

United Nations
Department of Peacekeeping Operations
Department of Field Support
Department of Political Affairs
Ref. 2016.03



Standard Operating Procedure

1 February 2016

Vacancy Management and Succession Planning for Senior Mission Appointments (civilian Heads and deputy Heads of Mission) in missions supported by the Department Field Support (DFS)

Approved by: Atul Khare, USG DFS
Hervé Ladsous, USG DPKO
Jeffrey Feltman, USG DPA

Approval date:

Contact: DFS/SLAS

Review date: 1 March 2017

STANDARD OPERATING PROCEDURE

- A. Purpose
- B. Scope
- C. Rationale
- D. Procedures
- E. Terms and definitions
- F. Acronyms
- G. References
- H. Monitoring and compliance
- I. Dates
- J. Contact
- K. History

ANNEXURES

		Updated
A1	Generic Terms of Reference for Special Representatives of the Secretary-General (SRSGs)	January 2016
A2	Generic Terms of Reference for Deputy SRSGs Rule of Law	February 2015
A3	Template - Terms of Reference for Deputy SRSG/Resident Coordinator (RC)/Humanitarian Coordinators (HCs)	January 2016
B1	Sample – Post profile	December 2015
C1	Template – Human Rights Self-attestation form	July 2013
D1	Template - IAAP Country Check List	April 2013
E1	Template – Note to CdC (SRSG or DSRSG Recommendation)	February 2015
E2	Template – Note to CdC (DSRSG/RC/HC Recommendation)	January 2015
E3	Template – Note to CdC (Field D2-ASG-USG Approval for Extension)	July 2015
F1	Template - Transmittal Note to EOSG on senior mission appointments (SRSG)	December 2015
F2	Template - Transmittal Note to EOSG on senior mission appointment (DSRSG)	December 2015
F3	Sample - Transmittal Note to EOSG on senior mission appointments (SRSG)	December 2015
G1	Template - Letter of the Secretary-General to the President of the Security Council on a senior mission appointment	December 2015
G2	Sample - Letter of the Secretary-General to the President of the Security Council on a senior mission appointment	December 2015
H1	Template - Press Statement announcing a senior mission appointment	December 2015
H2	Sample – Press Statement announcing a senior mission appointment (SRSG)	December 2015
I1	Template – Biographical Note to Accompany the Letter to the Council	December 2015
I2	Sample – Biographical Note to Accompany the Letter to the Council	December 2015
J1	Template – Core Group Discussion List	December 2015

A. PURPOSE

1. This Standard Operating Procedure (SOP) provides instructions for vacancy management and succession planning of senior field appointments (civilian Heads and deputy Heads of Mission) for missions supported by DFS¹.

B. SCOPE

2. This SOP shall apply to the phases of vacancy management and succession planning for mission leadership to the point of announcement or integrated administrative in-briefings, depending on the order in which they took place. For pre-deployment steps, including development and administration of substantive in-briefings, see separate instructions and guidelines developed by DPET for DPKO-led missions and the Guidance and Learning Unit for DPA-led missions.

C. RATIONALE

3. This SOP was originally developed in 2009 following a joint review of the vacancy management and succession planning processes by the Executive Office of the Secretary-General (EOSG), the Department of Peacekeeping Operations (DPKO), the Department of Political Affairs (DPA), and the Department of Field Support (DFS). It was subsequently reviewed and updated in December 2015.

This SOP includes the steps developed in the IAAP SOP with regard to vacancy management and succession planning of multi-hatted Deputy Heads of Mission. It also incorporates the steps from the DPKO/DFS SOP on communications related to Senior Mission Appointments. It is intended that this comprehensive formalized process, with clarity on lead and support roles and responsibilities, will result in a more effective and efficient vacancy management and succession planning. It will also better enable the departments to generate a more diverse pool of qualified candidates.

D. PROCEDURES

D.1. IDENTIFICATION OF VACANCIES		
1.1 Establishment of New Mission	DPKO-Led Missions Lead/Support ²	DPA-Led Missions Lead/Support ³
1.1.1 Security Council adopts resolution establishing new Mission.	OASG OO	OUSG

¹ This SOP does not apply for vacancy management and succession planning of Heads of Mission who are uniformed. For those posts the *Selection Procedure for Mission Military Seniors (June 2009)* applies, and the process is led by Office of Military Affairs (OMA) in DPKO.

² The Lead entity is the entity or individual responsible for leading the performance of the action or task. The Lead entity may delegate this action or task as appropriate but remains accountable for its completion. The Support entity or individual is responsible for supporting the Lead entity in the performance of that task. Individuals participating in decision-making bodies are to be at least at the level of the post under consideration. Individuals participating in making recommendation will work under the delegated authority of their principals.

³ Where a mission is led by the Department of Field Support (e.g. UNSOS) the procedures outlined in Section D will apply, with the only change being that OUSG DFS is the lead entity for those steps where OUSG DPKO or OUSG DPA are in the lead on DPKO and DPA-led missions.

1.1.2	Post level and funding determined.	Reg. Div. OO/FPD, FBFD ⁴	OUSG/Reg. Div. (DPA EO), FPD, FBFD
1.1.3	Determine terms of reference (see Annex A1, A2 and A3) and post profile (see Annex B1). Go to section D.2		
1.2	Expiration of appointment (To be completed four months prior to expiration date)	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
1.2.1	Circulate monthly Report on Expirations of Appointment, copying EOSG on outgoing Report and follow up responses.	SLAS	SLAS
1.2.2	Review of leadership succession planning at Core Group level ⁵ (see Annex J1).	CdC, DSG, USGs DPKO, DFS, DPA, UNDP, OCHA	CdC, DSG, USGs DPKO, DFS, DPA, UNDP, OCHA
1.2.3	Review of expiring appointments at the departmental level, keeping in view the mandatory age of separation for D-2s.	OUSG/OASG, Reg. Div., SLAS	OUSG/SLAS
In case of a multi-hatted Deputy:			
1.2.4	Notify SLAS of intention to renew the appointment of the incumbent if applicable ⁶ .	OUSG/OASG, Reg. Div.	OUSG
1.2.5	Inform UNDG and OCHA of the upcoming vacancy or of the intention of DPKO/DPA to renew the appointment of the incumbent ⁷ .	SLAS	SLAS
In the case of a decision to renew the appointment:			
1.2.6	Contact incumbents (and HoMs in the case of Deputies) to determine interest in extension of appointment. In case incumbent is not interested, go to 1.2.9.	USG/OUSG, OASG, Reg.Div.	USG/OUSG
1.2.7	Draft Note to Chef de Cabinet (see Annex E3), copying the UNDP Administrator and ERC for multihats, with recommendations regarding appointment renewal and	Reg. Div./SLAS	Reg. Div./SLAS

⁴ OROLSI is involved in vacancy management and succession planning for those posts or potential posts with rule of law responsibilities.

⁵ The Leadership Core Group is a senior-level mechanism that aims to ensure well-integrated senior leadership teams are in place and functioning effectively, and to troubleshoot in situations where they are not. The Core Group strives to meet bimonthly and its members are the EOSG, DPA, DPKO, DFS, UNDP/UNDG and OCHA principals. Guidance from the Core Group can be received at any stage of the vacancy management and succession planning process and can affect workflow decisions.

⁶ UNDP, OCHA and DOCO are involved in vacancy management and succession planning for multi-hatted deputy posts or potential multi-hatted deputy posts.

⁷ UNDP, OCHA and DOCO are involved in vacancy management and succession planning for multi-hatted deputy posts or potential multi-hatted deputy posts.

	submit to EOSG for approval.		
1.2.8	Communicate e-approval to OUSG DPKO/DPA, copying the USG DFS, ASG OHRM, UNDP and OCHA as appropriate, and SLAS, via e-mail marked confidential ⁸ .	EOSG	EOSG
1.2.9	Notify FPD, OHRM, OUSG, OASG, Reg. Div., OROLSI, OCHA, UNDP and OMA as appropriate of the Secretary-General's decision, so that administrative activities to be undertaken and missions and incumbents can be informed.	SLAS	SLAS
In the case of a decision by the Organization or incumbent not to renew, or in case of vacancies for other reasons:			
1.2.10	Contact incumbent and inform/acknowledge intention not to renew appointment ⁹ .	OUSG	OUSG
1.2.11	Determine if the post will be a regular appointment or if the incumbent will be serving as OIC, Acting or Ad Interim ¹⁰ .	OUSG, Reg. Div.	OUSG

D.2. DETERMINE POST PROFILE AND TERMS OF REFERENCE¹¹			
2.1	Preparation and approval of Post Profile, Terms of Reference (TORs) and Country Check List as appropriate in the case of Multihatted Deputy Heads of Mission (2-3 weeks)¹²	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
2.1.1	Develop/update drafts of post profile, TORs and Country Check List as appropriate (See Annex A1-3, B1 and D1).	Reg. Div./HoM, OASG, SLAS	Reg. Div, SLAS
2.1.2	Consult on drafts of the ToRs and Country Check. Include UNDP and DOCO for the RC and RR components	Reg. Div./SLAS	Reg. Div./SLAS

⁸ The Office of Human Resources Management in the Department of Management prepares Letters of Appointment and Extension for all USG and ASG level appointees. The Field Personnel Division in the Department of Field Support prepares the same documentation for Deputy Heads of Mission at the D-2 level.

⁹ A decision not to renew an appointment must be communicated to the individual as early as possible.

¹⁰ For short term gaps (less than 3 months) in missions, OIC arrangements may suffice. For longer gaps an individual may need to be appointed in an Acting or Ad Interim capacity (for detailed definitions see Section E, terms and definitions).

¹¹ Applicable to newly created missions/posts and where new candidates for existing posts are sought.

¹² A target timeframe has been reflected for each phase of the process, where possible.

	and OCHA for the HC Component.		
2.1.3	Review and approve post profile, ToRs and country check list as appropriate.	OUSG/OASG	OUSG

D.3. IDENTIFY SUITABLE CANDIDATES			
D.3.1 PREPARE A CANDIDATE SLATE¹³ (For Head and Deputy Head of Mission positions)			
(For multi-hatted Deputy Head of Mission positions go to section D.3. 2)			
3.1.1 Preparation of Preliminary Candidate Slate (3 weeks)		DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
3.1.1.1	Compile list of potential candidates for the preliminary candidate slate, reflecting inputs from Lead Department and key partners, including relevant candidates from the Senior Leadership Database ¹⁴ .	SLAS/Reg. Div., HoM as appropriate, OASG, OUSG	SLAS/Reg. Div., OUSG, OASG, HoM as appropriate
3.1.2 Consolidation of Candidate Slate (2 weeks)		DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
3.1.2.1	Review and refine preliminary Candidate Slate against the post profile, determining the need for additional candidates including through strategic outreach.	Reg. Div./OASG, SLAS	Reg. Div./OASG, SLAS
3.1.2.2	Conduct additional outreach to solicit potential candidates.	SLAS/Reg. Div.	SLAS/ Reg. Div.
3.1.2.3	Light background and reference check of candidates ¹⁵ .	OUSG/OASG, Reg.Div., EOSG, SLAS	OUSG
3.1.2.4	Review and finalize slate for submission to OUSG.	Reg. Div./OASG, SLAS	Reg. Div./OASG, SLAS

¹³ In cases where a candidate has already been identified go to D.6 (preparation of recommendation).

¹⁴ The centralized database of potential candidates for senior most functions in the field is managed by SLAS and exists to support the Departments of Peacekeeping Operations, Political Affairs and Field Support in identifying candidates for senior positions. Efforts are made to capture strategically targeted candidates, prioritizing women, candidates from under-represented countries and candidates from troop and police contributing countries. Candidates have been openly, and often informally, sourced from a range of internal and external partners, including suggestions from within relevant areas of the UN system, as well as direct nominations from Member States, recommendations from international governmental organizations and non-governmental organizations and self-nominations by interested individuals.

¹⁵ This can include reference checking by other core group members.

3.1.3 OUSG Lead Department review of candidate slate (2-3 weeks for completion of steps 3.3 through 3.6)	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
3.1.3.1 Review and endorse Candidate Slate (with a minimum of three candidates and including at least one woman), with a view to finalizing a short list ¹⁶ .	OUSG	USG
3.1.5 Establishment of candidate availability	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
3.1.5.1 Contact short-list of candidates to determine interest and availability, share ToRs for the post. If need for additional candidates (go to section 3.1.2.2).	SLAS, OUSG, OASG	SLAS, OUSG, OASG

D.3.2 PREPARE A CANDIDATE SLATE (for multi-hatted Deputy positions¹⁷)		
3.2.1 Circulation of vacancy (2 - 3 weeks)	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
3.2.1.1 Disseminate the vacancy (including the ToRs and the country check list) to IAAP members.	DOCO	DOCO
3.2.1.2 Decide whether or not to nominate eligible staff member and/or advocate for others to put forward particular candidates.	OUSG/OASG, Reg.Dir., SLAS	OUSG/OASG, Reg.Dir., SLAS
3.2.2 Review of candidates put forward by IAAP members (1 - 2 weeks)	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
3.2.2.1 Circulation of nominated candidates to IAAP members.	DOCO/SLAS	DOCO
3.2.2.2 Review the nominations received and vote ¹⁸ .	OUSG, OASG, Reg. Div.,	OUSG
3.2.2.3 Circulation of voting outcome and submission to the UNDG Chair.	DOCO	DOCO

¹⁶ Consult with EOSG to ensure there are no other factors that might preclude any of the potential candidates from being appointed.

¹⁷ See the Inter Agency Advisory Panel Standard Operating Procedures (UNDG Approved – 30 November 2009) and the Inter Agency Advisory Panel: Standard Operating Procedures Addendum (Updated 23 July 2014) for detailed information on the IAAP voting procedures and the eligibility criteria for multi-hatted Deputy positions.

¹⁸ SLAS supports lead Departments by facilitating consultations and decision-making regarding “support” to candidates and voting.

<p>3.2.2.4 Determine whether to proceed with interviews. If no: go through steps in section D.4 and then proceed to D.6.3. If yes: Interviews of short-listed candidates for multi-hatted Deputy positions are conducted by the UNDG Chair, the ERC as appropriate, and the USG of the Lead departments if they decide to do so. The input from the concerned Head of Mission will be sought by the panel.</p>	<p>UNDG Chair, OUSG, OCHA as appropriate</p>	<p>UNDG Chair, OUSG. OCHA as appropriate</p>
--	--	--

D.4 FORMAL SCREENING OF CANDIDATES		
4.1 Human Rights ¹⁹ and CDU ²⁰ screening of candidates	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
4.1.1 Submit names of candidates to OHCHR for screening. ²¹	SLAS	SLAS
4.1.2 As appropriate, submit names of candidates for interview to CDU for screening.	SLAS	SLAS
4.1.3 Ask candidates to sign and return a self-attestation (see Annex C1).	SLAS, DOCO for IAAP candidates	SLAS, DOCO for IAAP candidates
<p>In case information regarding the human rights conduct of the candidate is received from OHCHR, see DPKO-DFS process for assessing proactive human rights screening results.</p> <p>In case of negative screening feedback from CDU consultation between CDU, the Lead Department and other relevant entities is required.</p>		

¹⁹ Since December 2012, in line with the Secretary-General's Policy on Human Rights Screening of UN Personnel (Decision 2012/18) names of candidates for senior leadership positions (civilian and uniformed) are submitted to OHCHR for human rights screening so that any available information on alleged violations of human rights comes to light in the course of the selection process. Candidates for senior leadership position are also required to complete a self-attestation stating that they have not committed, been convicted of, nor prosecuted for, any criminal offence and have not been involved, by act or omission, in the commission of any violation of international human rights law or international humanitarian law.

²⁰ Since May 2015 an internal information sharing arrangement has been agreed between SLAS and CDU whereby, when requested by SLAS, CDU will screen the names of requested individuals against its records in the Misconduct Tracking System and other available case data for possible instances of misconduct while on assignment in United Nations peacekeeping operations or special political missions.

²¹ Submission of screening requests under the Policy of Human Rights Screening of UN Personnel will be made to a dedicated screening entity once it is established (see Secretary-General decision 2015/3).

D.5. INTERVIEW CANDIDATES²²			
5.1	Interview of candidates	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
5.1.1	Determine panel composition ²³ , identify note-taker and prepare background documents ²⁴ .	OUSG, OASG/Reg. Div.	OUSG/Reg. Div.
5.1.2	Determine interview timing and contact panellists.	OUSG or OASG	OUSG or OASG
5.1.3	Invite candidates and share background documents.	SLAS	SLAS
5.1.4	Logistical and administrative arrangements made to interview candidates ²⁵ .	SLAS	SLAS
5.1.5	Develop interview questions and any other assessment modality.	Reg. Div./HoM as appropriate, SLAS	Reg. Div./HoM as appropriate, SLAS
5.1.6	Conduct interviews, evaluate and reach consensus on candidates, with Lead Department serving as chair.	Panellists/Note taker, SLAS	Panellists/Note taker, SLAS

D.6 PREPARATION OF RECOMMENDATION (1 week)			
6.1	In case interviews were conducted	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
6.1.1	Draft Note to the Chef de Cabinet (see Annex E1 and E2) reflecting the Panel's evaluation and the status of the Human Rights screening for recommended candidate(s) and attaching TORs, list of D-1 and above, CV and signed Self Attestations of recommended candidates.	Note taker (in consultation with panel chair)/ SLAS	Note taker (in consultation with panel chair)/ SLAS

²² This section is for Head and Deputy Head of Mission positions only. Interviews of short-listed candidates for multi-hatted Deputy positions are conducted by the UNDG Chair, the ERC as appropriate, and the USG of the Lead departments if they decide to do so. The input from the concerned Head of Mission will be sought by the panel.

²³ All interview panels for senior level positions should comprise at least 3 panel members with at least one female panelist. Preferably panels should be inter-departmental and/or include other UN entities to reflect the multi-dimensional nature of DPKO-led operations and DPA-led missions. For Deputy Heads of Mission, the chair of the panel will usually be the ASG and the SRSG of the mission will typically be included in the panel. For Heads of Mission, the chair of the panel will usually be the USG of the Lead department. Lead department determines participation of the Head of Mission. For practical logistical reasons the chair will usually be at UNHQ.

²⁴ Key background documents include SG's report, SC resolution, Mission's organizational chart and any other documents relevant to the immediate situation of the Mission and the region. The number of background documents is typically no more than 5.

²⁵ SLAS support to interviews includes logistical arrangements (scheduling, VTC, etc.), coordination of interview questions, support to note-taking, drafting and clearing with the interview panel the draft Note to the Chef de Cabinet, as well as attachments when required.

6.1.2	Circulate Note to Panel members for comment/endorsement.	Note taker	Note taker
6.1.3	Submit the note to the USG for signature ²⁶ .	Note taker	Note taker
6.1.4	Conduct informal consultations with stakeholders as necessary.	USG	USG
6.1.5	Submit the recommendation package to the Chef de Cabinet, EOSG ²⁷ .	OUSG	OUSG
6.2	In case interviews were not conducted	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
6.2.1	Draft a note to the CdC (see Annex E1 and E2) recommending the candidate ²⁸ and go to 6.1.3.	Reg. Div./SLAS	Reg. Div./SLAS
6.3	In case of IAAP process (with or without interviews)	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
6.3.1	Draft a recommendation note to CdC mentioning the results of the IAAP process and with copy to UNDG Chair, ERC and UNDP Administrator as appropriate and go to 6.1.3.	Reg. Div./SLAS (UNDP and OCHA as appropriate)	Reg. Div./SLAS (UNDP and OCHA as appropriate)

D.7 STEPS FOLLOWING APPROVAL OF THE SECRETARY-GENERAL			
7.1	E-approval Transmittal	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
7.1.1	E-mail e-approval to the Lead department.	EOSG	EOSG
7.1.2	E-mail e-approval to FPD Director, FPOS Reg. Div., Lead Dept Reg. Div., copying OUSG DPKO/DPA, USG DFS, ASG OHRM, SLAS and OCHA, UNDP and DOCO as appropriate in an e-mail marked confidential.	SLAS	SLAS
For HoMs, transmittal of e-approval should await Security Council clearance (see 8.5: Security Council silence procedure for HoM)			

²⁶ The routing of these notes should be: Note taker to OUSG for signature directly.

²⁷ The final package to EOSG will include relevant attachments, such as TORs, list of D1s and above in the Mission, and candidate curricula vitae/biographies of recommended candidate(s).

²⁸ Including the rationale behind the decision not to conduct interviews.

7.2 First contact with the successful candidate	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
7.2.1 Inform successful candidate of the SG's intention to appoint ("subject to "no objection" from the Security Council in the case of Heads of Missions).	OUSG or OASG as appropriate	OUSG or OASG as appropriate
7.2.2 Discuss start date, timing of integrated administrative in-briefing and timing of public announcement with successful candidate in consultation with other relevant entities.	Reg. Div./SLAS	Reg. Div./SLAS

D.8 COMMUNICATIONS & ANNOUNCEMENTS		
8.1 Preparation of letter to the Security Council and other required documentation (for the appointment of HoM only ²⁹)	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
8.1.1 Prepare the following documentation in consultation with the relevant offices (see Annex F, G, H and I): 1) letter of the Secretary-General to the President of the Security Council informing of the Secretary-General's intention to appoint a HoM; 2) a Biographical Note on the appointee, reviewed and cleared by the appointee ³⁰ ; 3) a draft Press Statement ³¹ , reviewed and cleared by the appointee, announcing the Secretary-General's appointment of the HoM; and, 4) the curriculum vitae/resume/UN personal history profile of the appointee.	Reg. Div./PAS, SLAS	Reg. Div./SLAS
8.1.2 Prepare a note to the Chef de Cabinet to transmit the package, with supporting documents, as appropriate. The note should refer to consultations with the parties	Reg. Div	Reg. Div

²⁹All consultations with the concerned parties are expected to be completed prior to the dispatch of the draft Security Council letter to the EOSG for signature of the Secretary-General and onward transmission to the Security Council.

³⁰ For francophone presidencies, the Letter to the Security Council and the Biographical Note on the appointee are submitted in French and English.

³¹ For francophone missions, the Press Statement is submitted in French and English.

	(see 6.1.4. and 7.1.3), as necessary, as well as any consideration impacting the timing of the issuance of the letter to the Security Council or the Press Statement.		
8.2	Preparation of required documentation (for the appointment of Deputy Heads of Mission only)	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
8.2.1	Prepare the following documentation in consultation with the relevant offices (see Annex F, H and I): 1) a draft Press Statement announcing the Secretary-appointment of a Deputy or Multi-hatted Deputy; and, 2) attach the curriculum vitae/resume/UN personal history profile of the appointee.	Reg. Div./PAS, SLAS	Reg. Div., OUSG/SLAS
8.2.2	Prepare a note to the Chef de Cabinet with the draft press statement and the candidate's curriculum vitae/resume/UN personal history profile. The note should refer to any consideration impacting the timing of the issuance of the press statement.	Reg. Div	Reg. Div
8.2.3	In the case of Deputy Heads of Mission who will also serve as RC/RR, communicate intention to designate as RC/RR to host Government, provide letter of accreditation to candidate and inform Lead department and SLAS when done.	UNDP	UNDP
8.2.4	In the case of Deputy Heads of Mission who will also serve as HC, communicate intention to designate as HC to IASC and inform the Lead Department and SLAS when done.	OCHA	OCHA
8.3	Review of documents and submission to EOSG	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
8.3.1	Share package of documents by e-mail with SLAS for review. For DPKO-led missions, also share package with Public Affairs Section (PAS).	Reg. Div.	Reg. Div.
8.3.2	Submit package of documents, in	Reg. Div.	Reg. Div.

	hard copy and electronic format, to OUSG for signature.		
8.3.3	Submit signed package of documents electronically to EOSG copying EOSG senior appointments unit, front offices, SLAS and drafter.	OCOS	OUSG
8.4	EOSG clearance of documents	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
8.4.1	Review and clear documents in consultation with the lead department.	EOSG/OUSG	EOSG/OUSG
8.5	Security Council silence procedure for Heads of Mission (48 hours)	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
8.5.1	For HoM submit letter of the Secretary-General and biographical note to the president of the Security Council for the Security Council silence procedure.	EOSG	EOSG/SCAD (DPA)
8.5.2	Inform Lead Dept. and SLAS of end of silence procedure.	Senior Appointments Unit, EOSG	Senior Appointments Unit, EOSG
8.5.3	Inform host government of SG's decision via Permanent Mission.	OUSG/Reg. Div., in consultation with EOSG In some sensitive cases, EOSG may assume this function	OUSG/Reg. Div., in consultation with EOSG In some sensitive cases, EOSG may assume this function
8.6	Issuance of Press Statement	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
8.6.1	Inform non-selected candidates, just prior to the announcement by the Spokesperson. ³²	OUSG	OUSG
8.6.2	Inform designate of the pending announcement and anticipated timing of issuance.	OUSG	OUSG
8.6.3	Submit the cleared documents (original version with signature(s)) to the office of the spokesperson for issuance, awaiting green light from USG.	Senior Appointments Unit, EOSG	Senior Appointments Unit, EOSG

³² Feedback can be provided upon request by SLAS.

<p>8.6.4 Issuance of announcement</p> <p><i>If the Press Statement is cleared before 11:00h the day of the noon briefing:</i></p> <p>OSSG prints the Press Statement and informs journalists by a public announcement made outside the press room of its availability in the OSSG, send the statement by email to the journalist “lid list”, and publishes the Press Statement on the Secretary-General’s Statements website.</p> <p><i>If the statement is cleared between 11:00-12:00h the day of the noon briefing:</i></p> <p>Spokesperson reads the Press Statement announcing the senior leadership appointment at the noon briefing. OSSG informs journalists that a print copy of the Press Statement is available in the OSSG, sends the Press Statement by email to the journalist “lid list” and publishes the Press Statement on the Secretary-General’s Statements website.</p>	<p>OSSG</p>	<p>OSSG</p>
--	-------------	-------------

D.9 INTEGRATED ADMINISTRATIVE IN-BRIEFING PROCESS³³		
9.1 Integrated Administrative In-briefing Process	DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
<p>9.1.1 Assign an FPD desk officer to coordinate follow-up on all necessary administrative steps, including i) medical clearance ii) transfer as appropriate iii) travel and visa arrangements; issuance of ticket iv) issuance of relocation grant and assignment grant v) confirmation of entitlements.³⁴</p>	<p>FPD</p>	<p>FPD</p>
<p>9.1.2 FPD desk officer to establish contact between designate and</p>	<p>FPD desk officer</p>	<p>FPD desk officer</p>

³³ This is sometimes done prior to the public announcement being made.

³⁴ Entitlements include salary, post adjustments, hazard pay, mobility, non-removal, rental subsidy, representation allowance, insurance.

receiving mission C-HRO or administering entity (as appropriate).		
9.1.3 Convene and facilitate a meeting ³⁵ or telephone call, as appropriate, with candidate, parent organization, OHRM ³⁶ , FPD/FPOS ³⁷ and lead department ³⁸ , to help address contractual questions, confirm start date and confirm timing of substantive in-briefing.	SLAS	SLAS
9.1.4 Share summary of discussion and action points with in-briefing attendees.	SLAS	SLAS
9.1.5 Prepare appointment details and forward them to OHRM for generation of letter of appointment.	SLAS	SLAS
9.1.6 Issue letter of appointment and convey to FPD.	OHRM	OHRM
9.1.7 Convey letter of appointment to designate.	FPD	FPD

E. TERMS AND DEFINITIONS

1. **Terms of Reference** – description of background, organization setting, experience and skills and key competencies.
2. **Profile Points** – Critical requirements not usually included in the Terms of Reference such as, but not limited to, information on nationality, region and gender.
3. **Country Checklist** - The country checklist contains a set of minimum criteria to assess the suitability of candidates for a multi-hatted position, including, among others, whether a country is classified as *previous RC experience is normally required*. Depending on the requirements of the country of assignment, the checklist may apply criteria for humanitarian coordination functions, DO functions as well as for politically complex countries requiring a higher level of political skills and acumen.

³⁵ Ideally the integrated administrative in-briefing will take place before the candidate comes to New York for their substantive in-briefings.

³⁶ OHRM's primary role in the meeting is to explain the candidate's earning and deductions, and answer any questions related to entitlements.

³⁷ FPD/FPOS's primary role in the meeting is to clarify all matters related to on-boarding (such as visas and medical) and be prepared to answer any questions (for example related to housing in the duty station or R&R cycles)

³⁸ The lead department's primary role in the meeting is to clarify arrangements related to start date and substantive in-briefings.

4. **Self-attestation** – All candidates for Head and Deputy Head of Mission posts are required to sign self-attestations confirming that they have not committed or been involved in any violation of international human rights law or international humanitarian law.
5. **Acting** – Typically implies that a selection process is ongoing and the Acting Head of Mission may be considered for the regular appointment. This designation suggests the individual assumes the full responsibilities of the post.
6. **Ad Interim** – Usually used when a temporary appointment is made to a vacant post while a process is being run to select an incumbent. The Ad Interim appointee will typically **not** be considered for the post beyond the temporary appointment.
7. **OIC** – When a post is encumbered and the incumbent is temporarily absent, an Officer-in-Charge is designated, usually by the incumbent of the post, to act as the responsible officer during the period of absence. It is understood to be a temporary designation and not an assignment to the post, and carries no expectancy of eventual assignment.
8. **Silence Procedure** – The Security Council President circulates the Letter of the Secretary-General to members of the Security Council. If there is no objection within 48 hours the Security Council President signs the letter to the Secretary-General, taking note of the Secretary-General's intention contained in his/her letter to the President on the senior mission appointment.
9. **Biographical Note** – A short biographical note accompanies the Letter to the Council and provides a summary of the professional experience and background of the appointee and date of birth. It makes no mention of the appointment itself or the outgoing incumbent. The note should be submitted as a word document, with the person's name as the title.
10. **Press statement** – The press statement announces the appointment of the individual as the SRSG/Head of Mission, Deputy SRSG or Head of Military Component. The Statement makes reference to the outgoing individual and expresses gratitude for his/her service. It should also describe what the appointee brings to the new appointment, including relevant professional highlights as well as other peacekeeping missions in which s/he served. The press statement informs of relevant academic qualifications, date of birth, marital status and number of children (preferred but not obligatory).

F. ACRONYMS

CDU	Conduct and Discipline Unit
DFS	Department of Field Support
DOCO	Development Operations Coordination Office
DPA	Department of Political Affairs
DPKO	Department for Peacekeeping Operations
EOSG	Executive Office of the Secretary-General
ERC	Emergency Relief Coordinator
FBFD	Field Budget and Finance Division
FPD	Field Personnel Division
FPOS	Field Personnel Operations Service

HoM	Head of Mission
IAAP	Inter-Agency Assessment Panel
IASC	Inter-Agency Standing Committee
OASG	Office of the Assistant Secretary-General
OCHA	Office for Coordination of Humanitarian Affairs
OHCHR	Office of the High Commissioner for Human Rights
OHRM	Office of Human Resources Management
OIC	Officer in Charge
OMA	Office for Military Affairs
OROLSI	Office for Rule of Law and Security Institutions
OSSG	Office of the Spokesperson of the Secretary-General
OUSG	Office of the Under Secretary-General
PAS	Public Affairs Section
SCAD	Security Council Affairs Division
SLAS	Senior Leadership Appointments Section
UNDG	United Nations Development Group
UNDP	United Nations Development Programme

G. REFERENCES

11. *A/61/858 (see paragraph 87) – Report of the Secretary-General - Comprehensive report on strengthening the capacity of the United Nations to manage and sustain peace operations*
12. *A/61/858/Add. 1 (see paragraphs 288-292) – Report of the Secretary-General - Comprehensive report on strengthening the capacity to manage and sustain peace operations*
13. Policy of Human Rights Screening of UN Personnel (Decision 2012/18)
14. Inter-Agency Advisory Panel: Standard Operating Procedures (UNDG Approved – 30 November 2009) and the Inter Agency Advisory Panel: Standard Operating Procedures Addendum (Updated 23 July 2014)

H. MONITORING AND COMPLIANCE

13. Compliance with this SOP shall be monitored by DFS/OUSG/SLAS.

I. DATES

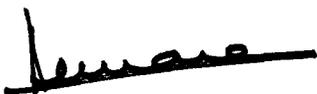
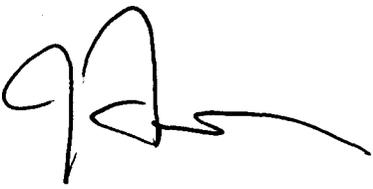
14. The updated SOP shall be effective 17 December 2015, and reviewed no later than 17 December 2016.

J. CONTACT

15. The Contact Officer for this SOP is the Chief, Senior Leadership Appointments Section, OUSG DFS.

K. HISTORY

16. This SOP was created on 16 March 2009 and amended in December 2015.

	DFS	DPKO	DPA
SIGNED:			
DATE:	29/2/2016	MAR - 3 2016	9 March 2016

Generic Terms of Reference¹

Special Representative of the Secretary-General

Level of appointment:	Under-Secretary-General/Assistant Secretary-General
Type of appointment:	Full time residential assignment
Expected duration of assignment:	One year (renewable)
Location:	[United Nations mission / regional office (family / non-family duty station)]
Size of mission:	[No of staff / troops / police etc]
Budget:	[Various]

BACKGROUND

[Description of mission mandate, setting, country context and relevant recent developments]

PROFILE

The Special Representative of the Secretary-General (SRSG) should be skilled in diplomacy with strong cultural and gender sensitivity, capable of maintaining effective and productive relations with diverse parties. S/he should establish legitimacy through impartial and transparent dealings with both the stakeholders to the conflict and the international community. The SRSG must be able to mediate, to attain mandated objectives. The SRSG must have effective planning and communication skills and a willingness to become personally engaged. The SRSG should have previous experience in international political and conflict resolution, and preferably in the management of large, complex organizations.

Given his/her centrality to the objectives and responsibilities of the United Nations, the SRSG has the responsibility to uphold international human rights law in the implementation of the Mission's mandate. The SRSG must work toward the promotion and protection of human rights. The Secretary-General expects SRSGs to ensure the UN presence is addressing risks of and ongoing serious human rights violations and concerns and to raise concerns with national authorities and other actors, as relevant.

¹ Specific positions will include additional requirements relevant to the country / regional context and post requirements.

Annex A1: Generic Terms of Reference SRSG

The SRSG should have a strong commitment to upholding the independence and integrity of the Mission as an entity of the United Nations. S/he should serve as a role model, set high professional standards of work and conduct and should lead by personal example. The SRSG should have team building skills, the ability to provide leadership in a diverse and multi-cultural environment and to mobilize partner support and resources. S/he should be a pragmatic leader with a realistic outlook and possess a mix of patience, determination and creativity.

ORGANIZATIONAL SETTING AND REPORTING RELATIONSHIP

The SRSG is appointed by the Secretary-General. S/he serves as Head of Mission (HoM) and is responsible for implementing the Mission's mandate, and developing strategies for achieving these goals using the political, institutional and financial resources available.

The SRSG is the senior UN Representative in the host country and has overall authority over the activities of the UN in the country. *[If applicable, mention that s/he is supported by one or two Deputies]*. S/he represents the Secretary-General and speaks on behalf of the UN in the host country.

The incumbent reports to the Secretary-General through the Under-Secretary-General of the Lead Department on all matters related to the discharge of the mandate. The SRSG enters into an annual compact with the Secretary-General, highlighting her/his strategic and managerial objectives over the reporting period. Her/his performance is evaluated against these at the end of the period.

The SRSG is normally also appointed as the Secretary-General's Designated Official (DO), responsible for the security and protection of staff of the United Nations.

RESPONSIBILITIES:

The incumbent will:

- Develop a shared vision for fulfilling the mandate of the Security Council and set the strategic direction to achieve goals and objectives, including inter alia establishing the Mission's transition/exit strategy;

Annex A1: Generic Terms of Reference SRSG

- Provide good offices on behalf of the Secretary-General through political support for efforts to resolve conflict, facilitating negotiations, fostering peace and building confidence among parties;
- Provide overall leadership to the comprehensive United Nations engagement in the host country, in accordance with the principle of integration, and promote a joint vision of the United Nations' strategic objectives; establish a framework that guides the activities of the Mission and the United Nations Country team, leverages their combined comparative advantage and ensures that all the United Nations components in the country pursue a coordinated and coherent approach;
- Ensure the United Nations engagement and actions within the country are guided at all times by international human rights standards and meet UN responsibilities as set by the Secretary-General in his Human Rights up Front action plan.
- Provide leadership, political guidance and high-level operational direction in the execution of Mission activities;
- Exercise executive management over the Mission's resources and administration, in particular: ensure cost-effectiveness, as well as integrity in the stewardship and management of financial resources in support of Mission's objectives; exercise his/her delegated human resources management authority, and in an efficient and effective manner to enable achieving programmatic objectives;
- Report to the Secretary-General, senior United Nations officials, the Security Council, other United Nations bodies and Member States on developments in the host country and all matters relating to the implementation of the Mission's mandate;
- As Designated Official (DO), ensure the safety and security of staff (and dependants, if appropriate) of the United Nations and the United Nations agencies, funds and programmes in the mission area;
- Engage routinely with both local and international media based on a coherent media strategy for the Mission; speak on behalf of the United Nations in the host country;
- Promote and monitor the implementation of Security Council resolutions on Women Peace and Security and drive the integration of gender perspectives throughout

Annex A1: Generic Terms of Reference SRSG

operational activities, including support to increasing recruitment of women in all areas to facilitate enhanced operational impact;

- Build a mission culture of accountability, integrity and respect, and which promotes the highest standards of conduct among all members of the mission.

QUALIFICATIONS

Experience: In recognition of the highly complex nature of these posts, experience in the following is highly desirable:

- Minimum of 20 years of relevant professional experience in conflict, post-conflict, peacebuilding and development settings at the national and/or international level;
- Sound knowledge of and experience working in reconciliation and conflict resolution, human rights and rule of law issues;
- Sound knowledge of the Women, Peace and Security agenda
- Demonstrated track record of excellent leadership and management ability, preferably in a diverse, multicultural setting;
- Demonstrated experience in strategic planning and management of large, complex organizations;
- In-depth knowledge of the region in which the Mission operates;
- Knowledge of the United Nations system, in particular the United Nation's work in peacemaking, peacekeeping, peacebuilding, human rights, and conflict resolution;

Annex A1: Generic Terms of Reference SRSG

Languages: Fluency in oral and written English is essential. Fluency in oral and written French is required for francophone field missions. Other languages may be desirable depending on the context.

COMPETENCIES

Professionalism: Expert knowledge in the substantive areas of the Mission's mandate; wide exposure to political, human rights and rule of law issues as well as the management of complex, multidisciplinary teams/organizations; commitment to mainstreaming a gender perspective in mandated mission tasks; demonstrated ability to meet commitments and deliver results; proven critical thinking skills; strong negotiation and conflict resolution skills.

Vision: Identifies strategic political issues, opportunities and risks; links overall objectives and goals to activities of work units; and, generates and communicates broad and compelling organizational direction.

Leadership: Ability to translate political mandates and requirements into managerial action; ability to translate vision into comprehensive and holistic strategies and to translate strategies into achievable programmes of action; shows conceptual flexibility to adapt to changing environments; takes risks to advance implementation of mission mandates; and, mobilizes effective support from within and outside the mission.

Building Trust: Reputation for honesty; ability to gain the confidence and respect of others; and, ability to establish productive partnerships and to work within the political environment.

Judgement/Decision-making: Mature political judgement and initiative combined with strong analytical skills; takes decisions and courses of action that satisfy the expressed and underlying needs for the decision while operating within the organizational regulations and rules; and, assumes responsibility and accountability for judgement and decisions.

Managing Performance: Ability to establish priorities and to plan, coordinate and monitor the work of others; and, ability to motivate, coach and mentor staff and encourage good performance.

Annex A1: Generic Terms of Reference SRSG

Planning and organization: Strategic planning skills to develop and oversee the implementation of complex integrated plans; ability to integrate work of the political units of the mission with that of other units and offices, as well as with the work of the UN agencies, funds, programmes and other partners, as appropriate.

Team-building: Demonstrated ability to lead and gain assistance of others in a team endeavour; ability to build inclusive and productive teams whose members feel valued and enabled to work to shared goals and shared results; ability to promote good morale; gender sensitivity; and ability to work in a multi-dimensional, multi-cultural and multi-ethnic environment.

Communication: Excellent communication and presentational skills; and, ability to defend and explain difficult issues, key decisions and positions to senior officials of Governments, NGOs, intergovernmental bodies, the media and other parties; and, ability to communicate vision and strategies.

Integrity: Demonstrates the values of the United Nations in behaviours and actions; does not abuse authority; and, leads by example in demonstrating the highest standard of conduct of the United Nations.

Respect for Diversity: Shows respect for diverse points of view and demonstrates this in decision-making; demonstrates understanding and respect of local culture, language and traditions of the field mission; works effectively with people from all backgrounds; promotes gender equality and fosters respect for women's rights; ensures the existence of mechanisms to prevent sexual harassment in the workplace; and does not discriminate against any individual or group.

IMPORTANT NOTE

Human Rights Screening Requirement: Individuals who seek to serve with the United Nations in any individual capacity will be required, if short-listed for a specific position, to complete a self attestation stating that they have not committed, been convicted of, nor

Annex A1: Generic Terms of Reference SRSG

prosecuted for, any criminal offence and have not been involved, by act or omission, in the commission of any violation of international human rights law or international humanitarian law.

Special conditions: Internal candidates are reminded that positions at the ASG-level, as part of the Secretary-General's senior leadership team, are subject to the Secretary-General's policy on non-reversion. The successful candidate will be offered a one year fixed term appointment with the Secretariat. S/he will be asked to forego her/his right to revert to her/his D-2 status at the end of her/his appointment at the ASG-level. This is without prejudice to the entitlements accrued as a result of continuing service with the Organization.

Conflicts of Interest: All UN staff members are expected to uphold the highest standards of efficiency, competence and integrity. Senior leaders in particular have the responsibility to serve as role models in upholding the organization's ethical standards.

A conflict of interest occurs when, by act or omission, a staff member's personal interests interfere with the performance of his/her official duties and responsibilities, or call into question his/her integrity, independence and impartiality. Risk for conflicts of interest may arise from a staff member's engagement in outside (non-UN) employment or occupation; outside activities, including political activities; receipt of gifts, honours, awards, favours or remuneration from external (non-UN) sources; or personal investment. In particular, no staff member shall accept any honour, decoration, favour, gift or remuneration from any Government (staff regulation 1.2 (j)). Where a real or perceived conflict of interest does arise, senior leaders are obligated to disclose this to the organization without delay.

Family Relationships: In order to avoid real or perceived family influence or preferential treatment and conflicts of interest that could stem from such situations, the Staff Rules provide that UN appointments "shall not be granted to anyone who is the father, mother, son, daughter, brother or sister of a staff member" (staff rule 4.7 (a)).

Generic Terms of Reference¹

Deputy Special Representative of the Secretary-General for the Rule of Law in United Nations Peacekeeping Operations

Level of appointment:	Assistant Secretary-General
Type of appointment:	Full time residential assignment
Duration of assignment:	Initially for a period of one year (with an expectation to commit for at least two years)
Location:	[United Nations mission / regional office (family / non-family duty station)]
Size of mission:	[No of staff / troops / police etc]
Budget:	[Various]

BACKGROUND

[Description of mission mandate, setting, country context and relevant recent developments]

PROFILE

The Deputy Special Representative of the Secretary-General for the Rule of Law (DSRSG/RoL) will contribute to the implementation of the Mission mandate on human rights, the protection of civilians, the restoration of State authority and rule of law related activities. S/he should have strong operational and management skills and previous experiences in leading, coordinating and managing large and complex operations. S/he will have experience working with civil and military components as well as with Government officials. S/he will have sound political judgment and knowledge of complex peacekeeping, early peacebuilding, transitions and peace consolidation, with demonstrated cultural and gender sensitivity. Previous experience in supporting efforts aimed at extending state authority and re-building the capacity of national institutions is desirable.

S/he must have sound understanding of international human rights principles, norms and standards, as well as excellent knowledge of rule of law institutions, including policing and law enforcement, judiciary and corrections. Previous experience working in [region of operation] is required. Knowledge of [host country] would be an asset.

¹ Specific positions will include additional requirements relevant to the country / regional context and post requirements.

ORGANIZATIONAL SETTING AND REPORTING RELATIONSHIP

The Deputy Special Representative of the Secretary-General for the Rule of Law (DSRSG/RoL) is appointed by the Secretary-General to serve in United Nations Peacekeeping Operations.

Under the direct supervision of the Special Representative of the Secretary-General (SRSG), the Deputy Special Representative is responsible for providing overall vision and leadership to the strategic planning and the implementation of work programmes of the rule of law pillar, in coordination with partners and in accordance with the comparative advantages of the mission. The incumbent will ensure that those initiatives that will advance the political objectives of the mission and ensure security or lay the foundation for longer-term institution-building are prioritized.

As a key member of the mission's Senior Management Team, the DSRSG/RoL may assume, depending on the context and mission structure, line management responsibilities for United Nations Police, Rule of Law or Justice Support, Corrections/Prison Sector Reform, Human Rights and Protection, Child Protection, Sexual Violence, Gender and Security Sector Reform sections. Depending on the mission mandate, the DSRSG/RoL, in coordination with the DSRSG/RC/HC, may lead and coordinate the missions work on protection of civilians. The strength of field missions with particular rule of law mandates have typically ranged from 10,000 to approximately 25,000 civilian and uniformed personnel.

RESPONSIBILITIES

- Lead the rule of law pillar's contribution to mandated priority tasks, particularly with respect to human rights, the protection of civilians in conflict-affected areas, stabilization and restoration of state authority in post conflict settings, peace consolidation and recovery countrywide working closely with all relevant stakeholders including any military component, the UN Country Team, national authorities and institutions and civil society;
- Lead the work of the mission's rule of law pillar in developing a coherent vision for the work of all sections under his/her supervision and ensuring that all sections work collaboratively and consistently towards the implementation of this vision; guide the

- mission's strategic engagement with national and international stakeholders; ensure excellent collaboration with the UNCT to ensure a One UN approach to rule of law issues;
- Provide substantive and technical advice to the Special Representative of the Secretary-General on all issues related to the rule of law, human rights, and related developments including capacity building programmes, in close coordination with other stakeholders;
 - Provide advice and support to national authorities in meeting their international human rights obligations and work with national stakeholders, including civil society, to ensure that human rights, including norms and standards for child protection and gender equality, are mainstreamed across programming and policies;
 - Ensure that the mission undertakes public reporting on rule of law and the human rights situation, and that the mission takes a principled stand on human rights issues;
 - Support the implementation of national strategic plans in the rule of law area, including, but not limited to, the reform of national policing, judicial and corrections institutions;
 - Support processes to review and reform national legislation in line with international norms and standards;
 - Ensure that international human rights norms and standards and UN rule of law-related policies and guidelines are applied and mainstreamed in mission mandate implementation in close coordination with UN agencies and programs;
 - Contribute to the development and implementation of strategic plans, budgets and coordination instruments, as relevant;
 - Serve as the United Nations Coordinator for support to the implementation of national strategies to combat gender-based violence;
 - Assume the duties and the responsibilities of the Special Representative of the Secretary-General, serving as Officer-in-Charge and Designated Official, a.i., as needed;
 - Perform other duties as required by the Special Representative of the Secretary-General.

The competencies and other requirements for the position are listed below.

QUALIFICATIONS

Education: Advanced university degree (Master's degree or equivalent) preferably in political affairs, law, international relations, human rights, criminology, law enforcement, public administration, social sciences or related field. A first-level university degree together with a

combination of relevant academic qualifications and extensive experience may be accepted in lieu of the advanced university degree.

Experience: In recognition of the highly complex nature of these posts, a minimum of twenty years of relevant and progressively responsible work experience in the field of law, international affairs, human rights, social sciences or other disciplines related to rule of law, combined with extensive managerial responsibility for large, multi-disciplinary and multi-cultural teams, and responsibility for high-level political and diplomatic initiatives is required. Candidates must have a proven track record of leadership in the area of rule of law and security institutions in conflict or post-conflict environments. The following experience is highly desirable: experience managing large teams that include both uniformed and civilian personnel working in highly politicized settings; field experience in crisis, post-conflict and/or transitional environments; demonstrated experience leading sensitive reform processes with national authorities and managing partnerships with national, UN and non-UN organizations; experience working as a lawyer, prosecutor, judge or legal advisor, or in a senior position in the prison or police service or other rule of law institution; experience working with or in the United Nations common system, in particular experience in senior positions in conflict resolution, peacekeeping, peacemaking, peace building, rule of law and human rights areas.

Languages: Fluency in oral and written English is essential. Fluency in oral and written French is required for francophone field missions.

COMPETENCIES

Professionalism: Expert knowledge in the rule of law field; Sound political judgement; Excellent knowledge of the institutional mandate, policies and guidelines; Outstanding personal integrity; Excellent knowledge of institutional development and capacity-building issues in conflict and post-conflict settings, such as legislative and judicial reform and development, accountability and transparency, decentralization and public sector reform; Sound knowledge of human rights; Excellent negotiation skills.

Vision: Identifies strategic issues; Links overall objectives and goals to activities of work units, generates and communicates broad and compelling organizational direction; Comprehensive knowledge of and exposure to a wide range of institutional integrity and individual accountability issues, conceptual and strategic analytical capacity.

Leadership: Strong intellectual and professional leadership skills; Ability to translate political mandates, requirements and vision into managerial action; Shows conceptual flexibility to adapt to changing environments; Takes risks to advance implementation of mission mandates; Mobilizes effective support from within and outside the mission, including by building strong partnerships; Demonstrated ability to integrate human rights and incorporate gender perspectives into substantive work; Commitment to the goal of achieving gender balance in staffing.

Judgement/Decision making: Mature judgement and initiative combined with strong analytical skills; Takes decisions and courses of action that satisfy the expressed and underlying needs, while operating within the organizational regulations and rules; Assumes responsibility and accountability for judgement and decisions; And, ability to successfully anticipate and resolve conflicts, identify key issues in complex situations quickly, carefully consider all available information and the potential impact of recommendations and proposed courses of action, and make difficult decisions, when necessary.

Integrity: Demonstrates the values of the United Nations in behaviors and actions; Does not abuse authority; Leads by example in demonstrating the highest standard of conduct of the United Nations.

Respect for Diversity: Shows respect for diverse points of view and demonstrates this in decision-making; Demonstrates understanding and respect of local culture, language and traditions; Works effectively with people from all backgrounds; Ensures the existence of mechanisms to prevent sexual harassment in the workplace and to foster respect for women's rights; and, does not discriminate against any individual or group.

IMPORTANT NOTE

Human Rights Screening Requirement: Individuals who seek to serve with the United Nations in any individual capacity will be required, if short-listed for a specific position, to complete a self attestation stating that they have not committed, been convicted of, nor prosecuted for, any criminal offence and have not been involved, by act or omission, in the commission of any violation of international human rights law or international humanitarian law.

Special conditions: Internal candidates are reminded that positions at the ASG-level, as part of the Secretary-General's senior leadership team, are subject to the Secretary-General's policy on non-reversion. The successful candidate will be offered a one year fixed term appointment with the Secretariat. S/he will be asked to forego her/his right to revert to her/his D-2 status at the end of her/his appointment at the ASG-level. This is without prejudice to the entitlements accrued as a result of continuing service with the Organization.

Conflicts of Interest: All UN staff members are expected to uphold the highest standards of efficiency, competence and integrity. Senior leaders in particular have the responsibility to serve as role models in upholding the organization's ethical standards.

A conflict of interest occurs when, by act or omission, a staff member's personal interests interfere with the performance of his/her official duties and responsibilities, or call into question his/her integrity, independence and impartiality. Risk for conflicts of interest may arise from a staff member's engagement in outside (non-UN) employment or occupation; outside activities, including political activities; receipt of gifts, honours, awards, favours or remuneration from external (non-UN) sources; or personal investment. In particular, no staff member shall accept any honour, decoration, favour, gift or remuneration from any Government (staff regulation 1.2 (j)). Where a real or perceived conflict of interest does arise, senior leaders are obligated to disclose this to the organization without delay.

Family Relationships: In order to avoid real or perceived family influence or preferential treatment and conflicts of interest that could stem from such situations, the Staff Rules provide that UN appointments "shall not be granted to anyone who is the father, mother, son, daughter, brother or sister of a staff member" (staff rule 4.7 (a)).

Annex A3: Template - Terms of Reference DSRSG-RC-HC

Terms of Reference Deputy Special Representative of the Secretary-General / Resident Coordinator [/ Humanitarian Coordinator] / Resident Representative of the [name of mission] (Assistant Secretary-General)

Comment [LKB1]: Where applicable.

Comment [LKB2]: Please verify the level of the post – some DSRSG/RC/(HC)/RR posts are at D-2 level.

Organizational Setting and Reporting Relationship: [This position is located in (*mention duty station, mission*). The Deputy Special Representative of the Secretary-General (DSRSG) also serves as UN Resident Coordinator (RC), [*only if applicable: Humanitarian Coordinator (HC)*] and UNDP Resident Representative (RR). The Deputy Special Representative of the Secretary-General (DSRSG/RC/HC/RR) reports directly to the Special Representative of the Secretary-General and Head of Mission. . The DSRSG/RC/(HC)/RR retains additional reporting lines to the UNDG Chair and UNDP Administrator on Resident Coordinator and Resident Representative issues, respectively, and *only if applicable: to the Emergency Relief Coordinator on humanitarian coordination issues.*

Responsibilities: Under the overall leadership of the SRSR, and within delegated authority, the DSRSG/RC/(HC)/RR will be responsible for the following functions:

As Deputy Special Representative of the Secretary-General (DSRSG) and a member of the [name of mission]'s Senior Leadership Team:

In his/her capacity as DSRSG, the DSRSG/RC/(HC)/RR is responsible for the overall management of the substantive sections and units under his/her supervision.

- [*list duties and responsibilities related to the DSRSG/Deputy Head of Mission function*]
-
- Advises the SRSR on and coordinates all humanitarian and development issues, including national capacity building, ensuring the integration of the activities of the UN Country Team and the related operations into all aspects of the mission's mandate implementation plan and operations.
- Provides strategic vision and advice on, and oversees, the integration of and support to the national recovery/reconstruction programme, to be implemented by the UN agencies, funds and programmes and other international actors, in the context of the development and implementation of the Mandate Implementation Plan.
- Serves as a conduit for communication between the mission's senior leadership and the United Nations agencies, funds and programmes operating in the mission areas.
- Oversees the formulation of an exit strategy for the peacekeeping mission, in consultation with UN agencies, funds and programmes as well as government partners, and acts as primary liaison for the mission with host government institutions for the preparation and implementation of recovery/reconstruction programmes as part of that exit strategy.
- Acts for the SRSR, as necessary, serving as Officer-in-Charge, as needed.
- [Acts as Deputy Designated Official (personal designation by DSS)]

Comment [GS3]: MODIFY as necessary to reflect the responsibilities within your specific mission

As Resident Coordinator/Head of the United Nations Country Team:

Annex A3: Template - Terms of Reference DSRSG-RC-HC

The functions of the Resident Coordinator are detailed in the “UN Resident Coordinator Generic Job Description”, approved by UNDG on 6th February 2014. In addition and specifically, the DSRSG/RC/HC/RR in [name of mission] performs the following functions:

Comment [LKB4]: Standard language, please do not remove.

- [list duties and responsibilities related to the RC function e.g. “Leads and directs the development, implementation and review of the UN Development Assistance Framework ... ”]

As Humanitarian Coordinator:

The functions of the Humanitarian Coordinator are detailed in the “UNHC XXX”, approved by IASC on XXX.

Whenever possible in support of and in coordination with national and local authorities:

Comment [LKB5]: Standard language, please do not remove.

- [list duties and responsibilities related to the HC function e.g. “Leads and coordinates humanitarian action of relevant organisations in country; ... ”]

As UNDP Resident Representative (RR):

- [list duties and responsibilities related to the RR function e.g. “Responsible for the overall strategic guidance, leadership, management and oversight of its programmes and operations ... ”]

Additional duties:

In addition to the specific duties and responsibilities related to the DSRSG, RC, (HC,) and RR functions, the DSRSG/RC/(HC/RR):

Comment [GS6]: Delete if not relevant to your mission.

- Serves as Officer-in-Charge of the Mission and Designated Official ad interim, when requested by the SRSG.
- Performs other duties, as required by the SRSG, as DSRSG/RC/(HC/RR) and member of [name of the mission]’s Senior Leadership Team.
- Develops monitoring systems to allow the SRSG, (DSRSG-Political/Rule of Law, etc. and if applicable), senior mission leadership and national authorities access to timely, relevant information on the welfare of the population, both for the purposes of the humanitarian response and for monitoring the impact of early recovery.
- Represents non-resident agencies at a senior level.

Comment [LKB7]: Add or remove as required.

Work implies frequent interaction with the following: Senior leadership within the Mission, UN agencies, funds and programmes, the UN Secretariat; high-level representatives of Governments (national and local), national private sector and civil society bodies; and representatives of non-governmental organizations; as well as DSRSGs and RC/HCs in neighbouring countries and other peace operations in the sub-region. Chairs and is a member of intergovernmental bodies.

Comment [LKB8]: Adjust, if necessary.

Results Expected:

Annex A3: Template - Terms of Reference DSRSG-RC-HC

- Strategies, plans and programmes for humanitarian and developmental assistance are well integrated and aligned with national planning and strategic frameworks and linked with the overall objectives and planning process of the United Nations in [name of the country] and the Mission's mandate.
- A coherent framework to coordinate activities of the UN Country Team in support of the Mission's mandate.
- Effectively led and managed humanitarian and development programmes.

Comment [LKB9]: Add and remove as necessary.

Core Values:

Integrity: Demonstrates the values of the United Nations in behaviours and actions; does not abuse authority; and, leads by example in demonstrating the highest standard of conduct of the United Nations.

Respect for Diversity: Shows respect for diverse points of view and demonstrates this in decision-making; demonstrates understanding and respect of local culture, language and traditions of the field mission; works effectively with people from all backgrounds; ensures the existence of mechanisms to prevent sexual harassment in the workplace and to foster respect for women's rights; and, does not discriminate against any individual or group.

Managerial Competencies:

Vision: Identifies strategic issues; links overall objectives and goals to relevant MONUSCO units and UN Country team activities, generates and communicates broad and compelling organizational direction.

Leadership: Strong intellectual and professional leadership skills; demonstrated leadership in setting strategic direction of complex humanitarian and development programmes, within a peacekeeping environment would be an advantage; ability to effectively lead, coordinate and synergize the activities of multiple organizations to achieve overall objectives; creates an environment that promotes initiative and innovation.

Judgment/Decision-making: Mature judgment and initiative; takes decisions and courses of action that satisfy the expressed and underlying needs for the decision while operating within the organizational regulations and rules; assumes responsibility and accountability for judgment and decisions.

Managing Performance: Ability to establish priorities and to plan, coordinate and monitor the work of others; ability to motivate, coach and mentor staff and encourage good performance.

Building Trust: Reputation for honesty; ability to gain the confidence and respect of others; ability to establish productive partnerships; demonstrates the standards of conduct of an international civil servant.

Competencies:

Professionalism: Expert knowledge and experience in the development and humanitarian fields; sound political skills; ability to manage multi-disciplinary operations in complex political settings; excellent knowledge of institutional mandate, policies, human rights issues, guidelines and sound knowledge of the institutions of the UN system. Takes responsibility for

Comment [LKB10]: Professionalism is the only Competency within the UN competencies framework that can be adjusted and modified to reflect the requirements. Information related to knowledge of the region/sub-region or experience in relation to a specific portfolio (Rule of Law, Political Affairs, etc.), previous coordination experience, etc. can be reflected here.

Annex A3: Template - Terms of Reference DSRSG-RC-HC

incorporating gender perspectives and ensuring the equal participation of women and men in all areas of work.

Comment [LKB11]: Please do not remove this sentence.

Planning and organization: Proven ability to plan and organize a wide range of activities in a high pressure environment; ability to provide political guidance to the UN agencies, funds, programmes and other partners.

Communication: Excellent drafting and communication skills; ability to defend and explain difficult issues, key decisions on positions to senior officials of the Government, NGOs, intergovernmental bodies, the media and other parties; ability to communicate vision and strategies to staff of MONUSCO and UN agencies, funds and programmes; strong oral presentation skills and experience, with a level of comfort in delivering speeches and key note addresses to high level audiences.

Teamwork: Demonstrated ability to lead and gain assistance of others in a team endeavour; ability to work in a multi-dimensional, multi-cultural and multi-ethnic environment; ability to engage in a team effort as part of the Mission Leadership Team.

Qualifications:

Education: Advanced university degree in one or more of the following disciplines: social sciences, international relations, political sciences, international law, development, public administration or related field. Given the multiple tasks of the DSRSG a combination of experiences in these fields is required.

Comment [LKB12]: To be adjusted accordingly.

Experience: Over 20 years of progressively responsible experience, including in post conflict recovery development programming, in programme management and coordination of interdisciplinary development programs and multi-sectorial humanitarian assistance operations, preferably at the country level and preferably in a multilateral context; experience in the management of complex field operations; human rights issues; representational and negotiation experience, including humanitarian advocacy at national or international level.

Comment [LKB13]: To be adjusted per the requirements of the position and context.

Language: Fluency (oral and written) in English (and x) is required.

Comment [LKB14]: Adjust accordingly.

Human Rights screening requirement: Individuals who seek to serve with the United Nations in any individual capacity will be required, if short-listed for a specific position, to complete a self-attestation stating that they have not committed, been convicted of, nor prosecuted for, any criminal offence and have not been involved, by act or omission, in the commission of any violation of international human rights law or international humanitarian law.

Special conditions: Nominating agencies are reminded that positions at the ASG-level, as part of the Secretary-General's senior leadership team, are subject to the Secretary-General's policy on non-reversion. The successful candidate will transfer from her/his agency of origin to the Secretariat and will be offered a one year fixed term appointment. S/he will be required to relinquish her/his permanent status and forego the right to return to her/his prior position. This is without prejudice to the entitlements accrued as a result of continuing service with the Organization.

Annex A3: Template - Terms of Reference DSRSG-RC-HC

Conflicts of Interest: All UN staff members are expected to uphold the highest standards of efficiency, competence and integrity. Senior leaders in particular have the responsibility to serve as role models in upholding the organization's ethical standards.

A conflict of interest occurs when, by act or omission, a staff member's personal interests interfere with the performance of his/her official duties and responsibilities, or call into question his/her integrity, independence and impartiality. Risk for conflicts of interest may arise from a staff member's engagement in outside (non-UN) employment or occupation; outside activities, including political activities; receipt of gifts, honours, awards, favours or remuneration from external (non-UN) sources; or personal investment. In particular, no staff member shall accept any honour, decoration, favour, gift or remuneration from any Government (staff regulation 1.2 (j)). Where a real or perceived conflict of interest does arise, senior leaders are obligated to disclose this to the organization without delay.

Family Relationships: In order to avoid real or perceived family influence or preferential treatment and conflicts of interest that could stem from such situations, the Staff Rules provide that UN appointments "shall not be granted to anyone who is the father, mother, son, daughter, brother or sister of a staff member" (staff rule 4.7 (a)).

Comment [EH15]: Standard language. Please do not alter or remove.

Annex B1: Sample – Profile points for SRSG

Profile points for SRSG

- Senior diplomat/mediator with operational experience in post-conflict settings;
- Substantial experience in supporting transitional/post-conflict governments, preferably including support to democratic transitions, is required;
- Proven track record in establishing strong rapport with political actors on the ground (e.g. Host Government and regional authorities) is required;
- Experience in leading complex political operations is required;
- Experience of leadership in a multicultural environment and leading in difficult security environments is highly desirable;
- Knowledge of political and security dynamics in the Horn of Africa is required;
- Fluency in English is required (spoken French or Arabic are a bonus);
- Strong communication skills (written, oral and social media) highly desirable;
- Resilience and strong emotional intelligence are highly desirable

Qualified female candidates strongly encouraged. Somali Government has previously expressed a preference for Western European/North American nationals. Exclude nationals of Somalia's immediate neighbors (Kenya, Uganda, Ethiopia, Djibouti).

Annex C1: Template - Self Attestation Form



TEL.: 1(212)963.1234 • FAX: 1(212)963.4879

STRICTLY CONFIDENTIAL

Application for /Nomination to the position of

Self Attestation

I attest that I have not committed, been convicted of, nor prosecuted for, any criminal offence. I attest that I have not been involved, by act or omission, in the commission of any violation of international human rights law or international humanitarian law.

Signed _____

Date _____

I am not able to attest to the preceding paragraph for the following reasons:

Signed _____

Date _____

Annex D1: Template - IAAP Country Check List

Country Checklist for RC/HC/DO and ERSG/DSC/DSRSG positions

RC POST: [COUNTRY NAME and FUNCTIONS]				
1. NOMINEE NAME:				
2. SPONSORING AGENCY:				
RESIDENT COORDINATOR FUNCTION				
QUALIFICATIONS		YES	NO	COMMENTS
Education:	Advanced degree			
Professional experience:	Minimum of 15 years of substantive experience			
	One grade below, at the same grade, or above the grade of the post			
	Senior management with representative function ¹			
	Experience in crisis and/or politically complex country, as applicable to Post Profile			
	Regional experience, as applicable to Post Profile			
	Previous RC experience			
RCAC:	Successfully undertook the RCAC			
Language:	Language requirement, as applicable to Post Profile			
HUMANITARIAN COORDINATOR FUNCTION				
QUALIFICATIONS		YES	NO	COMMENTS
Professional experience:	Humanitarian experience			
	Field experience			
	Knowledge of the humanitarian system, principles, and mandates			
	Knowledge of International Humanitarian Law, International Refugee Law, International Human Rights Law			

¹ Representation functions may be considered pertaining to both formalized or acting interim designations.

Annex D1: Template - IAAP Country Check List

	HC Competencies			
DESIGNATED OFFICIAL FUNCTION				
QUALIFICATIONS		YES	NO	COMMENTS
Security management experience:	Experience in a country/area with a Security Phase at least as high as in the proposed country			
	Experience as an Area Security Coordinator (would be an advantage)			

Annex E1: Template – Note to CdC (SRSG-DSRSG Recommendation)

UNCLASSIFIED or **CONFIDENTIAL** or **STRICTLY CONFIDENTIAL**
Routine or Immediate or Most Immediate

Note to Mr./Ms. [Chef de Cabinet, EOSG]

Request for Approval of Appointment at the USG/ASG/D-2-level: Special Representative of the Secretary-General/ Deputy Special Representative of the Secretary-General, UNMB

1. The Secretary-General's approval is sought in the appointment of a new Deputy/ Special Representative of the Secretary-General for COUNTRY and HEAD OF THE UN XXX (UNMB). As you are aware, D/SRSG XXX (from xxx) will complete his appointment/ leave/ has been appointed ETC. on DATE.
2. **By its resolution of xx March 2013 (S/2013/20xx), the Security Council approved....**
3. **[Paragraph outlining the post profile.]**
4. Consistent with these criteria, the Department of XX conducted a comprehensive review of candidates for the D/SRSG position, taking into account the strengths and profile of the rest of the leadership team which currently includes D/SRSG XXX (Country) in post since xxx and D/SRSG XXX (Country) in post since xxx.
5. XX candidates were selected for interview: Mr. XXX (country); Ms. XXX (country); and Ms. XXX (country). On DATE, the XX candidates were interviewed by a Panel comprising: Mr. XXX (Chair), Under-Secretary-General for XXX; Ms. XXX, Under-Secretary-General for XXX; and Ms. XXX, Under-Secretary-General for XXX. Of the XX candidates, the Panel assessed that XX candidates meet the requirements for the position and should be considered for appointment. These were, in rank/alphabetical [as appropriate] order:
6. **NAME OF CANDIDATE (Country), currently XX; prior to this he served as XX; earlier as XXX. During the interview... [Summarise the Panel's conclusions, building compelling case for the recommendation].**
7. **NAME OF CANDIDATE (Country) currently XX; prior to this he served as XX; earlier as XXX. During the interview... [Summarise the Panel's conclusions, building compelling case for the recommendation].**
8. **NAME OF CANDIDATE (Country) currently XX; prior to this he served as XX; earlier as XXX. During the interview... [Summarise the Panel's conclusions, building compelling case for the recommendation. In paragraphs for candidates who were not recommended, briefly outline the reason they did not meet the requirements of the post].**
9. **NAME OF CANDIDATE (Country) currently XX; prior to this he served as XX; earlier as XXX. During the interview... [Summarise the Panel's conclusions, building compelling case for the recommendation. In paragraphs for candidates who were not**

Comment [EH1]: Short context paragraph on the current situation in the mission and/or country.

If the current situation has any bearing on the **timing** of the D/SRSG's appointment, specify and elaborate here.

Comment [EH2]: Highlight key aspects of the terms of reference that support the recommendation to follow.

Comment [EH3]: Write separate paragraph for each candidate.

Comment [EH4]: Short summary of how the candidate interviewed, highlighting demonstrated strengths/ abilities / vis-à-vis the requirements of the position

Comment [EH5]: e.g. candidate was able to demonstrate sufficient knowledge of the region, but the Panel agreed s/he was more suitable for D2/DSRSG/Special Envoy positions... and etc.

Comment [EH6]: If more than 4 candidates, write paragraphs for the **recommended candidates only** and consolidate the feedback on the remaining candidates into a single paragraph, with one or two sentences on why the candidate was not recommended.

Annex E1: Template – Note to CdC (SRSB-DSRSB Recommendation)

UNCLASSIFIED or CONFIDENTIAL or STRICTLY CONFIDENTIAL

recommended, briefly outline the reason they did not meet the requirements of the post].

10. [summary paragraph to compare the recommended candidates and illustrate why X is better than Y for this particular job, if applicable... can be on the basis of their contacts with the regional actors/ leadership abilities/ strength in XYZ etc. Mention complementarity of the recommended candidate's strengths with strengths (or gaps) of the other member(s) of the leadership team.]

Comment [EH7]: e.g. UN experience, languages, regional experience, management experience, diplomatic/political skills, mediation experience, nationality/region

11. The Department endorses the Panel's assessment and the recommendation...

Comment [EH8]: Add any additional points on timing of appointment/ consequences of this appointment /geography/ gender etc

12. In line with Policy Committee Decision 2012/18 (iii) on human rights screening of personnel for senior appointments, the candidates returned Self Attestation forms regarding their prior human rights conduct. The names of the recommended candidates have been shared with the OHCHR screening focal point.

Comment [EH9]: Check with SLAS to confirm.

Comment [EH10]: Check with SLAS to confirm.

13. Please find attached the curriculum vitae of the recommended candidates, their signed Self Attestation forms and the Terms of Reference for the position. Please also find attached the list of staff performing at the D-1 and above level in the mission.

Comment [EH11]: Request from SLAS.

14. Your assistance in obtaining the approval of the Secretary-General at the earliest convenience would be greatly appreciated.

First name Surname
dd Month yyyy

cc: Mr./Ms. Surname
Mr./Ms. Surname

Annex E2: Template – Note to CdC (DSRSG-RC-HC Recommendation)

Confidential

Note to Mr./Ms. [Chef de Cabinet, EOSG]

Request for Approval of Appointment at the ASG/D-2 Level:
DSRSG/RC/HC [Mission]

1. The Secretary-General's approval is sought in the appointment of a successor to XXX (Country), the Deputy Special Representative of the Secretary-General of the United Nations Mission xxx (UNxx) and the United Nations Resident Coordinator and Humanitarian Coordinator (DSRSG/RC/HC). The post has/will become vacant as of XXX as a result of XXX.

2. By its resolution of xx March 2013 (S/2013/20xx), the Security Council approved....

Comment [EH1]: Short context paragraph on the current situation in the mission and/or country.

If the current situation has any bearing on the **timing** of the D/SRSG's appointment, specify and elaborate here.

3. In accordance with established practice, DPKO / DPA sought UNDG and OCHA's assistance through the Inter-Agency Advisory Panel (IAAP) to identify candidates for this ASG/D-2 level post, requesting that due regard be given to the pursuit of gender and geographic diversity, alongside experience, competencies and profile requirements (Notes are attached). Detailed Terms of Reference and a post profile were developed in order to yield candidates best suited to the mission context. The strengths and profile of the rest of the leadership team, which currently includes SRSG XXX (Country) in post since XXX and D/SRSG XXX (Country) in post since XXX, were taken into account throughout the selection process.

Comment [EH2]:

4. [NUMBER] candidates were submitted by agencies to the IAAP, which recommended that XXX (Country), XXX (Country) and XXX (Country) be considered. An interview panel comprising Ms. Helen Clark, Administrator UNDP, Ms. Valerie Amos, USG, OCHA and myself interviewed the [NUMBER] candidates on [DATE]. After careful deliberation, the panel unanimously recommended XXX for the position of DSRSG/RC/HC UNxxx. A summary of the panel's deliberations is reflected below:

Comment [EH3]: If no interviews were conducted, replace para 5-9 with one paragraph describing the recommended candidate's qualifications and why s/he is right for the job.

5. [NAME OF CANDIDATE] (Country), currently XX; prior to this he served as XX; earlier as XXX. During the interview... [Summarise the Panel's conclusions, building compelling case for the recommendation].

Comment [EH4]: Write separate paragraph for each candidate.

6. NAME OF CANDIDATE (Country) currently XX; prior to this he served as XX; earlier as XXX. During the interview... [Summarise the Panel's conclusions, building compelling case for the recommendation].

Comment [EH5]: Short summary of how the candidate interviewed, highlighting demonstrated strengths/ abilities / vis-à-vis the requirements of the position

7. NAME OF CANDIDATE (Country) currently XX; prior to this he served as XX; earlier as XXX. During the interview... [Summarise the Panel's conclusions, building compelling case for the recommendation. In paragraphs for candidates who were not recommended, briefly outline the reason they did not meet the requirements of the post].

Comment [EH6]: e.g. candidate was able to demonstrate sufficient knowledge of the region, but the Panel agreed s/he was more suitable for D2/DSRSG/Special Envoy positions... and etc.

8. The Department fully endorses the recommendations of the panel that XXX be

Annex E2: Template – Note to CdC (DSRSG-RC-HC Recommendation)

appointed as DSRSG/RC/HC in UNxxx (at the ASG/D-2 level). SRSR XXX has been consulted with regard to the panel’s recommendation.

9. [summary paragraph to compare the recommended candidates and illustrate why X is better than Y for this particular job, if applicable... can be on the basis of their contacts with the regional actors/ leadership abilities/ strength in XYZ etc. Mention complementarity of the recommended candidate’s strengths with strengths (or gaps) of the other member(s) of the leadership team.]

Comment [EH7]: e.g. UN experience, languages, regional experience, management experience, diplomatic/political skills, mediation experience, nationality/region

10. In line with Policy Committee Decision 2012/18 (iii) on human rights screening of personnel for senior appointments, the candidates interviewed returned signed Self Attestation forms regarding their prior human rights conduct. The names of the recommended candidates have been shared with the OHCHR screening focal point.

Comment [EH8]: Check with SLAS to confirm.

Comment [EH9]: Check with SLAS to confirm.

11. Please find attached the curriculum vitae of the recommended candidates, together with their signed Self Attestation forms and the Terms of Reference for the position. Please also find attached the list of staff performing at the D-1 and above level in the.

Comment [EH10]: Request from SLAS.

12. We would be grateful to obtain the Secretary-General’s approval on this appointment at the earliest opportunity.

Hervé Ladsous
Or Jeffrey Feltman
[date]

cc: Mr. Khare
Mr. O’Brien
Ms. Clark

Annex E3: Template – Note to CdC (Field D2-ASG-USG Extension of Appointment)

CONFIDENTIAL

Routine / Immediate

Note to Mr./Ms. [Chef de Cabinet, EOSG]

Request for Extension of Appointment
(ASG, USG) Name, Position, Mission

The current appointment of the staff member below is due to expire. Your assistance in obtaining the approval of the Secretary-General would be highly appreciated.

Name	
Date of birth	Day Month Year
Nationality	
Position	
Level	
Mission	
Current mission mandate	SECCO resolution (Year)
End of mandate	Day Month Year
Appointment expiration date	
In current post since	Day Month Year
Time in current post	Year, Month or Days – calculate from date of expiration – i.e. 1 year; 2 years etc. do not calculate days, months etc.
Recommended Extension	Year, Month or Days
Background/Justification	

Jeffrey Feltman
Atul Khare
Hervé Ladsous

Annex F1: Template - Transmittal Note to EOSG on senior mission appointment (SRSG)

CONFIDENTIAL

Routine

Note to Mr./Ms. [Chef de Cabinet, EOSG]

[Mission Acronym]: Appointment of [title] for [country]

Please find attached a draft letter from the Secretary-General to the President of the Security Council informing him of his intention to appoint Mr/Ms. [name] [country] as his [title, mission, (acronym)]. [If there are time sensitivities related to this announcement, indicate here desired timing. Also indicate if there is a need for close coordination on the day the announcement is to be made e.g., in case of joint AU/UN announcement].

We are also attaching a draft press release announcing the appointment of [name], to be issued once a reply has been received from the President of the Security Council, but no earlier than [date].

[USG, DPKO]
[DD/MM/YY]

cc: Ms./Mr. [USG, DFS]

Annex F2: Template - Transmittal Note to EOSG on senior mission appointment (DSRSG)

CONFIDENTIAL

Routine

Note to Mr./Ms. [Chef de Cabinet, EOSG]

[Mission Acronym]: Appointment of [title] for [country]

We refer to the Secretary-General's appointment of [name] of as his Deputy Special Representative [Political/Rule of Law/Operations?] in the United Nations [mission] on [date of appointment]. Please find attached a draft press statement announcing the appointment of [name]. [If there are time sensitivities related to this announcement, indicate here desired timing. Also indicate if there is a need for close coordination on the day the announcement is to be made e.g., in case of joint AU/UN announcement]. [name] is expected to take up his/her duties in [country] on [date]. I would be grateful if the statement could be released as soon as possible, but no later than [date].

[USG, DPKO]
[DD/MM/YY]

cc: Ms./Mr. [USG, DFS]

Annex F3: Sample - Transmittal Note to EOSG on senior mission appointments (SRSG)

CONFIDENTIAL

Routine

Note to Mr. Nambiar

**UNAMA: Appointment of Special Representative
of the Secretary-General for Afghanistan**

Please find attached a draft letter from the Secretary-General to the President of the Security Council informing him of his intention to appoint Mr. Staffan de Mistura (Sweden) as his Special Representative for Afghanistan and Head of the United Nations Assistance Mission in Afghanistan (UNAMA).

We are also attaching a draft press release announcing the appointment of Mr. de Mistura, to be issued once a reply has been received from the President of the Security Council, but no earlier than 28 January 2010.

Alain Le Roy
1 December 2009

cc: Ms. Malcorra

**Annex G1: Template - Letter of the Secretary-General to the President of the Security Council
on a senior mission appointment**

DD Month YYYY

Dear Mr. President,

I have the honour to refer to the [name of Peacekeeping mission] (mission acronym), established by Security Council resolution [number] (year) of [date of resolution] [*if resolution was extended* and most recently extended by resolution [number] (year) of [date of resolution extension]].

Following the usual consultations, I would like to inform you of my intention to appoint [name of appointee with honorific e.g. Ms. Kate Smith] (nationality of appointee) as my [Special Representative and Head of [mission acronym]]. [*if appointee is a replacement* S\He replaces (nationality of current official) who completed her/his assignment on [date of end of assignment of current official]. I would like to take this opportunity to express my gratitude to [name of current official] for her/his dedication and effective leadership of [mission acronym].

I should be grateful if you would bring this matter to the attention of the members of the Security Council.

Please accept, Mr. President, the assurances of my highest consideration.

BAN Ki-moon

His/Her Excellency
Mr./Ms. First name Surname
President of the Security Council
New York

Annex G2: Sample - Letter of the Secretary-General to the President of the Security Council on a senior mission appointment

07 April 2008

Dear Mr. President,

I have the honour to refer to the United Nations Peacekeeping Force in Cyprus (UNFICYP), established by Security Council resolution 186 (1964) of 4 March 1964 and most recently extended by resolution 1789 (2007) of 14 December 2007.

Following the usual consultations, I would like to inform you of my intention to appoint Mr. Taye Zerihoun (Ethiopia) as my Special Representative and Head of UNFICYP. He replaces Mr. Michael Møller (Denmark) who completed his assignment on 31 March. I would like to take this opportunity to express my gratitude to Mr. Møller for his dedication and effective leadership of UNFICYP.

I should be grateful if you would bring this matter to the attention of the members of the Security Council.

Please accept, Mr. President, the assurances of my highest consideration.

BAN Ki-moon

His/Her Excellency
Mr./Ms. First name Surname
President of the Security Council
New York

Annex H1: Template - Press Statement announcing a senior mission appointment

DD/MM/YYYY

SECRETARY-GENERAL APPOINTS [NAME] OF [COUNTRY]

AS SPECIAL REPRESENTATIVE FOR/IN [country name or name of mission, as appropriate]

United Nations Secretary-General Ban Ki-moon today announced the appointment of [name] of [country] as his new [title, in X (Acronym)].

Mr./Ms. [last name] succeeds [name of incumbent] of [country], who will complete his/her assignment on [date]. The Secretary-General is grateful for his/her [accomplishments].

[Name] bring X years of experience in ... [describe what the appointee brings to the new appointment, including relevant professional highlights as well as any other UN missions in which s/he served]. Most recently/From X until X [mention two most recent positions],.

He/she has also served as [earlier positions]. Prior to that he/she was [any further highlights].

[Honorific and last Name of appointee] holds [academic degrees earned including location of institution]

Born in [country] in [year], (if relevant) she/he is married and has [number] children.

* * * * *

Annex H2: Sample – Press Statement announcing a senior mission appointment (SRSG)

SECRETARY-GENERAL APPOINTS MICHAEL KEATING OF UNITED KINGDOM

AS SPECIAL REPRESENTATIVE FOR SOMALIA

United Nations Secretary-General Ban Ki-moon today announced the appointment of Mr. Michael Keating of the United Kingdom as his new Special Representative for Somalia and Head of the United Nations Assistance Mission in Somalia (UNSOM).

Mr. Keating will succeed Mr. Nicholas Kay, also of the United Kingdom, who will complete his assignment on 31 December 2015. The Secretary-General is grateful for Mr Kay's dedication, courage and excellent leadership of UNSOM over the past two and a half years, a critical period for Somalia's political transformation.

Mr. Keating brings to this position extensive experience in supporting political and peacebuilding transitions in post-conflict countries, as well as leading complex humanitarian and recovery programs in Afghanistan, the Middle East, and Africa. Since 2012, he has been with UK-based think tank Chatham House, where he served as Associate Director, while concurrently serving as Senior Advisor to the Secretary-General's Special Envoy to Syria. From 2010 until 2012, he served as the Deputy Special Representative of the Secretary General and UN Resident and Humanitarian Coordinator in Afghanistan.

Mr. Keating previously served as the Executive Director of the Africa Progress Panel, a policy group, chaired by former Secretary-General Kofi Annan, promoting sustainable development and good governance in Africa. His earlier career was divided between assignments with the UN, where he served in Malawi, Gaza/Jerusalem, New York, and Afghanistan/Pakistan, and the private sector, where he worked in publishing, management, and communication consultancy, notably with companies and public sector bodies engaged in environmental, human rights, and development issues. His early career included assignments with the Royal Geographical Society, with various Foundations and NGOs, and three years as Special Assistant to Sadruddin Aga Khan in Geneva.

Mr. Keating holds an MA in History from the University of Cambridge, United Kingdom.

Born in the United Kingdom in 1959, he is married and has four children.

* * * * *

Annex I1: Template – Biographical Note to Accompany the Letter to the Council

Biographical Note

**[Name of Appointee]
(Country)**

[Name of Appointee] brings to this position X years of experience in ... [describe what the appointee brings to the new appointment, including relevant professional highlights as well as any other UN missions in which s/he served]. Most recently/From X until X [mention two most recent positions].

[Honorific and last Name of appointee] holds [academic degrees earned including location of institution]

Born in [city, date], [include marital status, name of spouse and number of children].

Annex I2: Sample – Biographical Note to Accompany the Letter to the Council

Biographical Note

Mariano Fernández

Mariano Fernández joined the Ministry of Foreign Affairs of Chile in 1969 where he had a distinguished Foreign Service career serving most recently as the Minister of Foreign Affairs of Chile from 2009 to 2010. Prior to this appointment, he served as Ambassador of Chile to the United States (2006-2009), Great Britain (2002-2006), Spain (2000-2002), and Italy (1992-1994) and in the Chilean Mission to the European Union (1990-1992). Mr. Fernández also served as Undersecretary of Foreign Affairs in Chile (1994-2000).

Mr. Fernández studied law at the Catholic University in Santiago, Chile. During Chilean military rule, he remained exiled in Germany from 1974-1982, for the duration of which he worked as an editor and studied social science research methods at the University of Bonn.

Born in Santiago, on 21 April 1945, Mr. Fernández is married to María Angélica Morales and has three children.

Core Group Discussion List DFS / DPA / DPKO

Meeting Date:

Post, Mission, Country	Status / Question for CG	Decision/Action	Follow-up Action/Timeframe:
		Renewal of Apptmt (6 month/1 year) <input type="checkbox"/> Initiate Recruitment <input type="checkbox"/> Search for additional candidates <input type="checkbox"/> Approach shortlisted candidates <input type="checkbox"/> Proceed with interviews <input type="checkbox"/> Approve Recommendation <input type="checkbox"/>	<input type="checkbox"/>

Post, Mission, Country	Status / Question for CG	Decision/Action	Follow-up Action/Timeframe:
		Renewal of Apptmt (6 month/1 year) <input type="checkbox"/> Initiate Recruitment <input type="checkbox"/> Search for additional candidates <input type="checkbox"/> Approach shortlisted candidates <input type="checkbox"/> Proceed with interviews <input type="checkbox"/> Approve Recommendation <input type="checkbox"/>	<input type="checkbox"/>

Post, Mission, Country	Status / Question for CG	Decision/Action	Follow-up Action/Timeframe:
		Renewal of Apptmt (6 month/1 year) <input type="checkbox"/> Initiate Recruitment <input type="checkbox"/> Search for additional candidates <input type="checkbox"/> Approach shortlisted candidates <input type="checkbox"/> Proceed with interviews <input type="checkbox"/> Approve Recommendation <input type="checkbox"/>	<input type="checkbox"/>

Post, Mission, Country	Status / Question for CG	Decision/Action	Follow-up Action/Timeframe:
		Renewal of Apptmt (6 month/1 year) <input type="checkbox"/> Initiate Recruitment <input type="checkbox"/> Search for additional candidates <input type="checkbox"/> Approach shortlisted candidates <input type="checkbox"/> Proceed with interviews <input type="checkbox"/> Approve Recommendation <input type="checkbox"/>	<input type="checkbox"/>

NOTE:

Editable annexes (MS Word files) are attached to this document.

*To download the annexes, save this document to your workspace and open with Adobe Acrobat
Or
Reopen this document with Internet Explorer*