United Nations
Department of Peacekeeping Operations
Department of Field Support
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Standard Operating Procedure

Vacancy Management and Succession Planning for Heads of Police Components in Peacekeeping Operations and Special Political Missions

Approved by: Hervé Ladsous, USG DPKO
               Atul Khare, USG DFS
Effective date: 17 November 2016
Contact: DPKO/OROLSI/Police Division/Selection and Recruitment Section
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STANDARD OPERATING PROCEDURE

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A. PURPOSE

1.   This standard operating procedure (SOP) provides instructions for vacancy management and succession planning of heads of police component (HoPCs) as experts on mission[1] in United Nations peacekeeping operations and special political missions.

B. SCOPE

2.   This SOP shall apply only to the phases of vacancy management and succession planning for HoPCs to the point of submission of qualified candidates for consideration and approval by the Under-Secretary-General for Peacekeeping Operations (D-1 and below) or the Secretary-General (D-2 and above)[2]. This SOP shall be applied in conjunction with standard United Nations recruitment and selection procedures, directives and any other applicable rules, regulations or administrative instructions.

3.   The Departments of Peacekeeping Operations (DPKO), Field Support (DFS) and Political Affairs (DPA) and field personnel involved in the vacancy management of HoPCs should be aware of this SOP.

C. RATIONALE

4.   This SOP has been developed in order to serve as specific guidance in the selection, deployment and extension of tours of duty of HoPCs in United Nations peacekeeping operations and special political missions. It shall be the primary reference, and adherence to the principles and procedures contained herein will enable the Police Division (PD) to support the timely selection and deployment of HoPCs to United Nations peacekeeping operations and special political missions. It is intended that formalized procedures, with clarity on lead and support roles and responsibilities, will result in a more effective and efficient process.

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[1] United Police officers and military observers enjoy the status of "experts performing missions" under article VI of the 1946 Convention on the Privileges and Immunities of the United Nations. In accordance with that status, they enjoy *inter alia* immunity for the purposes of official acts they perform.
[2] USG DPA to be consulted for DPA-led missions appointment and extension tour of duty for HoPCs.

D. PROCEDURES

D.1. IDENTIFICATION OF VACANCIES		
1.1 Establishment of new mission	**DPKO-Led missions** **Lead/Support[3]**	**DPA-Led missions** **Lead/Support**
1.1.1 Security Council adopts resolution establishing new mission	OASG OO	OUSG DPA
1.1.2 Post level and sufficient funding determined	FBFD, FPD/PD, IOT Leader, OO Reg. Dir., OASG OROLSI	FBFD, FPD/PD, DPA Reg. Dir., OASG OROLSI
1.1.3 Identification of potential police-contributing countries (PCCs) and candidates **(go to section D.2)**	PD/IOT Leader, OO Reg. Dir., HoM, OASG OROLSI	PD/DPA Reg. Dir., OASG OROLSI, as appropriate
1.2 Expiration of appointment (4-8 weeks, to be completed 180 days prior to expiration date of contract)[4]	**DPKO-Led missions** **Lead/Support**	**DPA-Led missions** **Lead/Support**
1.2.1 Review of expiring appointments[5]	PD	PD
1.2.2 Contact Head of Mission (HoM) to determine interest in extension and ask for formal extension request from HoM	OO Reg. Dir./IOT Leader, PD, OASG OO, OASG OROLSI, OUSG DPKO, as appropriate	OUSG DPA/DPA Reg. Dir., PD, OASG OROLSI, as appropriate,
1.2.3 Contact incumbent to determine interest in extension of appointment **In the case of a decision not to extend:** Identify potential candidates **(go to section D.2)**	PD/OO Reg. Dir., IOT Leader	PD
1.2.4 Draft note to OUSG DPKO with recommendation regarding extension and submit to USG DPKO for approval (D1 and below)[6]	PD/OO Reg. Dir., IOT Leader, SLAS	PD/DPA Reg. Dir., SLAS

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[3] The lead entity is the entity or individual responsible for performing the action or task. The support entity or individual is responsible for supporting the lead entity in performing that task. Individuals participating in decision-making bodies are to be at least at the level of the post under consideration. Individuals participating in making recommendations will work under the delegated authority of their principals.

[4] A target timeframe has been identified for each phase of the process, where possible.

[5] Police Leadership appointments will also be reviewed through mission leadership planning mechanisms, including monthly leadership planning meetings with the Senior Leadership Appointments Section (SLAS).

[6] USG DPA to be consulted for DPA-led mission appointments and for extensions of tours of duty for HoPCs.

		DPKO-Led missions Lead/Support	DPA-Led missions Lead/Support
1.2.5	Send note verbale and request PCC's concurrence	PD	PD
1.2.6	Draft note to Chef de Cabinet, EOSG with recommendations regarding appointment extensions and submit to EOSG for approval (D-2 and above)	IOT Leader/PD, OO Reg. Dir., SLAS	OUSG DPA/DPA Reg. Dir., PD, SLAS as appropriate
1.2.7	Communicate Secretary-General's decision to OUSG DPKO or OUSG DPA, copying the OUSG DFS, via e-mail marked confidential	EOSG/SLAS	EOSG/SLAS
1.2.8	Notify FPD, PCCs of the Under Secretary-General's/Secretary-General's decision, so that administrative activities to be undertaken	PD	PD
1.2.9	Inform HoM via code cable about the decision	IOT Leader/OO Reg. Dir., PD	DPA Reg. Dir./PD
1.3 Other reasons for vacancy (1-2 weeks, to be completed 180 days prior to expiration date of contract)		**DPKO-Led missions** Lead/Support	**DPA-Led missions** Lead/Support
1.3.1	Confirm with HoM decision to end contract of incumbent	OO Reg. Dir./IOT Leader, PD, OASG OO, OASG OROLSI	DPA Reg. Dir./PD, OASG OROLSI, as appropriate
1.3.2	Confirm with incumbent his/her decision to end contract and departure date	PD/OO Reg. Dir., IOT Leader	PD
1.3.3	Inform incumbent and PCC of Organization's decision to end contract and confirm departure date[7]	PD	PD
1.3.4	Inform Lead and Support entities (OUSG DPKO, OUSG DFS/SLAS, OUSG DPA, OASG OO, and OASG OROLSI), via e-mail marked confidential	PD/OO Reg. Dir., IOT Leader	PD/DPA Reg. Dir.
1.3.5	Identify suitable candidates **(go to section D.2)**		

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[7] HoPC to be invited for de-briefing to UNHQ NY, in consultation with the relevant areas.

D.2.   DETERMINE TERMS OF REFERENCE AND POST PROFILE

2.1 Preparation and approval of Terms of Reference (TORs) and Post Profile (2-3 weeks)	DPKO-Led missions Lead/Support	DPA-Led missions Lead/Support
2.1.1 Develop/update TORs	PD/OO Reg. Dir., IOT Leader	PD/DPA Reg. Dir.
2.1.2 Review and endorse TORs	PD/OO Reg. Dir., IOT Leader, OASG OROLSI	PD/DPA Reg. Dir., OASG OROLSI, as appropriate
2.1.3 Review list of PCCs to be invited to nominate candidates	PD/OO Reg. Dir., IOT Leader	PD/DPA Reg. Dir.
2.1.4 Send note verbale and TOR to PCCs to consider nominations[8]	PD	PD

D.3. PREPARE CANDIDATE SLATE

3.1 Preparation of preliminary candidate slate (4-5 weeks)	DPKO-Led missions Lead/Support	DPA-Led missions Lead/Support
3.1.1 Receive CVs of candidates from PCCs	PD	PD

3.2 Consolidation of candidate slate (2 weeks)	DPKO-Led missions Lead/Support	DPA-Led missions Lead/Support
3.2.1 Review and refine preliminary candidate slate against the post criteria, determining the need for additional candidates	PD	PD
3.2.2 Review, vetting and short-listing of candidates	PD/OO Reg. Dir., IOT Leader, HOM, as appropriate	PD/DPA Reg. Dir., HoM, as appropriate
3.2.3 Finalize slate	PD/OO Reg. Dir., IOT Leader, OASG OROLSI	PD/DPA Reg. Dir.,

3.3 Clearances of candidates	DPKO-Led missions Lead/Support	DPA-Led missions Lead/Support
3.3.1 Concurrence of short list of candidates, including political and any other key considerations (gender, national and	OO Reg. Dir./IOT Leader, PD, OASG	PD/DPA Reg. Dir., OASG OROLSI, as

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[8] The vacancy shall be advertized for an average of 30 days to allow PCCs sufficient time for the submission of candidates.

		DPKO-Led missions Lead/Support	DPA-Led missions Lead/Support
	geography), and consult HoM	OROLSI	appropriate
3.3.2	Endorse candidate slate, with a view to finalizing a short list	PD/OO Reg. Dir., IOT Leader, OASG OROLSI	PD/DPA Reg. Dir., OASG OROLSI
3.4	**USG endorsement of candidate slate**	**DPKO-Led missions** **Lead/Support**	**DPA-Led missions** **Lead/Support**
3.4.1	Seek concurrence of USG DPKO or DPA to proceed with interviews	PD/OO Reg. Dir., IOT Leader, OASG OROLSI	PD/DPA Reg. Dir., OASG OROLSI
3.5	**Establishment of candidate availability**	**DPKO-Led Missions** **Lead/Support**	**DPA-Led Missions** **Lead/Support**
3.5.1	Contact PCCs and short list of candidates to arrange interview	PD	PD
D.4.	**INTERVIEW CANDIDATES**		
4.1	**Interview of candidates** **(2-4 weeks)**	**DPKO-Led missions** **Lead/Support**	**DPA-Led missions** **Lead/Support**
4.1.1	Determine panel composition [9]	PD/OO Reg. Dir., IOT Leader	PD/DPA Reg. Dir.
4.1.2	Determine interview schedule, in consultation with panelists and candidates	PD/OO Reg. Dir., IOT Leader	PD/DPA Reg. Dir.
4.1.3	Logistical and administrative arrangements made to interview candidates [10]	PD/OO Reg. Dir., IOT Leader, FPD	PD/DPA Reg. Dir., FPD
4.1.4	Develop interview questions	PD/OO Reg. Dir.	PD
4.1.5	Send candidates and panelists background documents	PD	PD
4.1.6	Conduct interviews, evaluate and reach consensus on candidates, with lead	PD/ASG OROLSI, ASG OO, HoM, OO	PD/OUSG DPA, DPA Reg. Dir., ASG

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[9] All interview panels for HoPC positions should reflect the multi-dimensional nature of DPKO-led operations and DPA-led missions. The interview panel must comprise a minimum of three members, including one female member, and all members should be of equal or higher grade to that of the post considered. HoM and other officials from the field mission may take part in the interview panel.

[10] PD's support to interviews includes logistical arrangements (scheduling, VTC, etc.), coordination of interview questions, note-taking, and drafting and clearing with the interview panel the draft note to the DPKO USG, as well as attachments when required. Candidates (D-2 and above) may be invited to New York for an interview. In this case, PD prepares the visit programme and coordinates travel arrangements with PCCs and DFS/FPD.

		DPKO-Led Missions Lead/Support	DPA-Led Missions Lead/Support
	Department serving as chair	Reg. Dir., IOT Leader	OROLSI, HoM, as appropriate
4.2	**Preparation of interview evaluation and submission (1 week)**	**DPKO-Led Missions Lead/Support**	**DPA-Led Missions Lead/Support**
4.2.1	Draft routing slip (D-1 and below) to the OUSG DPKO/DPA reflecting the panel's evaluation and attaching TORs, post profile, PHP/CVs of selected candidates and additional background information required by OUSG DPKO/DPA	PD/OO Reg. Dir., IOT Leader	PD/DPA Reg. Dir.
4.2.2	Draft note (D-2 and above) to the Chef de Cabinet, EOSG reflecting the Panel's evaluation and USG DPKO recommendation and attaching TORs, post profile, PHP/CVs of selected candidates and additional background information required by EOSG	IOT Leader/OO Reg. Dir., PD	PD/DPAReg. Dir.
4.2.3	Circulate draft note to panel members for comment/endorsement	PD/OO Reg. Dir., IOT Leader	PD/DPA Reg. Dir.
4.2.4	Conduct vetting of selected candidate(s)	PD/CDU/OHCHR	PD/CDU/OHCHR
4.2.5	Submit final note to USG DPKO for approval (D-1 and below). Submit to USG DPKO/DPA for signature and submission to Chef de Cabinet, EOSG[11] (D-2 and above)	PD/ OO Reg. Dir., IOT Leader, SLAS	PD/DPA Reg. Dir., SLAS

D.5. COMPLETION OF RECRUITMENT

5.1 Finalize the selection (6-8 weeks)		**DPKO-Led missions Lead/Support**	**DPA-Led missions Lead/Support**
5.1.1	Communicate Secretary-General's decision to OUSG DPKO or OUSG DPA, copying the OUSG DFS, via e-mail marked confidential	EOSG/SLAS	EOSG/SLAS
5.1.2	Notify FPD of the decision of the Under-Secretary-General (D-1 and below) or the Secretary-General (D-2 and above), so	PD	PD

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[11] The final routing slip to USG DPKO and the note to EOSG (D-2 and above) will include relevant attachments, such as TORs and post profile/job description, list of D-1s and above in the Mission, and candidate curricula vitae/biographies.

	that administrative activities can be undertaken[12]		
5.1.3	Inform HoM via code cable about the decision	OO Reg. Dir./ IOT Leader, PD	Reg. Dir./PD
5.1.4	Notify PCCs and candidates about selection	PD	PD
5.1.5	Invite selected candidate for in-briefing to UNHQ NY	PD/OO Reg. Dir., IOT Leader	PD/DPA Reg. Dir.

5.   Police Senior Leadership Roster may be used to fill a vacancy for HoPC, if a suitable candidate is identified[13].

6.   In anticipation of a delay in the recruitment of HOPC, the selection of a staff member for temporary assignment to positions at the D-2 level and the approval of special post allowance shall be based on the Annex of ST/SGB/2015/1.

E. TERMS AND DEFINITIONS

7.   **Appropriate Confidentiality** – restricted communication on "need to know basis", while ensuring necessary consultations with key stakeholders.

8.   **Completion of Recruitment** – short list of candidates submitted by the Police Division to USG DPKO (D1 or below) or by USG of the lead Department to the EOSG (D2 and above).

9.   **Post profile** – characterization of the ideal leadership profile for the post, based on the TORs, prevailing circumstances in the Mission area, geographic and gender representation, balance of competencies of the existing mission leadership team, contributing country representation and geopolitical/regional considerations. Rank, experience, education, skills and key competencies are also highlighted in the post profile.

10.   **Short list** – minimum of at least three equally qualified candidates, one of whom is a woman (if available).

11.   **Head of police component** – United Nations HoPCs deployed as experts on mission in United Nations peacekeeping operations and special political missions, such as police commissioner and senior police adviser, between the P-5 and D-2 levels or above (Superintendent/Lt. Colonel to Chief Superintendent/Lieutenant General).

12.   **Identification of vacancy** – confirmation of new mission to be established, confirmation of incumbent leaving position, or USG DPKO or EOSG decision not to extend incumbent.

13.   **Terms of reference** – description of background, organization setting, experience and skills and key competencies.

14.   **Vetted candidates** – cleared through previous appointment process and currently serving in a senior police leadership position, or cleared but not selected.

F. REFERENCES

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[12] DFS/FPD issues contract and arranges the travel to UNHQ for in briefing and to field mission. PD schedules the in-briefing at the UNHQ before deployment.
[13] Senior Leadership Roster comprised of a pool of candidates nominated by Member States, screened, vetted, assessed and evaluated against the established generic job opening requirements, and approved by DPKO USG after competency-based interview according to UN rules and procedures.

15. **DFS SOP/ 2016.03 (dated 1 February 2016)** - Vacancy Management and Succession Planning for Senior Mission Appointments (civilian Heads and deputy Heads of Mission) in Missions supported by the Department of Field Support (DFS).

G. MONITORING AND COMPLIANCE

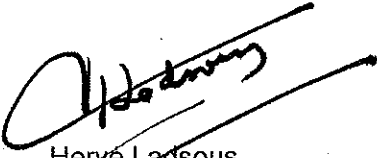16. Compliance with this SOP shall be monitored by DPKO/OROLSI/PD.

H. CONTACT

17. The contact officer for this SOP is the Chief of the Selection and Recruitment Section, PD.
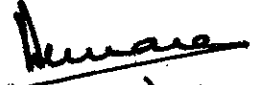
I. HISTORY

18. This SOP supersedes the United Nations SOP on Vacancy Management and Succession Planning for Heads of Police Components in Peacekeeping Operations and Special Political Missions, 1 October 2009 (Ref. 2009.28). This SOP was revised on 17 November 2016.

APPROVAL SIGNATURE:

DATE OF APPROVAL:

Hervé Ladsous,
Under-Secretary-General
for Peacekeeping Operations

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Atul Khare,
Under-Secretary-General
for Field Support

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