

UNITED NATIONS OFFICE FOR PROJECT SERVICES

**Headquarters, Copenhagen
23 April 2010**

ORGANISATIONAL DIRECTIVE No. 34**Framework for Delegations of Authority****1. Introduction**

- 1.1. The Executive Director hereby establishes the Framework for Delegation of Authority, attached herewith.

2. Scope

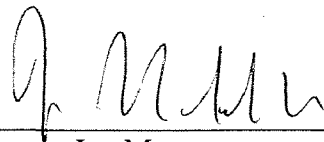
- 2.1. This Organisational Directive is applicable UNOPS-wide to:
- 2.1.1. all practices where authority is delegated; and
 - 2.1.2. all personnel holding delegated authority.

3. Transition measures

- 3.1. The transition period for the custodians of each management practice to issue delegations of authority in conformity with this Organisational Directive is 1 May 2010 to 31 July 2010.

4. Effective date

- 4.1. This Organisational Directive shall enter into force on **1 May 2010**.
- 4.2. Delegations of authority issued prior to the effective date of this Organisational Directive shall be governed by the rules in force on the date of their issuance.



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1. INTRODUCTION TO THE FRAMEWORK FOR DELEGATIONS OF AUTHORITY

1.1 Objective of this Organisational Directive

1.1.1 The primary objective of this Organisational Directive is to establish a Framework for Delegations of Authority that will allow management practices to identify, formalise, delegate and track the exercise of authority in UNOPS in a uniform and coherent manner. The Framework for Delegations of Authority will allow all UNOPS personnel access to current information on authority within UNOPS and will improve the understanding of authority, the transparency of UNOPS' business process and will result in improved accountability

1.1.2 The secondary objective of this Organisational Directive is to support the practice approach by ensuring that the Framework for Delegations of Authority functions as a decentralised but self-sustaining mechanism within each practice.

1.2 Definitions

1.2.1 For the purposes of the Framework for Delegations of Authority, the following definitions of specific terms used shall apply:

authorisation - process used in verifying that the personnel who has requested or initiated an action has the right to do so;

accountability - the obligation to: (a) demonstrate that work has been conducted in accordance with agreed rules and standards; and (b) report fairly and accurately on performance results vis-à-vis mandated roles and/or plans;

authority - the power to take decisions on behalf of UNOPS in compliance with prescriptive content;

business unit - an operation or office that is led by the respective key management personnel; in UNOPS, these units typically consist of headquarters, regional offices and operations centres;

custodians - directors of the relevant management practice;

delegate (n.) - the person in possession of a valid delegation of authority issued by authorized personnel;

delegated authority - authority that has been delegated to personnel;

delegating official - the official delegating authority;

delegation of authority - the written statement of conditions, procedures, and terms that a delegate must follow in executing a delegated task;

level of delegated authority - i.e. the function, monetary level, type or other relevant characteristic of delegated authority;

management practice - functional areas as may be assigned from time to time by the Executive Director;

master list - a list containing the information required by paragraph 3.2.2 of this Organisational Directive;

master table - a table maintained by custodians and containing information specified in paragraph 3.1.2 of this Organisational Directive;

official - staff member appointed in accordance with the United Nations Staff Regulations and Rules;

personnel - all officials and personnel other than staff members;

personnel other than staff members - all individuals with whom UNOPS has a contractual relationship and who are not officials;

prescriptive content - all normative documents of a binding nature specifying rules, procedures and policies that must be complied with;

requesting unit - the business unit requesting a delegation of authority.

1.3 Headings and notes

- 1.3.1 The headings or notes in this Organisational Directive shall not be deemed to be part thereof or be taken into consideration in its application or interpretation.

1.4 Sources of authority in UNOPS

- 1.4.1 For the purposes of this Organisational Directive, the highest source of authority in UNOPS is the UNOPS Financial Regulations and Rules.
- 1.4.2 Other subsidiary sources of authority may include Organisational Directives and/or Administrative Instructions as specified in Organisational Directive No. 1.
- 1.4.3 Prescriptive content defines: (a) the function, monetary level, type or other relevant characteristic of a particular authority; (b) the official and/or position with whom/which authority is vested by default; and in some cases (c) the power of that official and/or position to delegate authority to other personnel in UNOPS.

1.5 Authority in management practices

- 1.5.1 Authority flowing from prescriptive content is grouped by management practice under which that authority falls. Management practices are from time to time defined by the UNOPS Executive Director.
- 1.5.2 To the extent permitted by prescriptive content, custodians shall regulate authority and the application of the Framework for Delegations of Authority in their respective practices. Custodians for each practice shall from time to time be designated by the Executive Director or Deputy Executive Director in writing.
- 1.5.3 To the extent permitted by prescriptive content and/or express delegation from the Executive or Deputy Executive Director, custodians may delegate authority to other personnel, with the exception of Regional Directors and Deputy Regional Directors who shall receive their delegation of authority from the Deputy Executive Director.

2. MAIN PRINCIPLES OF THE FRAMEWORK FOR DELEGATIONS OF AUTHORITY

2.1 Delegated authority must improve UNOPS' business performance

- 2.1.1 The main purpose of delegated authority in UNOPS is to improve the efficiency and effectiveness of UNOPS' business performance. The projected improvement in the efficiency and effectiveness must be demonstrated to the satisfaction of the delegating official by the head of the requesting unit and must be measurable by objective parameters¹.
- 2.1.2 No authority shall be delegated where an improvement in the efficiency and effectiveness of UNOPS' business operations is not foreseen.

2.2 Delegated authority to be based on requesting unit's requirements and capacity of delegate

- 2.2.1 The level of delegated authority shall be based on the requirements of the requesting unit. Business units shall not request nor shall they be granted delegated authority that exceeds their actual or forecast requirements.
- 2.2.2 In delegating authority, the custodians shall take into consideration the professional capacity of the proposed delegate in determining the level of delegated authority. It shall be the responsibility of the requesting units to demonstrate the capacity of the proposed delegates. Relevant non-binding guidelines may be set up for the purpose of assessing this capacity by the custodians.

2.3 Segregation of duties to be enforced in delegating authority

- 2.3.1 The segregation of duties in accordance with applicable prescriptive content (in particular, the Internal Control Framework) in delegating authority shall be enforced by the custodians. Requesting units shall consider prescriptive content applicable to the segregation of duties prior to requesting authority.

2.4 Authority to be delegated to UNOPS officials

- 2.4.1 Authority may be delegated to UNOPS officials holding valid letters of appointment, or officials of other agencies of the UN system seconded, loaned or transferred to UNOPS based on inter-agency agreements.
- 2.4.2 Authority may be delegated to UNOPS personnel other than staff members or to officials of other agencies of the UN system (other than those in paragraph 2.4.1 above) in exceptional circumstances provided all of the following conditions are fulfilled:
- (a) There must be no UNOPS official available to perform the same function at the same location, while adhering to the Internal Control Framework and, in particular, the principle of the segregation of duties;

¹ For example, reduced timeframes for administrative processes, more even distribution of tasks between officials, increase in business acquisition, mitigation of risks identified through engagement acceptance.

- (b) The requesting business unit must be in the process of recruiting an official to perform the required function, or such hiring must be impracticable; and
- (c) In the case of personnel other than staff members, the delegated authority may not be valid for longer than three months.

2.4.3 In compelling circumstances, and upon the written request of the custodian, the Deputy Executive Director may exceptionally waive any or all of the conditions stated in paragraph 2.4.2 a - c.

2.5 Delegated authority is personal to the delegate

- 2.5.1 Delegated authority is personal to the delegate and is not vested in the delegate's post, position or office. Accordingly, delegated authority is not automatic and must be requested by heads of the business units, through the relevant regional or headquarters director.
- 2.5.2 Custodians shall specify the procedure for requesting a delegation of authority in their respective management practice.
- 2.5.3 Except if otherwise specified in the delegation of authority or authorised by custodians, no delegated authority is transferable to personnel other than the delegate and no delegated authority may be further delegated.
- 2.5.4 Authority temporarily delegated in accordance with paragraph 2.4.2 above may not be further delegated under any circumstances.
- 2.5.5 In respect of officers-in-charge, delegated authority must be requested by head of the business unit, through the relevant regional or headquarters director, following the same procedures as for the delegate.

2.6 Derogation requires the approval of the Executive Director

- 2.6.1 Where derogation of any of the principles in section 2 is required by a requesting unit, the approval of the Executive Director must be obtained by the head of the requesting unit, through the relevant regional or headquarters director, with appropriate supporting justification, prior to authority being delegated by the delegating official.

3. THE FRAMEWORK FOR DELEGATIONS OF AUTHORITY AND UNOPS' SYSTEMS

3.1 Deputy Executive Director responsible for setting the master tables

- 3.1.1 The Deputy Executive Director shall be responsible for setting, by means of master tables, the levels of delegated authority of each management practice.
- 3.1.2 Master tables shall contain, at a minimum, the following information:
 - (a) Category² of delegated authority;
 - (b) Groups³ of categories of delegated authority;

² Example: authority to award contracts

(c) Levels⁴ of delegated authority for each category, whether monetary or otherwise.

3.1.3 The Deputy Executive Director shall be responsible for defining, in conformity with this Organisational Directive, specific conditions applicable to delegated authority within each management practice.

3.2 Custodians responsible for maintaining the master tables and setting and maintaining the master lists

3.2.1 Custodians shall be responsible for maintaining the master tables, set by the Deputy Executive Director, within their management practice.

3.2.2 Custodians shall be responsible for setting up and maintaining current master lists, which shall include the following information in respect of each delegation of authority:

- (a) Reference number;
- (b) Name of delegate;
- (c) Delegate's business unit;
- (d) Category and level of delegated authority;
- (e) Effective date of the delegation of authority; and
- (f) Whether the delegation of authority is valid or archived.

3.2.3 The master tables, master lists and the practice-specific conditions must be posted on the intranet by the custodians to be easily accessible to all UNOPS personnel.

3.3 Changes to master tables

3.3.1 Any changes to the master tables or the conditions shall require an appropriate amendment, in writing, from the Deputy Executive Director.

3.3.2 Changes to levels of delegated authority in master tables will automatically modify all delegations of authority on the date the revised master table becomes effective. No individual notification of delegates shall be necessary.

3.4 Delegations of authority templates

3.4.1 Custodians shall be responsible, in consultation with the Legal Practice Group, for the development and maintenance of the delegation of authority templates in their respective management practices.

3.4.2 All UNOPS delegations of authority shall be in writing and shall be signed by the delegating official and the delegate to demonstrate the agreement to delegate authority and the acceptance of the delegated authority by the delegating official and the delegate, respectively.

³ Example: authority to award contracts based on formal methods of solicitation

⁴ Example: Level 1: USD 30,000; Level 2: USD 100,000; etc.

- 3.4.3 Levels of delegated authority set in delegations of authority shall be linked to master tables to the extent possible and practicable. Special conditions may be separately specified in delegations of authority.
- 3.4.4 All delegations of authority shall be numbered sequentially as follows: DOA-ABC-YY-NNN⁵, where:
- DOA stands for “delegation of authority” and is a constant;
 - [ABC]⁶ is the abbreviation of the practice under which the delegation of authority is issued, the abbreviation to be determined by the custodians;
 - [YY] is the year in which the delegation of authority is issued, from 00 to 99; and
 - [NNN] is the sequential number of the delegation of authority, from 001 to 999.

3.5 Required and optional information in delegations of authority

- 3.5.1 All delegations of authority shall contain, at a minimum, the following information:
- Sequential reference number;
 - Name and position of delegating official;
 - Name and position of delegate;
 - Signature of the delegating official and date of signature;
 - Signature of the delegate and date of signature;
 - Master table, category and level of delegated authority⁷; and
 - Acknowledgement by the delegate that s/he has read and understood the present Organisational Directive and all other applicable prescriptive content prior to signing the delegation of authority, and that s/he accepts the delegation of authority and undertakes to exercise authority delegated to him/her in accordance with applicable prescriptive content.
- 3.5.2 Delegations of authority that do not comply with the minimum information requirements in paragraph 3.5.1 shall be deemed null and void.
- 3.5.3 Delegations of authority may also contain the following optional information:
- Business unit or project for which the delegation of authority is valid, if applicable;
 - Special conditions, if applicable;
 - Limitation to the duration of the delegation of authority, if applicable;
 - Effective date of the delegation of authority if the date is not the date of the last signature, if applicable; and
 - Any other information deemed relevant by the custodian of authority.

⁵ For example: DOA-PRO-09-001; DOA-FIN-10-001; DOA-ENA-10-025; etc.

⁶ For example, Procurement = PRO; Finance = FIN; Engagement Acceptance = ENA; Human Resources =HRM.

⁷ For example, FIN Master Table, Category A, Level 2; PRO Master Table, Category C, Level 3; etc.

3.6 Records and accessibility of information

- 3.6.1 Custodians shall ensure that master lists and master tables shall be accessible on the UNOPS intranet to all UNOPS users.
- 3.6.2 Deputy Executive Director and custodians shall likewise ensure that delegations of authority be accessible on the UNOPS intranet to all UNOPS users.
- 3.6.3 Deputy Executive Director and custodians shall ensure that upon the issuance of a new delegation of authority, a scanned copy thereof is uploaded to the UNOPS intranet, and the relevant master list is updated. Delegations of authority shall not become effective until posted on the UNOPS intranet.
- 3.6.4 Records of delegations of authority, master lists and master tables shall be maintained on the UNOPS intranet in accordance with the UNOPS Records Retention Policy⁸.

4. THE FRAMEWORK FOR DELEGATIONS OF AUTHORITY AND THE INDIVIDUAL DELEGATE

4.1 Personal accountability

- 4.1.1 By accepting authority delegated to him/her by signing a delegation of authority and/or exercising delegated authority, each delegate assumes accountability as provided for in the Financial Regulations and Rules and applicable prescriptive content.
- 4.1.2 Accountability shall be enforced by UNOPS based on the terms of appointment and/or engagement of each delegate.

4.2 Compliance with prescriptive content

- 4.2.1 Delegates must exercise delegated authority in strict compliance with all prescriptive content and are therefore expected to keep themselves apprised of existing and updated prescriptive content.
- 4.2.2 Ignorance of prescriptive content shall not be an acceptable justification in cases where delegated authority is not exercised in accordance with applicable prescriptive content.

4.3 Authorisations

- 4.3.1 When delegates exercise authority, delegates may issue written one-off authorisations for specific actions based on such exercise of authority on a case-by-case basis to other UNOPS personnel. A record of such authorisations shall be kept by each delegate. An authorisation shall be one-off, limited to specific circumstances and shall not constitute a delegation of authority.

⁸ Organisational Directive No. 12

4.4 Responsibility to notify of changes

4.4.1 It shall be the responsibility of the delegates to inform the custodians and/or the focal point appointed by the custodians of changes in any of the following:

- (a) The delegate's functional title and/or terms of reference;
- (b) The expiration or termination of the delegate's appointment or contract;
- (c) The secondment, loan or transfer of the delegate to another organisation;
- (d) The delegate taking leave of absence longer than 90 days; and
- (e) The (re)assignment of the delegate to a different duty station.

4.4.2 A delegation of authority shall cease to be effective if any of the conditions in 4.4.1 above are triggered, regardless of whether the delegate has informed the custodian and/or the focal point.

4.5 Withdrawal or suspension of delegation of authority

4.5.1 Regional/headquarters directors may recommend to the relevant custodian to withdraw or suspend the authority of a delegate.

4.5.2 A delegation of authority may be withdrawn or suspended by the relevant custodian in writing at any time.

5. COMPLIANCE

5.1 Enforcement of compliance

5.1.1 The custodians and the regional/headquarters directors shall be responsible for the enforcement of compliance by delegates with their delegation of authority, this Organisational Directive and all other applicable prescriptive content.

6. FINAL PROVISIONS

6.1 Subordinate prescriptive content

6.1.1 Custodians are authorised to issue administrative instructions regulating the application of the Framework for Delegations of Authority in their respective practices. Such prescriptive content shall comply with the provisions of this Organisational Directive.

6.1.2 In the event of conflicts between the subordinate prescriptive content and this Organisational Directive, the provisions of this Organisational Directive shall prevail.

6.2 Responsibility for maintenance

6.2.1 The Legal Practice Group shall be responsible for the maintenance of this Organisational Directive.

6.3 Delegations of authority in emergency situations

6.3.1 In emergency situations, the Deputy Executive Director may issue such delegations of authority as may be necessary for the uninterrupted execution of UNOPS activities. Such emergency delegations of authority shall not be constrained by the provisions of this Organisational Directive.

6.4 Interpretation

6.4.1 The General Counsel is hereby authorised to interpret the provisions of this Organisational Directive.