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

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APPROVED

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Executive Director
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1. 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 provides the secretariat ("DAPF for MEA Secretariats") is based on UN Environment Programme's (UN Environment) Delegation of Authority Policy and Framework (DAPF) ¹ and includes only those aspects of DAPF which are relevant and applicable to the management and administration of the secretariats of MEAs and other entities for which UN Environment provides the secretariat (hereinafter "MEA Secretariats"). The policy incorporates the recommendations of the Secretary General ² and best practices as identified by the UN Joint Inspection Unit ³. The policy also incorporates principles from the UN Guidebook on Delegation of Authority and best practices identified by the Multilateral Organization Performance Assessment Network (MOPAN).

2. The purpose of DAPF for MEA Secretariats is to delegate authority in line with the responsibilities of 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 UN Environment provides the secretariat) of MEA Secretariats, for decision-making on financial and administrative matters with respect to exercising the functions of their respective secretariats/entities. The delegation of authority respects the legal autonomy of the MEAs, ensures both managerial autonomy and efficiency of the MEA Secretariats, and accountability of Executive Heads of MEA Secretariats to their respective governing bodies - Conference/Meeting of Parties - for programme delivery and policy related outputs/outcomes, and to the Executive Director of UN Environment, henceforth referred to as the Executive Director, for managing resources, including trust funds, in accordance with UN and/or UN Environment regulations, rules and related administrative issuances.

2. DEFINITIONS
3. For the purpose of this document, the terms used have the following meanings:

4. 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.

5. Accountability refers to the obligation to demonstrate that tasks have been carried out in accordance with agreed rules and standards and to report fairly and accurately on performance results vis-à-vis mandated roles and/or plans. All managers with directly-delegated authority are accountable to the Executive Director for outcomes and/or decisions taken. Some accountability can be delegated as those with responsibility are accountable for how that responsibility is

¹ UN Environment Delegation of Authority Policy and Framework May 2016.
² A/64/640, Towards an accountability system in the United Nations Secretariat, Report of the Secretary-General, 29/01/2010,
³ Important contributions to this policy have been drawn from the Joint Inspection Unit report entitled "Delegation of authority and accountability Part II: series on managing for results in the United Nations system" (JIU/REP/2004/7).
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discharged. For example, if ‘A’ is given a task with sufficient authority, and ‘A’ delegates this task to ‘B’ and asks him to ensure that task is done well, responsibility rests with ‘B’, but accountability rests with both ‘A’ and ‘B’. ‘B’ is accountable for how the duty or obligation that has been delegated to him/her is met (see definition of ‘responsibility’ below). ‘A’ retains overall accountability.

6. 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.

7. Directly-delegated authority refers to authority delegated by and from the Executive Director to the Executive Head of a MEA Secretariat.

8. 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).

9. 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.4

3. PURPOSE
10. UN Environment’s DAPF for MEA Secretariats is designed to:
   ➢ Ensure administrative and management effectiveness;
   ➢ Strengthen organizational efficiency;
   ➢ Clarify who has the authority to decide;
   ➢ Establish appropriate accountabilities; and
   ➢ Ensure that due process is followed.

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

4. SOURCES OF AUTHORITY
12. The Secretary-General of the United Nations has delegated authority to the Executive Director of UN Environment for strategic management of UN Environment’s programme and resources as per the Executive Director’s Senior Manager’s Compact.

13. The Executive Director is accountable to and reports to the Secretary-General. In addition, the Executive Director is responsible to and accountable to Member States through the United Nations Environment Assembly (UNEA) of UN Environment and its subsidiary bodies, including the Committee of Permanent Representatives (CPR).5 While MEA Secretariats are accountable to their respective conference/meeting of the parties for programme delivery, the Executive Heads of MEA Secretariats are also accountable to the Executive Director. They operate with sufficient autonomy

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

5 In accordance with UNGA Resolution 67/251 of 13 March 2013, the governing body of UN Environment was broadened, established universal membership and renamed the United Nations Environment Assembly (UNEA) of UN Environment Programme.
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to discharge the functions that the various independent intergovernmental conferences/meetings
of parties to the conventions have reposed in the Executive Director.  

14. The Executive Heads of MEA Secretariats are delegated authority for the management of human
and financial resources entrusted to respective secretariats to ensure the successful exercise of the
secretariat function as required by the MEA legal framework and on the basis of a duly-approved
work plan. The Executive Heads of MEA Secretariats 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.  

15. A delegation of authority granted under the DAPF for MEA Secretariats does not affect the nature or
scope of the authority entrusted to MEA secretariats by their agreements, conventions, and/or
parties. Nevertheless, an Executive Head will consult with the 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 UN regulations, rules and related administrative issuances
or that may require any action by UN Environment. An Executive Head will promptly notify both the
Executive Director and the Parties to the MEA, through the Conference/Meeting of Parties, or its
subsidiary bodies, if a potential inconsistency is perceived between (a) UN or UN Environment
regulations, rules or related administrative issuances, and (b) the performance of the secretariat's
duties under the MEA, or the execution of those duties in accordance with direction from the
governing body of the Parties to the MEA. In the event of such an inconsistency, UN Environment
will discuss with the Parties to the MEA, through the leadership of the COP /MOP or its subsidiary
bodies, to decide on a mutually-acceptable course of action.

5. KEY PRINCIPLES

5.1 Accountability and Ethical Behaviour

16. The Executive Heads of MEA Secretariats who hold directly-delegated authority are fully
accountable to the 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
UN Environment’s DAPF for MEA Secretariats.

17. The act of delegating authority does not absolve the official to whom authority was initially
degraded, of accountability for the manner in which the authority is exercised. Accordingly, the
Executive Director may be held personally accountable, and must likewise hold those to whom he or

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6 Based on ST/SGB/2006/13, sect. 18.

7 In many cases a management decision taken by a delegation holder requires the execution/ implementation of
an associated administrative process according to UN rules. In general, administrative tasks are the responsibility
of staff cleared by the Under-Secretary General of the Office of Human Resources Management (OHIRM) or the
Under-Secretary General of the Office of Central Support Services (OCSS). United Nations Office at Nairobi
(UNON), provides some financial and administrative services to UN Environment and thus to MEA secretariats. At
UN Environment locations away from Nairobi, some of these services are provided by other authorized agencies
e.g. United Nations Office at Geneva (UNOG), United Nations Office at Vienna (UNOV).
she has delegated authority, accountable for their actions in performance of their delegated authority and responsibility.  

18. UN Environment has a responsibility to ensure that the funds entrusted to MEAs and their Secretariats by their 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 associated process/es.

5.2 DIRECT DELEGATION OF AUTHORITY

19. Authority entrusted to the Executive Director is directly-delegated to UN Environment staff holding positions for whom the Executive Director or 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 (ePAS). 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 UN Environment staff at P4 level.

20. The preceding paragraph has logical consequences for the method/procedure, but does not determine the scope of delegation of authority to the Executive Heads of MEA Secretariats whose first reporting officer (FRO) is neither the Executive Director nor the Deputy Executive Director. Unless exceptions are made to this policy, these Executive Heads will be granted a further delegation of authority by and from their respective FRO (see section 6.2). Therefore, those whose FRO is a UN Environment Division/Regional Director will receive a further delegation of authority from their FRO in line with the UN Environment Delegation of Authority Policy and Framework (DAPP) of May 2016.

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8 ST/AI/2004/1 Delegation of Authority under the Financial Regulations and Rules of the United Nations, para 2.2. Personal accountability is individual accountability (i.e. of individual UNEP staff), as distinct from UNEP’s organizational accountability. These two types of accountability are discussed and defined in UNEP’s Accountability Framework.

9 (i) The Coordinators of the Regional Seas Conventions and of Regional Seas Action Plans which are in fact Regional Seas Coordinating Units (RSCUs) report to the Director of the Ecosystems Division. (ii) The Executive Head of Framework Convention on the Protection and Sustainable Development of the Carpathians reports to the Regional Director of Europe Office. (iii) The Regional Director of Europe Office serves as the Head of the Convention for the Protection of the Marine Environment of the Caspian Sea on an Interim basis. (iv) The Executive Heads of the agreements secretariats (v) The Chief Officer of the Multilateral Fund (MLF) reports directly to the Executive Director and in accordance with the uniqueness of the Multilateral Fund.
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21. 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 the Executive Office a standard notification of Directly-Delegated Authority (see Appendix A) and will confirm receipt and acceptance of their DoA. Confirmation by email is acceptable and binding. In this way, the direct delegation of authority enters into force. An Executive Head must not accept any other delegation of authority from other sources, within or outside the United Nations (UN), on management and administrative matters, without the express consent of the Executive Director. Direct delegations of authority granted under this policy replace all previous delegations of authority from the Executive Director.

5.3 One person with authority in any business process
22. 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, to 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 legal instrument, memo, contract, etc. By signing, a person confirms knowledge, approval, acceptance, or obligation, and becomes accountable, responsible and liable.

5.4 Limits on Authority
23. All authority, directly-delegated authority and further-delegated authority, is limited. All holders of delegated authority conferred through this instrument, must exercise authority and make decisions:
   (i) in full compliance with the relevant regulations and rules of UN Environment, and
   (ii) within their allocated budget, and
   (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
24. Delegation holders are reminded that no official should approve or authorize a transaction or sign a communication from which he/she is a direct or indirect beneficiary. Furthermore, an official 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.

25. Delegation holders are reminded that with decision-making power over resources, comes with 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. Directly-delegated authority is possessed by virtue of an individual’s appointment to a position or office. Accountability, however, is personal. Delegated authority may be extended, amended or withdrawn by the official who has delegated the authority, as and when necessary, using the standard notification templates (see Appendices C and D). By using the ePAS system of performance management objectively and diligently, and knowing that they have the full-support of UN Environment, managers (first and second reporting officers) will monitor the exercise of directly-

10 ST/SGB/2015/: para 2.5
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and further-delegated authority and, as applicable, record misuse or poor judgment in the delegation holder’s ePAS.

5.6 Subsidiarity
26. The principle of subsidiarity states that decisions should be taken at the lowest possible level or closest to where they will have their effect. 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 justification for subsidiarity is strong particularly in light of the Executive Director’s commitment to strengthen UN Environment’s strategic regional presence. Authority should be delegated considering competencies and mandates.

5.7 Record Keeping
27. 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 and other UN Environment offices shall ensure that e-mail records are identified, managed and stored in accordance with these requirements. Delegation holders may need to explain, and if necessary justify, past actions in the event of an audit, stakeholder enquiry, or other investigation. Member states and Parties to MEAs will expect to find accurate records of expenditure of trust funds. Similarly, if a member state or Party questions/challenges a decision, the organization 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
28. The management of risk, including the use of internal controls to manage risk, is the responsibility of all UN managers. In the absence of a stand-alone UN Environment risk management policy/framework, Executive Heads of MEA Secretariats must adhere to the UN’s Enterprise Risk Management and Internal Control Policy. This policy provides a consistent methodology for identifying, 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 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.

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11 For detailed guidance refer to the UN Guidebook on Delegation of Authority, in particular paragraph 121, and UN (UNEP) policies and procedures for record management/record keeping.
5.9 Flexibility
29. Whereas this instrument delegates authority to the executive heads of MEA Secretariats though a standard framework, the Executive Director will continue to provide the flexibility required on a case-by-case basis, including to reflect the size of the MEA secretariats and the decision made by the Parties when they selected UN Environment to provide their secretariat or secretariat functions. To meet the need for flexibility, ad hoc further delegation of authority may be granted as required (see paragraph 34 and Appendix C).

6. FURTHER DELEGATION

6.1 Automatic further delegation
30. Directly-delegated authority is conferred on the Head of the MEA Secretariat 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-charge\textsuperscript{14}. This automatic further-delegation ensures business continuity and avoids inefficiency and confusion.

6.2 Discretionary further delegation
31. Directly-delegated authority may be further delegated, unless such further delegation has been excluded in writing.\textsuperscript{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 member/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 the Executive Heads of Secretariats, thematic offices and/or coordinators of programmes that report directly to her/him;
- An Executive Head may further delegate authority to his/her deputy.

32. 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.

33. Whereas directly-delegated authority is automatically conferred by the Executive Director upon the appointment of an Executive Head (see section 5.2 above), 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, 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

\textsuperscript{14} ST/SGB/2015/1 Delegation of authority in the administration of the Staff Regulations and Staff Rules, para 2.4

\textsuperscript{15} ST/SGB/2015/1 para 2.3
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.

34. 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, by completing the standard template included as Appendix E. Holders of directly-delegated authority have discretion to provide either a general further delegation or an ad hoc further delegation\textsuperscript{16}. All further delegations of authority must be documented and confirmed using the standard notification of further delegation of authority (see Appendices B and C).

7. ENTRY INTO FORCE
35. This Delegation of Authority Policy and Framework for MEAs and other bodies for which UN Environment provides the secretariat or secretariat functions (DAPF for MEA Secretariats) supersedes any previous delegations issued to the Executive Heads of MEA Secretariats by the Executive Director. It will enter into force from the date of the Executive Director’s approval.

36. When deemed necessary, Director, Corporate Services or other members of the MEA Management Team (MMT) may from time to time propose changes to the DAPF for MEA Secretariats and/or to the thresholds within its accompanying DoA framework. In assessing these proposals, Director, Corporate Services will seek guidance from relevant unit(s) within the Organization. Any changes will be subject to the approval of the Executive Director.

8. ROLES AND RESPONSIBILITIES

8.1 Clarifying Roles and Responsibilities

37. The methodology and terminology used in the Delegations of Authority Framework (summarized in the CLARIFY table below) is and will be used to build consensus as to the roles, responsibilities and authorities for key business processes in the organization. The same methodology and terminology is used in UN Environment’s revised Accountability Framework.

38. In the DoA Framework the letter A locates delegated authority and the letters I, R, CL, and Fy are used to CL-A-R-I-Fy additional roles and responsibilities. Unless there are legal reasons why not, the delegation holder authorizes and approves the decision.

\textsuperscript{16} A general further delegation of authority is described in para 30. An ad hoc further delegation is also 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.
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<table>
<thead>
<tr>
<th>CL-A-R-I-Fy</th>
<th>Role and Responsibilities</th>
</tr>
</thead>
<tbody>
<tr>
<td>I = Inputs</td>
<td>Provide inputs, information, evidence, data, business intelligence</td>
</tr>
<tr>
<td>R = Recommends</td>
<td>Make recommendations and give advice based on analysis of inputs and information, technical or expert knowledge</td>
</tr>
<tr>
<td>CL = Clears, confirms compliance,</td>
<td>Review and provide clearance, confirm that action complies with legal, financial, HR rules; confirm that action supports corporate objectives.</td>
</tr>
</tbody>
</table>
| 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, commit funds, be accountable for the decision, ‘the buck stops here’. |
| F = Fulfills | execute, implement, perform |

8.2 Differentiating between two roles: “Clear” and “Authorize/Approve”.

39. UN Environment’s Delegation of Authority Policy and Framework for MEA Secretariats embodies the principle that there can be only one individual with authority and overall accountability, in any given business process (refer Section 5.3).

40. The “clear” role should not be confused with the “authorize/approve” role. Those providing clearance do not have an absolute veto. Their role is to advise, to endorse or to refuse/withhold endorsement giving reasons e.g. the proposed HR action does or does not comply with HR rules; the decision complies with financial rules; the project as designed is incomplete. When clearance is withheld, 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 is 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.

41. Several units, different individuals, or a committee can be assigned the “clear” role. Only a single person with delegated authority has the power to approve and sign. S/he must take into account all clearances, any lack of clearances, or partial clearances and all the identified risks. S/he must decide to approve (the expenditure, 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.

8.3 Monitoring

42. 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
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by themselves and report annually to the Executive Director on the use of this facility. The appropriate use of delegated authority will be reflected in the ePAS of each delegation holder.

9. **DOA FRAMEWORK for MEA Secretariats**

43. The Delegation of Authority Framework for MEA Secretariats delineates (i.e. provides scope and financial limits) the delegation of authority in three areas of management:

- Human Resource Management
- Financial Management
- Legal Instruments

44. In order to facilitate record keeping and monitoring, it is recommended that the same standard format be used by all directly-delegated heads of offices to further delegate authority to managers who report functionally and/or administratively to them (see Appendix E - Further Delegation of Authority Framework). Furthermore, in the interests of transparency and accountability, all directly-delegated heads of offices must upload their duly-completed further delegation of authority framework to UN Environment’s Intranet and maintain it up-to-date. Except in the case of an officer-in-charge, (to whom authority is automatically further delegated), the manager will receive from the head of office a standard notification of Further-Delegated Authority (see Appendices B and C for standard templates). Managers will confirm receipt and acceptance of their further DoA. Confirmation by email is acceptable and binding.
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<table>
<thead>
<tr>
<th>Authority</th>
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<th>To whom authority may be further delegated</th>
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<tbody>
<tr>
<td>Human Resource Management Including recruitment of consultants</td>
<td>Refer UN, UNON, UN Environment HR Rules ST/SGB/2015/1</td>
<td>ED</td>
<td>EH-MEA reporting to the Executive Office</td>
<td>Director, Corporate Services in corporate role</td>
</tr>
<tr>
<td>HR1. Appointment of staff at D-1 level</td>
<td>DAPF 5.3</td>
<td>A</td>
<td>R</td>
<td>CL</td>
</tr>
<tr>
<td>HR2. Appointment of staff at P-5 level</td>
<td>DAPF 5.3</td>
<td>A</td>
<td>R</td>
<td>CL</td>
</tr>
<tr>
<td>HR3. Appointment of professional staff up to and including P-4 level</td>
<td>DAPF 5.3</td>
<td>A</td>
<td>A</td>
<td>A</td>
</tr>
<tr>
<td>HR4. Appointment of general service staff</td>
<td>DAPF 5.3</td>
<td>A</td>
<td>A</td>
<td>A</td>
</tr>
</tbody>
</table>
| HR5. Establish, recommend classification and cancel posts  
  - at D-1 level  
  - at P-5 level  
  - up to and including P-4 level | Based on budget available & linked to financial rules | A | R | R | R |

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17 ST/SGB/2015/1 Delegation of authority in the administration of the Staff Regulations and Staff Rules; matters reserved exclusively for the Secretary General’s decision are set out in the annex to this SGB. These include Selection of Staff Members at the D2 and above levels, and HR decisions as to extension of their contracts. UN Human Resources policies such as the policy on Gender are also applicable to the MEAs.

18 And/or reclassification. Classification of posts is done by UNON, UNEP provides recommendations.
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<td><strong>HR6. Disciplinary action</strong></td>
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<tr>
<td>- for all staff grades</td>
<td>ST/AI/371, ST/IC/2014/26, ST/IC/2005/19, ST/SGB/2014/1</td>
<td>R</td>
<td>R</td>
<td>R</td>
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<tr>
<td><strong>HR7. Lateral moves</strong></td>
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</tr>
<tr>
<td>- within own office up to &amp; including P5 level</td>
<td>ST/AI/20/16/01</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>- across UN Environment and/or to other secretariats</td>
<td></td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td><strong>HR8. Approve waivers of, and/or deviations from, relevant HR rules and regulations</strong></td>
<td>Approval DM/OHRM</td>
<td>R</td>
<td></td>
<td>R</td>
</tr>
</tbody>
</table>

---

19 Applicable policies indicate that the ED would recommend action to the ASG OHRM but could not decide on direct action himself, regardless of the grade of the staff member concerned.

20 Waive qualifications and experience requirements for staff recruitment and consultant hire. DM/OHRM has the approval role (rather than the clearance role) for waivers of/or deviations from HR regulations and rules.
United Nations Environment Programme
Delegation of Authority Policy and Framework
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<table>
<thead>
<tr>
<th>Authority</th>
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<th>To whom authority is directly delegated</th>
<th>To whom authority may be further delegated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resource Management Including recruitment of consultants</td>
<td>Refer UN, UNON, UN Environment HR Rules ST/SGB/2016/1</td>
<td>ED</td>
<td>EH-MEA reporting to the Executive Office</td>
<td>Director, Corporate Services in corporate role</td>
</tr>
<tr>
<td>HR9. Approve transfer, secondment, loan, to or from another UN agency, outside the secretariat/office - at D-1 - at P-5 level - up to and including of P-4 level</td>
<td>Inter-Org. Agreement on Transfer, Secondment or Loan of Staff</td>
<td>A</td>
<td>R</td>
<td>CL</td>
</tr>
<tr>
<td>HR10. Approve telecommuting, flexible working arrangements, leave of absence &amp; other ad hoc outside activities, within the secretariat/office - at D-1 and above - up to and including of P-5 level</td>
<td>ST/Al/408 ST/SGB/2003/4</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>HR11. Approve short-term training - paid for by SG or UN - paid for by own office</td>
<td>ST/Al/2010/5</td>
<td>A</td>
<td>R</td>
<td>CL</td>
</tr>
</tbody>
</table>

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## United Nations Environment Programme
### Delegation of Authority Policy and Framework for the management and administration of Multilateral Environmental Agreement Secretariats

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<td>Refer UN, UNON, UN Environment HR Rules ST/SGB/2016/1</td>
<td>ED</td>
<td>EH-MEA reporting to the Executive Office</td>
<td>Director, Corporate Services in corporate role</td>
</tr>
<tr>
<td>HR12. Select and recruit consultants up to a total of 24 months in a 36-month period and individual contractors up to 6 months in 12-month period for functions and rates comparable to:</td>
<td>ST/AI/2013/4</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>- D-1 level</td>
<td></td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>- P-5 level</td>
<td></td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>- P-4 level and lower in own office</td>
<td></td>
<td>A</td>
<td>R</td>
<td></td>
</tr>
<tr>
<td>- Waiver</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>HR13. Accept gratis personnel (^{21}) and/or JPOs</td>
<td>ST/AI/231/Rev.1</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>HR14. Select and recruit interns</td>
<td>Intern Programme (^ {22})</td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>HR15. Extend contracts</td>
<td>ST/AI/2013/1, ST/AI/2013/1 Corr.1</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>- P-5 level and above</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- P-4 level and below</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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\(^{21}\) Such as when a government or government entity offers to provide and pay for a staff member, expert (non-reimbursable loan)

\(^{22}\) The whole process will rest at the local level without necessarily obtaining approval from UNON's Intern Unit prior to recruitment. Within DoA, RDs are responsible to strictly follow and adhere to the Intern Programme Guidelines.
### Authority

<table>
<thead>
<tr>
<th>Authority</th>
<th>Source Reference / Limits</th>
<th>From whom</th>
<th>To whom authority is <strong>directly delegated</strong></th>
<th>To whom authority can be further delegated</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Financial Management, Procurement &amp; Asset Management</strong></td>
<td>UN Financial Rules &amp; Regulations</td>
<td>ED</td>
<td>EH-MEA reporting to the Executive Office</td>
<td>Director, Corporate Services in corporate role</td>
</tr>
<tr>
<td>F1. Approve quarterly travel plans and authorize travel of staff</td>
<td>ST/Al/2013/3 sections 3.2 &amp; 4.2, ST/Al/2014/2 UN Staff Rule 7.4</td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>- at levels of D2 and above</td>
<td></td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>- at D1 level</td>
<td></td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>- up to and including P5 level</td>
<td></td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>F2. Authorize hospitality</td>
<td>ST/Al/2002/8</td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>F3. Initiate procurement action according to UN rules</td>
<td>ST/SGB/2005/7. UNEP Procurement Manual SLA with UNON &amp; OCSS SLA with UNOG</td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>≤ USD 4,000</td>
<td></td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>&lt; USD 40,000</td>
<td></td>
<td>A</td>
<td></td>
<td></td>
</tr>
<tr>
<td>≥ USD 40,000</td>
<td></td>
<td>A</td>
<td>R</td>
<td></td>
</tr>
<tr>
<td>F4. Approve the disposition and disposal of property, plant and equipment.</td>
<td>ST/IC/2013/36</td>
<td>A</td>
<td></td>
<td>CL</td>
</tr>
</tbody>
</table>

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23 Heads of MEA/entity secretariats are accountable to their Conference/Meeting of Parties for these decisions.

24 See UNEP Guidelines for low value procurement. Processed through embedded FMOs

25 Requisitions over USD 4,000 and under USD 40,000 will be processed by UNEP Buyer Supervisor part of PG2 located in Corporate Services, Administration Unit

26 Requisitions over USD 40,000 will be routed by UNEP Buyer Supervisor (Corporate Services Admin) to PG1, Procurement Dept., DM.
<table>
<thead>
<tr>
<th>Authority</th>
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<th>From whom</th>
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<tbody>
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<td>UN Financial Rules &amp; Regulations</td>
<td>ED</td>
<td>EH-MEA reporting to the Executive Office</td>
<td>Director, Corporate Services in corporate role</td>
</tr>
<tr>
<td>F5. Issue delegation of authority for certifying officers in accordance with UNFRR 105.4-6.</td>
<td>UNFRR 105.4-6.</td>
<td>A</td>
<td></td>
<td>A</td>
</tr>
<tr>
<td>F6. Prepare and submit budgets</td>
<td>ST/SGB/2015/4 rule 204.1</td>
<td>A</td>
<td>A</td>
<td>R</td>
</tr>
<tr>
<td>F7. Accept</td>
<td>ST/SGB/2015/4 Rule 202.1</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>- voluntary contributions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- gifts and donations</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F8. Approve budget allocation</td>
<td>ST/SGB/2015/4 Rule 205.2</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>F9. Manage, monitor and control budget&lt;sup&gt;27&lt;/sup&gt;</td>
<td>Sources: Uomoja BI</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>F10. Prepare and submit donor reports</td>
<td>Sources: Uomoja BI</td>
<td>A</td>
<td>A</td>
<td>R</td>
</tr>
<tr>
<td>F11. Prepare financial management reports</td>
<td>Sources: Uomoja BI</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>F12. Establish and close trust funds</td>
<td>ST/SGB/2015/4 Rule 203.1</td>
<td>A</td>
<td>R</td>
<td>A</td>
</tr>
<tr>
<td>F13. Establish financial and operating reserves for all funds</td>
<td>ST/SGB/2015/4 rule 203.2</td>
<td>A</td>
<td>R</td>
<td>A</td>
</tr>
</tbody>
</table>

<sup>27</sup> Management of budget including resources from trust funds must be done with clearance from embedded FMO. What an FMO does is determined by Corporate Services Finance and Budget Group; for whom FMO does it, depends on where (in which office) the FMO is embedded.
# United Nations Environment Programme
## Delegation of Authority Policy and Framework for the management and administration of Multilateral Environmental Agreement Secretariats

![Table](image)

**Authority** | **Source Reference / Limits** | **From whom** | **To whom authority is directly delegated** | **To whom authority can be further delegated** |
--- | --- | --- | --- | --- |
Legal Instruments Including Partnerships and Donor Agreements | Guidelines on Use of Standard Legal Instruments GUSLI, Rev 09.01.2014 | ED | EH-MEA reporting to the Executive Office | Director, Corporate Services in corporate role | MEA Secretariat staff in direct reporting line |

L1. Authorize and sign MOU which has corporate implications, and/or which include non-standard clauses/template  
GUSLI | A | R | CL | R |

L2. Authorize and sign standard MOU (using approved standard template) that promotes MEAs mandate and align with agreed programme of work  
GUSLI | A | A | A |

L3. Prepare and regularly review standard legal templates  
A | A |

L4. Clear changes to standard legal templates  
A | R | R | R |

L5 (i). Approve and sign standard legal instruments other than MOUs (using approved standard template) within available budget.  
GUSLI | A | A | A |

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28 as may be amended from time to time. The person (or his/her delegate) approving and signing the legal instrument must check, *inter alia*, that they are using the latest version of the template.
<table>
<thead>
<tr>
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<td>ED</td>
<td>EH-MEA reporting to the Executive Office</td>
<td>Director, Corporate Services in corporate role</td>
</tr>
<tr>
<td>L5 (ii). Approve and sign standard donor (contribution) agreements with financial implications:</td>
<td>GUSLI</td>
<td>A</td>
<td>A</td>
<td>CL²⁹</td>
</tr>
<tr>
<td>more than USD 1.0 million</td>
<td></td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>less than or equal to USD 1.0 million</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>L6. Maintain register (by uploading to the UN Environment repository) of all approved and signed legal documents to meet search, monitoring and reporting requirements³⁰</td>
<td></td>
<td>A</td>
<td>A</td>
<td></td>
</tr>
</tbody>
</table>

²⁹ When Corporate Services Legal clearance is required, FMO clearance should be given first.
³⁰ The office that negotiated, (requested Corporate Services Legal clearance), approved and signed the legal instrument, has a duty to upload it into the UNEP repository (within a month of signature).
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<td>Guidelines on Use of Standard Legal Instruments (GUSLI, Rev 09.01.2014)</td>
<td>ED</td>
<td>EH-MEA reporting to the Executive Office</td>
<td>Director, Corporate Services in corporate role</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>MEA Secretariat staff in direct reporting line</td>
</tr>
<tr>
<td>L7. Approve revisions, amendments and agreement extensions of time frame.</td>
<td>GUSLI</td>
<td>A</td>
<td>A</td>
<td>CL</td>
</tr>
<tr>
<td>- All except no cost extensions</td>
<td></td>
<td>A</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- No cost extensions</td>
<td></td>
<td>A</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

31 Upon clearance by Corporate Services Legal Unit, 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.

32 Upon clearance by Corporate Services Legal Unit, the amendment should be signed by the officer in the same position as that of the officer who signed the original agreement.

33 The MEA secretariat staff in direct reporting line can either recommend to the EH-MEA if they do not hold delegated authority, or can Approve/Sign the agreements if they hold delegated authority.
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APPENDICES
APPENDIX A – Standard Notification of Direct Delegation of Authority

To: (Name and Title of Executive Head of office)

Date: (insert date)

From: Executive Director, UN Environment

Notification of 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 UN Environment’s Delegation of Authority Policy and Framework for the management and administration of MEA Secretariats with immediate effect (insert html link to DAPF for MEA Secretariats as revised from time to time).

The authority delegated to you is a function of your appointment as (insert title) and may be further delegated at your discretion. However, in your temporary absence from your duty station, the authority may be exercised by the designated officer-in-charge, for the period of your temporary absence. This delegation of authority shall remain in full force and effect unless amended or withdrawn at my discretion or upon your separation or transfer from your current position, at which time the delegation will automatically terminate.

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 UN Environment 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, immediately. You will inform me immediately of any circumstances that would diminish your capacity to effectively exercise your delegated authority in compliance with the regulations and rules of the UN Environment.

Please confirm that you have accepted the terms of this delegation of authority, that you have read and are familiar with UN Environment’s Delegation of Authority Policy and Framework for the management and administration of MEA Secretariats, and your commitment to comply with them.

Sent on the authority of Executive Director, UN Environment

cc. Deputy Executive Director, Director of Corporate Services, Chef de Cabinet

NB

1. Confirmation by email is acceptable and binding.
2. This delegation of authority requires that the html links to DAPF are active and up-to-date.
APPENDIX B — Standard Notification of Further Delegation of Authority

To: {Name and Title of Officer}

Date: {insert date}

From: {Name and Title of official who holds directly-delegated authority}

Notification of Further Delegation of Authority

Under the authority directly-delegated to me by the Executive Director of UN Environment, I hereby further delegate authority to you in accordance with UN Environment’s Delegation of Authority Policy and Framework for the management and administration of MEA Secretariats [insert html link to DAPF for MEA Secretariats as revised from time to time] with immediate effect. Please refer to the {Name of delegator’s own office e.g. CMS, DEPI, DEWA, ROE} further delegation of authority framework as completed by my office and approved by me, which can be seen on UN Environment’s Intranet, and which establishes the scope of, and limits to, this further delegation of authority. {Ensure that your own office’s further delegation of authority framework has been completed and uploaded}.

The authority delegated to you is a function of your appointment/position as {insert title} of {Insert name and descriptor of MEA Secretariat, } that reports directly to me. This authority may not be further delegated. However, in your temporary absence from your duty station, the authority may be exercised by the designated officer-in-charge, for the period of your temporary absence. This further delegation of authority shall remain in full force and effect unless amended or withdrawn at my discretion or upon your separation or transfer from your current position, at which time the delegation will automatically terminate. 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 UN Environment 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 me immediately. You will inform me immediately of any circumstances that would diminish your capacity to effectively exercise your delegated authority in compliance with the regulations and rules of UN Environment.

Please confirm that you have accepted the terms of this further delegation of authority that you have read and are familiar with UN Environment’s Delegation of Authority Policy and Framework for the management and administration of MEA Secretariats, and your commitment to comply with them.

cc. {to be decided at my discretion}

NB

1. Confirmation by email is acceptable and binding.
2. This further delegation of authority requires that the html links to DAPF for MEA Secretariats are active and up-to-date.
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APPENDIX C – Standard Notification of Ad Hoc Further Delegation of Authority

To: {Name and Title of Officer}

Date: {insert date}

From: {Name and Title of official who holds directly-delegated authority}

Notification of Ad hoc Further Delegation of Authority

In accordance with the provisions of UN Environment’s Delegation of Authority Policy and Framework for MEA Secretariats {insert html link to DAPF for MEA Secretariats as revised from time to time}, I grant you an ad hoc further delegation of authority in your capacity as {position e.g. Branch Head, UN Environment} to approve {describe the scope and limits of this ad hoc delegation}. The ad hoc delegation could be to approve a specific legal instrument, consultancy contract, partnership agreement, etc. which must be identified by name, code; or for a series of actions up to the maximum value (in which case specify the currency and amount, and equivalent USD amount) for the purpose of {specify in one phrase}.

This ad hoc further delegation is granted to you with the understanding that you will exercise it within a period of no more than 30 days from the date of the issuance of this notification. Should there be any delay in the use of this delegated authority (which may affect the workplan, activities, or budget) you are required to revert to me for the appropriate review and reconfirmation of the ad hoc further delegation.

You shall 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 UN Environment 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 me immediately. You will inform me immediately of any circumstances that would diminish your capacity to effectively exercise your delegated authority in compliance with the regulations and rules of the UN Environment.

Please confirm that you have accepted the terms of this further delegation of authority, that you have read and are familiar with UN Environment’s Delegation of Authority Policy and Framework for the management and administration of MEA Secretariats, and your commitment to comply with them.

cc. (to be decided at my discretion)

NB

1. Confirmation by email is acceptable and binding.
2. This further delegation of authority requires that the html links to DAPF for MEA Secretariats are active and up-to-date.
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APPENDIX D – Standard Notification of Amended/Withdrawal of Delegated Authority

To: {Name and Title of Officer}

Date: {insert date}

From: Executive Director, UN Environment or Name and Title of head of office, who holds Directly-Delegated Authority {delete as applicable}

Notification of Amended/Withdrawal of Delegation of Authority

Under the authority delegated to me by the {Secretary General of the United Nations or the Executive Director of UN Environment [delete as applicable], I hereby [amend/withdraw in part/all of] the authority delegated to you in accordance with UN Environment’s Delegation of Authority Policy and Framework for the management and administration of MEAs with immediate effect {insert html link to DAPF for MEAs as revised from time to time}.

Your delegated authority is amended/withdrawn in the following areas of management:

➢ Human Resource Management: HR1, HR2, HR3, HR4, HR5, HR6, HR7, HR8, HR9, HR10, HR11, HR12, HR13, HR14, HR15
➢ Financial Management: F1, F2, F3, F4, F5, F6, F7, F8, F9, F10, F11,
➢ Legal Instruments: L1, L2, L3, L4, L5, L6, L7

{In cases where delegated authority is partially withdrawn or amended, indicate above what authority has been withdrawn and/or the revised limits to delegated authority with specific detailed reference to the DoA Policy and Framework for the management and administration of MEA Secretariats, its three areas of management, and its codes, i.e. HR 1 to HR 15, etc.} Delete areas of management and codes as applicable

Please confirm that you have read and understood this notification and that from today and henceforth you will exercise only the delegated authority that remains with you/cease to exercise all authority previously delegated to you. {delete as applicable}. If you have further delegated your authority in some areas of management, then you must adjust such further delegations accordingly.

cc. Executive Director, Deputy Executive Director, Director of Corporate Services, Chef de Cabinet

NB. Confirmation by email is acceptable and binding.
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APPENDIX E – Standard framework to record Further Delegation of Authority
To be completed by heads of offices to whom authority has been directly-delegated by the Executive Director. This is a prerequisite to granting a further DoA. It is owned by the office.

<table>
<thead>
<tr>
<th>From whom authority is further delegated</th>
<th>Date</th>
<th>To whom authority is further delegated</th>
<th>Scope of DoA</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Name and Title of head of office, holding</td>
<td>(Insert</td>
<td>(Name and Title of Officer)</td>
<td>HR, F, L</td>
</tr>
<tr>
<td>Directly-Delegated Authority, FRO)</td>
<td>date)</td>
<td></td>
<td>3,4,7,10,11,</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>12,13,14,15,</td>
</tr>
<tr>
<td>Ms. C. D, Executive Secretary,</td>
<td>30.05.2016</td>
<td>Dr. A.B, Executive Secretary,</td>
<td>all</td>
</tr>
<tr>
<td>Alphabet Framework Convention</td>
<td></td>
<td>XYZ Convention Secretariat</td>
<td>all</td>
</tr>
<tr>
<td>Ms. C. D, Executive Secretary, Alphabet</td>
<td></td>
<td>Mr. J.K, Deputy Executive Secretary,</td>
<td>none</td>
</tr>
<tr>
<td>Framework Convention</td>
<td></td>
<td>Alphabet Framework Convention</td>
<td></td>
</tr>
</tbody>
</table>

34 The direct delegation holder may delegate authority part or all of the authority s/he has been granted (see section 9. DoA Framework of MEA Secretariats).