	A	-	A	-
HR.IV.1.	Chapter IV. Appointment and promotion Selection decisions, and appointments	Reg 4.1 and 4.2; Rule 4.1, 4.2, 4.4 and 4.5	- A A	- - -	- R A	- CL CL
HR.IV.2. a	Inter-organisation movements into and out of UNEP (secondment and loan within and outside of the UN common system of salaries and allowances in accordance with the inter-agency agreement)	Reg 4.1 and 4.2; Rule 4.9 Inter-Organisation Agreement concerning Transfer, Secondment or loan of Staff among the Organizations applying the UN Common System of Salaries and Allowances Guidelines issued by CSD	A A	A A	R A	CL CL
HR.IV.2. b	Transfers for staff into and out of UNEP (potentially linked to outside activity/ Outside occupation or employment) – See HRI.3a	Reg 4.1 and 4.2; Rule 4.9 Inter-Organisation Agreement concerning Transfer, Secondment or loan of Staff among the Organizations applying the UN Common System of Salaries and Allowances Guidelines issued by CSD	A	-	R	A
HR.IV.3. a	Extension of fixed-term appointments	Reg 4.1; Rule 4.12.4.13	A	A	R	CL
			A	A	A	-

²⁰ Decision to grant SPA can only come after it has been submitted to the Central Review Body –CRB– through the SPA portal which is managed by UNON. The decision is with CRB. The request and recommendation come from Executive Heads of MEAs.

Authority		Source Reference / Limits ¹⁹	From whom	To whom authority is directly delegated		
Human Resource Action UN Regulations & Rules (specifically: ST/SGB/2018/1, ST/SGB/2019/2)		UNEP Executive Director	UNEP Executive Director	UNEP Deputy Executive Director	MEA Executive Head reporting to Executive Office	UNEP Director CSD in corporate role
	<ul style="list-style-type: none"> for other travelers (UN officials other than Secretariat staff members, members of organs or subsidiary organs of the UN, participants in advisory meetings, consultants, individual contractors, and UN Volunteers). 	A	A	-	A	-
	Chapter VIII. Separation from service					
HRVIII.1	Resignation	Reg 9.1; Rule 9.2	A	A	A	CL
	<ul style="list-style-type: none"> D2, D1 and P5 P4 and below (includes General Service staff) 		A	-	A	CL
HRVIII.2	Determination of post abandonment	Reg 9.3; Rule 9.3, ST/AI/2005/5	A	A	R	CL
	<ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) 		A	-	R	A
HRVIII.3	Offer and approval of agreed separation packages ²⁵	Reg 9.3	A		R	CL
	<ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) 		A	-	R	CL
HRVIII.4	Expiration of appointment	Reg 4.1; Rule 9.4	A	A	R	CL
	<ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) 		A	-	R	A
HRVIII.5	Exceptional extension beyond retirement age	Reg 9.2; Rule 9.5	A	A	R	CL
	<ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) 		A	-	R	A
HRVIII.6	Termination for disciplinary reasons, for facts anterior to appointment, in the interests of good administration or for unsatisfactory performance (this rests with USG/DMSPC for D2 and below)	Reg 9.3; Rule 9.6	R	R	R	CL
HRVIII.7	Termination upon abolishment of post approved by the General Assembly/ Governing body of MEA or on disability following approval by the Pension Board	Reg 9.3; Rule 9.6	A	A	R	CL
	<ul style="list-style-type: none"> D1 P5 and below (including General Service staff) 		A	-	R	A
HRVIII.8	Notice of termination ²⁶	Reg 9.3; Rule 9.7	A	A	R	CL
	<ul style="list-style-type: none"> D2 and D1²⁷ P5 and below (includes General Service staff) 		A	-	R	A
HRVIII.9	Decision on termination indemnity	Reg 9.3 and annex III	A	A	R	CL
	<ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) 		A	-	R	A
	Chapter IX. Disciplinary measures					
HRIX.1.a	Initiation of investigation and report ²⁸	Reg 10.1; Rule 10.1	A	A	R	CL
	<ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) 		A	-	R	A
HRIX.2.a	Imposition of interim measures	ST/SGB/2019/8 (6.10, 6.11) in connection with ST/AI/2017/1 and ST/SGB/2017/2/R ev.1	A	A	R	CL
	<ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) 		A	-	R	A

²⁵ Subject to MEA budget availability.

²⁶ Memo from Department of Management Strategy, Policy and Compliance (26/3/2020) on "additional delegation of authority in the administration of the staff regulations and rules". This additional instrument delegates to the Head of Entity (UNEP ED) the authority to terminate the appointment of a staff member if the necessities of service require reduction of the staff, in accordance with staff regulation 9.3(a)(i) and staff rules 9.6(c)(i) and 13.1. It also delegates the authority to decide to offer and approve agreed separation packages, including payment of termination indemnity and enhanced termination indemnity to staff up to and including the D2 level, in accordance with staff regulations 9.3(c) and 9.3(d), Annex III to the staff regulations, and staff rules 9.7(o), 9.8(d) and 13.1.

²⁷ Note that authority for Termination of staff above D2 levels remains with Department of Management Strategy, Policy and Compliance.

²⁸ Office of Internal Oversight Services (OIOS) may also initiate investigations.

Authority		Source Reference / Limits ²⁹	From whom	To whom authority is directly delegated		
	Human Resource Action UN Regulations & Rules (specifically: ST/SGB/2018/1, ST/SGB/2019/2)		UNEP Executive Director	UNEP Deputy Executive Director	MEA Executive Head reporting to Executive Office	UNEP Director CSD in corporate role
HRX.2. b	Imposition of administrative measures <ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) 	Reg 10.1; Rule 10.2 (b)(i)	A	A	R	CL
HRX.2. c	Administrative leave with pay, pending investigation ²⁹ <ul style="list-style-type: none"> D2 and D1 P5 and below (includes General Service staff) Chapter X. Appeals	Reg 10.1; Rule 10.4	A	A	R	CL
HRX.1	Informal resolution	Reg 11.1 rule 11.1	A	A	R	A
HRX1.1	Chapter XI. General provisions Select and recruit consultants and individual contractors as per the policy, procedures and administrative instructions of the UN Secretariat (ST/AI/2013/4 and all subsequent amendments) up to: <ul style="list-style-type: none"> Level D³⁰ Level C Level B and lower in own office (including General Service levels) Waivers (of payment rates)³¹ 	ST/AI/2013/4	A	-	A	CL
HRX1.2	Approve short-term training <ul style="list-style-type: none"> paid by SG or UN paid by own office 	ST/AI/2010/5	A	-	R	CL

²⁹The Under-Secretary-General for Management Strategy, Policy and Compliance holds delegated authority for the imposition of disciplinary sanctions and administrative leave without pay pending investigation with respect to staff up to and including the D2 level.

³⁰Levels as defined in the ST/AI/2013/4. Authority to approve level E remains with Department of Management Strategy, Policy and Compliance.

³¹ Authority for extension of individual contractor for periods over 6 months and up to 9 months remains with Executive Director.

15.2

Delegation of authority: Budget and finance

		Authority		Source Reference / Limits ³²	From whom	To whom authority is directly delegated	
		Financial Management, Procurement & Asset Management		UN Regulations & Rules (ST/SGB/2013/4; ST/SGB/2015/4 and ST/SGB/2019/2)	Executive Director	Deputy Executive Director	MEA Executive Head reporting to Executive Office UNEP Director CSD in corporate role
		Chapter I. Budgets					
		Secretariat budget					
F1.1.		Review and approval of secretariat budget proposals: Review and approval of secretariat budget proposals for submission to the appropriate governing body (Conference or Meeting of Parties)		Reg 2.4, 2.5	A	-	A CL
F1.2.		Revised and supplementary programme budget proposals, programme budget implications, unforeseen and extraordinary expenses (based on decisions by heads of entity, as approved by the respective governing bodies (MOP or COP), and issues approved budgets, prepares revised and supplementary budget proposals and resolutions with programme budget implications, authorizes commitments for unforeseen and extraordinary expenses).		Reg 2.8–2.11	A	-	A CL
F1.3.		Manage, monitor and control budget ³³			A	-	A CL
		Chapter II. Contributions and other income					
		Voluntary contributions, gifts and donations					
F11.1.		Acceptance and approval of contributions, and gifts (in accordance with the policy) ³⁴ . Contributions may only be accepted if they do not involve additional financial liability for the UN.		Reg 3.12, 3.13; Rule 103.4	A	-	A -
		Chapter III. Custody of funds					
		Banking					
F111.1.		Cash advances (petty cash and imprest accounts): Establishment of imprest accounts		Reg 4.15; Rules 104.8, 104.9	A	-	R A
		• Imprest Account at headquarters up to USD 50,000			A	-	R A
		• Imprest Account at Offices away from headquarters up to USD 50,000			A	-	R A
		• Petty Cash Accounts at headquarters up to aggregate level of USD 25,000			A	-	R A
		• Petty Cash Account at Offices away from headquarters up to aggregate USD 25,000			A	-	R A
		Chapter IV. Utilization of funds					
		A. Appropriations					
		B. Commitments and expenses					
F1V.1.		Commitments against appropriations for current and future budget periods within their respective cost centers.		Reg 5.7; Rule 105.2	A	-	A -
F1V.2.		Incurring commitments, expending funds (including management of programme support costs, cost recovery funds) within their respective cost centers ³⁵		Reg 5.9; Rule 105.3	A	-	A -
F1V.3.		Authorise hospitality expenditures within their respective cost centers ³⁶		ST/AI/2002/8; Official Hospitality Guidance note ³⁷	A	-	A -
F1V.4.		Redeployment of funds within and between expenditure groups within boundaries imposed by governing body		Reg 5.9; Rule 105.3	A	-	A -

³² Limits on Authority. All delegation holders at UNEP must exercise authority and make decisions: (i) in full compliance with the relevant regulations and rules of the Organization, and (ii) within allocated budget, and (iii) within the delegation holder's own office, and/or (iv) within the scope / area of clearly-assigned responsibility

³³ Management of budget including resources from trust funds must be done with clearance from an FMO. What an FMO does is guided by Corporate Services Division (Finance and Budget units as applicable).

³⁴ Delegation of authority with respect to donor agreements is addressed under Legal Instruments.

³⁵ Management of secretariat budget must be done with clearance from an FMO, including establishment of grants, budgets, funded programmes and Standard Work Breakdown Structures (WBSE) structures in Umoja.

³⁶ Hospitality expenditures incurred by MEA Executive Heads may be approved by CSD or Deputy Executive Director.

³⁷ Guidance note issued by Corporate Services Division Director dated 29 July 2019.

	Authority	Source Reference / Limits ³²	From whom	To whom authority is directly delegated		
	Financial Management, Procurement & Asset Management	UN Regulations & Rules (ST/SGB/2013/4; ST/SGB/2015/4 and ST/SGB/2019/2)	Executive Director	Deputy Executive Director	MEA Executive Head reporting to Executive Office	UNEP Director CSD in corporate role
FIV.5.	Approve cost plans based on revenue, issue allotments and enter into financial arrangements within their respective cost centers/MEAs approved budgets by the Conference of the Parties (within the policies and approved exceptions set by DMSPC and as authorized under procurement rules and subject to MOUs). All allotments issued must correspond to the relevant budget included in the contribution agreements with donors	Reg 5.9, Rule 105.3	A	-	A	-
FIV.6.	Appointment of certifying officers ³⁸	Reg 5.9; Rule 105.5	A	-	R	A
FIV.7.	Appointment of approving officers ³⁸	Reg 5.9; Rule 105.6	A	-	-	A
FIV.8.	Approval of progress payments to vendors	Reg 5.12, Rule 105.19	A	A	A	-
FIV.9.	Approval of advance payments to vendors ³⁹		A	-	-	CL
FIV.10.	Writing off losses of assets, including cash, receivables, property, plant and equipment, inventories and intangible assets: <ul style="list-style-type: none"> depreciated value of the individual property item is US\$25,000 or less. (following advice from LPSB). when the value exceeds US\$25,000, investigation to be undertaken and HPSB clearance sought. 	Reg 6.5, Rule 106.7	A	-	R	CL
FIV.11.	Write-off of low-value receivables ⁴⁰ against managed accounts for a single loss or series of related losses, within thresholds <ul style="list-style-type: none"> Write-off of receivables up to US\$25,000 (upon certification that reasonable efforts made for collection) Write-off of receivables above US\$25,000 (upon certification that reasonable efforts made for collection) 	Reg 6.5, Rule 106.7	A	-	R ⁴¹	CL
FIV.12.	Settle commercial claims up to a limit of US\$50,000 after consultation with the Office of Legal Affairs ⁴³		R ⁴²	-	-	CL
	Supplement to the Financial Regulations and Rules of the United Nations Annex I. Financial Rules of the Environment Fund and Associated Trust Funds of the United Nations Environment Programme		A	-	R	CL
	Chapter V. Financial records and statements					
FV.1.	Prepare and submit interim financial reports to donors		A	-	A	-
FV.2.	Prepare and submit final financial reports to donors		A	-	R	A
	Chapter VI. Other Financial authority					
FVI.1.	Establish a Local Claims Review Board <ul style="list-style-type: none"> US\$10,000 per case for staff claims Up to US\$20,000 per case for third party claims 	ST/AI/149/Rev.4.	A	-	-	CL
FVI.2.	Establish and close trust funds	ST/SGB/2015/4 Rule 203.1	A	-	-	CL
	Establish financial and operating reserves for all funds	ST/SGB/2015/4 Rule 203.1	A	-	R	A

³⁸ This role will be undertaken by service providers (UNON/UNOG) under the appropriate Service Level Agreement, in line with the principle of segregation of duties.

³⁹ Approval of advance payments is strictly with CSD after clearance by PG2.

⁴⁰ It applies to all receivables including staff, consultants, IP and donor, however, for the assessed pledge receivables, the Organization can only write-off with the consent of the parties.

⁴¹ Executive Head of MEA recommends if approved by Conference of Parties.

⁴² Write-off of receivables above US\$25,000 are approved by Controller.

⁴³ Upon receipt of the recommendation by the Executive Head of the MEAs, CSD will consult the Office of Legal Affairs (OLA). CSD clearance will be issued taking into consideration OLA's advice.

15.3 Delegation of authority: Procurement

Introductory notes

- Requisitioning means authorizing. Executive Heads of MEAs are to be considered requisitioners. The procurement function is different.
- The MEA Executive Head is responsible for authorizing all procurement using the Secretariat's funds. References to PG2 and service providers are operational functions used to carry out procurement decisions of the Executive Head in line with UN Regulations and Rules.
- Neither Heads of MEAs nor UNEP Division and Regional Directors have the authority to route procurement to UNOPS/UNDP – this should go through PG2.
- FMO may approve Low Value (LV) PO under 105.16 (a)(x) only.
- FMOs may approve LV PO as per the guidance received by PG2 and ensure that the requirements issued are strictly adhered to.
- With respect to purchasing, approve solicitations, contracts and purchase orders, approving officers must avoid entering into ex post facto cases unless the situation is exigent as defined in General Assembly Decision 54/468. This provision shall be operationalized by UNON as needed
- Low value procurement is under authority of the FMO, this is not changing. In exercising the authority to approve purchase orders, FMO is taking a role in procurement.
- Workflows requires a physical quality check and digital re-routing to service provider that will carry on the transaction, this is why is going through PG2. Is not an automatic routine.

		Source Reference / Limits ⁴⁴	From whom	To whom authority is directly delegated				
	Procurement Authority		UNEP Executive Director	UNEP Deputy Executive Director	MEA Executive Head reporting to Executive Office	UNEP Director CSD in corporate role	PG2 Head	PG2 member
FVII.1	Requisitions, initiate procurement action according to UN rules	UN Regulations & Rules ST/SGB/2019/2; UN Procurement Manual; Service Level Agreements with UNON & Office of Central Support Services (OCSS); Guidance issued by CSD	-	-	A	-	-	-
FVII.2	Purchasing, approve solicitations, contracts and purchase orders a. Director of Corporate Services Division: Unlimited b. Up to US \$250,000 c. Up to US \$1,500,000 ⁴⁵ d. Low value procurement, up to US \$10,000	Reg 5.12 and 5.13; Rule 105.13; limits indicated in	-	-	A	A	R	-
FVII.3	Competition a. Director of Corporate Services Division: Unlimited b. Up to US \$250,000 c. Up to US \$1,500,000 ⁴⁶ d. Up to US \$150,000	Reg 5.12 and 5.13; Rule 105.14	A	-	A	A	R	-
FVII.4	Formal methods of solicitation a. Director of Corporate Services Division: Unlimited b. Up to US \$250,000 c. up to US \$150,000	Reg 5.12 and 5.13; Rule 105.15	A	A	-	-	R	-
FVII.5	Exceptions to the use of formal methods of solicitation a. Director of Corporate Services Division: up to US \$1,000,000 b. Chief Procurement Officer (CPO): up to their delegated threshold under FVII.2 above.	Reg 5.12 and 5.13; Rule 105.16 (a) (i), (ii), (iv)-(x) and (b) (ix) and 105.17 (a)	-	-	-	-	R	-
FVII.6	Exceptions to the use of formal methods of solicitation and Informal solicitation – Request for Quotations CPO/Unit Chief at the P3 level or above: up to US \$50,000	Reg 5.12 and 5.13; Rule 105.16 (a) (iii) pursuant to 105.17 (a)	A	A	-	-	-	-
			-	-	-	-	A	A

⁴⁴ Limits on Authority. All delegation holders at UNEP must exercise authority and make decisions: (i) in full compliance with the relevant regulations and rules of the Organization, and (ii) within allocated budget, and (iii) within the delegation holder's own office, and/or (iv) within the scope / area of clearly-assigned responsibility.

⁴⁵ Limits to delegated authority for PG2 members are outlined in guidance from CSD and in the Delegation of Authority notification to PG2 members.

⁴⁶ Limits to delegated authority for PG2 members are outlined in guidance from CSD and in the Delegation of Authority notification to PG2 members.

	Procurement Authority	Source Reference / Limits ⁴	From whom	To whom authority is directly delegated				
				UNEP Executive Director	UNEP Deputy Executive Director	MEA Executive Head reporting to Executive Office	UNEP Director CSD in corporate role	PG2 Head
FVII.7	Written contracts Advance payments	Reg 5.12 and 5.13; Rule 105.18	A	A	A	-	A	A
	Director of Corporate Services Division: up to US\$1,000,000 Chief Procurement Officer (CPO) up to their delegated threshold under FVII.2 above	Reg 5.12 and 5.13; Rule 105.19 (a)	A	A	-	-	-	-
			-	-	-	A	-	-
			-	-	-	-	-	R

15.4 Delegation of authority: Property management

Introductory notes

- Review boards are established by NY
- Executive Heads are responsible for the initial decision; implementation of the decision remains as per the current procedures (central roles, e.g. that of LPSB remains).

	Authority	Source Reference / Limits ⁴⁷	To whom authority is directly delegated			
			From whom	UNEP Deputy Executive Director	MEA Executive Head reporting to Executive Office	UNEP Director CSD in corporate role
FVIII.1.	Authority and responsibility	Rule 105.20 and 105.21	A	A	-	R
FVIII.2.	Property management Review boards related to property management	UNEP Financial Rules & Regulations Rule 105.22	A	A	-	R
FVIII.3.	Sales/disposal of property (except for real property)	Rule 105.23 and 105.24	A	A	-	R
	Disposal of Surplus and Unserviceable Property:		A	A	R	A
	• Depreciated value of individual property items – US\$3,000.00 or less		A (upon clearance from LPSB)	A	R	A
	• Depreciated value of individual property items – US\$3,000.01 and US\$25,000.00		A (upon clearance from HPSEB)	A	R	CL
	• Depreciated value of individual property items – US\$25,000.01 or more					

⁴⁷ Limits on Authority. All delegation holders at UNEP must exercise authority and make decisions: (i) in full compliance with the relevant regulations and rules of the Organization, and (ii) within allocated budget, and (iii) within the delegation holder's own office, and/or (iv) within the scope / area of clearly assigned responsibility, and (v) consistent with relevant decisions of MEAs governing bodies unless against UN Regulations and Rules.

15.5 Delegation of authority: Legal instruments

Authority		Source Reference / Limits ⁴⁸	Roles and responsibilities			
	Type of Legal Instrument		From UNEP Executive Director	To UNEP Deputy Executive Director	To MEA Executive Head reporting to Executive Office	To UNEP Director CSD corporate
L.1	MOUs with strategic partners (including for profit and not for profit entities) ⁴⁹ , which may include some non-standard clauses/templates.		A	Approves if recommended or preferred by the MEA Executive Head	Approves (primary authorized signatory)	CL
L.2	Standard MOU (using approved standard template) with partners (including for profit and not for profit entities) that promotes MEAs mandate and align with approved MEA programme of work		A	-	Approves	CL (clearance only for non-standard MOUs only or deviations from boiler plate clauses)
L.3	<p>a. Standard legal instruments with financial implications (using approved UN/UNEP standard legal instruments). These include:</p> <ul style="list-style-type: none"> Project implementation agreements (including Project Cooperation Agreements (PCAs) and Small-Scale Funding Agreements (SSFAs))⁵⁰ Letters of Agreements (both Part A and B) UN Agency to UN Agency Contribution Agreements Host Country Agreements <p>b. Standard Donor Agreements (using approved UNEP standard legal instruments)⁵¹</p> <ul style="list-style-type: none"> Donor Agreements for less than USD 1.0 million Donor Agreements for more than USD 1.0 million 	UN Regulations and Rules; Guidelines for the Use of Standard Legal Instruments (as revised from time to time)	A	-	Approves	CL (clearance only for non-standard legal instruments or deviations from boiler plate clauses)
L.4	<p>Amendments to legal instruments</p> <ul style="list-style-type: none"> Amendments to legal agreements which were signed by the ED/DED Amendments to legal agreements which were signed by MEA secretariat officers⁵³ 		A	Approves if recommended by the MEA Executive Head	Approves	CL
			A	-	Approves	CL (clearance only if there are deviations from boiler plate clauses)

⁴⁸ Limits on Authority. All delegation holders at UNEP must exercise authority and make decisions: (i) in full compliance with the relevant regulations and rules of the Organization, and (ii) within allocated budget, and (iii) within the delegation holder's own office, and/or (iv) within the scope / area of clearly assigned responsibility, and (v) consistent with relevant decisions of MEAs governing bodies unless against UN Regulations and Rules.

⁴⁹ These may include MOUs with global partners, UN agencies, and which agreements encompass long-term objectives.

⁵⁰ For implementation agreements which exceed the incidental procurement thresholds set out in UNEP Guidelines for the Use of Standard Legal Instruments (GUSLI), CSD clearance is required.

⁵¹ Corporate global partnership agreements with the Green Climate Fund (GCF), Global Environment Fund (GEF), Adaptation Fund (AF), European Commission (EC) "Environment and Sustainable Management of Natural Resources including Energy/ Public Goods and Challenges" (ENRTP/GPGC) instrument and alike are excluded from this provision since they fall under the authority of UNEP Corporate Services Division Director.

⁵² When Corporate Services Division legal clearance is required, FMO clearance should be given first.

⁵³ Upon clearance by Corporate Services Division, the amendment should be signed by the officer in the same position as that of the officer who signed the original agreement. An expired agreement cannot be extended.

15.6 Delegation of authority: Partner validation

Authority		Source Reference / Limits ⁵⁴	Roles and responsibilities			
	Type of Partner ⁵⁵	UN Regulations and Rules; UNEP policies and guidelines	UNEP Executive Director	UNEP Deputy Executive Director	MEA Executive Head reporting to Executive Office	Partnership Committee
P.1	Validation (due diligence) of not for profit partners (includes Non-Governmental Organisations)	UNEP Partnership Policy And Procedures 2011;	-	-	Approves	-
P.2	Validation (due diligence) of governmental bodies and UN Organisations	UNEP Private Sector Engagement Policy; and Private Sector Engagement Procedures and Workflow;	-	-	No approvals required	-
P.3	Private sector partners (for profit entities) (due diligence), regardless the risk level	Memorandum on the Validity of Private Sector Due Diligence 15 September 2020; Memorandum on Guidance for Engagement with the Hydrocarbon Sector 11 May 2020; Memorandum on Interim Measure on the Review of Partnerships 06 May 2019	Upstream approval for engagement with hydrocarbon company platforms ⁵⁶	-	Approves if MEA does have its own due diligence process approved by its governing body or R if it does not	Approves if MEA does not have its own due diligence process approved by its governing body

⁵⁴ Limits on Authority. All delegation holders at UNEP must exercise authority and make decisions: (i) in full compliance with the relevant regulations and rules of the Organization, and (ii) within allocated budget, and (iii) within the delegation holder's own office, and/or (iv) within the scope / area of clearly-assigned responsibility, and (v) consistent with relevant decisions of MEAs governing bodies unless against UN Regulations and Rules.

⁵⁵ Due diligence process must be undertaken online through the Partners Portal on Weccollaborate before a partner is approved (see <https://apps1.uneep.org/partners/user/>).

⁵⁶ Memorandum on Guidance for Engagement with the Hydrocarbon Sector 11 May 2020 is not intended to cover the plastic sector.