SC66 Inf.4 (English only / únicamente en inglés / seulement en anglais)

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA



Sixty-sixth meeting of the Standing Committee Geneva (Switzerland), 11-15 January 2016

Administrative and financial matters

Administration of the Secretariat

1998 MEMORANDUM ON ARRANGEMENTS FOR ADMINISTRATIVE SUPPORT BY THE UNITED NATIONS SECRETARIAT TO THE PERMANENT SECRETARIAT TO THE UNITED NATIONS CONVENTION TO COMBAT DESERTIFICATION (UNCCD)

This information document has been prepared by the Secretariat in relation to the agenda item 9.3 on Report of the Working group on options for administrative hosting arrangements for the CITES Secretariat.

Briefing note for the CITES Standing Committee Working Group on Administrative Hosting Arrangements (Prepared by the CITES Secretariat, August, 2015)

# **Attachment 4**

1998 Memorandum on Arrangements for Administrative Support by the United Nations Secretariat to the Permanent Secretariat to the United Nations Convention to Combat Desertification (UNCCD)





22 April 1998

TO:

Mr. Hama Arba Diallo, Executive Secretary Interim Secretariat of the Convention to Combat Desertification Geneva

FROM:

Joseph E. Connor Under-Secretary-General Department of Management

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SUBJECT: Arrangements for Administrative Support by the United Nations Secretariat to the Permanent Secretariat to the United Nations Convention to Combat Desertification (UNCCD)

The purpose of this memorandum, now that the consultations between UNCCD and the Department of Management on this subject have been concluded, is to establish the Arrangements for Administrative Support by the United Nations to the Permanent Secretariat to the United Nations Convention to Combat Desertification (UNCCD) and define the lines of responsibility of all the parties concerned arising from resolution 52/198.

These arrangements will become valid with the establishment of the Permanent Secretariat to the United Nations Convention to Combat Desertification. They will be kept under review by DM, UNOG Division of Administration and the UNCCD Secretariat and adjusted in the light of evolving administrative experience.

In order to ensure a smooth transition, as well as a timely relocation of the UNCCD Secretariat to Bonn, provisional arrangements are included under Chapter D below.

## A. General

1. Pursuant to General Assembly resolution 52/198 of 18 December 1997, which endorsed the institutional linkage between the Convention secretariat (UNCCD) and the United Nations as outlined in the report of the Secretary-General on the implementation of General Assembly resolution 51/180 (A/52/549), the purpose of this memorandum is to establish personnel, financial and common support services arrangements for administrative support to UNCCD secretariat for the period1999-2000 and defines lines of responsibility of all parties concerned arising from resolution 52/198.

2. These arrangements will be reviewed by the Secretary-General of the United Nations and the Executive Secretary of the UNCCD in the course of the year 2000, with a view to making

such modifications as may be considered desirable by both parties and to report thereon to the General Assembly at its fifty-fifth session and to the UNCCD Conference of the Parties (COP) at its fourth session.

#### B. Personnel Arrangements

3. The Executive Secretary of the UNCCD will be appointed by the Secretary-General after consultation with the COP through its Bureau. The Executive Secretary will report to the Secretary-General on administrative and financial issues through the Under-Secretary-General for Management.

4. The Executive Secretary will administer the staff of the UNCCD secretariat in accordance with United Nations Staff Regulations and Rules and such special rules which may be established by the Executive Secretary in agreement with the Secretary-General, and in accordance also with the United Nations common system of salaries and allowances.

5. The Secretary-General shall retain the authority to promulgate and/ or interpret, as the case may be, the Staff Regulations and Rules, and to take final decisions in appeals and disciplinary cases under Articles X and XI of the Staff Regulations and in compensation claims under Appendix D of the Staff Rules.

6. Subject to paragraph 7 above, the Executive Secretary will have authority to appoint, up to and including the D-2 level, UNCCD staff whose appointment will be limited to service with the UNCCD secretariat; to promote all staff of the UNCCD up to that level and to terminate appointments of all staff of the UNCCD up to that level, except for terminations under Article X of the Staff Regulations. The provisions of ST/SGB/213/Rev.1, concerning the designation of staff members performing significant functions in financial, personnel and general services management, shall be applicable to the UNCCD Secretariat.

7. The Executive Secretary shall further have the authority to appoint, promote and terminate project personnel appointed under the 200-series of the Staff Rules up to the L-7 level, except for terminations under Article X of the Staff Regulations.

8. The Joint Appeals Board, the Joint Disciplinary Committee, the Claims Board and the Advisory Board on Compensation Claims, established by the Secretary-General to advise him on staff matters will continue to have jurisdiction as regards all staff serving with the UNCCD.

9. The United Nations will conduct recruitment at the request and on behalf of the Executive Secretary, and will administer the staff so recruited. "Administration" in this context signifies taking decisions on, and processing of, statutory entitlements under the Staff Regulations and Rules and giving effect to decisions taken by the Executive Secretary regarding the appointment, promotion, transfer and separation of staff.

10. Consistent with the Staff Regulations and Rules of the United Nations, a UNCCD staff representative body shall be established.

11. The Executive Secretary shall establish, after consultation with the Secretary-General, an Appointment and Promotion Board for the UNCCD. The Board will consider all appointments and promotions of staff in the Professional category and above, and shall render its advice thereon to the Executive Secretary.

12. The UNCCD Appointment and Promotion Board will consist of three members and three alternate members, appointed by the Executive Secretary. The staff member responsible in UNCCD for administrative and financial matters will be a non-voting <u>ex-officio</u> member. At least one member and one alternate will be appointed from among staff members nominated by the UNCCD staff representative body.

13. In its proceedings, the UNCCD Appointment and Promotion Board will follow the Staff Regulations and Rules, the procedures of the Appointment and Promotion Board at Headquarters and the policies of the Secretary-General on personnel matters.

14. Staff members of the interim secretariat who on 1 January 1999 are holding permanent United Nations appointments will, subject to the agreement of UNCCD and of the staff members concerned, be seconded or loaned to UNCCD, subject to the rules and procedures of the Inter-Organization Agreement concerning transfer, secondment and loan of staff among the Organizations applying the United Nations common system of salaries and allowances.

15. Staff members of the interim secretariat who on 1 January 1999 are holding a United Nations fixed-term appointment approved on the recommendation of the United Nations appointment and promotion machinery will, subject to their and UNCCD's approval, receive UNCCD letters of appointment which will specify the level of their prior United Nations appointment. On an exceptional basis, they shall remain eligible to apply for internal vacancy announcements issued by the United Nations Secretariat.

16. Staff members of the interim secretariat who on 1 January 1999 do not hold letters of appointment approved by the Secretary-General on the recommendation of the United Nations appointment and promotion machinery may receive United Nations appointments limited to service with the UNCCD. Appointments or other personnel contracts made after 1 January 1999 shall be limited to service with the UNCCD. Movements of staff between the UNCCD secretariat and other parts of the UN Secretariat will be subject to the same conditions and arrangements as are applicable to staff serving with voluntarily-funded programmes of the United Nations.

17. Recruitment of UNCCD Professional staff shall be made bearing in mind the provisions of Article 101, paragraph 3 of the Charter of the United Nations and the guidelines for voluntarily funded programmes. Such staff will be separately reported to the General Assembly in the Secretary-General's annual report on the composition of the Secretariat.

C. Financial and Common Services Arrangements

(a) <u>General provisions</u>

18. Financial and common services arrangements shall be governed by the Financial Regulations and Rules of the United Nations, and shall also be consistent with the Financial rules adopted by the Conference of the Parties (Decision 2/COP.1).

19. Taking into account that the resources of the UNCCD are constituted by contributions from Parties to the Convention and are distinct from United Nations resources, the financial transactions of the UNCCD that utilize these resources shall be exempt from such restrictions as the Secretary-General may, from time to time, impose regarding the employment of staff and consultants and the use of funds for operational requirements, including restrictions that may be taken due to the financial situation of the United Nations.

20. Financial and common support services to the UNCCD secretariat will be provided by the Division of Administration, UNOG, and the Treasury in accordance with their respective responsibility.

(b) Establishment and maintenance of trust funds

21. With effect from 1 January 1999, and as contained in the Financial rules of the Convention approved by the COP, at its first session, the Secretary-General shall establish the following three new trust funds:

- (a) a General Fund for the core budget of the Convention, as provided in rule 7 of the UNCCD Financial rules;
- (b) a Supplementary Fund for facilitation of various activities under the Convention, as provided in Rule 9 of the UNCCD Financial rules; and
- (c) Special Fund for travel of representatives from developing country Parties, as provided in rule 10 of the UNCCD Financial rules.

22. The balance as of 31 December 1998 in the Trust Fund for Supporting the Negotiating Process shall be transferred to the Supplementary Fund, and the balance in the Special Voluntary Fund for Participation shall be transferred to the Special Fund, in accordance with the relevant provisions of the United Nations financial regulations and rules.

23. UNCCD trust funds shall be subject to arrangements related to Appendix D of the Staff Rules and Regulations. The related resources and expenditures shall be accounted for under a separate account to be established by UNOG for this purpose.

24. For the purpose of recording funds and expenditures the UNCCD trust funds shall be administered in accordance with the provisions of ST/AI/284 with the following exceptions:

(a) no operational reserve shall be maintained under the General Fund for the Convention, on the understanding that a Working Capital Reserve, as provided by rule 8 of the UNCCD financial rules, will be maintained and administered under this account. Operational reserves under the other UNCCD trust fund accounts may be established and maintained at levels agreed upon in consultation between the Executive Secretary and UNOG;

(b) The UNCCD secretariat will not be required to submit cost plans, annual substantive and programme performance reports to the United Nations Secretariat. It shall, however, develop and maintain such financial planning and reporting practices as are appropriate to permit internal management control and adequate reporting to, and control by the Board of External Auditors of the United Nations and the COP.

# (c) <u>Contributions</u>

25. Notifications of contributions due by the Parties to the Convention shall be processed by the United Nations Office in Geneva (UNOG) in cooperation, as appropriate, with the UNCCD secretariat, on the basis of the COP approval of the core budget and the Executive Secretary's communication of the indicative scale of contributions, as well as his estimates of the contribution due from each Party. Pledged contributions either in cash or in Kind will be recorded under the appropriate trust fund, upon acceptance of the pledge by the Executive Secretary. Contributions in cash to all UNCCD accounts shall be deposited with United Nations Office in Genera. Attention: Chief, Financial Resources Management Section, Division of Administration.

26. UNOG will promptly advise the Executive Secretary of the receipt of contributions and will acknowledge receipt to the donors and other funding sources. On a semi-annual basis, the United Nations shall provide the Executive Secretary a status of pledged and paid contributions.

(d) <u>Treasury</u>

27. The United Nations shall open, in consultation with the Executive Secretary, bank accounts for UNCCD monies in such locations and currencies as may be required, and shall designate signatories for those accounts in consultation with the Executive Secretary. The United Nations will invest UNCCD monies not immediately required.

## (e) <u>The Budget</u>

28. The Executive Secretary shall issue allotments and staffing tables for activities under the UNCCD trust fund accounts.

29. Certification authority for expenditures from UNCCD trust funds shall reside with the Executive Secretary, who may delegate this authority.

(f) Accounting and reporting

30. The Director of Administration, UNOG will maintain, in consultation with the Executive Secretary, the accounts for the UNCCD; approve payments and make disbursements on behalf of

the UNCCD secretariat; provide payroll services; record obligations and disbursements; and report the accounts to the Executive Secretary in accordance with established procedures.

31. No disbursement will be made by the Director of Administration, UNOG if funds are not available in the related UNCCD trust fund.

32. A petty cash fund may be established, if deemed necessary and up to such limits as may be agreed upon between the Director of Administration, UNOG and the Executive Secretary.

33. On a monthly basis, UNOG shall provide the Executive Secretary with information on the status of allotments, trial balance and unliquidated obligations. Interim and final accounts shall be provided to the Executive Secretary for certification and submission to the Board of Auditors and to the Conference of the Parties in accordance with the UNCCD Financial rules.

# (g) Procurement of goods and services

34. The Executive Secretary may approve the procurement of goods and services up to a maximum of \$50,000 for each transaction, provided that:

- (a) except as provided in (c) below, contracts involving commitments in excess of \$20,000 shall be let only after competitive bidding or calling for proposals; if proposals are called, a comparative analysis of such proposals shall be kept on record;
- (b) contracts shall be awarded to the lowest acceptable bidder, provided that where the interests of the Convention so require, all bids may be rejected. In such cases, the Executive Secretary shall record the related reasons and provide them to UNOG;
- (c) the Executive Secretary may award contracts without calling for proposals, or formal invitations to bid, in the circumstances set out in paragraphs (b) to (g) of UN financial rule 110.19; in such cases, appropriate reasons shall be recorded and provided to UNOG.

35. In the case of a transaction in excess of \$50,000, procurement will be handled under the procedures set out in UN financial rule 110.17 (d) as applicable to UNOG.

36. The employment of consultants, within available allotments, shall be decided by the Executive Secretary, who shall consult UNOG on the level of related fees.

37. Travel of the UNCCD staff shall be authorized by the Executive Secretary at standards not higher than those established by the United Nations from time to time. Travel of representatives of Parties paid from the UNCCD Special Fund shall be governed by the provisions of ST/SGB/107/Rev. 6 and by the related decisions of the COP.

38. All three accounts established for UNCCD are subject to 13 percent programme support reimbursement.

(h) <u>Reimbursement for services provided by the United Nations</u>

39. The programme support reimbursement shall be used, in part, for financing the Administrative Unit of the UNCCD Secretariat. The number of such posts shall be determined from time to time by the United Nations after consultation with the Executive Secretary. Proposals for related allotments shall be submitted to the Programme, Planning and Budget Division through the United Nations Office at Geneva. The remaining reimbursement funds will be used for financing the services provided for the UNCCD secretariat by the United Nations departments and offices involved.

(I) <u>Conference Services</u>

40. The United Nations Secretariat will provide through UNOG conference services to the sessions of the Conference of the Parties and its subsidiary bodies, in accordance with General Assembly resolution A/52/198.

#### D. Arrangements for the transitional period during 1998

41. In order to ensure a smooth transition as well as a timely relocation of the UNCCD secretariat to Bonn early in 1999, the Executive Secretary upon his designation is hereby, exceptionally authorized in 1998, to:

- (a) take the necessary steps to permit the constitution of a staff representative body, duly elected by the UNCCD staff;
- (b) establish an interim UNCCD Appointment and Promotion Board, after consultation with the Secretary-General;
- (c) prepare job descriptions for each post in the approved staffing table, and have them classified by the appropriate United Nations service; and
- (d) initiate the appointment procedure for those UNCCD staff who are recommended for the posts in the approved staffing table as of 1 January 1999, with a view to completing that procedure before that date. Appointments will be effective not earlier than 1 January 1999.