**ANNEX A: Summary table of delegated authorities of UNDP Administrator (updated 18 January 2017)**

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| **Areas** | **Sub areas** |  | **Areas** | **Sub areas** |
| A. UN coordination | A1. UNDG and nomination of RC |  | G. Cash and financial management | G4. Financial statements and records |
| B. UNDP administered funds and programmes | B1. Appointment of Executive heads |  | G5. Designation of key finance functions and roles in Atlas |
| B2. UNCDF governance arrangements | H. Human Resources management | H1. Appointment of key staff and strategic placements |
| B3. UNV governance arrangements | H2. Appointment of staff |
| B4. UNOSSC governance arrangements | H3. One up promotions and lateral moves |
| C. UNDP Programmes | C1 - Partnerships |  | H4. Staff benefits, entitlements and payroll disbursement |
| C2. Government and donor agreements |  |
| C3. Internal governance arrangement | H5. Creation of positions and job classification |
| C4. Programme management | H6. Disciplinary actions |
| C5. Project management | H7. Termination of staff |
| C6. Programme audit | H8. Workforce Management |
| C7.  Fast Track Policies and Procedures | H9. Extension of service beyond retirement age |
| C8. Administrative Agent function for MPTF |  | H10. Adaptation of relevant Staff Regulations & Rules |
| D. Policies & procedures | D1. Governing documents, policies and procedures |  | I. Travel | I1. Travel authorization |
| E. Budgeting and allocation of funds | E1. Financial Instruments and authorizations |  | J. Safety and security | J1. Appointment of Senior Security Manager |
| E2. Integrated Budget (Institutional Component (IB/IC) | J2. Safety and security policies |
| E3. TRAC resource allocation | J3. Staff safety and security measures |
| E4. Allocation from Thematic Trust Funds | K. Procurement and asset management | K1. Approval of procurement contracts |
| K2. Individual contractor |
| F. Cost recovery | F1. Cost recovery | K3. Write off of assets and disposal of assets |
| G. Cash and financial management | G1. Reserves |  | L. Independent oversight | L1. Audit related authority |
| G2. Investment Committee |  | L2 Investigation related authority |
|  | L3. Evaluation related authority |
| G3. Cash management, grants and payments |  | L4. Ethics office related authority |

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| 1. **UN Coordination** | | | | | | | | | | |
| **A1. UNDG and nomination of RC** | | | | | | | | | | |
| A1.1 Exercise authority as Chair of UNDG. | Management and Accountability System of the UN Development and RC System (27 Aug 2008) | ADM |  |  |  |  |  |  |  |  |
| A1.2 Recommends (in the capacity of Chair of UNDG) Resident Coordinators to be appointed by the Secretary-General. | ADM |  |  |  |  |  |  |  |  |
| A1.3 Exercises authority as the Chair of the Regional Directors Team. |  |  | Directors  RBX |  |  |  |  |  |  |
| A1.4 Exercises authority as the Chair of the UN country Team. |  |  |  |  |  |  | UN RC |  |  |
| A1.5 Approves and signs the UNDAF document in consultation with participating UN agencies & programme Government. |  |  |  |  |  |  | UN RC |  |  |
| **B. UNDP Administered Funds and Programme** | | | | | | | | | | |
| **B1. Appointment of Executive Heads of UNDP administered funds and programme** | | | | | | | | | | |
| B1.1 Appoints the Executive Secretary of UNCDF. | GA resolution 2186 (XXI) dated 13 Dec 1966; GA resolution 2321(XXII) of Dec 1967. | ADM |  |  |  |  |  |  |  |  |
| B1.2 Appoints the Executive Coordinator of UNV. | GA resolution A/res/2659 (XXV) | ADM |  |  |  |  |  |  |  | **In consultation with the Secretary General** |
| B1.3 Approves the Annual Report of UNCDF and the biennial report of UNV for submission to the UNDP Executive Board. | UNDP internal governance arrangement as endorsed by OPG in 2012. | ADM |  |  |  |  |  |  |  | **Note:** Financial Statements are subject to certification by UNDP’s Comptroller/CFO. |
| B1.4 Reports to the UNDP Executive Board and submits its business/strategic plan for approval. | UNDP internal governance arrangement as endorsed by OPG in 2012. |  |  |  |  | Executive Secretary UNCDF and Executive Coordinator UNV |  |  |  |  |
| **B2. UNCDF governance arrangement** | | | | | | | |  | | |
| B2.1 Approves UNCDF global, regional and country projects; decides on the selection of executing entities. | GA resolution 2186 (XXI) dated 13 Dec 1966 |  |  |  |  | Executive Secretary UNCDF |  |  |  | Based on the Business Plan approved by the Executive Board |
| B2.2 Approves the mobilization of cost-sharing and trust-fund resources for UNCDF activities, signs cost-sharing agreements; establishes trust funds and signs agreements regarding donor contributions to established trust-funds. | GA resolution 2186 (XXI) dated 13 Dec 1966 |  |  |  |  | Executive Secretary UNCDF |  |  |  |  |
| B2.3 Allocates all resources available to UNCDF; allocates the approved level of core resources to each practice area within UNCDF. | GA resolution 2186 (XXI) dated 13 Dec 1966 |  |  |  |  | Executive Secretary UNCDF |  |  |  |  |
| **B3. UNV governance arrangement** | | | | | | | | | | |
| B3.1 Approves the UNV Integrated Budget and submit to UNDP for EB approval |  |  |  |  |  | Executive Coordinator UNV |  |  |  |  |
| B3.2 Is the Fund manager for UNV resources and allocates these resources. | GA resolution A/res/2659 (XXV) |  |  |  |  | Executive Coordinator UNV |  |  |  |  |
| B3.3 Approves UNV Global Programme; UNV-funded global, regional and country projects; selects executing entities including DIM implementing and oversees their performance. | GA resolution A/res/2659 (XXV) |  |  |  |  | Executive Coordinator UNV |  |  |  |  |
| B3.4 Signs global donor agreements relating to contributions to UNV. | GA resolution A/res/2659 (XXV) |  |  |  |  | Executive Coordinator UNV |  |  |  |  |
| B3.5 Mobilizes cost-sharing and TF resources for UNV activities. | GA resolution A/res/2659 (XXV) |  |  |  |  | Executive Coordinator UNV |  |  |  |  |
| B3.6 Approves and signs agreements and establishes terms of reference for cost-sharing and trust-fund arrangements. | GA resolution A/res/2659 (XXV) |  |  |  |  | Executive Coordinator UNV |  |  |  |  |
| B3.7 Approves policies and procedures on UN Volunteers management | GA resolution A/res/2659 (XXV) |  |  |  |  | Executive Coordinator UNV |  |  |  | Policies and procedures only with respect to UN volunteers’ management |
| B3.8 Take disciplinary action in respect of all UN volunteers |  |  |  |  |  | Executive Coordinator UNV |  |  |  |  |
| B3.9 Authority to clear UNV change management initiative |  |  |  |  |  | Executive Coordinator UNV |  |  |  | In consultation with AA. |
| **B4. United Nations Office for South – South Cooperation (UNOSSC) governance arrangement** | | | | | | | |  | | |
| B4.1 Is an ex-officio member of the Bureau of the High-level Committee (HLC) and serves as a substantive secretariat of the HLC directly reporting to the President of the HLC Bureau. | GA resolutions 33/134, 64/222 and 68/230 |  |  |  |  | Director UNOSSC |  |  |  |  |
| B4.2 Is the Author of the Secretary- General biennial report on SSC to the General Assembly. | GA resolutions 33/134, 64/222 and 68/230 |  |  |  |  | Director UNOSSC |  |  |  |  |
| B4.3 Approves the mobilization of resources for the United Nations Fund for South-South Cooperation (UNFSSC), the Perez-Guerrero Trust Fund (PGTF) and the India Brazil South Africa (IBSA) Trust Fund as well as cost sharing agreements. | GA resolutions 33/134, 64/222 and 68/230 |  |  |  |  | Director UNOSSC |  |  |  |  |
| B4.4 Signs UN to UN contribution agreements, MOUs and Letters of Exchange, and donor agreements relating to contributions for the UNFSSC for SSC, the PGTF and the IBSA Trust Fund. | GA resolutions 33/134, 64/222 and 68/230 |  |  |  |  | Director UNOSSC |  |  |  |  |
| B4.5 Is the Fund manager for the UNFSSC and the resources under the South-South Cooperation Framework allocated by the EB and approves projects using such resources. | GA resolutions 33/134, 64/222 and 68/230 |  |  |  |  | Director UNOSSC |  |  |  |  |
| B4.6 Is the manager for the PGTF and the IBSA Trust Fund and endorses use of resources from these funds based on respectively proposals submitted by parties or projects approved by the Board of the PGTF and the IBSA Trust Fund. | GA resolutions 33/134, 64/222 and 68/230 |  |  |  |  | Director UNOSSC |  |  |  |  |
| **C. UNDP Programme** | | | | | | | | | | |
| **C1. Partnerships** | | | | | | | | | | |
| C1.1 Authority to sign global Partnership Agreements on behalf of UNDP |  | ADM |  |  |  |  |  |  |  | **Director BERA may sign with delegation from ADM** |
| C1.2 Authority to sign Regional Partnership Agreements on behalf of UNDP |  |  |  | **Director RBx** |  |  |  |  |  |  |
| C1.3 Authority to sign Thematic Partnership Agreements on behalf of UNDP |  |  |  |  | **Director BPPS** |  |  |  |  |  |
| C1.4 Authority to sign global agreements for UNDP services |  |  |  |  | **Director BMS** |  |  |  |  |  |
| **C2 Government and donor agreements** | | | | | | | |  | | |
| C2.1 Approves the Standard Basic Assistance Agreements (SBAA). | FRR Regulation 16.03 | ADM |  |  |  |  |  |  |  |  |
| C2.2 Approves the Standard Basic Executing Agency Agreement (SBEAA). | UNDP internal governance arrangement as endorsed by OPG in 2012. |  | AA |  |  | Executive Secretary UNCDF |  |  |  | Based on the delegated authority of ADM  In the Countries where UNCDF doesn’t have its own SBAA, it operates under UNDP SBAA |
| C2.3 Approves the mobilization of cost-sharing resources and sign third party cost-sharing agreements on behalf of UNDP. | FRR Rule 107.01 and [October 1998 memo of the AA](https://popp.undp.org/node/3601) |  |  | Directors RBX | Directors Central Bureaux |  | UNDP RR |  |  | Delegated to Bureau Directors and RR based on delegated authority of AA |
| C2.4 Signs standard partnership Memorandum of Understanding (MOU) at the country level. Note: Deviation to standard MOU to be cleared by BMS | Internal Control Framework - Authorities, responsibilities & accountabilities of Head of Office |  |  |  |  | Executive Secretary UNCDF  Executive Coordinator UNV | UNDP RR |  |  | Based on the delegated authority of ADM through Director RBX.  **Note:**  BMS Directorate coordinates inputs from BMS/OFM & BMS/LO, as required, prior to clearance.  Note: BERA should be informed of any deviations for partnership information. |
| C2.5 Signs standard /implementing partner agreements for regional projects. | FRR Rule 116.02 and POPP chapter on Programme and Project management |  |  | Directors RBX |  | Executive Secretary UNCDF  **Executive Coordinator UNV** |  |  |  | Based on the delegated authority of AA |
| C2.6 May sign standard executing/implementing partner agreements for country projects. | FRR Rule 116.02 and chapter on Programme and Project management |  |  |  |  | Executive Secretary UNCDF  Executive Coordinator UNV | UNDP RR |  |  | Based on the delegated authority of AA through the Director of the Regional Bureau concerned |
| C2.7 Signs clearance slip for establishment of a UNDP Trust Fund and delegates to Trust Fund managers to sign TF contribution agreements. | FRR Rule 108.01(b) |  | AA |  |  |  |  |  |  | AA may further delegate this authority via clearance slip as required on a case by case basis |
| C2.8 Signs contribution agreement for country level Trust Fund and any deviations to standard agreements to be cleared by BMS | FRR Rule 108.01(b)  Framework - Authorities, responsibilities & accountabilities of Head of Office |  |  |  |  | Executive Secretary UNCDF  Executive Coordinator UNV | UNDP RR |  |  | AA delegates the authority to UNDP RR through the Director of the Regional Bureau concerned  **Note 1**::  BERA should be informed of any deviations for partnership information.  **Note 2:**  BMS/OFM and BMS/LO should be consulted before decision making. |
| C2.9 Signs contribution agreement for thematic and/or regional level Trust Fund and any deviations to standard agreements to be cleared by BMS. | FRR Rule 108.01(b)  AA memo 5 Dec 2006  Framework - Authorities, responsibilities & accountabilities of Head of Office |  |  | Directors RBX | Director BPPS | Executive Secretary UNCDF  Executive Coordinator UNV |  |  |  | Based on delegated authority of ADM, AA may delegate to Fund Manager.  **Note 1:**  BERA should be informed of any deviations for partnership information.  **Note 2:**  BMS/OFRM and BMS/LO should be consulted before decision making. |
| C2.10 May sign standard cost-sharing agreements at the country level. Any deviations to standard agreements to be cleared by BMS. | FRR Rule 108.01 (b) POPP Management Formalizing Partnership Internal Control Framework - Authorities, responsibilities & accountabilities of Head of Office |  |  |  |  | Executive Secretary UNCDF  Executive Coordinator UNV | UNDP RR |  |  | Based on delegated authority of AA  **Note 1:**  BERA should be informed of any deviations for partnership information.  **Note 2:**  BMS/OFRM and BMS/LO should be consulted before decision making. |
| **C3. Internal governance arrangement** | | | | | | | | | | |
| C3.1 Clears the UNDP Strategic Plan for submission to the Executive Board for approval. |  | ADM |  |  |  |  |  |  |  |  |
| C3.2 Clears the UNDP Global/Regional Programme Document for submission to the Executive Boards for approval. | FRR Regulation 12.01 |  | AA |  |  |  |  |  |  | Based on the delegated authority of ADM, AA may consider recommendations of HQ PAC. |
| C3.3 Clears country programme documents for submission to the Executive Board for approval. | FRR Regulation 12.01  UNDP internal governance arrangement as endorsed by OPG in 2012. |  | AA |  |  |  |  |  |  | Based on the delegated authority of ADM to the AA, the AA delegates to the Chair of HQ PAC. |
| C3.4 Approves revisions to UNDP programme activities approved by the Executive Board. (Global and Regional Programme) | FRR Regulation 18.03 |  | AA |  |  |  |  |  |  | Based on the delegated authority of ADM and upon recommendation of relevant Regional Bureau  **Note:**  Provided that the major development objectives of those UNDP programme activities remain unchanged and only limited financial adjustments are involved**.** |
| **C4. Programme management** | | | | | | | | | | |
| C4.1 Approves individual projects upon approval of the Global Programme Document and Regional Programme Document by the Executive Board. | FRR Regulation 16.02 |  |  | Directors RBX | Director BPPS |  |  |  |  | Based on delegated authority of ADM, relevant Director RB for RP projects and Director BPPS for GP projects. |
| C4.2 Signs the UNDAF and/or Country Programme Action Plan (CPAP). | FRR Rule 116.02 and POPP - Programme/ Project management Overview - Accountability & delegation of Authority Chapter |  |  |  |  | Executive Secretary UNCDF  Executive Coordinator UNV | UNDP RR |  |  | Based on delegated authority to AA and through the Directors RBX. |
| C4.3 Approves project documents and revisions to the project document, including multi-year and annual work plans at the country level based on the Country Programme. | FRR Rule 116.02 and POPP - Programme/ Project management Overview - Accountability & delegation of Authority Chapter |  |  |  |  | Executive Secretary UNCDF  Executive Coordinator UNV | UNDP RR |  |  | Based on delegated authority of AA and through the Directors RBX. |
| C4.4 May withhold, withdraw or limit the authority of the RR to adjust the country programme if an EB decision or other circumstances so require. | POPP - Programme and Project Management – Overview - Accountability and Delegation of Authority Chapter |  |  | Directors RBX |  |  |  |  |  | Based on delegated authority of AA |
| C4.5 May, in consultation with the programme country Government, adjust the country programme to changing circumstances within the country providing that this is within the overall framework of the Country Programme Document (CPD) outcomes as approved by the Executive Board. | POPP - Programme and Project Management – Overview - Accountability and Delegation of Authority Chapter |  |  |  |  |  | UNDP RR |  |  | This authority is delegated to the UNDP Resident Representative through the Director of the Regional Bureau.  The Regional Bureau Director may withhold, withdraw or limit this authority if an EB decision or other circumstances so require |
| C4.6 May suspend or terminate UNDP programme activities and/or terminate the implementation by the executing entity/implementing partner for respective programme activities. | FRR Regulation 17.04 (a) and (b) |  |  | Director RBX | Director BPPS/  CRU |  | UNDP RR |  |  | Based on delegated authority of ADM.  Director BPPS and CRU for relevant global programme activities, Director RBX for regional programmes, and RR for country programme activities |
| C4.7 Approves the selection of an executing entity or, implementing partner (under the harmonized operational modalities), for respective UNDP programme activities. | FRR Rule 117.01 |  |  | Directors RBX | Director BPPS/  CRU | Executive Secretary UNCDF | UNDP RR |  |  | Director BPPS/CRU for relevant global programme activities, Director RBX for regional programmes, and RR for country programme activities Based on delegated authority of the Associate Administrator.  **Note:**  The FRR’s refer to “an entity to be selected executing entity” it is important to note that projects related to South-South can have more than one implementing Partner. |
| C4.8 Approves Direct Implementation of global and regional projects. | POPP. - chapter on Programme and Project management – overview - selecting an implementing partner Chapter |  |  | Directors RBX | Director BPPS/  CRU | Heads of UNCDF  UNV |  |  |  | Based on the delegated authority of ADM |
| C4.9 Approves direct implementation of programme activities at the country level, | POPP - chapter on Programme and Project management – overview - selecting an implementing partner Chapter |  |  | Directors RBX |  | Heads of UNCDF  UNV |  |  |  | Based on the delegated authority of ADM  **Note:**  When the entire country programme is implemented by UNDP, the approval authority rests with the Associate Administrator.  For Crisis Countries where faster response is required, this authority is delegated from RBX Directors to RRs |
| C4.10 Approves Direct Execution of a programme, where there is no recognized programme country government to sign the UNDAF or CPAP, establishing national ownership of the programme. |  |  | AA |  |  | Executive Secretary UNCDF  Executive Coordinator UNV |  |  |  |  |
| C4.11 Approves UNDP implemented multi-year and annual work plans for directly-implemented projects, at the country office level subject to conditions specified by the Bureau. | POPP - Programme and Project Management – Overview - Accountability and Delegation of Authority Chapter |  |  |  |  | Executive Secretary UNCDF | UNDP RR |  |  | Based on the delegated authority of AA through Director RBX |
| **C5. Project management** | | | | | | | | | | |
| C5.1 Signs project documents and project budget revisions for development projects. | Internal Control Framework - Authorities, responsibilities & accountabilities of the Head of Office |  |  | Directors RBX | Director BPPS  CRU | Heads of Office | UNDP RR |  |  | Based on the delegated authority of AA |
| C5.2 Approves the designation of a project manager for each DIM project or endorses the implementing partners’ designation of a project manager for non- DIM projects and approves the designation of approving managers and the disbursing officer for the office. | Internal Control Framework - Authorities, responsibilities & accountabilities of the Head of Office) |  |  | Directors RBX | Director BPPS  CRU | Heads of Office | UNDP RR |  |  | Based on delegated authority of the ADM |
| C5.3 May approve, on behalf of UNDP, initiation plan and advance authorization documents relating to UNDP programme activities at the respective global, regional, and country level. | FRR Rule 116.05 and POPP Programme/Project Management > Overview> Accountability and Delegation of Authority |  |  | Directors RBX | Director BPPS  CRU | Heads of Office | UNDP RR |  |  | Based on delegated authority of the AA. |
| **C6. Programme audit** | | | | | | | |  | | |
| C6.1 Establishes criteria for financial thresholds for nationally implemented projects and projects implemented by non-governmental organization to be audited annually. | FRR 104.02  HACT Policy (in effect 1 Jan 2015) |  | AA |  |  |  |  |  |  | In consultation with CFO |
| **C7. Fast Track Policies and Procedures** | | | | | | | |  | | |
| C7.1 Approves the initiation, extension or discontinuation of Fast Track Procedures (FTP) | Fast Track Policies and Procedures |  |  | Directors RBX |  |  |  |  |  | Based on delegated authority of the AA and Crisis Response SOPs. |
| **C8. Administrative Agent function for MPTFO** | | | | | | | | | | |
| C8.1 Exercises authority as the Administrative Agent (AA) of Multi-Partner Trust Funds (MPTF) or Joint Programmes (JP). | POPP - Pass-through Management when UNDP as Administrative Agent (1 October 2015)  Protocol on the Administrative Agent Multi Donor Trust Funds and Joint Programmes, and One UN Funds (26 October 2015) |  |  |  |  |  |  |  | Executive coordinator MPTFO | Based on delegated authority of ADM |
| C8.2 Signs Standard Administrative Agreement (SSAs) with donors contributing to MPTFs and JPs. | Protocol on the Administrative Agent for  Multi Donor Trust Funds and Joint Programmes, and One UN Funds (26 October 2015) |  |  |  |  |  |  |  | Executive coordinator MPTFO | Based on delegated authority of ADM. JP refers only to “pass-through” modality |
| C8.3 Signs MOUs with UN Participating UN Organizations for UN MDTFs and National Governments for National MPTFs. | Protocol on the Administrative Agent for  Multi Donor Trust Funds and Joint Programmes, and One UN Funds (26+ October 2015) |  |  |  |  |  |  |  | Executive coordinator MPTFO | Based on delegated authority of ADM |
| C8.4 Receive contributions from donors that wish to provide financial support to the MPTF/JP/One UN Fund through the AA. | Protocol on the Administrative Agent for Multi Donor Trust Funds and Joint Programmes, and One UN Funds (26 October 2015) |  |  |  |  |  |  |  | Executive coordinator MPTFO | Based on delegated authority of ADM. JP refers only to “pass-through” modality |
| C8.5 Administer such funds received, in accordance with the relevant MOU and the MPTF TOR including the provisions relating to winding up the MPTF/JP/ONE UN FUNDS Account and related matters. | Protocol on the Administrative Agent for Multi Donor Trust Funds and Joint Programmes, and One UN Funds (26 October 2015) |  |  |  |  |  |  |  | Executive coordinator MPTFO | Based on delegated authority of ADM. JP refers only to “pass-through” modality |
| C8.6 Approves budget allocation for the administration of the MPTFs/JPs under the Office’s responsibility. |  |  |  |  |  |  |  |  | Executive coordinator MPTFO | Based on delegated authority of ADM. JP refers only to “pass-through” modality |
| C8.7 May delegate, with the concurrence of the Resident Representative, the performance of as many AA tasks as feasible to the UNDP Country Director and where there is no Country Director, to the Deputy Resident Representative, based on capacity assessment. | POPP - Pass-through Management when UNDP as Administrative Agent (1 October 2015) |  |  |  |  |  |  |  | Executive coordinator MPTFO | Based on delegated authority of ADM |
| **D. Policies and Procedures** | | | | | | | | | | |
| **D1. Governing documents, policies and procedures** | | | | | | | | | | |
| D1.1 Approves policies of UNDP of strategic/corporate relevance. | UNDP internal governance arrangement as endorsed by OPG in 2012. | ADM |  |  |  |  |  |  |  |  |
| D1.2 Suspends the application of any of these Financial Regulations and Rules but shall circulate suspensions of these Rules to the members of the Executive Board for information as soon as they become effective. | FRR Regulation 2.02c | ADM |  |  |  |  |  |  |  | In consultation with Director BMS and CFO |
| D1.3 Approves instructions and procedures governing the utilization of resources by executing entities or, under the harmonized operational modalities, implementing partners. | FRR Rule 103.01(a) |  | AA |  |  |  |  |  |  | Based on delegated authority of ADM. |
| D1.4 Approves operational procedures and guidelines governing the selection of executing entities or under the harmonized modalities, implementing partners. | FRR Rule 117.01(b) |  | AA |  |  |  |  |  |  | Based on delegated authority of ADM |
| D1.5 Approves policies and guidelines that relate to the management and implementation of programmatic and operational matters. | UNDP internal governance arrangement |  | AA |  |  |  |  |  |  | Respective policy/support units still retain authority of their content expertise |
| D1.6 Issues detailed UNDP Financial Rules and procedures in order to ensure effective financial administration and the exercise of economy, and shall circulate the Financial Rules to the members of the Executive Board for information at least 30 days before they become effective. | FRR Regulation 2.02a | ADM |  |  |  |  |  |  |  | Based on the recommendation of the Chief Finance Officer |
| D1.7 May amend the Financial Rules and shall circulate amendments to these Rules to the members of the Executive Board for information at least 30 days before they become effective. | FRR Regulation 2.02b | ADM |  |  |  |  |  |  |  | Based on the recommendation of the Director BMS and Chief Finance Officer |
| D1.8 Administrative maintenance of the UNDP Financial Regulations and Rule, on behalf of the Administrator, and issues further instructions and establishes such procedures as he or she may deem necessary for the administration of the Financial Regulations and Rules. | FRR Rule 102.01(a), (b) and (c) |  |  |  | Director BMS |  |  |  |  |  |
| D1.9 Issue guidance for the implementation of the Financial Regulations and Rules governing the utilization of resources by executing entities or, under the harmonized operational modalities, implementing partners. | FRR Rule 103.01(a) |  | AA |  |  |  |  |  |  |  |
| D1.10 Issue instructions and establish procedures for the implementation of the Financial Regulations and Rules governing the mobilization of resources. | FRR Rule 103.01(b) |  |  |  | Director BERA |  |  |  |  |  |
| D1.11 Issue instructions and establish procedures for the implementation of the Regulations and Rules governing resource planning and financial authorizations, the utilization of resources by UNDP and the administration of resources. | FRR Rule 103.01(c) |  |  |  | Director BMS |  |  |  |  |  |
| D1.12 Approve UNDP’s Human Resource policies and administrative arrangements to meet the mandate and objectives of the organization. | Decision note of Secretary-General October 1971 |  | AA |  |  |  |  |  |  | Based on delegated authority of ADM, AA approves based on recommendation of the OPG |
| **E. Budgeting and Allocation of Funds** | | | | | | | | | | |
| **E1. Financial instruments and authorization** | | | | | | | | | | |
| E1.1 Issues financial authorizations in furtherance of the policies, aims and activities of UNDP. | FRR Regulation 10.01 (b) & rule 10.01 |  |  |  | Director BMS |  |  |  |  | Based on delegated authority to ADM. Spending limits are determined by the EG, and Director, BMS provides authorizations. |
| E1.2 Clears the submission of the Programmatic Arrangements for the approval of the Executive Board. | FRR Regulation 10.02 | ADM |  |  |  |  |  |  |  | Based on the recommendation of the Director BMS |
| E1.3 May expend annually up to one tenth of one per cent of the resources available for the regional and global programmes for preparation and review of such programmes without further recourse to Governments or to the Executive Board. | FRR Regulation 12.04 | ADM |  |  |  |  |  |  |  |  |
| E1.4 Determines a TRAC-1 threshold below which the approval process of the country cooperation framework shall be simplified. | FRR Rule 112.02 |  | AA |  |  |  |  |  |  | Based on the delegated authority of ADM |
| E1.5 Approves prioritization requests related to TRAC-2 and Regional Programmes that are within the parameters of the allocation plan approved by the Executive Board. | UNDP internal governance arrangement | ADM |  |  |  |  |  |  |  |  |
| **E2. Integrated Budget (Institutional Component) (IB/IC)** | | | | | | | | | | |
| E2.1 Approves the IB(IC) for management activities for submission to Executive Board. | FRR Regulation 13.04 and Rule 113.01 | ADM |  |  |  |  |  |  |  |  |
| E2.2 Authorizes the utilization of the budgetary contingency provision of 3 per cent of the approved gross appropriations for unforeseen requirements resulting from currency movements, inflation or decisions of the General Assembly. | FRR Regulation 13.10 | ADM |  |  |  |  |  |  |  |  |
| E2.3 Authorizes obligations and makes payments for the purposes for which the appropriations were approved and up to the amounts so approved within the IB(IC). | FRR Regulation 14.01 | ADM |  |  |  |  |  |  |  |  |
| E2.4 Submit supplementary proposals to amend the IB(IC) whenever inflation forecasts, currency fluctuations or other cost factors are expected to have significant impact on approved appropriations. | FRR Rule 113.02  FRR Rule 113.04 | ADM |  |  | Director BMS |  |  |  |  | Director BMS recommends for AA approval |
| E2.5 Approves additional resources (from regular or other resources) to the base allocation from the IB(IC) for management activities for UNDP Offices and Bureaux. | UNDP internal governance arrangement as endorsed by OPG in 2012. | ADM |  |  |  |  |  |  |  |  |
| E2.6 Approves transfers between the appropriation lines for the biennium, utilizes the budgetary contingency provision of 3 per cent of the approved gross appropriations for unforeseen requirements resulting from currency movements, inflation or decisions of the General Assembly. | FRR Regulations 14.04 & 13.10 | ADM |  |  |  |  |  |  |  | Based on the recommendation of Chief Finance Officer |
| E2.7 Approves inter-bureau reprioritization requests of regular resources legislated by IB(IC). | UNDP internal governance arrangement as endorsed by OPG in 2012. |  | AA |  |  |  |  |  |  | Based on delegated authority of ADM |
| E2.8 Move staff positions funded from regular resources between Bureaux/Units provided the number of positions funded by regular resources in the IB(IC) remains fixed. | UNDP internal governance arrangement as endorsed by OPG in 2012. |  | AA |  |  |  |  |  |  | Based on delegated authority of ADM |
| E2.9 Authorizes IB(IC) appropriation expenses, such as authorized spending limits of funds or other authorization to commit funds. | FRR Rule 114.01   1. & (b) |  |  |  | Director BMS |  |  |  |  | Based on the delegated authority of ADM, based on decision by EG, |
| E2.10 Issues the Authorized Spending Limits, at least annually to each business unit for the objects of expenditure under its control. | FRR Rule 114.02 |  |  |  | Director BMS |  |  |  |  | Based on the delegated authority of ADM to Director BMS, based on decision by EG, based on the recommendation of Chief Finance Officer |
| E2.11 May redeploy resources among business units and objects of expenditure, provided such redeployments are within the total appropriations approved by the Executive Board for an appropriation line. | FRR Rule 114.05 |  |  |  | Director BMS |  |  |  |  | Decision taken by the EG, and BMS accordingly provides authorisation. based on the recommendation of Chief Finance Officer |
| E2.12 Issues authorized spending limits for those funds where he or she has been designated as the fund manager. | FRR Regulation 10.01(b) and Rule 114.02 (a & b) |  |  | Director RBX | Director Central Bureaux | Head of Office |  |  |  | Based on the delegated authority of the ADM, based on the recommendation of Chief Finance Officer |
| **E3. TRAC resource allocation** | | | | | | | | | | |
| E3.1 Approves allocation of TRAC-1 budgetary resources to Country Offices based on the formula of the Programming Arrangement approved by the Executive Board. | FRR Rule 114.02 |  |  |  | Director BMS |  |  |  |  | Decision taken by the EG, and BMS accordingly provides authorization based on the recommendation of Chief Finance Officer |
| E3.2 Approve requests related to Global Programmes that are within the parameters of the allocation plan approved by the Executive Board | Programmatic Component of the Integrated Budget approved by Executive Board |  |  |  | Director BPPS |  |  |  |  |  |
| E3.3 Approves allocation of TRAC-3 budgetary resources that are within the parameters of the allocation plan approved by the Executive Board. | Programmatic Component of the Integrated Budget approved by Executive Board |  |  |  | Director BPPS/ CRU |  |  |  |  | Based on delegated authority of ADM to Director BPPS and CRU.  As per the agreed 1/3 and 2/3 fund management between BPPS and CRU respectively. |
| E3.4 Approves emergency funding requested by Country Offices from TRAC.3 | Delegation Letter from UNDP ADM to Dir CRU, 10 Nov 2015 |  |  |  | Director CRU |  |  |  |  | Based on delegated authority of ADM  Director CRU approves allocations for immediate response to crisis. Process for allocation is defined in Crisis Response SOP. |
| E3.5 Approve for reprioritization requests related to TRAC-2 and Regional Programmes that are within the parameters of the allocation plan approved by the Executive Board. | Programmatic Component of the Integrated Budget approved by Executive Board;  (for TRAC-2, UNDP internal governance arrangement approved by OPG in 2013) |  | AA |  |  |  |  |  |  |  |
| E3.6 Establishes the threshold by which budget revisions would require the approval of the programme country Government, the executing entity or, under the harmonized operational modalities, the implementing partner. | FRR Rule 118.04(a); |  | AA |  |  |  |  |  |  |  |
| E37 Approves intra bureau reprioritization of regular resources legislated by the IB/IC framework within the parameters approved by the Executive Board. | UNDP internal governance arrangement as endorsed by OPG in 2012. |  |  | Directors  RBX | Directors Central Bureaux | Heads of office |  |  |  |  |
| E3.8 Endorses intra bureau reprioritization of regular resources legislated by the Programming Arrangement (PA) within parameters set out in the approved allocation plan for TRAC-2. | UNDP internal governance arrangement as endorsed by OPG in 2012. |  |  | Directors  RBX | Directors Central Bureaux | Heads of office |  |  |  |  |
| E3.9 Approves intra bureau reprioritization of extra-budgetary management resources. | UNDP internal governance arrangement as endorsed by OPG in 2012. |  |  | Directors  RBX | Directors Central Bureaux | Heads of office |  |  |  |  |
| **E4. Allocation from Thematic Trust Funds** | | | | | | | | | | |
| E4.1 Approves the resource envelope for UNDP Funding Windows. | Signed Trust Fund Agreements |  | AA |  |  |  |  |  |  | Based on OPG recommendation |
| E4.2 Approves allocations from UNDP Funding Windows | Funding Windows Governance & Management Arrangements, 27 May 2016 |  |  |  | Director BPPS |  |  |  |  | With the exception of fast track approvals for immediate response for Level 2 and Level 3 crises (ref. E.3) Director BPPS is Fund Manager of Funding Windows. |
| E4.3 Approves allocations for emergency funding for immediate response for Level 2 and Level 3 crises from the Emergency Development Response to Crisis and Recovery (EDRCR) Window | Funding Windows Governance & Management Arrangements, 27 May 2016 |  | AA |  |  |  |  |  |  | Based on recommendation of Crisis Board |
| E4.4 Approves allocations for emergency funding for Level 1 crisis from the Emergency Development Response to Crisis and Recovery (EDRCR) Window | Funding Windows Governance & Management Arrangements, 27 May 2016 |  |  |  | Director BPPS |  |  |  |  | Director BPPS is Fund Manager of Funding Windows. For Level 1 crisis, Dir BPPS will approve an allocation, based on a joint recommendation from CRU & relevant RB |

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| **F. Cost recovery** | | | | | | | | | | |
| **F1. Cost recovery** | | | | | | | | | | |
| F1.1 Makes adequate arrangements for reimbursement of costs incurred by UNDP. | FRR Regulation 15.02 and 15.03): |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  |  | Based on the delegated authority of ADM |
| F1.2 Approves the submission of the UNDP cost recovery policy for the approval of the Executive Board and approves the implementation of the policy thereafter. | FRR Regulation 15.01, 15.02, and 15.03 | ADM |  |  |  |  |  |  |  | Based on recommendation of EG/OPG |
| F1.3 Grants waivers to the cost recovery rate (of 8% for indirect support costs for new third party contributions and 3% for indirect support costs for all new programme country contributions) based on a case-by-case review that would take into account specific priorities, modalities incurring lower indirect costs, and harmonization goals. | Executive Board decision 2013/9 and UNDP internal governance arrangement |  |  |  | Director BMS |  |  |  |  | Policy is decided by the EG |
| **G. Cash and financial management** | | | | | | | | | | |
| **G1. Reserves** | | | | | | | | | | |
| G1.1May draw down from the Operational Reserve and the Other Resources Reserve. | FRR Regulation 25.05 (a) | ADM |  |  |  |  |  |  |  |  |
| G1.2 Approve loans from the fully funded Reserve for Field Accommodation for housing of internationally recruited, UNDP-financed field personnel and, exceptionally, for office accommodation. | FRR Regulation 25.05 (c) | ADM |  |  |  |  |  |  |  | Approval subject to terms & conditions established by EB |
| **G2. Investment Committee** | | | | | | | | | | |
| G2.1 Approves the mandate of the Investment Committee and its membership. | FRR Rule 125.07 | ADM |  |  |  |  |  |  |  |  |
| G2.2 Authorizes action as the Chair of the Investment Committee and oversees liquidity management activities in UNDP. | FRR Rule 125.07 |  |  |  | Director BMS |  |  |  |  | Based on delegated authority of ADM |
| **G3. Cash management, grants and payments** | | | | | | | | | | |
| G3.1 Exercise authority as the custodian of all funds in UNDP and may delegate cash management authority as appropriate. | FRR Regulation 25.01 | ADM |  |  |  |  |  |  |  | Based on the delegated authority of the Secretary-General |
| G3.2 Authority to approve all payments under all accounts and shall, where applicable, designate certain staff in other business units as verifying officer | FRR Rule 122.01 (a) & (b) |  |  |  |  |  |  |  | Chief Finance Officer |  |
| G3.3 Exercises authority as Treasurer in the effective and efficient management of cash resources in UNDP custody. | FRR Regulation 25.01 (b) |  |  |  |  |  |  |  | UNDP Treasurer | Based on delegated authority of the ADM |
| G3.4 May designate the bank or banks in which UNDP funds and UNDP administered funds will be deposited and maintained including promulgating criteria for the qualification of such banks. | FRR Rule 125.01 and 125.02 |  |  |  |  |  |  |  | UNDP Treasurer | Based on the delegated authority of the Executive Board through the ADM |
| G3.5 May (with the approval of the UNDP Treasurer) designate appropriate staff members as signatories to operate local UNDP bank account(s) and make requests for signatory  panel changes. | FRR Rule 125.03 and Operational Guide to ICF Version 6 – 1 January 2013 |  |  |  |  |  | UNDP RR |  |  | The authority to open and close accounts remains with the Treasurer  and the officers designated by the Treasurer in UNDP Treasury HQ.  This delegated authority may not be further delegated to other managers without Treasurer’s approval.  **Note:**  Only UNDP staff members may be designated as Bank Account Signatories. |
| G3.6 Issues administrative instructions on commercial practice which requires a payment or payments on account in advance of the delivery of products or the performance of contractual services. | FRR Rule 125.11 |  |  |  |  |  |  |  | Chief Finance Officer |  |
| G3.7 Approves micro-capital grants not exceeding USD150,000 | FRR Regulation 19.01 and Micro capital grant policy |  |  | Director RBX |  | Executive Coordinator UNV | UNDP RR |  |  | Based on delegated authority of ADM to RR applicable to Director RBX for regional projects.  **Note:**  If the $300,000 cumulative limit is to be exceeded, the country office must submit a request through the Regional Bureau for clearance by BMS. On all requests related to credit or microfinance, technical clearance from UNCDF is also required. |
| G3.8 Authorizes emergency ex-gratia payment where immediate ex gratia payments are necessary for humanitarian reasons. | Per Executive Board decision 2008/26 on the revised FRR Regulation 23.01 | ADM |  |  |  |  |  |  |  | Administrator to inform EB on amount over $50,000. |
| G3.9 Clears all requests for the approval of all ex gratia payments by the Executive Board. | FRR Rule 123.01 (b) |  |  |  | Director  BMS |  |  |  |  | Based on delegated authority of the EB through the ADM, based on opinion of the Legal Office |
| G3.10 May make ex gratia payments, not exceeding $75,000 per year (subject to EB approval) in the interest of UNDP | Executive Board decision 2008/26 and FRR Regulation 23.01 |  |  |  | Director  BMS |  |  |  |  | Payments included in financial statements. |
| G3.11 Grant exceptions to the separation of duties on the basis of proposed compensating controls by the Country Office or Regional Bureaux. | FRR Rule 120.04 |  |  |  |  |  |  |  | Chief Finance Officer |  |
| **G4. Financial statements and records** | | | | | | | |  | | |
| G4.1 Prescribe and maintain financial records and subsidiary records and shall institute systems and procedures including those in respect of UNDP country offices which will permit accurate and timely financial reporting on all activities to the Administrator and the governing bodies. | FRR Rule 126.01 |  |  |  |  |  |  |  | Chief Finance Officer | Based on delegated authority of ADM |
| G4.2 Approves the destruction of accounting and other financial records and all supporting documents after the retention period as agreed with the Board of Auditors. | FRR Rule 126.02 |  |  |  |  |  |  |  | Chief Finance Officer | Based on delegated authority of ADM |
| G4.3 Shall certify that to the best of his/her knowledge, information, and belief, all material transactions have been properly charged in the accounting records and are properly reflected in the financial statements and supporting schedules. | FRR Rule 126.16 |  |  |  |  |  |  |  | Chief Finance Officer | Based on delegated authority of ADM |
| **G5. Designation of key finance functions and roles in Atlas** | | | | | | | | | | |
| G5.1 Has authority as the “Senior Manger” in Atlas for business unit and may assign Atlas user profiles to appropriate staff in the office. | Operational Guide to ICF dated Jan 2013 |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP  RR |  | Heads of out-posted HQ units |  |
| G5.2 Designate staff that can make commitments and designate staff who may verify that payments may be made on behalf of UNDP. | FRR Regulation 20.03(a) and FRR Regulation 22.01(a) |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP  RR |  | Heads of out-posted HQ units | Based on the delegated Authority of ADM. This covers both Atlas related and non- Atlas transactions |
| G5.3 Designates appropriate staff as “Project manager” role in Atlas for their offices for approving eProcurement requisitions in Atlas (for Purchasing Order (PO) transactions) and requests for non-PO payments (for non-PO transactions). | Operational Guide to ICF dated Jan 2013 |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  | Heads of out-posted HQ units | CFO designate the staff who may make commitments on behalf of UNDP. This refers to roles in Atlas and not procurement authority |
| G5.4 Designates appropriate staff as “Approving Manager” role in Atlas for their offices for approving POs and non-PO payment vouchers in Atlas (for non-PO transactions. | FRR Regulation 20.02 (a), FRR Rule 122.01 and Operational Guide to ICF dated Jan 2013 |  |  | Directors RBX | Directors  Central Bureaux | Heads of Office | UNDP RR |  | Heads of out-posted HQ units | Based on the delegated Authority of ADM. This refers to roles in Atlas and not procurement authority |
| G5.5 Designates appropriate staff as “Disbursing Officer” role in Atlas for their offices for of approving disbursements. | FRR Regulation 22.01 and Operational Guide to ICF dated Jan 2013 |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  | Heads of out-posted HQ units | Based on the delegated Authority of ADM. This refers to roles in Atlas |
| G5.6 Approves the assignment of Atlas user profiles to staff, including designation of key supplemental roles such as vendor approval, budget over ride, match exceptions, retirement of assets. | FRR Regulation 22.01 and Operational Guide to ICF dated Jan 2013 |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  |  | Based on the delegated Authority of ADM. In their capacity as Head of Office |
| G5.7 Arrange for an electronic/digital verification process provided that the ledger and the associated payment system have adequate safeguards to ensure the integrity of the verification process | FRR Rule 122.02 (d) |  |  |  |  |  |  |  | Chief Finance Officer |  |
| **H. Human Resources** | | | | | | | | | | |
| **H1. Appointment of key staff and strategic placements** | | | | | | | | | | |
| H1.1 Appoints the UNDP Resident Representative. | GA resolution 2688 (XXV) dated 11 December 1970 and UNDP Recruitment and Selection Framework | ADM |  |  |  |  |  |  |  |  |
| H1.2 Appoints Director of the Independent Evaluation Office, Director of the Office of Audit and Investigations, Head of Ethics Office and the UNDP Ombudsperson. | UNDP Evaluation Policy OAI Charter, ST/SGB/2007**/**11 dated 30 Nov 2007 | ADM |  |  |  |  |  |  |  | In consultation with relevant parties for different posts |
| H1.3 Appoints key staff at the level of D-2 and above (including P7), Resident Representatives, irrespective of levels and Heads of UNDP Liaison Offices. | UNDP Recruitment and Selection Framework | ADM |  |  |  |  |  |  |  |  |
| H1.4 Appoints headquarters internationally recruited staff on posts subject to Executive Board review (“core functions). | UNDP Recruitment and Selection Framework |  | AA |  |  |  |  |  |  | Based on delegated authority of Administrator |
| H1.5 Appoints staff to senior management posts at the D-1 level irrespective of funding and key advisory positions at the P-6 level that are management project funded posts (excluding those to be appointed by the Administrator). | UNDP Recruitment and Selection Framework |  | AA |  |  |  |  |  |  | Based on delegated authority of Administrator |
| H1.6 Appoints staff to any other positions that is considered corporate and/or subject to a centralized, HQ managed recruitment process. | UNDP Recruitment and Selection Framework |  | AA |  |  |  |  |  |  |  |
| H1.7 May make exceptional placement decisions for staff at the level of D2 (including P7). | UNDP Recruitment and Selection Framework | ADM |  |  |  |  |  |  |  | Applicable in situations where a competitive selection process is not in the interest of the Organization |
| H1.8 May make exceptional placement decisions for staff at the level of D-1 (including P6) and below but excludes those appointments under the direct authority of the Administrator. | UNDP Recruitment and Selection Framework |  | AA |  |  |  |  |  |  | Applicable in situations where a competitive selection process is not in the interest of the Organization |
| **H2. Appointment of staff** | | | | | | | | | | |
| H2.1 Approves the appointment of all internationally recruited staff on Fixed Term Appointments (FTA) from P1 to P6 on posts not subject to Executive Board (non-core functions) subject to the approval of the Compliance Review Board. | UNDP Recruitment and Selection Framework |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  |  | Authorities extended to Head of Independent Offices |
| H2.2 Approves the appointment of all locally recruited staff on FTA at G1-G7 at headquarters subject to the approval of the Compliance Review Panel. | UNDP Recruitment and Selection Framework |  |  | Directors RBX | Directors Central Bureaux | Heads of Office |  |  |  | Authorities extended to Head of Independent Offices |
| H2.3 Approves the appointment of all internationally recruited and locally recruited staff on Temporary Appointments (TA). | UNDP Recruitment and Selection Framework |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  |  | Authorities extended to Head of Independent Offices |
| H2.4 Approves the appointment of local FTA including General Staff (GS) and National Officer (NO). | UNDP Recruitment and Selection Framework |  |  |  |  |  | UNDP RR |  | Heads of Liaison offices and Regional Center Directors | Authorities extended to Heads of Liaison offices and Regional Center Directors |
| H2.5 Signs Service Contracts for the office. | Service Contract Policy |  |  |  |  |  | UNDP RR |  | Heads of Liaison offices and Regional Center Directors | Based on delegated authority of Director OHR |
| H2.6 Signs Letters of Appointments for locally recruited staff subject to the approval of the Compliance Review Panel. | UNDP Recruitment and Selection Framework |  |  |  |  | Executive Coordinator UNV | UNDP RR |  |  | Based on delegated authority of Director OHR |
| **H3. One-up promotion and lateral moves** | | | | | | | | | | |
| H3.1 Approves ‘one-up’ promotions to P7/D2 level on an exceptional and discretionary basis within overall EB approved post ceilings. | UNDP Rank-In-Post Policy, July 2009 | ADM |  |  |  |  |  |  |  |  |
| H3.2 Approves ‘one-up’ promotions of senior and middle managers up to the D1 level for international posts on an exceptional and discretionary basis within overall EB approved ceilings. | UNDP Rank-In-Post Policy, July 2009 |  | AA |  |  |  |  |  |  |  |
| H3.3 Approves lateral moves for staff at the level of D-2 (including P7). | UNDP Recruitment and Selection Framework | ADM |  |  |  |  |  |  |  |  |
| H3.4 Approves lateral moves for locally recruited FTA at the level of G1 to G7 at headquarters. | UNDP Recruitment and Selection Framework |  |  | Directors RBX | Directors Central Bureaux | Heads of Office |  |  |  | With clearance from Director OHR |
| H3.5 Approves lateral moves for staff at the level of P1 to P5. | UNDP Recruitment and Selection Framework |  |  | Directors RBX | Directors Central Bureaux | Heads of Office |  |  |  | With clearance from both receiving and releasing Bureau Directors and/or Directors of Independent offices. |
| H3.6 Approves lateral moves for staff at the level of D-1 including P6. | UNDP Recruitment and Selection Framework |  | **✓** |  |  |  |  |  |  | With clearance from Associate Administrator |
| H3.7 Approves lateral moves for GS and NO staff members within their office. | UNDP Recruitment and Selection Framework |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP  RR |  |  | With clearance from Director OHR |
| **H4. Staff benefits, entitlements and payroll disbursement** | | | | | | | | | | |
| H4.1 Approves staff benefits and entitlements of International Professional staff and General Service staff at Headquarters and Regional levels | Staff Regulations 3.1-3.19 |  |  |  | Director BMS |  |  |  |  | Based on recommendation from Dir OHR subject to funds availability clearance from BMS/OFRM |
| H4.2 Approves staff benefits and entitlements of locally recruited staff at country offices. | Staff Regulations 3.1-3.19 |  |  |  |  |  | UNDP  RR |  | Heads of out-posted HQ units | Based on recommendation from Dir BMS, who may seek advice from Dir OHR |
| **H5. Creation of positions and job classifications** | | | | | | | | | | |
| H5.1 Approves creation of Fixed Term positions for all positions in HQ and regional levels (non-CO)- IP, GS, & NO |  |  |  |  |  | Executive Secretary UNCDF  Executive Coordinator UNV |  |  | ExO Chief of Staff | Based on Bureau proposals via BMS/OHR Business Partners, and subject to funds availability clearance from BMS/OFRM.  For UNCDF – based on clearance of funding availability from management support unit. |
| H5.2 Approves creation of Fixed Term or Temporary positions funded by projects at HQ and regional levels (non-CO) not exceeding duration of 2 years. |  |  |  | Directors RBx |  | Executive Coordinator UNV |  |  |  | Subject to funds availability clearance from BMS/OFRM. For extension beyond 2 years from first contract, Director BMS must clear the extension. |
| H5.3 Approves creation of IP Fixed Term positions in Country Offices |  |  |  | Directors RBx |  | Executive Coordinator UNV |  |  |  | Subject to funds availability clearance from BMS/OFRM |
| H5.4 Approves creation of positions linked to projects at Country level, or National level positions |  |  |  |  |  | Executive Coordinator UNV | UNDP RR |  |  | Subject to funds availability clearance from BMS/OFRM |
| H5.5 Approves the extension of Fixed Term or Temporary positions for all international positions, in HQ and regional levels. | UNDP internal governance arrangement as endorsed by OPG in 2012. |  |  | Directors  RBX | Directors Central Bureaux | Heads of office |  |  |  | Subject to funds availability clearance from BMS/OFRM |
| H5.6 Approves the extension of Fixed Term or Temporary positions for all international positions, in the Country Office | UNDP internal governance arrangement as endorsed by OPG in 2012. |  |  |  |  | Executive Coordinator UNV | UNDP RR |  |  | Subject to availability of funds confirmed by Director OFRM |
| H5.7 Approves the classification of positions in all international professional categories and the general service category in New York. | Job Evaluation based on Staff Rule 2.1 |  |  |  | Director BMS |  |  |  |  | Based on delegated authority of ADM, Dir BMS may delegate further to Dir OHR |
| H5.8 Approves the classification of positions in the General Service and National Officer categories in the Country Office (except for NO positions at NOD level. | POPP-HR Chapter II on Job Evaluation based on Staff Rule 2.1 |  |  |  |  |  | UNDP RR |  | Heads of Office | Director, OHR, retains authority for classification of all National Office positions at ICS11 (NOD) level |
| **H6. Disciplinary actions** | | | | | | | | | | |
| H6.1 Take disciplinary actions regarding staff holding UNDP letters of appointments and shall retain decision authority for staff member at the rank of D2 level and above, as well as for all RR and RC (irrespective of rank), the heads of liaison offices and the head of Independent Offices | Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 (section 4.1), Evaluation Policy, AEAC Terms of Reference | ADM |  |  |  |  |  |  |  | For the Heads of OAI, Ethics- based on advice and consultations with the AEAC. For the Head of IEO, based on advice and consultations with the AEAC and the Executive Board.  Disciplinary actions for other categories of staff has been further delegated to AA and Director BMS accordingly |
| H6.2 Take disciplinary action in respect of all staff members at the rank of D-1 and below, except for those categories of staff under the Administrator’s direct authority. | Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 (section 4.2) |  | AA |  |  |  |  |  |  | Based on delegated authority of ADM |
| H6.3 Place a staff member on administrative leave, and at the end of the initial administrative leave period, decides whether to extend it. | Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 (section 4.3) |  |  |  | Director BMS |  |  |  |  | Based on delegated authority of the ADM |
| H6.4 Charge a staff member with misconduct. | Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 (section 4.3) |  |  |  | Director BMS |  |  |  |  | Based on delegated authority of the ADM |
| H6.5 Exonerate a staff member from allegation of wrong doings. | Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 (section 4.3) |  |  |  | Director BMS |  |  |  |  | Based on delegated authority of the ADM |
| **H7. Termination of staff** | | | | | | | | | | |
| H7.1 Terminate temporary, fixed-term or continuing appointments of staff members on grounds stipulated in Staff Rule 9.6 **except** for authority to terminate such appointments on **disciplinary grounds** which remains exclusively vested in the Administrator or the Associate Administrator. | Staff Regulation 9.3 and Staff Rule 9.6, Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 (section 4.1 and 4.2) and memo of ADM dated 24 June 2011 |  |  |  | Director BMS |  |  |  |  | This authority of Director BMS may not be re-delegated without the express prior written approval of the ADM. |
| H7.2 Terminate permanent appointments of staff members on grounds stipulated in Staff Rule 13.1 **except** for authority to terminate such appointments on **disciplinary grounds** which remains exclusively vested in the Administrator or the Associate Administrator.  Note: Termination of staff on PA is subject to limitations in Staff Rule 13.1. | Staff Rule 13.1, Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 (section 4.1 and 4.2) and memo of ADM dated 24 June 2011 |  |  |  | Director BMS |  |  |  |  | This authority of Director BMS may not be re-delegated without the express prior written approval of the ADM. |
| H7.3 Separate appointment of all locally recruited staff in COs and other HQ locations outside of New York for situations defined in Staff Rule 9.1 but excludes termination which involves foreshortening of staff appointment initiated by the organization and also excludes termination of appointment due to disciplinary grounds.  Note: Termination of staff on PA is subject to limitations in Staff Rule 13.1. | POPP-HR Chapter IX on Separation from Service based on Staff Rule 9.6 and Regulation 9.3 |  |  |  |  | Heads of UNCDF  UNV | UNDP  RR |  | Head of out-posted HQ units | Termination of appointment which involves foreshortening of staff appointment initiated by the organization and those arising from disciplinary grounds rest with the ADM and AA |
| H7.4 Terminate all staff at the level of D2 on disciplinary grounds. | Staff Rule 9.6 and Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 | ADM |  |  |  |  |  |  |  | Appointments atSG's decision ttend beyond retirement age for internationally recruited staff for maximum of 6 months ASG and USG level are made by the SG. So as termination. It is SG's decision |
| H7.5 Terminate all staff at the level of D1 and below on disciplinary grounds. | Staff Rule 9.6 and Legal Framework for Addressing Non Compliance with UN Standard of Conduct, January 2010 |  | AA |  |  |  |  |  |  | Based on the delegated authority of ADM. to AA |
| H7.6 Terminate appointment for reason of health. | POPP-HR Chapter IX on Separation from Service based on Staff Rule 9.6 |  |  |  | Director BMS |  |  |  |  | Based on recommendation from Dir OHR |
| H7.7 Authority to respond to requests for management evaluation from staff members. | Pursuant to Staff Rule 11.2. |  | **AA** |  | Director BMS |  |  |  |  | AA answers request for management evaluation where the Director BMS has made decisions. |
|  |  |  |  |  |  |  |  | |  |  |
| H7.8 Authority to conclude settlement agreement with staff members on human resource maters |  |  |  |  | Director BMS |  |  |  |  |  |
| **H8. - Workforce Management** | | | | | | | | | | |
| H8.1 Clears organizational change management initiatives | POPP - Human Resource Management - Workforce management |  | AA |  |  |  |  |  |  | Based on the delegated authority of ADM, who may further delegate to AA |
| H8.2 Approves the rationale and change management action plan of Country Offices | POPP - Human Resource Management - Workforce management - Financial Sustainability Exercise (FSE) Chapter |  |  | Directors RBX |  |  |  |  |  | CO change management is approved by respective Regional Bureaux based on submission from RR. |
| **H9. Extension of service beyond retirement age** | | | | | | | | | | |
| H9.1 Authority to extend beyond retirement age for locally recruited staff outside of New York for maximum 6 months. | POPP-HR Chapter IX |  |  |  |  |  | UNDP RR |  |  |  |
| H9.2 Authority to extend beyond retirement age for internationally recruited staff for maximum of 6 months and locally recruited staff in New York, for maximum 6 months. | POPP-HR Chapter IX |  |  |  |  |  |  |  | Director OHR | Based on the delegated authority of ADM through Director BMS |
| H9.3 Authority to extend beyond retirement age all UNDP staff above 6 months and authority to extend beyond retirement age for all international professional staff up to and including D2/P7. | POPP-HR Chapter IX |  | AA |  |  |  |  |  |  |  |
| H9.4 Authority to retain staff at ASG level and above in the interest of UNDP. | POPP-HR Chapter IX | ADM |  |  |  |  |  |  |  | Based on decision by SG |
| **H10. Adaptation of relevant Staff Regulations & Rules** | | | | | | | | | | |
| H10.1 Approves the adaptation and modification of the Staff Regulations and Rules to meet the mandate and objectives of the UNDP mandate (subject to conditions stipulated in Staff Regulations and Rules). | GA resolution 2688 (XXV) dated 11 December 1970 |  | AA |  |  |  |  |  |  | Based on delegated authority of the ADM and |
| **I. Travel authorization** | | | | | | | | | | |
| **I1.1. Travel authorization** | | | | | | | | | | |
| I1.1 Authorizes travel requisitions and travel claims in Atlas. | Internal Control Framework - Authorities, responsibilities and accountabilities of Head of Office Chapter |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  |  | In their capacity as Head of Office |
| I1.2 Approves entitlement travels (Family Visit, Home Leave) as well as Medical Evacuation Travel consistent with established conditions of travel. | POPP - Human Resources Management – Travel - Entitlement Travel Chapter |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  |  |  |
| I1.3 Approves official duty travels of staff in the office within conditions stipulated. | POPP - Human Resources Management – Travel - duty Travel Chapter |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  |  |  |
| **J. Safety and security** | | | | | | | | | | |
| **J1.1 Appointment of Senior Security Manager** | | | | | | | | | | |
| J1.1 Appoints a Senior Security Manager for UNDP with delegated authority for implementing the organization’s response to safety and security. | Framework for Accountability for the UN Security Management System approved by CEB/2009/ HLCM/36 | ADM |  |  |  |  |  |  |  |  |
| **J2. Safety and security policies** | | | | | | | | | | |
| J2.1 Approves UNDP Security Policy/framework. | Framework of Accountability for UNDP managers and personnel within the UN Security Management system, April, 2011 |  | AA |  |  |  |  |  |  | Based on delegated authority of ADM |
| J2.2 Clears the content of the UNDP Security Management guidelines and procedures. | Framework of Accountability for UNDP managers and personnel within the UN Security Management system, April, 2011 |  |  |  | Director BMS |  |  |  |  | **Based on OPG advice** |
| **J3. Staff safety and security measures** | | | | | | | | | | |
| J3.1 Authorizes actions to ensure that safety and security are core components of all programmes and activities. | Framework of Accountability for UNDP managers and personnel within the UN Security Management system, April, 2011 |  |  |  | **Director BMS (for NY)** | Heads of Office | UNDP RR |  | **Heads of Offices** | **Advice provided by BMS Security Office** |
| J3.2 Authorizes action to implement the “no programme without security, no security without resources” strategy in all programmes. | Framework of Accountability for UNDP managers and personnel within the UN Security Management system, April, 2011 | ADM |  |  |  |  |  |  |  | **Advice provided by BMS Security Office** |
| J3.3 Authorizes action to ensure that personnel employed by UNDP and their recognized dependents are not exposed to unacceptable risk. |  |  |  |  | **Director BMS (for NY)** | Heads of Office | UNDP RR |  | **Heads of Offices** | **Advice provided by BMS Security Office** |
| J3.4 Authorizes action to addresses security concerns specifically related to female staff members. |  |  |  |  | **Director BMS (for NY)** | Heads of Office | UNDP RR |  | **Heads of Offices** | **Advice provided by BMS Security Office** |
| J3.5 Take decisions in exigent circumstances, including, but not limited to, the mandatory relocation or evacuation of personnel in consultation with UN DSS and RBX HQ. | Framework for Accountability for the UN Security Management System approved by CEB/2009/ HLCM/36 |  |  |  | **Director BMS (for NY)** | Heads of Office | UN  RC |  | **Heads of Offices** | Only when RC is the designated Official of S-G |
| **K. Procurement and asset management** | | | | | | | | | | |
| **K1. Approval of procurement contracts** | | | | | | | | | | |
| K1.1 Establishes necessary controls, including delegations of authority, and shall issue administrative instructions for purpose necessary to protect the integrity of the procurement process and the interest of UNDP. | FRR Rule 121.01(b)(i) |  |  |  | Director BMS |  |  |  |  | In the role of Chief Procurement Officer (CPO), UNDP |
| K1.2 Establishes review committees, at headquarters and other locations to render advice to the CPO on procurement actions leading to the award or amendment of procurement contracts including agreements or other written instruments. Also establish the composition and the terms of reference of such committees, which shall include the types and monetary values of proposed procurement actions subject to review. | FRR Rule 121.01(b)(ii) |  |  |  | Director BMS |  |  |  |  | In the role of CPO UNDP |
| K1.3 Establishes a Contracts, Asset and Procurement (CAP) Committee in the office and appoint CAP members to render written advice on procurement actions. | POPP - Procurement Oversight and Procurement Review Committees |  |  | Directors RBX | Directors Central Bureau | Heads of UNCDF and UNV | UNDP RR |  | Heads of Offices | Based on the delegated authority of CPO to Head of UNDP Offices (Level 1, Level 2 and Level 3) |
| K1.4 Approves all competitively selected contracts above USD 2million in cumulative value in a calendar year (applies per year for Long Term Agreements ). | POPP -Procurement Oversight and Procurement Review Committees |  |  |  | Director BMS |  |  |  |  | In consideration of the recommendation of Chair ACP |
| K1.5 Approves direct contract with a supplier with a cumulative value above USD 2million in a calendar year (applies per year for LTAs). | POPP - Procurement Oversight and Procurement Review Committees |  |  |  | Director BMS |  |  |  |  | In consideration of the recommendation of Chair ACP |
| K1.6 May, in the interest of UNDP, reject bids or proposals for a particular procurement action and can determine whether to undertake a new solicitation or to negotiate a procurement contract directly pursuant to Rule 121.05, or to terminate or to suspend the procurement action. | FRR Rule 121.04 (b) |  |  | Directors RBX | Directors Central Bureau | Heads of UNCDF and UNV | UNDP RR |  | **Head of Offices** | Based on the delegated authority of the CPO as per Rule 121.01 (a) (where applicable). As per rule 121.04 (b)., the reasons for rejection is recorded. |
| K1.7 May decide to suspend vendors from participating in UNDP procurement opportunities or contracts based on a recommendation provided by the Vender Review Committee. | POPP – Vender Sanctions |  |  |  | Director BMS |  |  |  |  | In the role of Chief Procurement Officer |
| K1.8 Approve (as appropriate) requests for increases in delegated procurement authority for Bureaux and offices not covered under K1.9. | POPP – Procurement Authority and Increased Delegated Procurement Authority |  |  |  | Director BMS |  |  |  |  | This is applicable to other central Bureaux |
| K1.9 Delegates to the Regional Chief Procurement Officer (RCPO) to increase the delegation of procurement authority of country offices in their region, up to USD 1,000,000 | POPP - Procurement Authority and Increased Delegated Procurement Authority |  |  |  |  |  |  |  | **Regional CPO** | In close consultation with the Regional Bureaux Directors |
| K1.10 Has overall authority to approve award of any and all contracts valued at USD 50,000 and above, which are on the basis of direct contracting; as well as all awards of contracts above the delegated authority of Heads of Office which are on the basis of competitive selection. | POPP – Procurement Methods |  |  |  | Director BMS |  |  |  |  | In the role of Chief Procurement Officer and in consideration of the recommendation of the ACP. The authority has been further delegated |
| K1.11 Approves the award of all competitively selected contracts for procurement of goods and services in the office valued less than USD 150,000 or the higher Delegated Procurement Authority (DPA) | POPP - Procurement Review Committees |  |  | Directors RBX | Directors Central Bureau | Heads of UNCDF and UNV | UNDP RR |  | Heads of Offices | In consideration of the recommendation of the Chair of CAP in their office |
| K1.12 Approves the award of all competitively selected contracts for procurement of goods and services in the office valued between Delegated procurement authority and up to USD 2 million (applies per year for LTAs) | POPP - Procurement Review Committees |  |  |  |  |  |  |  | Regional CPO | In consideration of the recommendation of the Regional ACP |
| K1.13 Approves direct contracting with a supplier with a cumulative value in a calendar year between 50% of the Delegated Procurement Authority and up to USD 2million. (applies per year for LTAs) | POPP – Procurement Review Committees |  |  |  |  |  |  |  | Regional CPO | Such contract must be reviewed by the Regional ACP |
| K1.14 Approves direct contracting with a supplier with a cumulative value in a calendar year between USD50, 000 up to 50% of the Delegated Procurement Authority. | POPP – Procurement Review Committee |  |  | Directors RBX | Directors Central Bureau | Heads of UNCDF and UNV | UNDP RR |  | Head of Offices | Such contract must be reviewed by local Contract, Asset and Procurement Committee |
| K1.15 Approves amendments to contract that in aggregate increases its value by 20 per cent or the Delegated Procurement Authority whichever is less. | POPP – Procurement Committee |  |  | Directors RBX | Directors Central Bureau | Heads of UNCDF and UNV | UNDP RR |  | Head of Offices | [CAP] Above US $50,000 and up to the standard delegated procurement authority – Direct Review by CAP Chairperson.  Above the standard delegated procurement authority and up to the increased delegated procurement authority - by CAP Committee  [RACP] Above the delegated procurement authority and up to US $2 million (applies per year for long-term agreements)  [ACP] Headquarters units: above the delegated procurement authority  Country offices: above US $2 million (applies per year for long-term agreements) |
| **K2. Individual Contractor** | | | | | | | | | | |
| K2.1 Approves Individual Contract (IC) with cumulative value of up to the Delegated Procurement Authority (DPA). | POPP –– Individual Contract |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP  RR |  | Head of out-posted HQ units |  |
| K2.2 If the daily fee of an IC exceeding US$ 1,350, irrespective of the duration of the contract, the fee must be justified to add and duly approved by the Regional Bureau Director or, in country offices, the Resident Representative. Approves requests from country offices and its HQ units for Individual Contract where the daily fees exceed USD 1,350 or in the event that the IC engagement on an assignment (including extensions of the same contract) exceeds 24 months. | POPP –Individual Contract |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP RR |  |  | The delegation of authority from the Regional Bureau Director to the Resident Representative shall be formally made in writing and kept on file. |
| **K3. Write off of assets and disposal of assets** | | | | | | | | | | |
| K3.1 May after full investigation authorize the write-off of assets with net book value in excess of USD 100,000 that have been deemed stolen, lost and/or irreparable. | FRR Rule 126.17 (a) - | ADM |  |  |  |  |  |  |  | The RACP and ACP shall review the proposal for write offs in accordance with existing procurement review limits |
| K3.2 May, after full investigation, authorize the write-off and to assign personal liability for assets (with net book value of up to USD 100,000) that have been deemed stolen, lost and/or irreparable.  Note: For building and vehicle, the fair market value will be used instead. | FRR Rule 126.17 |  |  |  | Director BMS |  |  |  |  |  |
| K3.3 May after full investigation authorize the write-off and to assign personal liability for assets (with net book value of up to USD 2,500) that have been deemed stolen, lost and/or irreparable.  Note for building and vehicles, the fair market value is to be used instead of the net book value. | FRR Rule 124.02and POPP - Furniture and Equipment Asset Disposal and Write-Off Chapter |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP  RR |  | Heads of out-posted Hq unit | Request for write offs shall require that the RAD form be submitted accordingly |
| K3.4 May authorize the disposal of assets of a fair market value under USD 2,500 without competitive bidding.  Note: For disposal of asset, the higher of the fair market value and the net book value will be used. | FRR Rule 124.02and POPP - Furniture and Equipment Asset Disposal and Write-Off |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP  RR |  | Heads of out-posted Hq unit |  |
| K3.5. May authorize the disposal by sale of assets of a value more than USD 2,500 (with competitive bidding) subject to the approval of the CAP or RACP or ACP in accordance with currently prescribed procurement review limits.  Note: For disposal of asset, the higher of the fair market value and the net book value will be used. | FRR Rule 124.02and POPP - Furniture and Equipment Asset Disposal and Write-Off Chapter |  |  | Directors RBX | Directors Central Bureaux | Heads of Office | UNDP  RR |  | Heads of out-posted Hq unit | The CAP, RACP and ACP shall review the proposal for disposal of asset in accordance with existing procurement review limits |
| K3.6 May establish property survey boards for Headquarters and other locations, to render written advice to him or her in respect of loss, damage or other discrepancy in relation to the property of UNDP. | FRR Rule 124.02 |  |  |  | Director  BMS |  |  |  |  | Based on delegated authority of ADM |
| K3.7 Makes final determination as to all recoveries to be made from staff members or others as the result of losses. | FRR Rule 126.17 (b) POPP – Administrative Services – Asset disposal & write off Chapter |  |  |  | Director  BMS |  |  |  |  |  |
| **L. Independent Oversight** | | | | | | | | | | |
| **L1. Audit related authority** | | | | | | | | | | |
| L1.1 May audit any area or UNDP unit, within the purview of the office’s mandate, which OAI deems necessary, even if it is not included in the annual work plan. | FRR Regulation 4.01, 4.03  OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L1.2 Shall have free and unrestricted access to the Chairpersons of the Executive Board, the Audit and Evaluation Advisory Committee (AEAC), and the UN Board of Auditors (BOA). | FRR Regulation 4.01, 4.03  OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L1.3 Shall have full and unrestricted access to all records, property, personnel and physical assets that OAI deems relevant to the subject under review. | FRR Regulation 4.01, 4.03  OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L1.4 Shall have the assistance and cooperation of all UNDP personnel deemed necessary for the discharge of responsibilities under this Charter. | FRR Regulation 4.01, 4.03  OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L1.5 Shall bring to the attention of the Audit and Evaluation Advisory Committee any impairment to independence, objectivity or professionalism. | FRR Regulation 4.01, 4.03  OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L1.6. May provide internal audit and investigation services to other organizations of the United Nations system on a cost reimbursement basis. | FRR Regulation 4.01, 4.03  OAI Charter |  |  |  |  |  |  |  | Director OAI | The cost of supervising/conducting specific audits of the UNDP projects may be charged to those projects |
| L1.7 Shall independently prepare and submit to the Executive Board, after review by the Audit and Evaluation Advisory Committee, an annual report for each completed calendar year on its activities, resources, disclosure of audit reports, significant audit findings, systematic weaknesses identified in audits, action taken by management to implement audit recommendations, an opinion, based on the scope of work performed, on the adequacy and effectiveness of the organizations’ framework of governance, risk management and control and such other matters as may be requested by the Executive Board. | FRR Regulation 4.01, 4.03  OAI Charter  The opinion has been requested by the EB: Decision, 2015/13 of 9 June 2015 |  |  |  |  |  |  |  | Director OAI |  |
| L1.8 Shall confirm in its annual report to the Executive Board the organizational independence of the internal audit and investigation functions. | FRR Regulation 4.01, 4.03  OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L1.9 Shall publish the audit reports issued by UNDP Office of Audit and Investigations (OAI) since 1 December 2012. | EB 2012/18 of June 2012 |  |  |  |  |  |  |  | Director OAI |  |
| L2 Investigation related authority | | | | | | | | | | |
| L2.1 Has sole responsibility for the conduct of all investigations within UNDP | OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L2.2 Is the authority for assessing and conducting investigations into allegations of misconduct, such as fraud, theft and embezzlement, corruption, abuse of privileges and immunities, sexual exploitation and sexual abuse, workplace harassment and abuse of authority, retaliation on whistleblowers, or other acts or omissions in conflict with the general obligations of staff members that involve UNDP staff and  other personnel | OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L2.3 Is the authority for assessing and conducting investigations into allegations of fraud and other financial irregularities committed by contractors, implementing partners and other third parties, deemed to be detrimental to UNDP | OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| L2.4 Assumes the function of compliance review for UNDP’s social and environmental policies and procedures. | OAI Charter |  |  |  |  |  |  |  | Director OAI |  |
| **L3. Evaluation related authority** | | | | | | | | | | |
| L3.1 Responsible for ensuring the independence, as well as the impartiality and credibility of the work of the Independent Evaluation Office, while reporting directly to and accountable to, the UNDP Executive Board. | UNDP Evaluation Policy (DP/2016/23) approved by EB |  |  |  |  |  |  |  | Director IEO |  |
| L3.2 Has the final say on the content and release of evaluations carried out by the Independent Evaluation Office, in accordance with UNDP Executive Board decisions. | UNDP Evaluation Policy (DP/2016/23) approved by EB |  |  |  |  |  |  |  | Director IEO |  |
| L3.3 Sets evaluation standards, procedures and criteria for UNDP, approves methodological guidance on UNDP evaluations, and ensures the availability of evaluation quality assessment mechanisms. | UNDP Evaluation Policy (DP/2016/23) approved by EB |  |  |  |  |  |  |  | Director IEO |  |
| L3.4 Maintains a searchable, publicly accessible repository of all UNDP, UNCDF and UNV evaluations, and respective management responses and resulting actions. | UNDP Evaluation Policy (DP/2016/23) approved by EB |  |  |  |  |  |  |  | Director IEO |  |
| L3.5 Has the freedom to engage directly with external stakeholders, in accordance with UN standards of conduct. | UNDP Evaluation Policy (DP/2016/23) approved by EB |  |  |  |  |  |  |  | Director IEO |  |
| L3.6 Manages the recruitment of staff for the Independent Evaluation Office in line with UNDP recruitment procedures and UNEG competencies for evaluators, and takes the final decision on selection of staff. | UNDP Evaluation Policy (DP/2016/23) approved by EB |  |  |  |  |  |  |  | Director IEO |  |
| L3.7 Annually reports to the UNDP Executive Board on the status of the UNDP evaluation function under the evaluation policy, including key issues for consideration by the Board, as derived from the independent evaluations carried out. | UNDP Evaluation Policy (DP/2016/23) approved by EB |  |  |  |  |  |  |  | Director IEO |  |
| **L4. Ethics office related authority** | | | | | | | | | | |
| L4.1 Has independent functional authority for providing confidential advice and guidance to UNDP personnel on ethical issues, including conflicts of interest, advising management on the substantive content of ethics training programmes and communication/awareness initiatives, administering the financial disclosure programme and implementing the protection against retaliation policy. | ST/SGB/2007/11 and Terms of Reference of Ethics Office as outlined in ST/SGB/2005/22 and EB Decision 2008/37 |  |  |  |  |  |  |  | Director Ethics Office |  |
| L4.2 Is directly accountable to and presents an annual report to the Administrator for the activities of the Ethics Office, presents an annual report to the Executive Board, and has the sole discretion to refer any matter within the Office’s purview at any time to the Chairperson of the UN Ethics Committee. | ST/SGB/2007/11 and EB Decision 2008/37 |  |  |  |  |  |  |  | Director Ethics Office |  |
| L4.3 Shall not be compelled by any United Nations official or body to disclose issues brought to the Ethics Office’s attention. | ST/SGB/2007/11 |  |  |  |  |  |  |  | Director Ethics Office |  |
| L4.4 Shall have free access to all records and documents requested, with the exception of medical records and audit and investigation records that are subject to confidentiality requirements, including access to the Chairpersons of the Executive Board, the Audit and Evaluation Committee and shall bring to the attention of the Audit and Evaluation Committee any impairment to independent, objectivity or professionalism | ST/SGB/2007/11 and Terms of Reference of Ethics Office as outlined in ST/SGB/2005/22/ |  |  |  |  |  |  |  | Director Ethics Office |  |
| L4.5 Has the sole authority in prima facie and final determinations in responding to complaints of retaliation, as outlined in UNDP’s Protection Policy; expects assistance and cooperation of all UNDP personnel to furnish all information and explanations that are deemed necessary for fact finding relating to protection against retaliation. | ST/SGB/2007/11 and Terms of Reference of Ethics Office |  |  |  |  |  |  |  | Director Ethics Office |  |
| L4.6 Is the custodian of the repository for the financial disclosure forms and has the sole authority to advice staff members in remedial measures in cases of potential or actual conflicts of interest, as outlined in UNDP’s Financial Disclosure Policy; expects assistance and cooperation of all UNDP staff in complying with financial disclosure requirements. | ST/SGB/2007/11 and Terms of Reference of Ethics Office |  |  |  |  |  |  |  | Director Ethics Office |  |
| L47 Reviews senior appointees performing key control functions for potential conflicts of interest and provides briefing /inductions to newly hired executives at the D1 level and above | EB Decisions 2008/37 and 2010/17 |  |  |  |  |  |  |  | Director Ethics Office |  |
| L48 Makes recommendations to management that will strengthen the organizational culture or integrity and compliance. | EB Decision 2011/24 |  |  |  |  |  |  |  | Director Ethics Office |  |