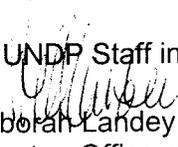




UNDP/ADM/2002/02  
18 January 2002

To: All UNDP Staff in Country Offices and at Headquarters

From:   
Deborah Landey  
Director, Office of Human Resources  
Bureau of Management

Subject: Career Management - Performance Management and Promotion of Staff

As we evaluate the 2001 performance of staff and take stock of promotion opportunities for staff, I take this opportunity to remind all supervisors and managers of their responsibility for the effective management of their human resources. Managers are responsible and accountable for the manner in which they supervise, communicate with, coach, develop and support staff members. Moreover, managers must play an important role in managing the careers of staff. The Career Review Group provides a unique forum for reviewing staff and their careers, helping staff chart learning plans and opportunities to build knowledge and competencies relevant to career growth. It also affords managers the opportunity to recognize excellent staff performance.

This circular sets out the 2002 guidelines for Career Review Groups in Headquarters and Country Offices regarding promotion of staff and provides a timetable for action. There is no change to the Results and Competency Assessment (RCA) for the 2001 performance period. A revised RCA will be issued in February 2002 to cover the 2002/2003 performance period. Guideline for the RCA can be found on the OHR website (<http://intra.undp.org/ohr/rca>).

**This circular replaces all previous circulars on this subject.**

Attention is drawn to several key policy revisions described more fully in the circular:

- Recommendations for conversion of locally recruited staff to the internationally recruited category will no longer be handled through the promotion bodies but will be presented to the Appointment and Promotion Board at the time that the staff member's selection to the post is confirmed;
- In accordance with the Inter-Agency Mobility Programme, the secondment or loan of staff to another Agency for a period of at least one year, whether in a Headquarters or Country Office location, will be viewed as satisfying the criterion of mobility for promotion purposes;
- Service in countries in crisis and post-conflict situations is a significant factor in the review of staff for promotion, especially for those staff under review for promotion to the ICS-12 (P-5) and ICS-13 (D-1) levels.

## DEADLINES

### 2002 CRG Review of Staff for Promotion

Deadlines	Actions to be completed
28 February 2002	<ul style="list-style-type: none"><li>▪ Submission by Country Office CRGs of promotion proposals for internationally recruited staff to the relevant Headquarters organizations unit (the Regional Bureaux or Funds such as UNIFEM, UNCDF, etc.)</li><li>▪ CRG decisions on promotions of locally recruited staff in Country Offices and at headquarters locations other than New York</li></ul>
28 March 2002	<ul style="list-style-type: none"><li>▪ Headquarters CRGs completed</li></ul>
15 April 2002	<ul style="list-style-type: none"><li>▪ Submission by Bureaux/Divisions of fully completed and signed RCAs (10 copies each) for all internationally recruited staff recommended for promotion to OHR</li><li>▪ Submission by Bureaux/Divisions of fully completed and signed RCAs (2 copies) for all Headquarters locally recruited staff recommended for promotion to OHR</li></ul>
13 May 2002	<ul style="list-style-type: none"><li>▪ Submission to OHR of one copy of fully completed and signed RCA for all other internationally recruited staff and Headquarters locally recruited staff</li></ul>

**2002 CRG REVIEW OF STAFF**  
**PERFORMANCE MANAGEMENT AND PROMOTION**

Topics	Paragraphs	Pages
<b>CRG Process</b> <ul style="list-style-type: none"> <li>▪ Approval Authority of CRGs for Promotion of Locally Recruited Staff</li> <li>▪ CRGs for Internationally Recruited Staff</li> <li>▪ Conversion to the international category</li> <li>▪ Submission of Promotion Proposals</li> </ul>	<p style="text-align: center;">1 - 4</p> <p style="text-align: center;">5 - 7</p> <p style="text-align: center;">8</p> <p style="text-align: center;">9 - 12</p>	<p>4</p> <p>4 - 5</p> <p>5</p> <p>5</p>
<b>Criteria for Promotion of Internationally Recruited Staff</b> <ul style="list-style-type: none"> <li>▪ Regular Promotion</li> <li>▪ Accelerated Promotion</li> <li>▪ Geographical Mobility</li> <li>▪ Inter-Agency Mobility</li> <li>▪ Impact of Waivers</li> <li>▪ Time-in-Grade Requirements (Regular and Accelerated)</li> </ul>	<p style="text-align: center;">13 - 14</p> <p style="text-align: center;">15</p> <p style="text-align: center;">16</p> <p style="text-align: center;">17</p> <p style="text-align: center;">18 - 19</p> <p style="text-align: center;">20 - 21</p>	<p>6</p> <p>6</p> <p>6</p> <p>7</p> <p>7</p> <p>7</p>
<b>Link with Job Classification</b> <ul style="list-style-type: none"> <li>▪ "One-up" Promotion of Rotational Internationally Recruited Staff</li> </ul>	<p>22 - 24</p>	<p>7 - 8</p>
<b>Staff on Mission Assignments</b>	25	8
<b>Effective Date of Promotions</b>	26 - 27	8
<b>Recourse Exercise</b>	28 - 29	8 - 9
<b>Performance Appraisal Documentation</b>	30 - 31	9

**APPROVAL AUTHORITY OF CRGS FOR PROMOTION OF LOCALLY RECRUITED  
STAFF  
(HQ, Country Offices and Other Locations – Copenhagen, Geneva and Bonn)**

1. In their review of Headquarters and Country Office national/locally recruited staff, CRGs have the responsibility to give promotion consideration to all staff encumbering higher-level posts. When considering such staff, the membership of the CRGs should include a member of the Appointment and Promotion Panel (APP). CRGs should be constituted, wherever possible, to avoid potential conflicts of interest.

2. The CRGs have the authority to recommend promotion of within-category locally recruited staff who meet the following criteria. The post must be classified **and** budgeted at the higher level, *as of 31 December 2001*. Promotion of a staff member will be one level up to the level of the post, on condition that performance at the higher level has been demonstrated and other criteria, listed below, have been met. Where there is more than one level differential between the staff member's personal grade and that of the post, subsequent promotion to the next higher level must be reviewed after one year. This practice will allow flexibility for better post management and for achieving an overall balance between staff members' personal grades and post levels. There are no additional time-in-grade or other time-in-function requirements. Under the following promotion criteria a staff member must:

- encumber a classified **and** budgeted higher level post during 2001, and promotion fully supported by the CRG;
- demonstrate fully satisfactory performance as documented through the PARs and RCAs over the period since the last promotion;
- meet the requirements of the post as outlined in the job description and as reflected in the annual results and competency requirements of the post.

3. Country office local support staff selected for national professional posts can be promoted in accordance with the provisions of the National Staff Career Management Policy.

4. Gender balance principles should be taken into consideration when reviewing staff for promotion.

**CRGS FOR INTERNATIONALLY RECRUITED STAFF**

5. In 2002, CRGs will continue the practice of recommending promotion of internationally recruited staff to the Appointment and Promotion Board (APB) for review and subsequent recommendation to the Administrator for approval. Performance criteria and time-in-grade requirements are essential for promotion consideration by both the CRG and the APB. The APB will review for promotion all internationally recruited staff who meet the time-in-grade requirements.

6. CRGs are encouraged to pay special attention to the promotion review of qualified female staff, both those who meet the time-in-grade requirements for regular

promotion and those who meet time-in-grade requirements for accelerated promotion. In compliance with the United Nations Administrative Instruction on Special Measures for the Achievement of Gender Equality (ST/AI/412 of 5 January 1996), cumulative seniority is taken into consideration by the APB, particularly when reviewing female staff members eligible for accelerated promotion.

7. Junior Professional Officers (JPOs) are not subject to UNDP promotion procedures. However, their performance will be reviewed by the Country Office or Headquarters CRG. Copies of their RCAs should be sent to the JPO Human Resources Service Centre in Copenhagen and to the relevant Headquarters organizational units.

8. Conversion recommendations of locally recruited staff under consideration for conversion to the internationally recruited category will no longer be handled through the promotion bodies. Recommendations for the conversion of locally recruited Headquarters and Country Office staff, who have been successful in a competitive corporate selection process and who have been selected for a higher level post in the international category, should be made by bureaux to the APB at the time that the staff member's selection to the post is confirmed.

<p style="text-align: center;"><b>SUBMISSIONS OF PROMOTION PROPOSALS TO HEADQUARTERS OF INTERNATIONALLY RECRUITED STAFF IN COUNTRY OFFICES AND OTHER NON-NEW YORK LOCATIONS</b></p>
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9. Submission of promotion proposals for internationally recruited staff by the local CRGs to the relevant organizational unit at Headquarters (the Regional Bureaux or Funds such as UNIFEM, UNCDF) must be made no later than 28 February 2002. These proposals, and RCAs of other potentially eligible staff, will be reviewed by the concerned CRGs, together with all other Headquarters-based internationally recruited staff in that unit.

10. For consideration by the APB, fully completed and signed RCAs for all internationally recruited staff should be provided to OHR as follows:

- ◆ Ten (10) copies of fully endorsed and signed promotion proposals must be received from the Bureaux/Divisions no later than 15 April 2002

11. One fully completed and signed copy of the RCAs for all other internationally recruited staff should be submitted to OHR no later than 13 May 2002.

12. Managers/Heads of units are requested to strictly adhere to these deadlines. Failure to supply the required documentation in a timely manner will delay consideration for promotion of staff members until the recourse review of the Appointment and Promotion bodies, scheduled for September 2002. In accordance with the recourse procedures, such cases will require separate submission.

<p style="text-align: center;"><b>CRITERIA FOR PROMOTION OF INTERNATIONALLY RECRUITED STAFF (Including Time-in-Grade Requirements)</b></p>
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**Regular Promotion**

13. The primary criteria for regular promotion are achievement of key results and demonstrated competencies as documented through the RCA and PAR over the period since the last promotion. Other criteria include:

- (a) where applicable, performance as a supervisor, i.e., the management and development of staff members, including how well the individual has managed the RCA process;
- (b) integrity and commitment to the goals of the UN and UNDP;
- (c) willingness and ability to exercise increasing levels of responsibility;
- (d) in-grade seniority;
- (e) geographical mobility, as appropriate; and
- (f) proven managerial and supervisory capacity, for promotion to the ICS-12 (P-5) and ICS-13 (D-1) levels.

14. Over the course of a career, it is highly desirable that staff serve in countries in special development circumstances, and build up the necessary capacity to serve effectively in these countries. Service in countries in crisis and post-conflict situations is a significant factor in the review of staff for promotion, especially for those staff under review for promotion to the ICS-12 (P-5) and ICS-13 (D-1) levels.

**Accelerated Promotion**

15. There are additional criteria for accelerated promotion, including: (a) consistently high performance and achievement over the period since the last promotion and (b) ability to effectively discharge higher levels of responsibility. Cases for accelerated promotion require a detailed and unqualified proposal. Such proposals must document outstanding results and competencies. This level of performance should be evident for the entire period since the last promotion.

**Geographical Mobility of Rotational International Staff and Impact on Promotion**

16. In accordance with UNDP's reassignment policy (UNDP/ADM/00/29), staff are reminded of the promotion implications of lack of mobility. Non-promotion will apply to rotational staff who have exceeded their tour of duty at headquarters or staff who refuse to accept an assignment decision made by the Administrator or through the decision-making or recommending bodies established by the Administrator for this purpose. Finally, in order to further recognize and encourage staff mobility, staff who have received a promotion in a given function at the duty station will not be promoted a second time while serving at the same duty station in the same function, except when a staff member was selected in the first instance for a post two levels higher than his/her personal grade.

## **Inter-Agency Mobility and Promotion**

17. UNDP staff on secondment or loan to other UN system Agencies may be recommended for promotion by the receiving organization. In accordance with the inter-Agency agreement, the time served on secondment or loan will count towards time-in-grade for purposes of calculating seniority. In accordance with the Inter-Agency Mobility Programme, inter-agency mobility is a positive factor in promotion of staff. In cases where a staff member is seconded or loaned to another Agency for a period of at least one year, whether in a headquarters or country office location, the secondment or loan will be viewed as satisfying the criterion of mobility for promotion purposes. Such cases will be presented to the Appointment and Promotion Board for consideration during the annual promotion deliberations.

## **Impact of Personal and Management Waivers on Promotion**

18. When a staff member remains in a Headquarters location as a result of the granting of a personal waiver, he or she may not be reviewed for promotion.

19. When a staff member remains in a Headquarters location as a result of the granting of a management waiver, he or she will be eligible for promotion consideration and will be reviewed according to the same criteria as other international staff, including performance and geographical mobility.

## **Time-in-Grade Requirements**

20. The normal time-in-grade requirements for consideration for promotion are as follows:

ICS-8 to ICS-9 (P1 to P2)	- 2 years
ICS-9 to ICS-10 (P2 to P3)	- 3 years
ICS-10 to ICS-11 (P3 to P4)	- 3 years
ICS-11 to ICS-12 (P4 to P5)	- 5 years
ICS-12 to ICS-13 (P5 to D1)	- 5 years

21. The minimum time-in-grade requirements for consideration for accelerated promotion are as follows:

ICS-8 to ICS-9 (P1 to P2)	- 1 year
ICS-9 to ICS-10 (P2 to P3)	- 1 year
ICS-10 to ICS-11 (P3 to P4)	- 2 years
ICS-11 to ICS-12 (P4 to P5)	- 2 years
ICS-12 to ICS-13 (P5 to D1)	- 3 years

## **LINKAGE WITH JOB CLASSIFICATION (ALL STAFF)**

22. It is imperative that all posts be correctly classified to reflect the level of responsibility and authority. Career Review Groups should only propose promotion for staff in these categories who occupy budgeted and classified posts one or more levels above their personal grade.

### **Promotion of Rotational Internationally-Recruited Staff to One Level Above the Classified Level of the Post**

23. Promotion can be considered for rotational internationally recruited staff to one level above the classified level of the post, provided performance at the higher level is already demonstrated and documented through the RCA process and time-in-grade requirements are met. For staff on extrabudgetary posts, the CRG should confirm, in writing in the RCA, that budgetary provision is available to accommodate the recommended promotion. Priority will be given to those staff members who have met and have fully substantiated at least one of the following criteria:

- a) was encumbering a post in an emergency country for a period of not less than one year as of 31 January 2002;
- b) were asked by management to accept reassignment to a post or to stay on in a post at their own level by reason of exigencies of service, i.e. in order to have the office appropriately staffed;
- c) occupied a higher-level post which was subsequently abolished in 2001, requiring the staff member to be redeployed to a post at his/her personal level;
- d) performed functions previously classified and budgeted at the higher level but where the post was administratively redeployed.

24. Requests for reclassification of posts to a higher level should have been submitted to OHR prior to 30 November 2001. Normally, such requests would have been processed with an effective date of the first of the month following the acknowledged receipt by OHR of a completed submission. This is essential for review of staff for promotion to the higher level.

#### **STAFF ON MISSION ASSIGNMENTS (All Staff)**

25. Increasing numbers of staff at Headquarters and in country offices are proceeding on mission assignments for periods of up to one year. Special attention is drawn, therefore, to requirements for completion of performance appraisals to ensure these staff members do not lose placement or promotion opportunities.

#### **EFFECTIVE DATE OF PROMOTIONS**

26. The effective date of promotions for **all** staff will be 1 July 2002. This includes cases where country office local support staff are promoted to national professional officer.

27. In cases where staff are converted from the local to the international category (in accordance with paragraph 6 of these guidelines), the effective date of conversion will be based on the recommendations of the APB.

#### **RECOURSE EXERCISE**

28. The Recourse Exercise for internationally recruited staff as well as for Headquarters (New York) locally recruited staff will be held in September 2002 by the

Appointment and Promotion Board and the Appointment and Promotion Panel (APP), respectively, which remain the two bodies to handle recourse in 2002 for these categories of staff. Recourse for locally recruited country office staff will be handled by the local APP. The date of the recourse exercise will be determined locally but must be completed by end September 2002.

29. Managers and staff are reminded to strictly adhere to the timetables and deadlines outlined in this circular to afford all staff equal opportunities for promotion and recourse, as necessary. In cases where a staff member's RCA is not reviewed by the respective CRG in time for submission to the annual promotion review in June, such cases will require separate submission to the Secretary of the APB or APP. OHR provides counseling to staff interested in filing recourse.

#### **IMPORTANCE OF COMPLETE PERFORMANCE APPRAISAL DOCUMENTATION**

30. Staff are reminded to ensure that their performance appraisal files in OHR are complete and to provide any missing PARs and RCAs to complete those files.

31. Thank you for your careful attention to these guidelines and, more importantly, for your participation in contributing to a successful promotion process for the year 2002.