

Executive Operational Instruction Ref. EOI.ED.2023.02 Delegation of Authority and Accountability Framework

Authority:

This Executive Operational Instruction (EOI) is promulgated by the Executive Director (ED) under EOD.ED.2017.02: Organisational Principles and Governance Model.

Purpose

The purpose of this EOI is to set out principles for the Delegation of Authority (DoA) and Accountability Framework at UNOPS.

Effective Date:

This EOI shall become effective on 1 October 2023.

Consequential Changes

This EOI shall supersede and replace EOI.ED.2021.02 - Delegation of Authority and Accountability Framework of 3 August 2021. The purpose of this revision is to reflect the transition of Delegation of Authority for Individual Contractor Agreements (ICA) from the Procurement Group to the People and Culture Group.

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1. Introduction

1.1 This EOI builds on the organisational principles concerning segregation of responsibilities and activities outlined in EOD.ED.2017.02: Organisational Principles and Governance Model and in EOI.ED.2021.03: Organisational Structure.

1.2 This EOI establishes the core principles for the DoA and Accountability Framework at UNOPS, aligned with UNOPS' decisions points and the organisational structure and levels.

1.3 This EOI covers all personnel, regions, and activities at UNOPS.

2. Rationale

2.1. The DoA and Accountability Framework is an essential component of UNOPS' Legislative Framework.

2.2. As such, the DoA and Accountability Framework creates a foundation for linking authority with responsibility and accountability throughout the organisation. It promotes empowerment at all levels and should aid the organisation in transparent, effective, and efficient decision making.

2.3. The DoA and Accountability Framework's objective is to create transparency for key decisions, as well as to serve as the mechanism for ensuring that transactions are executed and the organisation is committed within the scope of the delegated authorities.

3. Delegation of Authority

3.1. Authority to represent (i.e. the authority to exercise official representation functions on behalf of the organisation), and to commit (i.e. the authority to approve binding arrangements to be entered into between UNOPS and third party(ies)), the organisation shall rest with the Executive Director (ED).

3.2. Authority to represent and/or commit the organisation are delegated to staff members responsible for the respective delegation of authority master tables to be issued under this EOI (DoA Master Tables- see below). Authority to represent and/or commit the organisation may, in addition, be delegated by the ED to individual staff members at his/her discretion.

3.3. Authority shall be delegated in accordance with the principle to segregate duties under UNOPS' governance and organisational framework.

3.4. Authority shall be delegated in the UNOPS Access and DOA management tool. Offline DoA shall no longer be permitted.

3.5. UNOPS organisational structure primarily consists of geographical entities (e.g. Regions and Countries), designed to deliver local portfolios. As default, they provide geographic leadership and engage in a designated geographical area. These geographical entities typically perform revenue centre functions. Authority shall therefore be primarily delegated downwards through the geographically driven structure (e.g. Regions and Countries).

3.6. UNOPS access and DOA management tool shall be configured in accordance with the provisions in 3.5. above.

3.7. DoA shall be personal to a staff member/other personnel based on his/her capability and the authority needed in her/his position for UNOPS operationalize its mandate and commitments.

3.8. The issuance of DoA may be restricted to certain UNOPS contract types. Such restrictions shall be recorded in the UNOPS access and DOA management tool. Exceptions may be granted by the relevant DOA Master Table Owners, in consultation with the ICF Specialist and other units, as need be. Such exceptions shall be recorded in the UNOPS access and DoA management tool.

3.9. A DoA holder shall:

- exercise authority in accordance with the United Nations and UNOPS policies, principles, and values,
- exercise authority in accordance with the United Nations and UNOPS regulations and rules,
- refrain from exercising authority if it creates an actual, perceived, or potential conflict of interest,
- report to the immediate supervisor and the relevant DoA Master Table Owner any actual, perceived, or potential conflicts of interest and/or ambiguity arising from exercising of delegated authority.

3.10. Actions undertaken as a result of a DoA shall be within the limits of the DoA.

3.11. Except for the Executive Director and the DoA Master Table Owners, a DoA holder shall not further delegate his/her delegated authority, with two exceptions: (i) a DoA holder may further delegate authority or specific parts of the authority only to another individual with equal or higher delegated authority to act on her/his behalf as a temporary measure; (ii) if the former is not possible, then a DoA holder may further delegate authority or specific parts of the authority only to another individual with lower authority to act on her/his behalf as a temporary measure with the approval of the relevant DOA Master Table Owner. In both cases, a temporary DoA holder cannot further delegate. Such exceptions shall be duly recorded and shall only be granted for a limited period of time. The Officer-in-Charge (OIC) role in the UNOPS Access and DOA management tool shall be used for these cases. The DoA holder shall approve OIC requests in the UNOPS Access and DOA management tool.

3.12. DOAs shall be revoked automatically in the UNOPS Access and DOA management tool when the DOA holder leaves UNOPS or changes positions within UNOPS.

3.13. DOA may also be revoked by decision of the DoA Master Table Owners or other authorised department, e.g. Ethics and the Fraud and Investigations team.

4. Authorization to Manage and Execute

4.1. A DoA holder may authorize a staff member/other personnel to manage and execute certain matters under his/her supervision, that is, to carry out certain actions necessary to deliver on the commitments and decisions made by the DoA holder.

4.2. Such an authorization to manage and execute is to be understood to include actions such as executing and managing processes and staff members/other personnel, as long as these fall strictly within the authorization from the DoA holder.

4.3. The DoA holder can provide authorizations to a level of detail of his/her discretion as long as it's documented and clear to all parties to what actions the authorization extends and what matters can be executed on his/her behalf.

4.4. However, responsibility and accountability for the decision(s) related to the authorization shall remain with the DoA holder.

4.5. When authorizing staff members/other personnel to manage and execute, the DoA holder shall ensure the authorization is recorded and auditable, and the authorized personnel shall manage and execute the matters assigned to him/her in accordance with and within the limits of such authorization.

4.6. It shall be the responsibility of the DoA holder to ensure his/her decisions and authorizations are at all times recorded.

5. DoA Master Tables/ DoA Master Tables Owners

5.1. The following authorities may and shall be delegated in accordance with this EOI and this section in particular:

Organisational Structure

- Authority to establish global functional organisational structures shall rest with the ED.
- Authority to establish geographical regional organisational structures at the Regional, Country Office, and Multi Country Office levels shall rest with the Director, Regional Portfolio.
- The authority to establish geographical organisational structures at the Project Office level rests with the respective Regional Director

Official Representation

- Authority to officially represent UNOPS shall rest with the ED, or other staff members upon DoA from the ED.

Management of Partners and Resulting Agreements

- Authority to manage UNOPS partners and resulting agreements shall be split as follows:
 - Authority to approve Framework, Teaming and Collaborative Agreements shall rest with the ED, the DED or the Regional directors as per the relevant DoA Master Table managed by the Director, Regional Portfolios.
 - Authority to approve Engagement Acceptance and Engagement Closure shall rest with the ED, the DED, the Regional directors, Country directors, or Regional Management Oversight Advisors as per the relevant DoA Master Table managed by the Director, Implementation Practices and Standards.

Grants

- Authority to approve grants shall rest with the ED, the DED, or the Regional directors, Country directors, Regional Management Oversight Advisors, or other UNOPS personnel as per the relevant DoA Master Table managed by the Director, Implementation Practices and Standards.

Finance

- Authority to manage and execute financial matters as per the below list shall rest with the ED, the Director, Administration/Chief Financial Officer (CFO), and other staff members/other personnel as per the relevant DoA Master Table managed by the Director, Administration/CFO:
 - Cash Management;
 - Engagement and Project Budget Management;
 - Invoice/ revenue Management;
 - Expenditure Management;
 - General ledger, Financial Reporting & Other;
 - Advance Financing and Advance Payment;
 - Treasury.

Procurement

- Authority to manage and execute procurement transactions as per the below list shall rest with the ED, Executive Chief Procurement Officer (ECPO) and other staff members/other personnel as per relevant DoA Master Table managed by the ECPO:
 - Delegated Authority for Goods and Services;

Human Resources

- Authority to manage HR matters shall rest with the ED, the Director, Administration/CFO, the Director, People and Culture Group, the Regional directors, and other staff members/other personnel as per the relevant DoA Master Table, managed by the Director, Administration/CFO.

Individual Contractor Agreements (ICAs)

- Authority to manage and execute ICA related matters shall rest with the ED, Director PCG and other staff members/other personnel as per relevant DoA Master Table managed by the Director PCG:
 - Delegation of Authority for Individual Contractor Agreements.

Legal

- Authority to manage legal matters shall rest with the ED, the Director, Legal Group/General Counsel, or other staff members/other personnel upon DoA from the Director, Legal Group/General Counsel.

Security and Safety

- Authority for security & safety and business continuity planning shall rest with the ED, the UNOPS Chief Security Officer, the Regional Directors and the UNOPS Security Focal point (i.e.the highest serving UNOPS personnel, not limited to staff, residing in country) as per the relevant directives and instructions.

6. Responsibilities and Accountability of DoA Master Table Owners

6.1. The DoA Master Table Owners shall be responsible and accountable for establishing DoA Master Table(s) containing DoA levels and associated limits, responsibilities and accountability.

6.2. The DoA Master Table Owners shall be responsible and accountable for maintaining registers, recording DoA, their holders and the reasons for such DoA.

6.3. Any changes to the DoA Master Tables shall be communicated to the ICF Specialist in order to configure such changes into the UNOPS Access and DoA management tool.

6.4. DoA to the DoA Master Table Owners, falling under DoA Master Table they are responsible to manage, shall be issued to the DoA Master Table Owner by the Executive Director, or the Deputy Executive Director on the delegation from the Executive Director.

6.5. All UNOPS personnel shall comply with this EOI, the DoA and associated limits. The DoA Master Tables shall be made available on UNOPS' intranet to all UNOPS personnel.

6.6. The DoA Master Table Owners shall provide systems, processes and support to allow DoA holders to record and document their decisions and authorizations under section 4 above.

7. Compliance and Exceptions

7.1. Compliance with this EOI shall be audited periodically by the Internal Audit and Investigations Group.

7.2. Any ambiguity pertaining to DoA and associated limits shall be handled by the DoA Master Table Owners, or escalated to the Executive Director.

7.3. Any exceptions to this EOI shall only be authorized by the Executive Director.
