

Designation of staff members performing significant functions in the management of financial, human and physical resources

Applicable rules:

- Financial Rules 105.13 – 105.19
- ST/SGB/2005/7, Designation of staff member performing significant functions in the management of financial, human and physical resources;
- ST/AI/2004/1, Delegation of authority under the Financial Regulations and Rules of the United Nations
- ST/AI/2002/4, Staff selection system

I. Introduction

1. ST/SGB/2005/7 on designation of staff members performing significant functions in the management of financial, human and physical resources sets out the formal clearance process required for staff members selected to perform significant functions in the management of financial, human and physical resources to ensure that those candidates have the requisite qualifications and experience to carry out the functions assigned to them.

2. These guidelines are intended to clarify some issues related to the procedures to be followed by all departments, offices and regional commissions of the United Nations in order to obtain clearance from the Department of Management (DM) for the designation of staff members performing significant functions in the management of financial, human and physical resources.

II. Officials responsible for designation of staff members performing functions in management of financial, human and physical resources

3. The Under-Secretary-General for Management approves the designation of executive officers, directors of administration, chiefs of administration, chief administrative officers, senior administrative officers and chiefs of integrated support services, regional administrative officers and administrative officers at the Professional level and at the FS-6 and FS-7 levels.

4. The Controller approves the designation of all professional officers irrespective of level whose functions involve financial duties in whole or in part and all certifying and approving officers as well as bank signatories, except where the authority to designate has been expressly delegated. This includes chief finance officers, chief budget officers, finance officers and budget officers.

5. Designation by the Controller of a staff member to act as a certifying or approving officer under the Financial Regulations and Rules is a separate decision, which requires a separate request. It is recalled that a fresh decision to approve designation as a certifying or approving officer is required each time a staff member assumes a new assignment in a different office or mission, regardless of the length of time since a prior approval was given, and regardless of whether the staff member has been previously designated under ST/SGB/2005/7.

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6. From 15 August 2005 and until further notice, the authority previously delegated to the Assistant Secretary-General for Central Support Service under ST/AI/2004/1 to act under Financial Rules 105.13 to 105.19 to approve the designation of chief procurement officers, has been exercised by the Controller. Proposals for the designation of staff performing significant procurement functions should be addressed to the Controller.

7. Until further notice, requests for designation of staff members performing significant functions in the management of physical resources, such as chiefs of general services, chiefs of integrated support services, chiefs of telecommunications or computer operations, should be addressed to the Under-Secretary-General for Management.

8. The Assistant Secretary-General for Human Resources Management approves the designation of chiefs of personnel, chiefs of recruitment and personnel administration and all professional officers (including FS-6 and FS-7 levels) with responsibilities for personnel administration and performing human resources functions, such as human resources officers and chief civilian personnel officers.

9. Officers-in-charge: A request must also be submitted to the appropriate DM office in respect of staff members designated as officers-in-charge for a period exceeding one month, as required by section 8 of ST/SGB/2005/7. The request should explain how and why the candidate has been selected to serve in that capacity.

III. Timeframe of the submission of the proposals for designation

10. For appointments of one year or longer under the staff selection system (ST/AI/2002/4), proposals for designation of staff members performing significant functions in the management of financial, human and physical resources must be submitted to DM after the review by the central review bodies of the proposals for filling a vacancy and before the selection of the candidate by the department head.

11. For the assignment/appointment of staff members whose selection process is not subject to the staff selection system, i.e. mission appointments or 200-series appointments, proposals for designation of staff members performing significant functions in the management of financial, human and physical resources must be submitted to DM after selection by the departments and offices which have authority for selection and before any offer or commitment is made to the recommended candidate.

12. For staff members designated to serve as Officers-in-charge for more than one month, the request should be submitted to DM within the first month of assuming those functions.

13. Designation requests will not be reviewed unless the requesting department, office or regional commission has submitted a request with all supporting documentation required as indicated in paragraphs 15 and 21 below, as appropriate. Incomplete submissions will be returned to those offices for appropriate action.

14. In order to expedite the process, the requesting office should transmit to the Office of Human Resources Management (OHRM) a copy of all requests for which the Under-Secretary-General for

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Management, the Controller or the Office of Central Support Services are primarily responsible so that OHRM can review staff conduct as explained in paragraphs 22 to 24 below.

IV. Staff members not previously designated to perform similar management functions at the same level

15. A full review of the qualifications and experience of selected candidates who have not previously been designated to perform similar management functions at the same level is conducted by the appropriate DM office(s) to ensure that they have the requisite qualifications and experience to carry out the functions assigned to them and to provide consistency in the application of the Organization's regulations, rules, policies and procedures. The review will be conducted in all cases, including in respect of staff who would assume significant management functions after lateral reassignment under the authority of the head of department or office.

16. Requests for designation of candidates for financial management or procurement functions must include a statement whether the candidate is a former employee of a current vendor/contractor of the Organization and whether he or she has been investigated for fraud or corruption in his or her prior work experience.

17. Required attachments:

- a. Most updated PHP;
- b. Vacancy announcement or, if the position was not advertised, job description or generic job profile for the position;
- c. When the recommended candidate is a staff member, the two latest PAS reports (not any two PAS reports);
- d. When the requesting office has recruited/is recruiting a staff member under its delegated authority, e.g., DPKO/PMSS or Offices away from New York Headquarters, the request must include a certification that :
 - i. The degrees listed by the candidate in his or her PHP have been confirmed by the institution(s) issuing these degrees;
 - ii. The prior employment record of the candidate for the ten years preceding the request have been verified.

18. In cases where the degree(s) and prior employment record for the past ten years have not been previously verified, this should be done immediately and prior to the submission of the request for designation, by one of the following offices, as appropriate:

- a. DPKO/PMSS for mission staff;
- b. The local HR office for staff that have been or are being recruited by an office away from New York Headquarters;
- c. OHRM for staff of departments and offices in New York.

19. Requesting departments and offices should also attach any other documents, such as recent training certifications related to the functions in order to assist DM in evaluating the qualifications of the candidate recommended for designation. A copy of the latest delegation of procurement authority should be attached to requests for the designation of chief procurement officers.

V. Staff members previously designated for similar functions at the same level

20. No formal request is required in respect of a staff member who is reassigned to a new position and was cleared for similar functions, at the same level, and less than two years prior to the move to the new position. The only requirement in that case is for the parent office to notify the appropriate DM office of the reassignment, attaching a copy of the latest clearance.

21. Designation requests for staff members previously designated for similar functions at the same level more than two years prior to the move to the new position must have the following attachments:

- a. Vacancy announcement, job description or generic job profile for the new position;
- b. The two latest PAS reports documenting the performance of the staff member since the previous clearance.

VI. Review of staff conduct

22. On receipt of a request for designation for significant HR functions, or on receipt of the copy of the request for designation to be given by another DM office (see paragraph 14 above), OHRM will verify whether the selected candidate has been subject to preliminary investigation or disciplinary proceedings during his/her previous service with the United Nations or other organizations of the UN common system.

23. In order to expedite the process for mission staff serving in peace missions, OHRM will limit its review to staff member's conduct outside the period of service in peace missions, provided DPKO is in a position to include the following statement in its request for designation:

"To the best of my knowledge, I certify that the staff member has not been subject to any preliminary investigation or disciplinary proceedings during his/her service in peace mission(s) administered by DPKO, and is not currently under investigation."

24. OHRM will advise the appropriate DM office responsible for the designation of the outcome of its review, which must be completed before the designation can be issued.

VII. Notification to staff members

25. As agreed at SMCC-XXVII, a written explanation will be given to a staff member in the event clearance was not granted by senior management for carrying out significant functions in the management of financial, human and physical resources.

VIII. Effective date of the designation

26. Designation of staff members under ST/SGB/2005/7 is effective from the date of clearance.