Executive Office Directive Ref. EOD.ED.2017.02
Organizational Principles and Governance Model

Authority:

This Executive Office Directive (EOD) is promulgated by the Executive Director, on the basis of my authority under UNOPS Financial Regulation 3.01.

Purpose:

This EOD sets out UNOPS organizational principles and governance model.

UNOPS organizational structure (i.e. the organogram) and the roles and responsibilities of UNOPS units shall be defined in an Executive Office Instruction (EOI) to be promulgated under this EOD.

Effective Date:

This EOD shall become effective **immediately**.

Consequential changes:

It shall supersede and replace Executive Office Directive No. 2 of 19 September 2016.

[signature redacted]

Grete Faremo
Executive Director

1. Introduction

1.1. UNOPS governance shall be based on the following organizational principles and governance model.

2. Organizational Principles

2.1. UNOPS governance shall be based on the Governance, Risk and Compliance (GRC) framework's principled performance approach, to help the organisation reliably achieve its objectives, address uncertainty, and act with integrity, as well as the following organizational principles resulting from this approach:

- The oversight, management, controllership and assurance of UNOPS activities shall be segregated to prevent the risk of conflicts, errors and fraud and to ensure the efficiency and quality of such activities;
- Authority shall be delegated to the most appropriate level and shall come with accountability;
- UNOPS activities shall be managed by exception, that is, that issues and opportunities shall be managed and elevated and/or reported through UNOPS management in accordance with UNOPS framework, in particular UNOPS delegation of authority framework, and/or as may be required;
- UNOPS activities shall be carried out on the basis of risk-informed decisions, with risks being re-assessed continuously throughout the implementation of UNOPS activities and in line with UNOPS risk appetite at the operational and global levels.

3. Governance Model

3.1. UNOPS governance shall be organized around five blocks to ensure that duties and powers are segregated at all level of the organisation: (i) External Oversight; (ii) Executive Office Oversight; (iii) Operations Management; (iv) Risk, Compliance and Financial Controllership; and (v) Assurance.

External Oversight

3.2. The external and high-level oversight of UNOPS activities shall be carried out by external United Nations entities such as the United General Assembly, the Secretary-General, the Executive Board, the United Nations Board of Auditors, etc., which shall be the point of reference for the Executive Director.

Executive Office Oversight

3.3. The Executive Director shall be responsible and accountable for:

- defining UNOPS governance model and its organizational structure, including the definition of the roles, responsibilities and accountabilities of the different units of the organisation;
- defining UNOPS Legislative Framework and establishing control mechanisms to ensure that UNOPS activities are in compliance with such Legislative Framework; and,
- setting out UNOPS strategy in accordance with the Executive Board's strategic plan, determining UNOPS overall risk appetite, and establishing a risk and quality framework to support the organisation in managing risks.

3.4. The Director, Regional Portfolios, ~~Deputy Executive Director~~ [REV. 05.05.2020] shall be responsible and accountable for overseeing the management and implementation of UNOPS operations.

Operations Management

3.5. UNOPS Regional Directors shall be responsible and accountable for the day-to-day management and implementation of UNOPS operations in accordance with UNOPS strategy and legislative framework, and in particular for monitoring, reporting, elevating and mitigating associated operational risks.

3.6. UNOPS Legislative Framework shall be developed and promulgated by the Executive Director, the Executive Deputy Director and the UNOPS personnel who have received delegation of authority to do it (the Delegates). The Delegates shall not be also responsible for, or have the authority over, the management and implementation of UNOPS operations.

Risk, Compliance and Financial Controllership

3.7. While risk, compliance and financial management shall be the responsibility of each UNOPS personnel within the scope of her/his delegation of authority and terms of reference, independent risk, compliance and financial controllership of UNOPS activities shall be provided by the UNOPS unit(s) which have received delegation of authority from the Executive Director to do it.

Assurance

3.8. The UNOPS unit(s) in charge of internal audits and investigations shall be responsible and accountable to provide independent assurance of how the organisation manages its activities in line with UNOPS governance model, legislative framework and strategy, in particular with regard to how UNOPS manages its risks, how effective UNOPS units are operating, and make recommendations to the Executive Director in this regard.