Standard Operating Procedure

16 April 2008

Staff selection in UN peace operations

Approved by: Officer-in-Charge, Department of Field Support
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Contact: Chief, Field Personnel Operations Service, FPD
STANDARD OPERATING PROCEDURE FOR
Staff selection in UN peace operations

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A. PURPOSE

1. The objective of this document is to establish the principles governing the process for selection of staff, up to and including the D-2 level, in United Nations peacekeeping operations and special political missions (henceforth referred to as “missions”) administered by the Department of Field Support (DFS).

B. SCOPE

1. The procedures and rules detailed in this document are related exclusively to the selection process in missions, whereby mission staff are chosen from among rostered candidates through a competency-based interview and a competitive evaluation process.

2. This SOP does not apply to the selection of candidates to fill national General Service and the National Professional Officer posts in established missions. Special missions may wish to apply its main principles and processes when filling posts in these categories. Separate SOPs apply to the process for generating applications, evaluating applicants, and developing rosters of suitable candidates (the recruitment process), or the process whereby a selected candidate is deployed to a mission, to include determining the grade, issuing the offer of employment arranging travel and scheduling participation in required training and orientation programmes (the on-boarding process). This SOP should be read in conjunction with the SOPs governing recruitment and on-boarding.

3. This SOP shall serve as a step-by-step guideline for all mission staff and staff at Headquarters responsible for the different steps involved in the selection process. All staff are responsible and accountable to follow the procedures set out in this SOP.

C. RATIONALE

1. The procedures set out in this SOP implement legislative and regulatory guidelines, and incorporate observed best practices, lessons learned, and audit observations.
They are aligned as closely as possible with the selection procedures used within the Secretariat Headquarters and Offices away from Headquarters duty stations. They are intended to standardize the way that field missions select their staff, and thereby increase the effectiveness, efficiency and transparency of selection recommendations, and strengthen the confidence in integrity of the Organization’s human resource management programme.
D. PROCEDURES

1. The selection process for civilian posts in missions is a logical sequence of practical tasks that enables a field mission to promptly fill its vacant posts in a transparent and reasoned manner that complies with the general obligation to recruit the best qualified men and women while simultaneously achieving the department’s specific goals of employing high quality civilian personnel and giving due regard to achieving gender parity and as wide a geographical representation as possible.

2. The diagram below depicts the six distinct steps of the process:

3. The Head of Mission (HoM) has the overall authority in human resources management, which he/she further sub-delegates the authority for the proper implementation of the staff selection process to the administrative component of the mission. Refer to Section 7, “Roles and Responsibilities”, for details on the specific responsibilities of these managers under the applicable framework of delegated authority.

1. Identification of vacant posts

1.1. Planning and prioritization process

1.1.1. The mission may begin the staff selection process as soon as a vacancy or anticipated vacancy is identified. Missions are required to begin the selection process for staff reaching retirement age six months before the anticipated retirement date (see Reference Item 9).

1.1.2. The first step of the selection process is the identification of the current and projected vacancies that have accumulated or will be created either through post establishment, voluntary or involuntary separation, departures due to reappointments and reassignments to other missions, and reassignments within the mission itself. The Chief Civilian Personnel Officer (CCPO) conducts this process on a regular basis, no less than quarterly, in consultation with the Chief Budget Officer (CBO) and each Programme Manager (PM). The CCPO also verifies the post number, functional title, and level listed in the Nucleus System (see Section E for Terms and Definitions), which reflects the post allotment and distribution approved by the General Assembly (GA) for the current financial period. The CCPO brings discrepancies to the attention of the responsible Desk Officer in the Field Personnel Operations Service (FPOS), as soon as possible.¹

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¹ For details on post management please refer to the SOP on post and staffing table management in UN peace operations
1.1.3. Prior to initiating any selection action for a particular vacant post, the CCPO should know the milestone dates by when a particular post or group(s) of posts should be filled, and how the mission’s goals for gender mainstreaming, geographical distribution, and troop contributing country and police contributing country (TCC/PCC) representation will affect those selections. Normally this information will be drawn from the mission’s human resources action plan (HRAP – See Section E for Terms and Definitions), especially with regard to gender mainstreaming goals, geographic and TCC/PCC representation goals, as applicable.

1.1.4. In line with the priorities defined in this SOP, mission management shall ensure that female candidates and candidates coming from troop/police contributing countries are given preference, when equally qualified. The mission should therefore forecast its overall requirements for eligible candidates with specific characteristics for appropriate recruitment and outreach action by Headquarters staff responsible for developing adequate rosters of suitable candidates.

1.1.5. As a general practice, the Recruitment and Outreach Unit (ROU), Field Personnel Division (FPD), solicits applicants for field mission positions by publishing generic vacancy announcements (GVAs) in the Galaxy System (see Section E for Terms and Definitions). The GVAs are developed based on the generic job profiles (GJPs) for the functions and levels common to existing and potential field missions. Consequently, each field mission should determine whether its specific staffing requirements can be met through the general recruitment and outreach effort. Each PM should therefore review the GVAs associated with his/her authorized posts and decide whether they will produce suitable candidates.

1.1.6. The building of rosters of pre-vetted candidates through GVAs enables missions to take prompt action to fill vacancies. The request for mission specific VAs should therefore be minimized. If the PM determines that the GVA applicable to the post will not produce suitable candidates, she/he should provide the Chief of Mission Support (CMS)/Director of Mission Support (DMS)\(^2\) with a reasoned written explanation outlining the basis for that conclusion. In doing so, the PM should explain, in concrete terms, which aspects of the GVA are too imprecise to attract candidates with the unique qualifications and/or experience and/or skill(s) that the incumbent of the post will require to effectively discharge his/her terms of reference (TOR) (see Section E for Terms & Definitions). The CCPO will receive and analyze the PM’s request, decide whether it provides adequate justification and make a recommendation to the CMS/DMS.

1.1.7. If justified, the CCPO will consult with the responsible Desk Officer in FPOS and ROU in FPD, and upon agreement on the need, a mission-specific VA will be advertised by ROU, with a definite deadline for applications between two and four weeks. The Field Central Review Bodies (CRBs) (See Section E for terms and definitions) shall review the evaluation criteria and the mission-specific VA prior to posting the VA to ensure that the criteria are objective, are related to the functions of the post(s) and reflect the relevant competencies.

\(^2\) May be sub-delegated to the Chief Administrative Services (CAS)
1.1.8. The PM shall provide the CCPO with the post-specific requirements, such as language knowledge or familiarity of a particular region, which will be used to conduct the roster search and to identify the most suitable candidates on the roster (see Section 2.2 for details). The PM should also determine three (3) or four (4) competencies among those listed in the GVA that will be evaluated across all considered candidates. The review of professional expertise should always be included under “Professionalism”, to permit the PM to assess the candidate’s functional knowledge and skills during the subsequent steps in the selection process.

1.1.9. These requirements shall be used to establish mission-specific evaluation criteria (ECs) for assessing candidates throughout the selection process. The mission-specific ECs should lie within the scope of the GVA and be objective, related to the functions of the post, and reflect the relevant competencies.

1.1.10. It is essential to the creation of the perception of a fair and transparent selection process that the CCPO and PM decide on the most practicable methodology for evaluating each candidate in advance. The CCPO shall clarify that PM may use other means, besides reviewing the candidates’ personal history profiles (PHPs) and the results of competency-based interviews, to evaluate the candidates and determine the best one for the job. The CCPO should explain the full range of instruments that the PM may use, such as screening interviews (which could be used to determine if the candidate has accurately described his/her language skills) or written assignments that examine specific knowledge and reasoning skills. Regardless of the evaluation instruments that the CCPO and PM ultimately agree to use, they should be used consistently during the selection process as a tool to determine suitability for a competency-based interview, or, in cases where candidates perform equally well during the interview, may be used to determine the ranking among interviewed candidates.

1.1.11. The CCPO will document the results of the above deliberations with the PM, before proceeding to the next step in the process.

1.1.12. At this stage a vacancy track shall be created in the Nucleus system by the CCPO, or his/her delegate, to record the start of the selection process.

1.2. Temporal assignment of staff

1.2.1. In cases where it is not possible to begin the selection process before a vacancy materializes, the DMS/CMS may temporarily assign a qualified staff member, at the same level and function, to the vacant post, pending the completion of the staff selection process and the arrival of the incumbent.

1.2.2. If it is not possible to proceed with a lateral move of a staff member already at the same level and function, all temporary assignments to posts within the mission shall be conducted through a competitive selection process, by widely circulating a temporary vacancy announcement (TVA) among all staff within the mission.

1.2.3. In line with ST/AI/2003/3 on Special post allowance for field mission staff, all temporary assignments of General Service staff and related categories, or staff in the Field Service category at the FS-5 level or below, to Professional
level functions and posts need to be approved by FPD in advance, prior to placing selected staff against higher level functions and prior to submitting a Special Post Allowance (SPA) request to the local SPA panel (see Reference Items 6, 7, 11 and 21).

2. Roster search

2.1. General requirements

2.1.1. The objective of the roster search is to create a list of qualified candidates for the vacant posts to be filled. The CCPO creates the list by identifying the candidates listed in the Nucleus system as being cleared for consideration for the function and level required. When it is not physically possible to give a CCPO access to the Nucleus system, or where operational demands make it impracticable for the CCPO to search all rosters, the relevant FPOS Desk Officer will create the lists of qualified candidates.

2.1.2. The special measures that govern roster searches and selection for senior leadership posts are set out in the Senior Leadership Appointment Policy, including those of the SRSG, Deputy SRSG/Deputy Head of Mission, Deputy SRSG/Resident Coordinator/Humanitarian Coordinator, Director of Mission Support/Chief of Mission Support, Force Commander/Chief Military Observer, Police Commissioner, and Chief of Staff. These searches are conducted centrally by Headquarters.

2.1.3. Roster searches for the following posts are developed at Headquarters by the Senior Leadership Section and endorsed by the Succession Planning Panel (SPP): Director of Mission Support (DMS), Chief of Mission Support (CMS), Deputy DMS, Chief Administrative Services (CAS), and Chief Integrated Support Services (CISS)/Chief Technical Services (CTS).

2.1.4. Roster searches for the posts at the level of Chief of Section/Service within the support component of the mission are developed at Headquarters by the responsible FPOS Desk Officer, in line with the requirements and priorities established in this SOP, and approved by the responsible Directors within DFS:

- The Director, FPD approves the shortlists for all posts of Chief Civilian Personnel Officer.
- The Director, Field Budget and Finance Division (FBFD) approves all shortlists for the posts of Chief Finance Officer and Chief Budget Officer.
- The Director, Logistics Support Division (LSD) approves all shortlists for the posts of Chief Aviation Officer, Chief Aviation Safety Officer, Chief Communication and Information Technology Officer, Chief Engineer, Chief General Services Section, Chief Joint Logistics Operations Center, Chief Medical Officer, Chief Movement Control Officer, Chief Procurement Officer, Chief Supply and Chief Transport Officer.
2.2. Procedures

2.2.1. The CCPO, or the staff member charged with the responsibility for administering the selection process on his/her behalf, will develop a list of eligible candidates for the specific function and level by conducting a “Roster Search” through the relevant vacancy track in the Nucleus system for candidates cleared for the relevant roster for the function and level. The resulting list of rostered candidates may be exported into a spreadsheet for further analysis.

2.2.2. The CCPO, with the consent of the PM, may also apply the specific parameters that were identified as per the description in Section 1, such as the gender, geographical balance or language skill considerations, a preferred professional background (i.e., “military experience is preferred”) or professional certification (i.e., “contract management certification is preferred”).

2.2.3. The CCPO shall build the list by categorizing each cleared candidate obtained from the Nucleus roster either as an internal or external candidate, and then further subdivide the internal candidates between those that are at the same level as the post to be filled, and those that are one level lower (refer to definitions for categories A, B and C in paragraph 2.3.4.).

2.2.4. Where Headquarters has retained authority for technical screening of candidates for a particular function and level (see Section 3.2. for details), the CCPO shall build the candidate list from the technically cleared candidates on the Nucleus roster.

2.2.5. For those functions and levels where Headquarters has delegated the authority for the technical screening of candidates for a particular function and level, the CCPO will build the list from the initially and technically cleared candidates on the Nucleus roster.

2.2.6. In cases where the CCPO finds that there is an adequate number of technically-cleared candidates on the roster, she/he may, at his/her sole discretion, construct the list solely from those technically cleared candidates for all posts other than those covered by the provisions of paragraphs 2.1.2, 2.1.3. and 2.1.4. above.

2.3. Categorization of cleared candidates

2.3.1. Internal Candidates, at the same level as the post to be filled (Group A)

- staff members appointed under the 100- and 300-series of the staff rules to international posts in field missions who are at the same level of the post to be filled.
- UN Secretariat staff members appointed under the 100-series staff rules that were appointed after a competitive examination or review of

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3 Nucleus rosters contain information, or links to confidential personal data, that shall be protected from unauthorized disclosure at all times (see Reference Item 23).

4 Eligibility requirements regarding time in grade no longer apply (see Reference Item 25 and 26);
a joint body, including locally-recruited staff from a headquarters duty station, office away from headquarters (OAH) or established mission in the General Service and related categories applying for mission assignment.

- former mission staff at the same level of the post to be filled who have separated within the previous 12 months for reasons other than documented conduct or performance concerns.\(^5\)

### 2.3.2. Internal Candidates, at one level below the post to be filled (Group B)

- staff members appointed under the 100- and 300-series of the staff rules to international posts in field missions that are at one level below the post to be filled.
- UN Secretariat staff members appointed under the 100-series staff rules at one level below the post to be filled that were appointed after a competitive examination or review of a joint body, including locally-recruited staff from a headquarters duty station, OAH or established mission in the General Service and related categories applying for mission assignment.
- former mission staff at the same level of the post to be filled who have separated within the previous 12 months for reasons other than documented conduct or performance concerns.

### 2.3.3. External Candidates (Group C)

- Staff members in service at a headquarters duty station or OAH in the Professional category under 100 series appointments that were not appointed following a competitive examination or review by a joint body, who have not been on a fixed-term appointment for a continuous period of 12 months or more, and are subject to a break in service after 11 months of service.
- Staff members of UN agencies, funds, programmes (AFPs) and commissions (see Annex A).
- Former and current UN military and police personnel: UN military and police personnel may apply to, and be considered and selected for, a civilian post while they are still in military service, but they may only be appointed to an international civilian post in a mission after they have completed their tours of duty (see Reference Item18).
- Consultants, individual contractors, and interns: Consultants, individual contractors (ICs) and interns engaged to perform functions at the professional level or above may be considered for P-level posts six (6) months after they completed their contracts (see Reference Item 8). The restriction does not apply to the appointment of former consultants and individual contractors when recruited against GTA posts (i.e. posts that are funded from General Temporary Assistance and not approved by the General Assembly as posts or positions), in order to provide some flexibility for short-term assistance, for example during elections or surge periods.

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\(^5\) To the extent possible, FPD will attempt to place staff members in need of placement who have a satisfactory performance record to a new duty station for a period of 90 days, pending completion of a competitive selection process.
• United Nations Volunteers (UNVs): UNVs may be considered for a vacancy in the mission in which she/he has been serving only after having completed eighteen (18) months of service in that mission, or may be considered for a vacancy in a different mission after having completed twelve (12) months of service in his/her current mission (see Reference Item 10).

• National Professional Officers (NPOs)
• Junior Professional Officers (JPOs), and other persons employed under 200-series staff rules
• Locally-recruited mission staff applying for mission appointment
• Locally-recruited staff in the General Service and related categories applying for a mission appointment
• Retired UN staff
• Other external candidates not affiliated to the UN

2.3.4. Employees of commercial UN contractors/vendors may be considered for selection as long as there is no prohibitive language in the UN agreements with the contractor/vendor. Former employees of UN contractors/vendors may be considered provided the selection would not create the perception of a conflict of interest.

2.3.5. Nationals of countries that are party to the conflict in the mission area, and that have applied from abroad, should not be considered for international posts in the mission, because their selection may create perceptions of bias or avoidable security risks. Nationals of countries that are parties to the conflict, and that hold another nationality, should be assessed for suitability by the responsible desk officer in the Office of Operations (OO), DPKO or DPA, and DSS, as appropriate, before being included on the list. This restriction does not apply to candidates for posts at the United Nations Logistic Base (UNLB) at Brindisi, Italy (see Reference Item 24).

2.3.6. The provision of the General Assembly (GA) resolution 59/296, section VIII, paragraph 6, applies when considering staff within the General Service and related categories that have been recruited at a Headquarters, Regional Commissions, OAHs, AFPs and established missions: "to establish an overall target of no more than five per cent of authorized General Service/Field Service posts across missions, with the exception of those missions in a start-up phase, and other exceptional circumstances, to be filled by staff on assignment from Headquarters" (see Reference Items 13, 14, 15, 16, 17 and 27). The start-up phase, and other exceptional circumstances are defined as follows:

• Missions in their first year of operation, and with a vacancy rate higher than 20 per cent;
• Missions experiencing a change in mandate, with a concomitant increase or decrease in personnel;
• Missions undergoing significant downsizing or liquidation;
• Missions experiencing other exceptional circumstances to be determined on a case-by-case basis.
2.3.7. The Director, FPD will periodically determine which missions are in such “exceptional circumstances”.

2.3.8. Each mission shall determine locally its “5 per cent limit” and apply that constraint when searching the roster. General Service staff and staff in related categories on assignment from Headquarters may not exceed 5% of the FS and GS-level posts in each mission. If the mission has reached its ceiling, additional General Service or related categories candidates may not be considered unless they have indicated a willingness to separate and be offered a mission appointment in the Field Service category limited to service with a particular mission.

2.3.9. In making the selection, the mission shall bear in mind that under no circumstances will a General Service or related category staff member be able to remain on assignment for longer than a two (2) year period (see Reference Items 3, 15, 16 and 17).

2.3.10. Upon completion of the mission assignment or assignment on detail the staff member is expected to return to his/her parent office or organization. Given the restriction on the number of General Service staff on mission assignment, opportunities should be given to General Service applicants who have not been on mission before. No new selection for another mission assignment may take place before at least one year from return date from the previous mission assignment has elapsed.

2.3.11. Missions should carefully assess whether candidates approaching mandatory retirement age should be considered for selection. Candidates over the age of sixty (60) years as well as retirees may only be selected if proper justification is provided that no other suitable candidates are found. All selections of such candidates are subject to approval by the Director, FPD.

2.3.12. With regard to the selection of retirees, it should be noted that such candidates may only be re-employed under the terms and conditions of ST/AI/2003/8 (see Reference Item 9). Former staff members, and other candidates who are above the mandatory retirement age will not be employed by the Organization, unless:
   • operational requirements cannot be met by existing staff members;
   • the re-employment would not adversely affect the career development or redeployment opportunities of other staff members; and,
   • the re-employment would be a cost effective and operationally sound solution to meet the needs of the service.

2.3.13. A retired staff member shall have a break in service of at least three months after separation before he/she may be re-employed and shall have to be medically cleared.

2.3.14. For those functions and levels where Headquarters has delegated the authority for the technical screening of candidates for a particular function and level to missions, the CCPO will request the staff member with this delegated authority to review and technically clear initially cleared candidates, as applicable (refer to section 3.1. below).
2.3.15. Once candidates are technically cleared, the CCPO will request the PM to review the list of candidates categorized into “A”, “B” and “C. The PM will have up to two (2) weeks to complete the analysis of the candidates on the list and determine which of them best satisfies the post-specific evaluation criteria and organizational requirements and therefore should be interviewed (refer to section 3.2. below).

3. Short-listing of candidates

3.1. Technical screening

3.1.1. Technical screening is the process whereby a designated subject-matter expert, either at Headquarters or in the field mission, screens a candidate to determine whether she/he satisfies the specific job-related knowledge, skill and experience requirements described in the VA. Depending on the occupational group and the level, the authority for technical clearance is either retained at Headquarters or is delegated to field missions by the USG/DFS (refer to Annex B and Reference Item 28).

3.1.2. When technical clearance authority has been delegated to missions, technical screening will be carried out during this step of the selection process.

3.1.3. Technical clearance shall only be granted to candidates that have been initially cleared by FPD, and only for the function and level for which the candidate is being considered.

3.1.4. Technical Clearance Authority retained at Headquarters

- All D-2 and above positions in all occupational groups;
- All Chiefs of Section and Service within the support component of the mission, regardless of level, in all occupational groups;
- All professional level positions and positions at the FS-6 level and above in the Medical Services and Procurement occupational groups;
- All positions in the Social Affairs, Programme Management, Human Rights, Public Information, Rule of Law, Security, Electoral Affairs and Legal Affairs.

3.1.5. Technical Clearance Authority delegated to Missions

Technical clearance authority is delegated for the following occupational groups, for all levels, up to and including D-1:\(^6\)

\(^6\) Authority has been delegated up to the P-4 level to missions without a full management structure
• Civil Affairs
• Economic Affairs
• Humanitarian Affairs
• Political Affairs
• Administration
• Aviation
• Engineering
• Human Resources
• Finance
• Information Systems and Technology
• Information Management
• Logistics
• Transport

For the following occupational groups, at levels FS-5 and below:

• Medical
• Procurement

3.1.5.1. All technical clearance authority is delegated and exercised on a personal basis.

3.1.5.2. When authority has been specifically delegated to a mission by the USG/DFS, the HoM, or his/her delegate, may determine the technical competence of candidates. When the HoM decides to sub-delegate his/her authority, technical clearance shall be performed by a staff member at the same level (or higher) than the post being considered.

3.2. Action by the Programme Manager

3.2.1. In his/her review of the technically cleared candidates, the PM should determine which candidates in each of the three (3) groups are most suited to the post and should therefore be interviewed. The PM shall justify his/her judgment for selecting a limited number of candidates for an interview from a larger number of those meeting the minimum required qualifications. If a candidate does not meet one or more of the requirements, the PM should record the primary reason for the elimination next to the candidate’s name on the list (i.e., “Mr. X does not have the regional experience required for the post”).

3.2.2. If the PM decides that none of the candidates is suitable, the CCPO will consult with the Chief, FPOS about obtaining additional candidates.

3.2.3. In determining the short-listed candidates to be interviewed, the PM shall consider the below considerations:

• **Career Field Service Officers (FSOs):** shall hold first priority over all other candidates for vacancies at the Field Service level;\(^7\)

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\(^7\) FSOs have a special “flag” in the Nucleus system for easy identification
• **Gender:** In line with the DPKO Under-Secretary General’s Policy Statement on Gender-Mainstreaming, equally-qualified female candidates shall be given priority for selection (see Reference Item 4);

• **Geography:** In line with Article 101, paragraph 3 of the United Nations Charter that requires that “due regard shall be paid to the importance of recruiting staff on as wide a geographical basis as possible”, equally qualified candidates from countries that are not well-represented in missions shall be given priority for selection.

• **Troop and police contributing country (TCC/PCC) representation:** In line with GA Resolution 55/238 (see Reference Item 5), proper representation of troop and police contributing countries should be given due consideration.

3.2.4. Where both husband and wife are employed in the UN Secretariat at the same duty station and one of them is assigned to a field mission for at least one year, pursuant to ST/Al/273, every effort should be made to assist the spouse of a staff member already assigned to the mission in securing employment at the duty station, provided the spouse has the required qualifications and has been rostered in Nucleus for the function and level (see Reference Item 2).

3.2.5. In addition, to support the mobility of all UN staff to new functions and to consider personnel career development preference among external candidates consideration shall be given to staff members of UN AFPs (see Reference Item 20).

3.2.6. Former staff members who have relevant peacekeeping experience should be given consideration over other external candidates that have no such experience.

3.2.7. The CCPO is responsible for determining whether the PM has fairly evaluated the suitability of each candidate based on the parameters, criteria and methodology agreed during Step 1.

3.2.8. The PM shall submit the short-listed candidates selected for interview to the CCPO for review. In cases where there is ambiguity, the CCPO may request the PM to re-evaluate one or more of the candidates, or undertake an additional evaluation.

3.2.9. Once the CCPO confirms that the PM has appropriately and consistently applied the agreed criteria, she/he shall approve the list as the short-list of candidates that will be invited to sit for a competency-based interview.

4. **Competency-based interviews**

4.1. **United Nations competency model**
4.1.1. Once the list of eligible candidates has been narrowed down to a short-list that matches the post-specific evaluation criteria and organizational requirements developed by the PM and CCPO during Step 1, those candidates will be interviewed to assess how well they demonstrate the key competencies and core values that were identified by the PM during Step 1 from among the list of all competencies and core values listed in the VA.

4.1.2. A competency-based interview is a structured interview format in which candidates are asked behavior-based questions for the purpose of eliciting responses which demonstrate how well the candidate exhibited the competency in previous task assignments (Annex C and Reference item 1).

4.1.3. Each group of candidates will be interviewed, in turn, using standard competency-based interviewing techniques, until either an acceptable candidate is identified within a group or all candidates in each group have been found unacceptable and the short-list is rejected.

4.1.4. Assuming that the short-list includes candidates from each of the three (3) groups, all of the Group A candidates should be interviewed first. If none are deemed acceptable then all of the Group B candidates will be interviewed. If none of them are deemed acceptable, than all of the Group C candidates will be interviewed.

4.2. **Preparation for the interview**

4.2.1. Interviews shall be conducted by a panel of at least three (3) persons, one of whom should be the PM responsible for the post being filled, who shall chair the interview panel. It is preferable that at least one member of the panel has undertaken the competency-based interview course developed by the Office of Human Resources Management (OHRM) and offered through the mission’s Training Section. The PM shall appoint a secretary to record a summary of the interview and evaluations against the competencies.

4.2.2. To the extent possible, a representative of the mission’s Personnel Section should participate in the interview panel as an ex-officio member to provide advice and ensure that the process is properly followed. The chairperson of the panel shall facilitate the panel’s discussions subsequent to the interview and ensure that the interview results are documented in the interview worksheet (see Section 5 below).

4.2.3. To the extent possible a gender focal point or gender adviser should participate in every interview in a non-voting capacity.

4.2.4. The Panel members must be equal or senior in grade to the post being filled. However, staff members at levels below that of the post in question may occasionally also join the panel for expert advice, in a non-voting capacity. This could occur, for example, if technical aspects of the position merit their presence, or when acting as secretary of the panel.

4.2.5. All candidates shall be informed by the Mission’s Personnel Section or by the secretary of the interview panel about the interview at least 24 hours in advance about the specific time and the place of the interview. The candidate should
also receive a copy of the VA and be advised that during the interview s/he will be assessed on all or some of the competencies included in the VA.

4.2.6. The UN competencies to be assessed for the job shall be agreed by the interview panel in advance of the interview. It is recommended that the interview seek to assess not more than three to four key competencies required for the job. All interviews shall test for the same competencies. The Panel should include at least one question to elicit evidence of the candidate's competency in the area of “gender-equality”.

4.2.7. The key questions to assess each competency shall be determined by the panel in advance of the interview and should be asked of each candidate. However, additional follow up or “probing” questions to explore each competency in-depth should be driven by the answers of the candidate.

4.2.8. All information that will be provided to the candidate during the interview should be determined in advance.

4.2.9. The core value of professionalism is required to be assessed for all posts. For posts at the P-5 and D-1 levels at least one managerial competency should be assessed during the interview.

4.2.10. All technical questions should be asked at the beginning of the interview or should be formulated under the professionalism evaluation.

4.3. Interview principles

4.3.1. The primary objective of a competency-based interview is to determine the degree to which a candidate possesses the key competencies and core values that the PM identified during Step 1 of the Selection Process as most essential to the specific post.

4.3.2. Competency-based interviews shall be conducted in person, by telephone or by videoconference. For posts at the P-5 level and above, two rounds of interview may be conducted: an initial interview, by telephone, to ascertain which candidates have the highest levels of competency, and then a second, in-person interview, if necessary, to resolve which candidate has the highest overall level of competency.

4.3.3. Every member of the interview panel should take notes during the interview to ensure that critical observations made during the interview about positive and negative behavior indicators are available later on, during the panel's post-interview assessment deliberations. The Competency-based Interview Worksheet (Annex D) should be used for this purpose.

4.3.4. The interview questions should be mainly open-ended to elicit a behavioral response about past performance. Open-ended questions often begin with who? what? which? when? where? or how? Opening questions such as “Tell me about a time when you…” or “Describe a time when you…” are often used, as are comparative questions such as “How do your responsibilities in your current job compare with those in the previous position?” After the candidate replies to the opening question, the interviewers should ask “probing” questions to obtain further information about his/her behavior.
4.3.5. In closing the interview, the candidate should be requested to confirm his/her interest in the position and confirm his/her availability to take up the position within 30 days after receipt of an offer of appointment. The candidate should also be requested to advise on whether he/she is under consideration for any other position in another mission and/or another organization, which would affect the candidate’s availability.

4.4. Interview structure

<table>
<thead>
<tr>
<th>Parts of the Interview</th>
<th>Description and Estimated Time</th>
</tr>
</thead>
</table>
| 1. Opening             | • Introduce panel members and briefly outline the job and organizational structure  
                          • Explain the purpose of the interview  
                          • Describe the interview structure  
                          *Time: 3 – 10 min* |
| 2. Body                | • Ask candidate to briefly summarize education and recent work history (10 min)  
                          • Assess each competency for approx. 10 minutes. Start with competency “Professionalism”  
                          • Use follow up or “probing” questions to explore each competency fully  
                          *Time: up to 60 min* |
| 3. Close               | • Invite questions from the candidate  
                          • Explain next steps in the process  
                          • Assess candidate’s availability in case he/she is offered the position for which he/she applied.  
                          *Time: 10 – 15 min* |

4.5. Assessment techniques

4.5.1. After the interview, the panel members should immediately conduct a joint review of their notes, summarize the positive and negative behavioral indicators for each competency examined, and come to a consensus rating for each candidate.

4.5.2. If, despite best efforts the Panel is unable to come to a consensus the diverging views and reasons therefore shall be documented in the interview report and the PM makes a decision.

4.5.3. The joint evaluation of the interview panel should be documented in a standardized Interview Report (See Annex E). Panel members may destroy their interview notes once the Interview Report has been completed and signed by all panel members.

4.5.4. The following rating scales should be used for assessing each competency:
4.5.5. The panel will assign an overall assessment of the candidate’s suitability and acceptability, using the following scale:

<table>
<thead>
<tr>
<th>Exceptional</th>
<th>Acceptable</th>
<th>Marginal</th>
<th>Unsuitable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Majority of ratings more than acceptable</td>
<td>All ratings are at least acceptable</td>
<td>One or more marginal competency ratings</td>
<td>Majority of ratings less than acceptable</td>
</tr>
</tbody>
</table>

5. Documentation of selection

5.1. Following the last interview, the results of the comparative evaluation of the candidates shall be set down on a Comparative Evaluation Report (Annex F). The evaluation of interviewed candidates shall be documented in a logical and transparent manner, in writing, against the post-specific evaluation criteria agreed to during Step 1.

5.2. All evaluations will be made in terms of the mission-specific EC’s for the post. Candidates should not be compared against each other by scoring and should instead be evaluated against the ECs in a consistent manner. For each competency examined, the worksheet shall summarize the evidence presented by the candidate during the interview.

5.3. Based on these assessments, a final recommendation for the interviewed candidates shall be recorded as to whether the candidate is recommended or not recommended for the post. It is recommended to make a concluding statement, as applicable, i.e. “The applicant is recommended / strongly recommended / not recommended for this post.” The evaluation of interviewed candidates who are not recommended should clearly show the evidence of their lack of meeting a requirement.

5.4. All candidates that are recommended as meeting all or most of the requirements of the post shall be ranked in order of preference. There should be more than one recommended candidate for each vacant post to be filled, in case the primary candidate is not available.

5.5. The relative prioritization among equally-qualified candidates shall be documented in the selection memo from the PM to the CCPO and shall take into account the considerations listed under paragraph 3.2.3., whereby, all other things being equal, career FSO shall hold first priority over all other candidates for vacancies at the Field Service level, and due consideration shall be given gender, geography, and proper representation of troop and police contributing countries.
5.6. The *Comparative Evaluation Report* shall also include details on required additional information, i.e. indicate what type of test(s), if any, were given to candidates.

5.7. The PM and the CCPO, and the technical clearance authority, when applicable, will certify, in the spaces provided on the *Comparative Evaluation Report*, that the process has been completed in a reasoned and transparent manner.

5.8. The remaining recommended candidates may be selected for future vacancies for the same function and level within the mission by re-submitting the documentation to FPD without further action, for a period of up to one (1) year.

5.9. The *Comparative Evaluation Report*, the *Interview Report*, and the annotated list of candidates that records the reasons why the PM eliminated the other candidates will be treated as confidential. These documents shall be filed in a recruitment file in the mission for three (3) years after the selection is approved by FPD, whereupon they may be destroyed (see Reference Item 22). The *Comparative Evaluation Report* shall also be transmitted to FPD at the time of sending the Selection Memorandum is sent (see Section 6).

6. Approval of selection

6.1. Responsibilities of missions:

6.1.1. Except where the DMS or CMS has been delegated the authority to issue offers of appointment, the mission will transmit, by means of a Selection Memorandum (see Annex G), the recommended selection(s) to the FPOS, together with supporting documentation, for action. It shall be addressed to the Chief, FPOS, and copied for attention of the responsible Desk Officer, and should also be attached in the relevant vacancy track in the Nucleus system.

6.1.2. In cases where the recommended candidate is currently working in another mission, the CCPO shall informally contact the CPCO of the releasing mission by telephone or e-mail to determine availability and whether there are performance-related or conduct issues with respect to the selected candidate. The response by the releasing missions shall be reflected in the Selection Memorandum.

6.1.3. The DMS or CMS shall identify the selected candidate and the alternate(s), in descending priority, plus the rationale for the selection. If the DMS or CMS has made a selection that does not comply with the guidelines in paragraph 5.5. she/he will provide full justification in the memorandum. The DMS or CMS may delegate authority to sign a Selection Memorandum to the CAS, if one is assigned, or, in his/her absence, the Officer-in-Charge (OIC), Administration, provided the OIC is not the CCPO.
6.1.4. In all cases, the Selection Memorandum should attach the VA, the annotated list of candidates, the Comparative Evaluation Report, the PHP(s) of the candidates interviewed and the ePAS(s) of the recommended candidate(s).

6.1.5. In missions where recruitment authority has been delegated to the DMS or CMS, in addition to the above listed documents, the mission shall also submit all other documents applicable to the on-boarding process to FPD for inclusion in the official status file (see SOP on On-boarding for details). This includes at a minimum, the offer of appointment, the candidate’s acceptance, medical clearance and travel authorization, and, if applicable, any other relevant faxes and/or requests for release. In cases where the selection involves a movement to the higher level, the relevant request shall be submitted to FPD (see Annex H) and the selection shall not be implemented by the mission until the movement to the higher level has been approved by FPD.

6.1.6. For all candidates who have been staff members of the UN Secretariat, an AFP and other UN entities, the CCPO should obtain the most recent performance evaluation to confirm satisfactory performance. Recommendation for a movement to the higher level, or requests for designation to perform significant functions in the management of human, financial and physical resources, shall not be processed by FPD unless the Selection Memorandum contains this documentation. (see Reference Item 12 and 19).

6.1.7. FPD alone will notify the selected candidate about the outcome of the selection process. Mission personnel shall not inform any of the candidates about the outcome of the selection process until the selection has been endorsed by FPD.

6.1.8. Upon receipt of advice that FPD has approved the recommended selection, the CCPO will write to all interviewed candidates to inform them that they were not selected for the particular position.

6.2. Responsibilities of FPD:

6.2.1. Upon receipt of a Selection Memorandum from a mission, the responsible FPOS Desk Officer reviews that all documents the mission is required to submit when making a selection have been submitted and are properly completed and signed. These include the selection fax, the comparative evaluation report, the interview report, a copy of the VA and the technical clearance of the candidate.

6.2.2. For selected candidates who are already serving with a mission, the official status file is reviewed for any issues which may be of relevance (e.g. performance issues, letters of reprimand, records of disciplinary cases, etc.). In cases where documents indicating any such past or current issues are found on file, the Desk Officer shall refer to the relevant vetting guidelines prior to proceeding with any recruitment action.

6.2.3. In a case where Nucleus reflects that a selected candidate has already been selected, but not reported to another mission, the FPOS Desk Officer shall inform the mission that the candidate has been selected for another mission and not proceed with the implementation of the selection.
6.2.4. Once the selected candidate is recorded in a vacancy track in Nucleus, he/she is included in a FPD's selection memo, generated on a daily basis, which is cleared by the Administrative Law Unit, OHRM and by the Conduct and Discipline Unit, DFS, to confirm that the staff member is not currently subject to an investigation or has not been subject to disciplinary proceedings.

6.2.5. Upon completion of the above steps the case is submitted to the FPOS Section Chief for approval of the selection, who, prior to approving the selection ensures that the selection process has been properly observed.

6.2.6. Once the selected candidate has been approved by the FPOS Section Chief, he/she is contacted by the FPOS Desk Officer to inform him/her of the selection and to confirm availability and continued interest.

6.2.7. All subsequent required steps related to bringing the selected candidate on board are part of the on-boarding process and subject of a separate SOP.

6.2.8. In cases where it cannot be confirmed that the candidate was selected from the roster of cleared candidates or that the priority selection criteria have been observed in making the selection decision, the candidate shall not be approved. The FPOS Desk Officer shall advise the mission of the non-approval of the recommended candidate and will proceed with the selection of the alternate candidate after informing the mission. In cases where no alternate candidate has been identified by the mission, the mission will be requested to make a new selection.
Roles and responsibilities

6.3. Roles and responsibilities within the Department of Field Support (DFS)

6.3.1. Under-Secretary-General/Assistant-Secretary-General, Department of Field Support (DFS)

- Leads, directs and controls the delivery of administrative Human Resources Management functions to field missions;
- Delegates authority to heads of missions, as appropriate and practicable, to recruit and technically clear candidates in specified occupational groups for particular functions and levels;
- Sets the strategic direction and oversees the development and execution of strategic plans and policies for the effective management of human resources in field missions;
- Acts as the chairperson of the DFS Succession Planning Panel (SPP).

6.3.2. Director, Field Personnel Division (FPD), DFS

- Provides strategic direction and policy guidance in the area of human resources management in UN peacekeeping operations and political missions;
- Exercises delegated authority on the full range of human resources management authorities delegated to DFS, as delegated by the USG/DFS authority
- Signs offers of appointment up to and including the D-2 Level;
- Serves as a member for the DFS Succession Planning Panel (SPP);
- Approves the shortlist for the positions of Chief Civilian Personnel Officers in the field.

6.3.3. Director, Logistics Support Division (LSD), DFS

- Approves shortlists of candidates recommended by the Chiefs of Operational Support Service, Specialist Support Service and Transportation and Movement Service for section chief positions within their respective functional areas;
- Serves as a member of the DFS Succession Planning Panel (SPP).

6.3.4. Director, Field Budget and Finance Division (FBFD), DFS

- Approves shortlists of candidates recommended for section chief positions within the finance and budget area;
- Serves as a member of the DFS Succession Planning Panel (SPP).

6.3.5. Chief, Field Personnel Operations Service (FPOS), FPD

- Leads and directs human resources management support activities under the responsibility of FPOS, and ensures the effective delivery of human resources management services to field missions;
• Exercises delegated authority to approve selections up to and including the D-1 level, in all occupational groups;
• Supervises the implementation of this SOP by the relevant section in FPOS.

6.3.6. FPOS Section Chief, FPOS, FPD

• Accountable for the performance of staffing process tasks assigned to FPD for mission(s) falling under his/her responsibility;
• Exercises delegated authority to approve staff selections up to and including the P-5 level, in all occupational groups;
• Develops operational staffing plans to meet the immediate and expected needs of the mission(s) served by his/her section (e.g. expansions, downsizing);
• Participates in and provides resources for mission assist and monitoring/evaluation visits.

6.3.7. FPOS Desk Officer, FPOS, FPD

• Acts as the principal FPD focal point for all matters related to the selection of staff in his/her supported missions;
• Tracks actions by the mission to fill its current and anticipated vacancies;
• Coordinates with the Recruitment and Outreach Unit to ensure that Nucleus has sufficient suitable candidates for consideration by the mission;
• When requested, and upon receipt of the mission’s post-specific selection parameters, builds and submits lists of cleared candidates to the CCPO for review and evaluation by the Programme Manager.
• Follows-up with the CCPO on pending selections;
• Develops recruitment plans in coordination with his/her supported missions.

6.4. Roles and responsibilities in missions

6.4.1. Head of Mission (HoM)

• Holds ultimate authority at the mission level for all human resource related actions.
• Certifies selections of candidates or delegates authority for certification to D/SRSG or DMS/CMS, as appropriate.
• Certifies or delegates certification of technical clearance of candidates, as appropriate, and remains overall responsible for the exercise of delegated technical clearance authority and responsibility;
• Responsible for mission-wide adherence to competitive and transparent selection process;
• Responsible for gender and geographic balance within the mission and to ensure that selection decisions are made and documented to reflect that due regard is given to gender and geographic balance.
6.4.2. **Chief of Mission Support (CMS) / Director of Mission Support (DMS)**

- Leads, manages and exercises managerial responsibility for all administrative and technical components of the mission;
- Ensures posts are filled in an appropriate and timely manner;
- Ensures mission-wide adherence to competitive and transparent selection process;
- Ensures gender and geographic balance within the mission are considered by all Programme Managers;
- Certifies selections of initially cleared candidates for positions within the mission support component;
- Exercises and certifies, or sub-delegates, technical clearance, as appropriate;
- Approve and endorses selections and certifies conduct of a reasoned and fair evaluation procedure, by signing the selection memorandum to FPD.

6.4.3. **Chief Administrative Services (CAS)**

- Leads, manages and exercises managerial responsibility for all administrative components of the mission;
- Ensures posts are filled in an appropriate and timely manner;
- Ensures mission-wide adherence to competitive and transparent selection process;
- Exercises and certifies, technical clearance, as delegated.
- If delegated by the DMS/CMS, approves and endorses selections and certifies conduct of a reasoned and fair evaluation procedure, by signing the selection memorandum to FPD.

6.4.4. **Chief Civilian Personnel Officer (CCPO)**

- Responsible for the conduct of the staff selection process in the mission in accordance with this SOP;
- Responsible for the management and supervision of the staff in Personnel Section;
- Identifies current and future vacancies and communicates the mission’s needs to FPD vide the weekly vacancy report;
- Ensures the filling of all vacant posts according to the staffing table and the operational requirements of the mission (e.g. temporary movement of internal mission staff);
- In cases where a post cannot be filled from the roster, provides FPD with all pertinent information relating to the vacant post (IMIS post number; budgeted level of the post; post title; location; projected vacancy date; terms of reference; core and managerial competencies, specific educational qualifications; job-specific competencies, required experience, and specific regional or language knowledge requirements)
to enable FPD to initiate alternate ways of filling the post in the form of mission-specific VA’s or outreach activities;

- Certifies the competitiveness and fairness of the selection process by signing the comparative evaluation worksheet;
- Ensures that gender and geographic balance within the mission is given due consideration by Programme Managers and mission leadership when making selections;
- Provides support and guidance to Programme Managers and mission leadership on selection and staffing issues;
- Ensures the timely review and response from Programme Managers on outstanding selections;
- Represents the Personnel Section, or designates suitable representative, in interview panels in an ex-officio role to ensure the selection process is properly followed and to provide expert advice on interview and evaluation procedures;
- Identifies potential candidates on the roster of candidates and prepares shortlists in coordination with the responsible Desk Officer in FPD;
- Exercises delegated technical clearance authority and certifies technical clearance, as appropriate;
- Ensures comparative evaluation and selection memorandum are duly and properly completed, and submitted to FPD.

6.4.5. **Programme Manager (PM)**

- Forecasts upcoming vacancies to be filled in his/her section;
- Provides explanation in writing for a request for circulation of a post specific VA;
- When a candidate cannot be selected from the roster, provides terms of reference and specific requirements for the post (core value and core and managerial competencies, specific educational qualifications, job-specific competencies, required experience, and specific regional or language knowledge requirements) in writing to the CCPO to enable FPD to initiate alternate ways of filling the post in the form of post-specific VA’s or outreach activities;
- Reviews and evaluates short-listed candidates and identifies candidates for interviewing;
- Chairs the interview panel to conduct the competency-based interviews;
- Makes a selection within 15 days of receiving a shortlist of candidates;
- Ensures that gender and geographic balance are given due consideration in making selections;
-Documents the selection proposal in the form of an interview report and a comparative evaluation worksheet to be submitted to the mission Personnel Section;
- Certifies all selections have been made based on a comparative and fair selection process by signing the comparative evaluation worksheet;
- Exercises delegated technical clearance authority and certifies technical clearance as appropriate.
E. TERMS AND DEFINITIONS

Alternate Candidates: candidates who have been recommended as meeting most of the requirements for a particular function and level but are not selected for it, and who have indicated an interest in being considered for future vacancies with similar functions at the same level. Their status as alternate candidates applies to the particular mission that interviewed and recommended them.

Career Field Service Officers (FSO): FSOs were recruited by DPKO until 1994 to provide administrative, technical, logistics, supply and other support services to missions. FSOs normally have an established mission as their parent duty station, but can be reassigned at short notice to a special mission or newly established mission.

Central Review Bodies (CRB): joint bodies established by ST/SGB/2002/6 under staff rule 104.14 to approve evaluation criteria and to ensure that candidates have been evaluated on the basis of such pre-approved evaluation criteria and/or that the applicable procedures have been followed.

Competency: combination of skills, attributes, and behaviors that are directly related to successful performance of the job.

Desk Officer: FPD staff member who is responsible for one or more peacekeeping operations or special political missions; for the purpose of this SOP, the Field Personnel Operations Service Desk Officer acts as principal point of contact for missions for all matters related to the selection and appointment of candidates.

Human Resources Action Plan (HRAP): is a strategic, integrated human resources tool which allows planning and monitoring the HRM performance of a mission’s key resources management areas against measurable targets agreed in advance with a commitment of achievement.

Galaxy: the United Nations online employment site, offering a compendium of vacancies within the United Nations System, including missions administered by DFS. Applicants are encouraged to register and to fill out the personal history profile (PHP) template available on Galaxy and apply online by submitting their PHP through the Galaxy system.

Generic Job Profile (GJP): classified standard job profile that encompasses a large group of related jobs for which major characteristics of the job are similar in duties and responsibilities, education, work experience, technical skills and essential core competencies.

Generic Vacancy Announcement (GVA): a vacancy announcement that is not related to a specific post or mission. GVAs are used for the purpose of attracting candidates for inclusion in the roster of candidates for mission posts at a particular level and function and in a particular occupational group. GVAs may be issued at any time and do not have expiration date.

Initial Clearance: process whereby the respective ROU Occupational Group Manager reviews candidates who have applied to a position and selects only those applicants who fulfill the basic requirements for the post.
**Nucleus:** the IT system used in FPD and missions to manage all applications to vacancies in DFS-administered missions. Access to Nucleus is limited to its administrators and to those who are authorized to initially or technically clear candidates or to use the missions staffing table(s).

**On-boarding:** process whereby a selected candidate is deployed to a mission, to include determining the grade, issuing the offer of employment, arranging medical clearance and travel and scheduling participation in required training and orientation programmes.

**Programme Manager (PM):** official within an organizational unit of the mission who is responsible for assisting the mission’s management in ensuring the delivery of mandated activities by effectively and efficiently managing staff and resources placed under his or her supervision and for discharging the other functions listed in section 6 of ST/SGB/1997/5.

**Recruitment:** process for generating applications, evaluating applicants, and developing rosters of suitable candidates.

**Roster:** pool of candidates who have been cleared for a particular function and level normally through application to a vacancy announcement from which missions may select at any time. The candidate’s status on the roster is valid for one year.

**Selection:** decision process whereby staff for peacekeeping operations and special political missions are chosen from among rostered candidates through a competency-based interviewing process and competitive evaluation.

**Short-list:** candidates who meet all post-specific criteria and will be interviewed for the post.

**Technical Clearance:** process whereby the technical expert (or office) limits the number of initially cleared candidates to include only those who fulfill the specialized technical requirements of the specific post based on the assessment of evaluation criteria deemed to be directly relevant.

**Terms of Reference (TOR):** describe the tasks, responsibilities and reporting requirements of a post that a candidate is expected to fulfill if selected for the post.

**Vacancy Announcement (VA):** summarized version of the terms of reference for the post advertised, complemented by the competencies and qualifications required or desired for that post.

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**ACRONYMS:**

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tbody>
<tr>
<td>AFP</td>
<td>Agency, Fund or Programme</td>
</tr>
<tr>
<td>ASG</td>
<td>Assistant Secretary General</td>
</tr>
<tr>
<td>CAS</td>
<td>Chief Administrative Services</td>
</tr>
<tr>
<td>CBO</td>
<td>Chief Budget Officer</td>
</tr>
<tr>
<td>CCPO</td>
<td>Chief Civilian Personnel Officer</td>
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<tr>
<td>CISS</td>
<td>Chief Integrated Support Services</td>
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<tr>
<td>CMS</td>
<td>Chief of Mission Support</td>
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<tr>
<td>CTS</td>
<td>Chief Technical Services</td>
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<tr>
<td>DFS</td>
<td>Division of Field Support</td>
</tr>
<tr>
<td>DMS</td>
<td>Director of Mission Support</td>
</tr>
</tbody>
</table>
F. REFERENCES

1. United Nations competencies for the future, Special Services Division, OHRM, booklet (not dated)


4. Administrative Instruction ST/AI/1999/9 on Special measures for the achievement of gender equality, 12 September 1999


6. Secretary-General’s Bulletin ST/SGB/2002/1 on Staff rules – staff regulations of the United Nations and staff rules 100.1 to 112.8, 1 January 2002
7. Administrative Instruction ST/AI/2003/3 on Special post allowance for field mission staff, 21 March 2003

8. Guidelines on Consultants, individual contractors, interns and gratis personnel eligibility to apply for or be appointed to post, 2 October 2003

9. Administrative Instruction ST/AI/2003/8 on Retention in service beyond the mandatory age of separation and employment of retirees, 13 November 2003

10. Fax from Thomas Geburt (OIC, PMSS) on Memorandum of understanding between DPKO and UNV, 12 February 2004

11. Fax from Thomas Geburt (OIC of PMSS) on Special post allowance for field mission staff, 24 February 2004

12. Secretary-General’s Bulletin ST/SGB/2005/7 on Designation of staff members performing significant functions in the management of financial, human and physical resources, 13 April 2005

13. Resolution adopted by the GA, A/RES/59/296 on Administrative and budgetary aspects of the financing of the UN peacekeeping operations: Cross-cutting issues, 22 June 2005

14. Fax from Donna-Marie C. Maxfield (Chief, PMSS) on General Assembly resolution 59/296: impact on TDY and assignment of locally recruited staff members, 24 August 2005.

15. Fax from Donna-Marie C. Maxfield (OIC, ASD/OMS/DPKO) on General Assembly resolution 59/296: Long term assignment of General Service staff from Headquarters, Offices away from Headquarters, Offices Away from Headquarters/Regional Commissions, UN Agencies, Funds and Programmes and Established Mission, 26 October 2005

16. Fax from Donna-Marie C. Maxfield (Chief, PMSS) on Implementation of General Assembly Resolution 59/296 – Assignment of General Service staff members to field missions, 14 February 2006

17. Fax from Donna-Marie C. Maxfield (Chief, PMSS) on General Assembly resolution 59/296: Further guidance on missions in exceptional circumstances and reappointment of locally recruited staff in the FS category, 18 September 2006

18. Fax from Philip Cooper (Director, ASD/DPKO) on Eligibility of UN police and military personnel to apply to civilian posts, 18 October 2006

19. Guidelines on Designation of staff members performing significant functions in the management of financial, human and physical resources, 14 November 2006

20. Administrative instruction ST/AI/2006/3 on Staff selection system, 15 November 2006

21. Secretary-General’s bulletin ST/SGB/2007/3 on Staff Rules 301.1 to 312.6 governing appointments for service of a limited duration, 1 January 2007

23. Fax from Philip Cooper (Director, ASD/DPKO) on Protection of Personal Data, 21 March 2007

24. Fax from Donna-Marie C. Maxfield (Chief, PMSS) on Recruitment of staff to mission posts, 23 April 2007

25. Interim Guidelines for Movement of mission staff to higher level posts, OHRM, 18 June 2007

26. Fax from Donna-Marie C. Maxfield (Chief, PMSS) on Revised Interim Guidelines for Movement of mission staff to higher level posts, 26 June 2007

27. Fax from Donna-Marie C. Maxfield (Chief, PMSS) on Review of measures associated with implementation of GA resolution 59/296 – Locally recruited staff reappointment to the FS category, 10 July 2007

28. Fax from Susanna Malcorra (USG, DFS) on Delegation of technical clearance authority up to the D-1 level, 4 July 2008

G. MONITORING AND COMPLIANCE

1. This SOP creates an explicit expectation of compliance by all UN staff. The Quality Assurance and Information Management Section, FPD is responsible for the oversight and monitoring of the procedure outlined in the SOP.

H. DATES

1. This SOP was approved by the Officer-in-Charge, Department of Field Support, DFS on 16 April 2008 and became effective on the same day.

2. The SOP will be reviewed and amended every year from its effective date by FPD. However, if any change occurs during the named period regarding the official rules and regulations of the UN system, which are related to this SOP, these modifications receive immediate validity.

I. CONTACT

1. Queries, comments, and suggestions about this SOP shall be directed at all times to the Chief, Field Personnel Operations Service, FPD.
J. HISTORY AND AMENDMENTS

1. The SOP was approved on 16 April 2008. It has not been amended.

SIGNED:

[Signature]

[Name]
17.06.08
ANNEX A
Overview of the Entities of the UN System

<table>
<thead>
<tr>
<th>UN Secretariat, Offices away from Headquarters &amp; Regional Commissions</th>
<th>UN specialized agencies, funds, programmes, tribunals or other UN entities*</th>
</tr>
</thead>
</table>
| **UN Secretariat**  
(Including but not limited to):  
DDA, DESA, DGACM, DM, DPA, DPI,  
DPKO, DSS, EOSG, ICSC, OCHA,  
OHCHR, OHRILS, OIOS, OLA, UNDOC,  
UNJSPF, UNOG, UNON, UNOV | **UN Funds and Programmes**  
(Including but not limited to):  
ITC, UNCTAD, UNDP, UNEP, UNFPA,  
UN-Habitat, UNHCR, UNICEF, UNIFEM,  
UNODC/UNDCP, UNRWA, UNV, WFP  
(administered under FAO) |
| **Regional Commissions**  
( Including but not limited to):  
ECA, ECE, ECLAC, ESCAP, ESCWA | **Other UN entities**  
( Including but not limited to):  
UNOPS, UNU, UNSSC, UNAIDS |
|  | **Research and training institutes**  
( Including but not limited to):  
INSTRAW, UNITAR, UNIDIR, UNICRI,  
UNRISD |
|  | **International Tribunals**  
( Including but not limited to):  
ICTY, ICTR, ICJ |
|  | **Specialized agencies and other related organizations**  
( Including but not limited to):  
CTBTO, FAO, IAEA, ICAO, IDA, IFAD,  
IFC, ILO, IMF, IMO, ISA, ITLOS, ITU,  
OPCW, UNESCO, UNIDO, UPU, WB  
group, WHO, WIPO, WMO, WTO (trade),  
WTO (tourism) |

*Entities in bold are signatories to the inter-agency mobility accord*
ANNEX B
# Standard Operating Procedure on Recruitment of candidates for UN peace operations and political missions

## Annex B

<table>
<thead>
<tr>
<th>Occupational Group</th>
<th>Technical Clearance authority at HQ</th>
<th>Technical Clearance authority in the Mission*</th>
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<tbody>
<tr>
<td>Administration</td>
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<td>Up to and including D-1</td>
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<tr>
<td></td>
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<tr>
<td>Aviation</td>
<td>D-2 and above</td>
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<td>Economic Affairs</td>
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<td>Human Rights**</td>
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<td>Information Management</td>
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<td></td>
<td>All Chiefs of</td>
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</tr>
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</table>

*As of 16 July 2007*
Standard Operating Procedure on Recruitment of candidates for UN peace operations and political missions

**Annex B**

<table>
<thead>
<tr>
<th>Section/Service/Division (regardless of level)</th>
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<td>Logistics</td>
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<td>Political Affairs</td>
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<td>Social Affairs**</td>
<td>All positions</td>
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<tr>
<td>Transport</td>
<td>D-2 and above&lt;br&gt;All Chiefs of Section/Service/Division (regardless of level)</td>
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* Missions without a full management structure (i.e. Head of Mission, Director/Chief Mission Support and Chief Civilian Personnel Officer) have technical clearance authority up to the P-4 level only

** UNIIIC has been granted expanded delegated authority in selected functional titles under these occupational groups due to the specialized nature of certain functions performed in this mission.

As of 16 July 2007
ANNEX C
UN Core Competencies for the Future

Competencies are defined as a combination of skills, attributes, and behaviours that are directly related to successful performance on the job.

**Core Competencies**

**COMMUNICATION**
- Speaks and writes clearly and effectively.
- Listens to others, correctly interprets messages from others and responds appropriately.
- Asks questions to clarify, and exhibits interest in having two-way communication.
- Tailors languages, tone, style, and format to match the audience.
- Demonstrates openness in sharing information and keeping people informed.

**TEAMWORK**
- Works collaboratively with colleagues to achieve organizational goals.
- Solicits input by genuinely valuing other’s ideas and expertise; is willing to learn from others.
- Places team agenda before personal agenda.
- Builds consensus for task purpose and direction with team members.
- Supports and acts in accordance with final group decisions, even when such decisions may not entirely reflect own position.
- Shares credit for team accomplishment and accepts joint responsibility for team shortcomings.

**PLANNING & ORGANIZING**
- Develops clear goals that are consistent with agreed strategies.
- Identifies priority activities and assignments; adjust priorities as required.
- Allocates appropriate amount of time and resources for completing work.
- Foresees risks and allows for contingencies when planning.
- Monitors and adjust plans and actions as necessary.

**ACCOUNTABILITY**
- Takes ownership for all responsibilities and honours commitments.
- Delivers outputs for which one has responsibility within prescribed time, cost and quality standards.
- Operates in compliance with organizational regulations and rules.
- Supports subordinates, provides oversight and takes responsibility for delegated assignments.
- Takes personal responsibility for his/her own shortcomings and those of the work unit, where applicable.

CLIENT ORIENTATION
- Considers all those to whom services are provided to be "clients" and seeks to see things from clients' point of view.
- Establishes and maintains productive partnerships with clients by gaining their trust and respect.
- Identifies client's needs and matches them to appropriate solutions.
- Monitors ongoing developments inside and outside the clients' environment to keep informed and anticipate problems.
- Keeps clients informed of progress or setback in projects.
- Meets timeline for delivery of product or services to client.

CREATIVITY
- Actively seeks to improve programmes or services.
- Offers new and different options to solve problems or meet client needs.
- Promotes and persuades others to consider new ideas.
- Takes calculated risks on new and unusual ideas; thinks "outside the box".
- Takes an interest in new ideas and new ways of doing things.
- Is not bound by current thinking or traditional approaches.

TECHNOLOGICAL AWARENESS
- Keeps abreast of available technology.
- Understands applicability and limitations of technology to the work of the Office.
- Actively seeks to apply technology to appropriate tasks.
- Shows willingness to learn new technology.

COMMITMENT TO CONTINUOUS LEARNING
- Keeps abreast of new developments in own occupation / profession.
- Actively seeks to develop oneself professionally and personally.
- Contributes to the learning of colleagues and subordinates.
- Shows willingness to learn from others.
- Seeks feedback to learn and improve.
Managerial Competencies

VISION
- Identifies strategic issues, opportunities and risks.
- Clearly communicates links between the Organization's strategy and the work unit's goals.
- Generates to pursue that same direction.
- Conveys enthusiasm about future possibilities.

LEADERSHIP
- Serves as a role model that other people want to follow.
- Empowers others to translate vision into results.
- Is proactive in developing strategies to accomplish objectives.
- Establishes and maintains relationships with a broad range of people to understand needs and gain support.
- Anticipates and resolves conflicts by pursuing mutually agreeable solutions.
- Drives for change and improvement, does not accept the status quo.
- Shows the courage to take unpopular stands.

EMPOWERING OTHERS
- Delegates responsibility, clarifies expectations and gives staff autonomy in important areas of their work.
- Encourages others to set challenging goals.
- Holds others accountable for achieving results related to their area of responsibility.
- Genuinely values all staff members' input and expertise.
- Shows appreciation and rewards achievement and effort.
- Involves others when making decisions that affect them.

MANAGING PERFORMANCE
- Delegates the appropriate responsibility, accountability and decision-making authority.
- Makes sure that roles, responsibilities and reporting lines are clear to each staff member.
- Accurately judges the amount of time and resources needed to accomplish a task and matches task to skills.
- Monitors progress against milestones and deadlines.
- Regularly discusses performance and provides feedback and coaching to staff.
- Encourages risk-taking and supports creativity and initiative.
- Actively supports the development and career aspirations of staff.
- Appraises performance fairly.
BUILDING TRUST
- Provides an environment in which others can talk and act without fear or repercussion.
- Manages in a deliberate and predictable way.
- Operates with transparency, has no hidden agenda.
- Places confidence in colleagues, staff members and clients.
- Gives proper credit to others.
- Follows through on agreed upon actions.

JUDGEMENT / DECISION MAKING
- Identifies the key issues in a complex situation, and comes to the heart of the problem quickly.
- Gathers relevant information before making a decision.
- Considers positive and negative impact on others and on the Organization.
- Proposes a course of action or makes a recommendation based on all available information.
- Checks assumptions against facts.
- Determines that the actions proposed will satisfy the expressed and underlying needs to the decision.
- Makes though decisions when necessary.
ANNEX D
# Annex: D

## Competency-Based Interview Worksheet

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<thead>
<tr>
<th>Candidate:</th>
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<tr>
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<td>VA No.:</td>
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<td>Date of Interview:</td>
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<table>
<thead>
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<tbody>
<tr>
<td>Question:</td>
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<table>
<thead>
<tr>
<th>Notes:</th>
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<table>
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<tr>
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<tbody>
<tr>
<td>Question:</td>
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<p>| |</p>
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<tbody>
<tr>
<td>Competency:</td>
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<tr>
<td>------------</td>
</tr>
<tr>
<td>Question:</td>
</tr>
<tr>
<td>Notes:</td>
</tr>
</tbody>
</table>

Comments / Additional Questions:

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________________________________________________________________________

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Annex: E

Interview Report

Interview Details:
Mission: ________________________________
Functional Title / Grade: ________________________________
VA Number: ________________________________
Date of the Interview: ________________________________

Panel Members (Name / Signature):
1. ______________________________________
2. ______________________________________
3. ______________________________________
4. ______________________________________

Interviewed Candidates:
1. ______________________________________
2. ______________________________________
3. ______________________________________
4. ______________________________________

Assessment Criteria:
Lead Questions: ______________________________________
Professionalism: ______________________________________

Key Competency I: ________________________________
Key Competency II: ________________________________
Key Competency III: ________________________________
Candidate:

Professionalism:

Candidate's answers:

<table>
<thead>
<tr>
<th>No Evidence</th>
<th>Marginal</th>
<th>Acceptable</th>
<th>Good</th>
<th>Superior</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meets almost none of the competency definition</td>
<td>Meets less than half of the competency definition</td>
<td>Meets about half to the competency definition</td>
<td>Meets most of the competency definition</td>
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</table>

Observation and evaluation by panel:

Key Competency I:

Candidate's answers:

<table>
<thead>
<tr>
<th>No Evidence</th>
<th>Marginal</th>
<th>Acceptable</th>
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</table>
### Key Competency II:

**Candidate's answers:**

**Observation and evaluation by panel:**

<table>
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<th>Acceptable</th>
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### Key Competency III:

**Candidate's answers:**

**Observation and evaluation by panel:**

<table>
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<td>Meets all of the competency definition</td>
</tr>
</tbody>
</table>

### Overall rating:

Exceptional □ Acceptable □ Marginal □ Unsuitable □

**Justification of the recommendation:**

---

Interview Report 3
Candidate:

Professionalism:

Candidate's answers:

<table>
<thead>
<tr>
<th>No Evidence</th>
<th>Marginal</th>
<th>Acceptable</th>
<th>Good</th>
<th>Superior</th>
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Observation and evaluation by panel:

Key Competency 1:

Candidate's answers:

<table>
<thead>
<tr>
<th>No Evidence</th>
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<th>Good</th>
<th>Superior</th>
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Key Competency II:

Candidate's answers:

Observation and evaluation by panel:

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<th>No Evidence</th>
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Key Competency III:

Candidate's answers:

Observation and evaluation by panel:

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<td>Meets all of the competency definition</td>
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</tbody>
</table>

Overall rating:

Exceptional ☐  Acceptable ☐  Marginal ☐  Unsuitable ☐

Justification of the recommendation:


Interview Report 5
Candidate:

**Professionalism:**

**Candidate's answers:**

**Observation and evaluation by panel:**

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**Key Competency I:**

**Candidate's answers:**

**Observation and evaluation by panel:**

<table>
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<th>No Evidence</th>
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**Observation and evaluation by panel:**

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**Observation and evaluation by panel:**

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<td>Meets most of the competency definition</td>
<td>Meets all of the competency definition</td>
</tr>
</tbody>
</table>

**Overall rating:**

Exceptional □  Acceptable □  Marginal □  Unsuitable □

**Justification of the recommendation:**

__________________________________________________________________________

__________________________________________________________________________

__________________________________________________________________________

Interview Report 7
I. Summary Recommendation

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<th>Mission:</th>
<th>Recommended candidates:</th>
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<td>Functional Title:</td>
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<td>VA Number(s):</td>
<td>3.</td>
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<tr>
<td>IMIS Post Number(s):</td>
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</tbody>
</table>

II. Post-specific Evaluation Criteria

The requirements for the post should at a minimum be equal to those reflected in the vacancy announcement. Should there be a need to specify additional post-specific criteria that amplify or focus in on one or more of the requirements described in Vacancy Announcement, (i.e. in terms of desired language skill, regional experience, or relevant professional certification) such specific requirements shall be recorded hereunder and shall be applied to all candidates under consideration.

III. Authentication

1. Programme Manager:

A total of _____ candidates were considered for the post, and of these candidates _____ are Field Service Officers with career status (only applicable for FS posts), _____ are female candidates, _____ are internal candidates and _____ are external candidates.

I confirm that all candidates were evaluated against the same criteria and that the recommended candidate(s) were confirmed through competency-based interviews.

Name: __________________________

Date: __________________________

Signature: ________________________

---

1 Please attach copy of the vacancy announcement.
2. **Technical Clearance Authority** (where technical clearance the function and level is delegated to the mission and the staff member vested with authority is different than the programme manager, above):

I confirm that the recommended candidates meet the requirements for the post, as described in the vacancy announcement.

Name:  
Date:  
Signature: ______________________

3. **Chief Civilian Personnel Officer:**

I confirm that the selection process has been legitimately applied.

Name:  
Date:  
Signature: ______________________
IV. Evaluations of Cleared Candidates Short-listed for Interview.

- Total number of cleared candidates: 
- Total number of candidates short-listed for interviews: 
- Date of interview: 
- Panel members:

Items 1 to 3: Reflect how the candidate meets or does not meet the requirements of the post as defined above (meets all requirements, meets most of the requirements, does not meet any of the requirements), including an overall assessment of the candidate's background and experience within each evaluation criteria.

Items 4 and 5: Records how well the candidate demonstrated at least three (3) of the competencies identified in the Vacancy Announcement. All interviewed candidates shall be evaluated against the same competencies which have been assessed during the competency-based interview to determine their suitability for the post in terms of required competencies, and reflect the manner in which they are met or not met with a final evaluation for each competency as “Superior”, “Good”, “Acceptable”, “No evidence” or “Marginal”.

Item 6: Based on the individual assessments reported under items 1 thru 5, a final overall evaluation shall be recorded, either as “Strongly Recommended”, “Recommended” or “Not Recommended” with an overall justification of the final evaluation.

1. Candidate:

Name: __________________________ Nationality: __________________________ DoB: __________________________

Internal candidate: Yes No If yes, indicate current grade level: __________________________

1. Education

Highest degree level:

Professional training and certification:
## COMPARATIVE EVALUATION REPORT

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<th>2. Work Experience</th>
<th>Experience:</th>
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<td></td>
<td>Total experience:</td>
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<th>4. Professionalism</th>
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<th>5. Key Competencies</th>
<th>Key Competency #1 ( )</th>
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<td>Key Competency #3 ( )</td>
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| 6. Overall Evaluation | |
|-----------------------|
## COMPARATIVE EVALUATION REPORT

2. **Candidate** (if necessary)

<table>
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<tr>
<th>Name:</th>
<th>Nationality:</th>
<th>DoB:</th>
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</table>

<table>
<thead>
<tr>
<th>Internal candidate:</th>
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<th>No</th>
<th>If yes, indicate current grade level:</th>
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<table>
<thead>
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<tr>
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<td>Key Competency #3 (   )</td>
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| 6. Overall Evaluation |
3. **Candidate** (If necessary)

Name: ___________________________  Nationality: ___________________________  DoB: ___________________________

Internal candidate: Yes  No  If yes, indicate current grade level: __________

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6. Overall Evaluation
ANNEX G
To: Director, FPD

From: DMS (CMS), (mission name)

Subject: (Mission name): (Post Title), IMIS Post No. (12345): Selection and/or Movement to Higher Level

1. I request your approval for the:
   
   _____ Selection of Mr./Ms (name) Index No. (12345), level, as applicable
   
   _____ Movement to higher level of Mr./Ms (name) Index No. (12345), level

   for (mission name) for the position of (post title), (post level), which is authorized under (name of Section/Office) for the approved budget period (month/year to month/year).

2. Mr./Ms (name) is:
   
   _____ an internal candidate at the level of the post who is currently serving with (mission name)
   
   _____ an internal candidate one level below the level of the post who is currently serving with (mission name)
   
   _____ an external candidate.

3. In order to fill the post of (post title) the programme manager, Mr./Ms. (name), considered a total of (number) cleared candidates who were available in the roster under Vacancy Announcements Nos. (12345) and (12345). The list of candidates considered is provided in the attached Nucleus screenshot(s). The screenshot(s) provides an indication as to why currently serving staff members were not short-listed for interview.

4. The programme manager short-listed and interviewed the following candidates:
   
   a) (name) internal/external, level, as applicable
   
   b) (name) internal/external, level, as applicable
Mission's Letterhead

c) (name) internal/external, level, as applicable

5. I confirm that Mr./Ms (name) was selected based on an assessment of merit and the (number) currently serving staff appearing in the roster of cleared candidates for Vacancy Announcement Nos (12345) have been given due consideration. Article 101, paragraph 3 of the Charter, and Staff Regulation 4.4 refer.

6. I also confirm that in recommending the selection of Mr./Ms (name), I have taken into consideration the gender goals in (mission name). [For missions with HRAP: I have taken into consideration the gender goals in (mission name) human resources action plan (HRAP).] Every effort was made to ensure a fair and appropriate troop and police contributing country representation.

7. For your review I attach the following supporting documentation:

   a) Vacancy Announcement

   b) List(s) of candidates, Nucleus screenshot(s)

   c) Interview report

   d) Comparative Evaluation Report

   e) Mr./Ms (name) ePAS covering the period (date) to (date), if applicable

   f) Mr./Ms (name) PHP and the PHPs of (number) other candidates short-listed/interviewed for the post.

8. In light of the above, I request your approval for the proposed selection and/or movement to higher level.

Note:

In the event there is only one qualified internal, lateral candidate, the selection process can proceed with an interview and comparative evaluation of the candidate against the core values/competencies indicated in the Vacancy Announcement.

The above outline is the minimum information required by FPD to review a case for approval. Additional information may be provided if it further support the requested approval.

(05/2008)
ANNEX H
To: Director, FPD
From: DMS (CMS), (mission name)
Subject: Request for Consideration for Movement to Higher Level Post in Mission Acronym:
Mr./Ms. s/m name (Index Number XXXX)

1. Reference is made to the Interim Guidelines for Movement of Mission Staff to Higher Level Posts, approved by Ms. Beagle on 18 June 2007. In line with the administrative process laid out in the Interim Guidelines, we are submitting the case of Mr./Ms. s/m name for your approval.

2. We have reviewed the integrity of the selection process and have observed that the selection recommendation is reasoned and justified. All relevant documentation is attached under cover of the selection memorandum.

3. To the best of our knowledge we can confirm that Mr./Ms. (name) is currently not subject to an investigation related to his/her services in UN peace operations.

4. In light of the above, we would appreciate your consideration to approve, in principle, the appointment at the higher level. With your approval, we will proceed with the selection process.