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**Executive Board
Annual Session**

Rome, 28–30 May 2003

ADMINISTRATIVE AND MANAGERIAL MATTERS

Agenda item 8

*For information**

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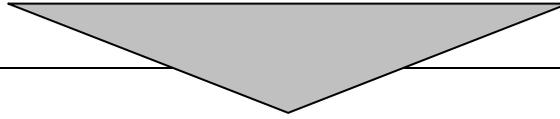
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IMPLEMENTATION OF THE FUNDING ARRANGEMENTS FOR UNITED NATIONS STAFF SAFETY AND SECURITY

* In accordance with the Executive Board's decisions on governance, approved at the Annual and Third Regular Sessions, 2000, items for information should not be discussed unless a Board member specifically requests it, well in advance of the meeting, and the Chair accepts the request on the grounds that it is a proper use of the Board's time.

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Note to the Executive Board



This document is submitted for information to the Executive Board.

The Secretariat invites members of the Board who may have questions of a technical nature with regard to this document to contact the WFP staff focal point indicated below, preferably well in advance of the Board's meeting.

Director, Management Services Mr A. Lukach tel.: 06-6513-2500
Division (MS) and Security Focal Point:

Should you have any questions regarding matters of dispatch of documentation for the Executive Board, please contact the Supervisor, Meeting Servicing and Distribution Unit (tel.: 066513-2328).



Executive Summary

At its Annual Session of 2002, the Executive Board considered the document entitled “Implementation of Funding Arrangements for United Nations Staff Safety and Security” (WFP/EB.A/2002/6-B) and took note of the information it contained, including the intention of the Secretariat to inform the Board periodically of progress. The Biennial Programme of Work for 2003–2004 (WFP/EB.3/2002/11/Rev.1) approved by the Board scheduled the Secretariat’s update on this important topic for its Annual Session each year.

The purpose of this document is to inform the Board of developments in the following security-related areas:

- the decision of the General Assembly concerning a framework for accountability for the United Nations field security management system;
- the development of a WFP Corporate Security Management Policy and approval by the Executive Director; and
- an update on WFP’s funding of its share of the UNSECOORD budget for 2002–2003.



BACKGROUND

1. At its Annual Session in May 2002, under Financial and Budgetary Matters (Decision 2002/EB.A/8), the Executive Board:
 - discussed the information contained in the document “Implementation of the Funding Arrangements for United Nations Staff Safety and Security” (WFP/EB.A/2002/6-B);
 - noted the General Assembly’s adoption of Resolution 56/255 Section VIII, approving the cost-sharing arrangement for the United Nations security management system;
 - noted WFP’s funding of its share of the UNSECOORD budget for 2002–2003; and
 - noted WFP’s active role in developing a governance mechanism for managing security in the United Nations system.
2. The Executive Board noted the Secretariat’s intention to inform the Board periodically of progress. The Biennial Programme of Work for 2003–2004 (WFP/EB.3/2002/11/Rev.1) approved by the Board scheduled the Secretariat’s update on this important topic for its Annual Session each year.
3. The purpose of this document is to inform the Board of progress made on the items relating to its decision.

DECISION OF THE GENERAL ASSEMBLY CONCERNING A FRAMEWORK FOR ACCOUNTABILITY FOR THE UNITED NATIONS FIELD SECURITY MANAGEMENT SYSTEM

4. In Resolution A/RES/56/255-VIII of 24 December 2001, the General Assembly noted with concern the lack of an accountability and responsibility mechanism for field security. It requested the Secretary-General to submit to its fifty-seventh session a comprehensive report on the establishment of a mechanism of accountability and responsibility in an inter-agency structure, including provisions for its scope, depth and common standards and methods of enforcing them.
5. During the first half of 2002, several inter-agency meetings were held to develop a framework of accountability. This framework document was reviewed and approved by the Inter-Agency Security Management Network (IASMN) in May 2002, and by the High Level Committee on Management (HLCM) in July 2002 in accordance with its mandate to approve such matters on behalf of the United Nations Chief Executive’s Board for Coordination (CEB). The Secretary-General subsequently submitted his report “Inter-organizational security measures: framework for accountability for the United Nations field security management system” (A/57/365) to the General Assembly.
6. The report was enthusiastically welcomed and endorsed by the Advisory Committee on Administrative and Budgetary Questions (ACABQ) (A/57/7/Add.11) and by the General Assembly (A/C.5/57/L.17).
7. The ACABQ in its report (A/57/7/Add.11):
 - a) requested the Secretary-General to report to the General Assembly at its fifty-eighth session on the capacity of the United Nations Security Coordinator (UNSECOORD) to monitor the accountability activities outlined in the report;



- b) stressed the importance of training in implementing the new mechanism and welcomed the emphasis placed on training by the Secretary-General;
 - c) stressed the importance of an evaluation of the United Nations security management system, including the relationship between UNSECOORD and the Department of Peacekeeping Operations (DPKO);
 - d) welcomed the cooperation framework being established with non-governmental organizations (NGOs) and emphasized the importance of devising a system for charging for services, parties other than immediate partners in the security management system; and
 - e) requested the Secretary-General to transmit the framework for accountability to the executive heads of the specialized agencies and the International Atomic Energy Agency (IAEA) so that it may be made available to the legislative bodies of those organizations.
8. In accordance with the ACABQ's request to bring this information to the attention of the governing body of each organization, the Secretary-General's report (A/57/365) is presented to the Executive Board as attachment A to WFP's Corporate Security Management Policy, annexed to this information note.

DEVELOPMENT OF A WFP CORPORATE SECURITY MANAGEMENT POLICY AND APPROVAL BY THE EXECUTIVE DIRECTOR

9. In his report to the General Assembly (A/57/365), the Secretary-General asked all agencies to develop an organizational policy statement incorporating the principles of accountability and outlining the roles and responsibilities in the security management system of each individual, adapted to the organizational structure of each agency.
10. In response to this request, the Executive Director approved and issued WFP's Corporate Security Management Policy in circular ED2003/001 on 15 January 2003. This circular formalized WFP's corporate policy for managing staff safety and security and outlined the roles and responsibilities of WFP personnel within the United Nations Security Management System.
11. In his report to the General Assembly (A/57/365), the Secretary-General indicated that UNSECOORD compliance and inspection teams will visit duty stations to ensure that United Nations system personnel are carrying out their security functions. The checklist on which the teams will base their review has been provided to all duty stations and is included as attachment B to WFP's Corporate Security Management Policy.
12. To execute this mandate, UNSECOORD has scheduled compliance missions during 2003 to 23 duty stations where training for the designated official and the security management team has already taken place. Training missions are scheduled for a further 31 duty stations in 2004.

UPDATE ON WFP'S FUNDING OF ITS SHARE OF THE UNSECOORD BUDGET FOR 2002–2003

13. In Resolution (A/C.5/56/L.31), the General Assembly approved the budget for UNSECOORD for US\$55.4 million for the 2002–2003 biennium. In the approved budget, the Headquarters costs for managing the United Nations security management system—



US\$4.4 million—are fully funded from the United Nations regular budget. The field-related support costs of US\$51 million are apportioned among participating organizations; WFP's share is US\$6.5 million. Following the Board's decision on one-off use of the General Fund to fund WFP's share, in December 2001 the Secretariat transferred US\$6.5 million from the General Fund to the staff safety and security account to earmark an amount sufficient for this purpose.

14. WFP has been invoiced its pro-rata share for 2002 of US\$3.4 million and has paid this amount from the staff safety and security account. The exact amount for 2003 will not be known until early 2004, but UNSECOORD has projected that it will be higher than 2002 because recruitment of 100 professional field security officers (FSOs) proceeded faster than had been assumed by the United Nations budgeting mechanism, which funds new posts for six months in the first year of the biennium.
15. The cost-sharing formula for the 2004–2005 biennium will be finalized after the next census of United Nations staff in duty stations in countries that are not part of the Organization for Economic Cooperation and Development (OECD), scheduled for 18 July 2003. Costs related to the implementation of minimum operating security standards (MOSS) for protection of premises and field communications will not be shared but will remain the responsibility of each organization at the duty station.
16. In addition to its share identified above, WFP continues to assign and fund field security advisers in areas where the Programme maintains a strong presence or has requirements relating to its functions. WFP currently has 20 agency-specific FSOs, half of whom are funded by emergency operations (EMOPs).

THE WAY FORWARD

17. WFP managers at all levels will continue to work to implement the mechanism of accountability and responsibility for staff safety and security as detailed in WFP's Corporate Security Management Policy (ED2003/001), annexed to this document.
18. WFP will continue to meet its present financial obligations towards the United Nations Security Management System and UNSECOORD under the existing cost-sharing mechanism for the remainder of the 2002–2003 biennium.
19. WFP country directors will work with the designated officials of their countries to ensure that the census of all “persons of concern” to the United Nations Security Management System, to be conducted on 18 July 2003, yields accurate and timely information.
20. The Executive Director will propose to the Executive Board, within the framework of the next budget, a funding request to cover WFP's share of the funding arrangements for staff safety and security for the 2004–2005 biennium.
21. The Executive Director will continue to dialogue with Member States, the Secretary-General and other executive heads of agencies so that the General Assembly may consider revisiting the funding of the United Nations Security Management System from the United Nations regular budget.



ANNEX

World Food
Programme

Executive Director's Circular

(please insert originating Division)

Date: 15 January 2003

Circular No.: ED2003/001

Revises:

Amends:

Supersedes:

WFP Corporate Security Management Policy

Introduction

1. The purpose of this Circular is to formalize WFP's corporate policy for the management of staff safety and security while outlining the roles and responsibilities of individual WFP personnel within the United Nations Security Management System in order to incorporate a clear mechanism of accountability and responsibility. This Circular will be followed by appropriate Administration Department and Management Services Directives concerning security policies and procedures as required.

Background

2. In its resolution A/RES/56/255-VIII of 24 December 2001, the General Assembly noted with concern the lack of an accountability and responsibility mechanism in the area of field security and requested the Secretary-General to submit, to its fifty-seventh session, a comprehensive report on the establishment of a clear mechanism of accountability and responsibility, including such provisions as its scope, depth and common standards and methods of enforcing them, in an inter-agency structure.

3. To this end, the Secretary-General submitted his Report "Inter-organizational security measures: framework for accountability for the United Nations field security management system" (ref. A/57/365) to the General Assembly. The report was enthusiastically welcomed and endorsed by both the Advisory Committee on Administrative and Budgetary Questions (ACABQ) (ref. A/57/7/Add.11) and by the General Assembly (ref. A/C.5/57/L.17).

4. This Circular is being issued in direct response to the request of the Secretary-General who, in his Report, asked all agencies to develop an organizational policy statement incorporating the principles of accountability and outlining the roles and responsibilities of each individual in the security management system.



5. This Policy builds on existing policies, practices and procedures regarding UN staff safety and security contained in the following documents:

- a. United Nations Security and Operations Manual, 1995
- b. United Nations Field Security Handbook, 1 January 1995
- c. Security in the Field, UNSECOORD, 1998
- d. Office of the United Nations Security Coordinator (UNSECOORD) security directives
- e. WFP Rules and Regulations, Circulars and Directives
- f. Terms of reference outlining the governance mechanism applied to the United Nations Security Management System (ref. CEB/2002/HLCM/R.2).

General

6. The primary responsibility for the security and protection of WFP personnel, their spouses and eligible dependents and of their property and that of WFP rests with the host government.

7. Responsibility for the management of the United Nations Security Management System rests with the Secretary General, as Chairman of the Chief Executives Board (CEB). The WFP Executive Director, amongst other Heads of United Nations agencies, is accountable to the Secretary General.

8. The Secretary General and Executive Heads are supported by the UN Security Co-ordinator and his/her office. The identification of all actors within the United Nations Security Management System together with their respective roles and responsibilities are outlined in the Report of the Secretary-General "Inter-organizational security measures: framework for accountability for the United Nations security management system" which is attached as an Annex to this Circular.

9. WFP, along with all other UN agencies, will fully support the UN Security Co-ordinator in the discharge of his/her responsibilities and will actively participate in the development of policies and procedures and their implementation and compliance, as set out in the terms of reference of the United Nations Security Management System governance mechanism (CEB/2002/HLCM/R.2).

10. The term "personnel" refers to both internationally and nationally recruited staff employed by WFP regardless of contractual status and therefore includes consultants, TAUs, etc. The term "Country Representative" refers to the Head of any UN organisation in a specific country. For purposes of security for WFP personnel, this is the WFP Country Director. All WFP personnel are expected to adhere to published security rules, regulations and procedures. Any who do not comply with these rules and regulations are liable to the consequences outlined in the WFP Staff Rules and Regulations.



Organizational

11. As it relates to WFP, the Executive Director or his/her Deputy has the overall responsibility for the safety and security of WFP personnel. This responsibility is, however, also shared by all managers in Headquarters, Regional Bureaux and Country Offices who are accountable for the personnel they supervise.

12. The Executive Director or his/her Deputy will appoint a Senior Security Manager, known as the WFP Security Focal Point, to assist in this task. He/she will be responsible for co-ordinating WFP's day-to-day response to safety and security issues and for providing all relevant actors with advice, guidance and technical assistance. The WFP Security Focal Point shall monitor security issues in all locations where WFP personnel operate and ensure that they are provided with the necessary training and equipment. The WFP Security Focal Point shall further encourage compliance, on behalf of the Executive Director, in respect to all UN security policies and procedures as detailed in the UN documents listed in para. 5, as well as in regard to any additional WFP security directives.

13. In all respects, the WFP Security Focal Point will operate within the framework of the United Nations Security Management System and in support of the UN Security Co-ordinator. He/she will also represent WFP at the Inter-Agency Security Management Network within the agreed terms of reference for the Governance Mechanism (cf. para. 9).

14. WFP personnel who do not comply with explicit security instructions shall be required to explain in writing any non-compliance through the WFP Security Focal Point to the Executive Director.

15. The WFP Security Focal Point shall ensure that all candidates for employment as single-agency professional security officers within WFP are screened and meet the standards for deployment as approved by UNSECOORD and agreed at the inter-agency level. The UN Security Coordinator shall verify that professional security staff are trained, updated on UN procedures and receive technical guidance in the conduct of their duties.

16. In support of the UN Security Management System, the WFP Security Focal Point shall review security arrangements for all duty stations and field offices where WFP operates and maintain copies of all relevant instructions, Minimum Operating Security Standards (MOSS) and, if required, country-specific security plans. The WFP Security Focal Point shall provide advice as appropriate to Country Directors and assist the UNSECOORD Field Security Coordination Officer, as required.

17. All WFP managers who have responsibility for planning and approving field projects, programmes and operations, will liaise closely with the WFP Security Focal Point and respective Country Director, ensuring that adequate provisions are made for safety and security arrangements. This should include obtaining the required security clearances before



WFP personnel commence travel and ensuring that WFP personnel receive a security briefing and country information package upon arrival at the duty station. Information provided to personnel on in-country security conditions must be up-to-date and accurate. The WFP Security Focal Point will be available to assist in these aspects.

18. All WFP projects, programmes and operations that include field level activity shall be screened by the Country Director or his/her nominee to ensure adherence to UN security procedures and to verify that adequate provisions are made for the security of WFP personnel and reflected in relevant budgets. This requires the inclusion in the project or programme document of a paragraph describing the threat assessment in the country.

Country Duty Stations / Field Offices

19. Country Directors are ultimately responsible to the Executive Director for the security, safety and welfare of WFP personnel in the field. In addition, Country Directors have a responsibility for the protection of all assets, property and information belonging to WFP, its personnel or to the UN, as appropriate. All persons in the supervisory chain will be held accountable for meeting this responsibility.

20. All supervisors must make themselves aware of the contents of the “United Nations Security and Operations Manual” and “United Nations Field Security Handbook” and adhere to their direction and advice. All WFP personnel must make themselves aware of the contents of the UNSECOORD document “Security in the Field”. Copies may be requested through the WFP Security Focal Point and are also available electronically.

21. Country Directors are responsible for ensuring that personnel under their supervision adhere to UN security policy, rules and regulations together with any WFP security instructions.

22. No supervisor should ever instruct or request, directly or indirectly, any WFP personnel to disregard security policy, rules, regulations or instructions, and should never knowingly permit personnel to expose themselves to unnecessary risk. Any supervisor who breaches this will be held accountable under the relevant staff rules and disciplinary procedures.

23. Each person is also responsible for his/her own safety and security as well as those of others with whom he/she works. All WFP personnel must therefore exercise proper precaution and avoid taking unwarranted risks that jeopardize either their own safety and security or that of other personnel, as well as the assets, property and information of WFP, its personnel or those of the UN. Personnel who do not adhere to security policy, rules, regulations and instructions will be accountable under the relevant staff rules and disciplinary procedures.

24. Country Directors will designate a country security focal point from among their senior staff. While the day-to-day tasks associated with safety and security may be delegated, it must



be remembered that the responsibility and accountability in the field are always retained by the Country Director.

25. In each country the Secretary General appoints a UN Designated Official (DO) who is responsible and accountable for the overall security management arrangements at the duty station. The DO convenes a Security Management Team (SMT) to advise on all security-related matters. The SMT includes Country Representatives of all UN organizations, plus others with technical expertise, as appropriate. For WFP, the Country Director is the designated member of the SMT.

26. WFP Country Directors will participate actively in the SMT; this responsibility may not be delegated, except temporarily due to authorised absence, in which case, it should be delegated to their deputies. Participation in the SMT requires that every member will undertake such security training as required and offered by UNSECOORD. This responsibility will be reflected in the relevant job descriptions and terms of reference.

27. All Country Directors, in their capacity as members of the Security Management Team (SMT), will assist the Designated Official in developing Minimum Operating Security Standards (MOSS) and incorporate Minimum Security Telecommunications Standards (MISTS) in their respective countries. The WFP Security Focal Point will publish these security standards and ensure that they are kept up to date.

28. In this regard therefore, the Executive Director, assisted by Regional Directors, Country Directors, and the Directors of Budget, Finance, Human Resources, Information and Communications Technology, Management Services, Operations, and Transport and Logistics will ensure that budgetary planning and resource allocation make provision for security-related requirements in accordance with guidance provided by the WFP Security Focal Point. Normally this would include security personnel - both international and national (guard services) - communications, training, personal protective equipment, facilities security systems and vehicle safety equipment. In this way the requirements of MOSS can be effectively developed, implemented, maintained and sustained.

29. At each duty station UNSECOORD will conduct from time to time, security training for Country Representatives/SMT Members as well as for all UN staff. WFP, as a programme with its own security training capability, will ensure that any training provided to its personnel is consistent with and accredited by UNSECOORD. The Director of Human Resources will be responsible for ensuring that records of attendance are maintained. These training records will assist in making decisions relating to personnel working in high-risk areas, particularly following declaration of Phase Three and determination of essential staff. It must be noted that attendance at Security Training is mandatory.

30. All WFP personnel who wish to travel to a Duty Station which is in security Phase One or above require security clearances from the Designated Official. All personnel posted to a Duty Station in Phase One or above must have a recorded written security clearance each time that they deploy outside the city area where they normally work. This process shall be managed by the country security focal point in each office and may, at some duty stations,



also be reserved to the DO. Such authorisation is required for safety and security planning, so that the whereabouts of personnel are known at all times, and is additionally necessary to ensure validation of the UN Malicious Acts Insurance policy.

31. Country Directors are not authorised to open sub-offices, relocate personnel or conduct extended activity outside of the main offices without the concurrence of both the DO and WFP Security Focal Point. Establishment of new offices and operations bases must conform to MOSS.

32. Country Directors and their personnel must actively participate in security preparedness and contingency planning and familiarise themselves with the contents and procedures of security plans. These are formulated by the DO and the SMT and are approved by UNSECOORD. One copy of the plan is forwarded to the WFP Security Focal Point for information, as appropriate. All local personnel shall be familiar with the plan and its contents and will be required to adhere to its provisions.

33. In his reports to the General Assembly (A/55/494, A/56/469 and A/57/365), the Secretary-General indicated that compliance and inspection visits to all duty stations would be carried out by UNSECOORD to ensure that all actors of the United Nations system at the particular duty station were carrying out their security-related functions. The checklist of areas that the compliance and inspection teams will consider as the basis for their review has been provided to all duty stations by the UN Security Co-ordinator and is attached in Annex to this Circular for your reference.

Effective Date

34. This Circular takes immediate effect.

James T. Morris
Executive Director

Attachments:

- A. Inter-organizational security measures: framework for accountability for the United Nations field security management system (Report of the Secretary-General, A/57/365)
- B. UNSECOORD Accountability Checklist



United Nations

A/57/365

**General Assembly**

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Fifty-seventh session

Item 114 of the provisional agenda*

Programme budget for the biennium 2002-2003**Inter-organizational security measures: framework
for accountability for the United Nations field
security management system****Report of the Secretary-General*****Summary*

In section VIII of its resolution 56/255, of 24 December 2001, the General Assembly noted with concern the lack of an accountability and responsibility mechanism in the area of field security and requested the Secretary-General to submit, to its fifty-seventh session, a comprehensive report on the establishment of a clear mechanism of accountability and responsibility, including such provisions as its scope, depth and common standards and methods of enforcing them, in an inter-agency structure.

The present report outlines a framework for accountability for the United Nations field security management system, which was elaborated and agreed upon on an inter-agency basis by all the organizations of the United Nations system.

* A/57/150.

** The preparation of the present report was delayed to allow for the completion of inter-agency consultations on the issue.



I. Introduction

1. In section VIII of its resolution 56/255, the General Assembly noted with concern the lack of an accountability and responsibility mechanism in the area of field security and requested the Secretary-General to submit, to its fifty-seventh session, a comprehensive report on the establishment of a clear mechanism of accountability and responsibility, including such provisions as its scope, depth and common standards and methods of enforcing them, in an inter-agency structure.

2. The present report was prepared in full consultation with the specialized agencies, programmes and funds of the United Nations system (hereinafter referred to as the agencies) during meetings of the Inter-Agency Security Management Network, and was approved by the High-Level Committee on Management on behalf of the United Nations System Chief Executives Board for Coordination. In preparing the report, agencies took into full account the Secretary-General's report on accountability to the General Assembly (A/55/270).¹

II. Mission statement

3. The goal of the United Nations security management system is to enable the effective and efficient conduct of United Nations activities while ensuring the security and safety of staff as a high priority.

III. Identification of actors within the United Nations security management system and their responsibilities

A. Headquarters locations

1. Executive heads of United Nations agencies, programmes and funds

4. Responsibility for the management of the United Nations security management system rests with the Secretary-General, in his/her capacity as Chairman of the United Nations System Chief Executives Board for Coordination. Executive heads of United Nations agencies, programmes and funds will be responsible and accountable to the Secretary-General. The executive heads will:

(a) Assume their responsibilities for the safety and security of all personnel working for them;

(b) Ensure that provisions are made for the implementation of the United Nations security management system;

(c) Be responsible for resource allocation and the prioritization of security;

(d) Have an obligation to advocate in all available forums to ensure that Member States provide for the safety and security of all personnel employed by organizations of the United Nations system and their eligible dependants and that crimes against such personnel will not be tolerated and the perpetrators brought to justice;

(e) Support the United Nations security management system;

(f) Have a collective responsibility to work together to implement the United Nations security management system and to support the Secretary-General in ensuring that the legislative mandates given to him by the General Assembly are discharged;

(g) Ensure that all managers working for them not only support the Secretary-General but also discharge their responsibilities in ensuring compliance with the United Nations security management system;

(h) Have a "duty of care" to ensure that personnel employed by organizations of the United Nations system and their eligible dependants are not exposed to exceptional risk;

(i) Liaise closely with the United Nations Security Coordinator to ensure a coherent system-wide approach to security.

5. The executive heads have formalized the governance of security management for the United Nations system as a whole, as follows:

(a) A comprehensive review of policies and resource-related issues pertaining to the entire United Nations security management system should be a standing item on the agenda of the High-Level Committee on Management. The United Nations Security Coordinator or his/her designated representative should participate in such discussions;

(b) The High-Level Committee on Management will be supported by the Inter-Agency Security Management Network, consisting of the senior managers who have oversight of the security functions within their agency;

(c) The Inter-Agency Security Management Network, which will be chaired by the United Nations Security Coordinator, will meet at least once a year to review all existing and proposed policies, procedures and practices of the



United Nations security management system and report and make recommendations on these to the High-Level Committee on Management;

(d) Between annual meetings, the United Nations Security Coordinator may convene working group meetings among interested organizations to discuss specific security issues. The reports of the working groups will be provided to the Inter-Agency Security Management Network for review and endorsement;

(e) The Inter-Agency Security Management Network will monitor the implementation of United Nations security management policies, practices and procedures by all actors of the United Nations system, including the budget, and report and make recommendations thereon to the High-Level Committee on Management;

(f) The High-Level Committee on Management will review the recommendations made by the Inter-Agency Security Management Network and either decide on them or recommend to the United Nations System Chief Executives Board for Coordination how they should be implemented.

2. The United Nations Security Coordinator and his/her Office

6. The responsibilities of the United Nations Security Coordinator, who is accountable to the Secretary-General, and of his/her Office will be outlined in a forthcoming bulletin of the Secretary-General, which will define the functions, structure and organization of the Office, the responsibilities of the Head of the Office and the functions and responsibilities of line managers and subsidiary units, as well as the lines of accountability of the United Nations Security Coordinator and each senior staff member.

3. Senior security manager and/or headquarters security focal point

7. Within each agency, one individual is appointed as the senior security manager and/or headquarters security focal point, with oversight of the security functions. This individual, who is accountable to his/her respective executive head, is critical to ensure good coordination between the headquarters/field offices of the agency and Office of the United Nations Security Coordinator (UNSECOORD) and has the following responsibilities:

(a) Advising the executive head on security matters and keeping him/her updated on security management issues;

(b) Ensuring that country representatives of the agency participate fully on the security management team, as applicable;

(c) Working in close association with UNSECOORD and other members of the Inter-Agency Security Management Network and supporting the United Nations Security Coordinator in the discharge of his/her responsibilities;

(d) Providing assistance to field representatives for implementation of Minimum Operating Security Standards (MOSS), including Minimum Telecommunication Standards (MITS) (the telecommunications component of MOSS), as applicable;

(e) Assisting/supporting in the mobilization of resources to assist field offices in implementation of security requirements;

(f) Serving as a member of the Inter-Agency Security Management Network;

(g) Ensuring that all persons employed by organizations of the United Nations system and eligible dependants of the agency are provided with security training and briefings;

(h) Disseminating information and education regarding security matters;

(i) Ensuring that policies and procedures with respect to security clearances are complied with.

B. Field locations

1. Designated officials

8. In each country where the United Nations is present, one official is appointed as the designated official for security. Designated officials are normally United Nations resident coordinators. Special Representatives of the Secretary-General, Executive Secretaries of the Regional Commissions or country representatives of United Nations agencies, programmes and funds may also be appointed as designated officials, depending on the particular circumstances at the duty station. This individual is accountable to the Secretary-General through the United Nations Security Coordinator. The responsibilities of the designated official are as follows:

(a) Ensuring the observance of the arrangements detailed in the United Nations Field Security Handbook and developing and implementing the security plan for the duty station with the aim of maintaining the security and safety



of United Nations system personnel and operations. The plan will include the identification and investigation of a number of feasible options for the safe movement of all the personnel employed by organizations of the United Nations system and their eligible dependants within the country, or to a designated country of relocation, should relocation or evacuation become necessary;

(b) Recommending to UNSECOORD a suitable nomination to act as designated official ad interim. Such appointees normally will be the head of an agency, programme or fund;

(c) Keeping the Secretary-General informed, through the United Nations Security Coordinator, of all developments in the country that might have a bearing on the security and protection of the personnel employed by organizations of the United Nations system and their eligible dependants and their property, or that of the organizations. In the event that operational matters affect security or inter-agency security issues, this information must be communicated to the United Nations Security Coordinator;

(d) Implementing any arrangements decided by the Secretary-General in support of the host Government's measures for the security and protection of personnel employed by the organizations of the United Nations system, their eligible dependants and their property and of the organizations' property; maintaining liaison with the Government of the host country on matters concerning the security and protection of these individuals;

(e) Ensuring the regular functioning of the security management team and identifying staff members who will have special responsibilities in this regard;

(f) Ensuring that there is a fully integrated functioning and operational communications system for security management;

(g) Developing and implementing, together with the security management team, Minimum Operating Security Standards (MOSS), which include Minimum Telecommunication Standards (MITS), for all United Nations operations throughout the country;

(h) Appointing, together with the security management team, area coordinators and wardens and verifying that the team has adequately trained and equipped them; providing their parent agency with input for the individual's performance appraisal;

(i) Ensuring that all persons employed by organizations of the United Nations system are appropriately equipped with required safety and

security equipment as specified in the MOSS and trained in its use;

(j) Keeping the members of the security management team as well as the senior officials of each agency at the duty station (as applicable) fully apprised of all security-related information and measures being taken in the country;

(k) Establishing a briefing system that will ensure that all personnel employed by organizations of the United Nations system and their eligible dependants are advised of specific precautionary measures that they should take in relation to the security plan, and ensuring that all such personnel receive adequate and appropriate security training;

(l) Including staff members and the eligible dependants of intergovernmental and non-governmental organizations that have signed the memorandum of understanding in security arrangements at the duty station;

(m) Ensuring collaboration on security with intergovernmental and non-governmental organizations working as operational partners of the United Nations in accordance with established guidelines;

(n) Submitting all required reports to UNSECOORD, as outlined in the United Nations Field Security Handbook;

(o) Ensuring that the special arrangements, agreed on an inter-agency basis to be implemented when internationally recruited personnel are evacuated, are in place for locally recruited personnel to include options for relocation within the country, as required;

(p) In an emergency where it has not been possible to communicate with the Secretary-General, the designated official is authorized to use his/her best judgement in carrying out relocations/evacuations and reporting to the Secretary-General through UNSECOORD immediately thereafter.

2. Field security coordination officers

9. Field security coordination officers are security professionals appointed to advise the designated official and the security management team in their security functions. The officers are hired based on agreed inter-agency criteria. Field security coordination officers are accountable to the United Nations Security Coordinator. They report concurrently to UNSECOORD and to the designated official, who is responsible for the day-to-day management of the officers. In the absence of a professional field security coordination officer, the designated official shall appoint a



country security focal point for the security management team to ensure that the functions outlined below are implemented. Some field security coordination officers have regional responsibilities covering more than one duty station. They shall be called regional field security coordination officers and they will be responsible for ensuring that the functions outlined below are implemented in each of the countries for which they are responsible. Some duty stations may have more than one field security coordination officer assigned. They shall be nominated as deputy field security coordination officers or assistant field security coordination officers and will work under the supervision of and be accountable to the field security coordination officers.

10. All field security coordination officers are responsible for:

- (a) All aspects of security management, crisis readiness and preparedness at their respective duty stations;
- (b) Serving as principal adviser to the designated official and the security management team in the execution of responsibilities with regard to the security of personnel employed by organizations of the United Nations system and their eligible dependants and property;
- (c) Cooperating closely on security matters with all other offices of the United Nations system at the duty station to ensure the best possible coordination;
- (d) Establishing and chairing a security coordination cell for duty stations where there are also single-agency security officers in order to ensure that all security officers at a duty station are working together to further inter-agency security coordination;
- (e) Preparing, maintaining and updating the country-specific security plan, contingency plans and security listings of personnel employed by organizations of the United Nations system and their eligible dependants;
- (f) Undertaking risk/threat assessments for all locations at the duty station where personnel employed by organizations of the United Nations system and their eligible dependants are present;
- (g) Developing good contacts with national law enforcement agencies, with a view to obtaining the best possible protection for personnel employed by organizations of the United Nations system and their eligible dependants and their property;
- (h) Ensuring that all security and communications equipment is in good repair;
- (i) Ensuring that all personnel employed by organizations of the United Nations system and their eligible dependants receive local security training as necessitated by changes in the security environment;
- (j) Ensuring that personnel employed by organizations of the United Nations system and their eligible dependants are kept informed of matters affecting their security and making appropriate arrangements for briefing newly arrived United Nations staff;
- (k) Maintaining up-to-date, detailed instructions for personnel employed by organizations of the United Nations system and their eligible dependants on precautions they should take in relation to the implementation of the security plan, including a comprehensive listing of emergency supplies they should have on hand and guidance on the behaviour during a variety of emergencies, including natural disasters and political crises;
- (l) Ensuring that plans for relocation/evacuation to a safe area are current, feasible and implementable;
- (m) Reporting all cases in which personnel employed by organizations of the United Nations system and/or their eligible dependants have been victims of crime and submitting required reports on such cases;
- (n) Conducting security surveys of residential areas and premises;
- (o) Ensuring that the appropriate level of confidentiality is maintained with regard to security matters;
- (p) Serving as a member of the security management team at the country level;
- (q) Advising the designated official and the security management team on operational security requirements consistent with the MOSS.

3. Field security coordination assistants

11. Field security coordination assistants are locally recruited staff members who work under the supervision of and are accountable to the field security coordination officer. Field security coordination assistants are responsible for assisting the field security coordination officer and the designated official as follows:

- (a) Liaising and coordinating with local government security organizations;
- (b) Maintaining the security plan, including updating staff lists;



(c) Maintaining minimum operations security standards for equipment;

(d) Maintaining office security;

(e) Any other matters, as requested by the field security coordination officer or designated official.

4. Single-agency security officers

12. Single-agency security officers are security professionals hired by single United Nations agencies (Office of the United Nations High Commissioner for Refugees (UNHCR), United Nations Children's Fund (UNICEF), United Nations Development Programme (UNDP), World Health Organization (WHO) and the Office of the United Nations High Commissioner for Human Rights (OHCHR)) to advise country representatives regarding issues specific to the operations of that agency at the duty station. All security officers, irrespective of their funding agency, will work in direct support of the designated official as the sole authority for safety and security of personnel employed by the organizations of the United Nations system and their eligible dependants within the country. Single-agency security officers operate within the overall United Nations security framework and coordinate directly with the field security coordination officers and, through their head of agency, with the designated official and the security management team. They are thus accountable to the designated officials and the United Nations Security Coordinator as well as to their country representative. Single-agency security officers will be: recruited based on the standardized, agreed criteria for all security officers; cleared by UNSECOORD; and attend training provided for field security coordination officers by UNSECOORD.

13. A single-agency security officer, in addition to his/her agency-specific responsibilities, is responsible for:

(a) Advising and assisting the agency country representative on his/her security responsibilities;

(b) Advising and assisting the area security coordinator or designated official in the discharge of his/her responsibilities, when requested to do so;

(c) Participating as a member of the security cell established by the field security coordination officer;

(d) Ensuring that personnel are trained and briefed on security matters within existing security policy and procedures;

(e) Ensuring that security procedures and policies are adhered to at all times;

(f) Reviewing the residential security measures in place for all international personnel of the agency;

(g) Acting as the field security coordination officer, if requested to do so by the designated official;

(h) Reporting all security incidents to the designated official.

5. Representatives of agencies, programmes and funds participating in the United Nations security management system

14. Representatives of agencies (the "country representative" or "agency head" of a United Nations agency, programme or fund) participating in the United Nations security management system are accountable to the Secretary-General through their executive heads, under the overall guidance of the United Nations Security Coordinator, for all matters related to the security of their personnel at the duty station.

15. Representatives of agencies participating in the United Nations security management system shall be responsible for:

(a) Serving as members of the security management team;

(b) Being responsible for the safety and security of personnel employed by their organizations at the duty station and their eligible dependants and for the implementation of the security plan;

(c) Ensuring that safety and security is a core component of all programmes at the duty station and that appropriate funding is provided based on need;

(d) Consulting with and assisting the designated official on all matters concerning security and the implementation and maintenance of both the security plan and MOSS and for compliance with both;

(e) Ensuring full and complete compliance by his/her personnel and eligible dependants with all security-related instructions;

(f) Ensuring that all his/her personnel attend appropriate security awareness training and briefing;

(g) Personally attending all training programmes;



(h) Ensuring that personnel have adequate and operating communications equipment in line with MOSS;

(i) Ensuring that the designated official is provided on a regular basis with updated lists of all personnel employed by the agency and their eligible dependants in the area;

(j) Ensuring that the designated official is at all times informed of the whereabouts and movements of the agency's personnel and eligible dependants in the area in accordance with procedures established at the duty station;

(k) Reporting to the designated official all security-related incidents;

(l) Ensuring that movement of all personnel is undertaken in accordance with United Nations rules and procedures;

(m) For internationally recruited personnel employed by the agency who are nationals of the country serving elsewhere or who have been assigned to a nearby non-family duty station and who have left their dependants in the country, ensuring that such dependants are included in security arrangements;

(n) Ensuring that arrangements are in place for intergovernmental/non-governmental organizations working as operational partners with United Nations agencies.

6. Security management team

16. The security management team shall consist of the country representatives of each United Nations agency, programme and fund present at the duty station who advise the designated official on all security-related matters. Members of the team are accountable to their executive heads for the discharge of the mandate of their respective agencies. In addition, members of the security management team have a collective responsibility to support the designated official in the discharge of his/her mandate related to the safety and security of all staff, irrespective of the agency. Under the overall authority of the Secretary-General, through the United Nations Security Coordinator and the designated official at the duty station, the security management team has a collective responsibility for:

(a) Working in close collaboration with the designated official;

(b) Meeting on a regular basis to review the prevailing situation and to ensure that security is being managed effectively at the duty station;

(c) Ensuring that there is a functioning and effective security plan that is maintained and

implemented for each location in the country where personnel employed by organizations of the United Nations system and their eligible dependants are present;

(d) Ensuring that lists of personnel and their eligible dependants are up-to-date;

(e) Ensuring that each area security coordinator and warden is trained and equipped to carry out his/her functions and to ensure that they understand fully and implement the complete range of these responsibilities;

(f) Establishing MOSS at the duty station, monitoring its implementation and ensuring compliance by all personnel employed by organizations of the United Nations system and their eligible dependants;

(g) Ensuring that resources are available to implement all measures that are approved;

(h) Providing input to the performance appraisal of all security officers employed in the country by the United Nations system, where they have staff operating.

7. Area security coordinators

17. Area coordinators are staff members appointed by the designated official and the security management team in areas of larger countries that are separated from the capital in terms of both distance and exposure in order to coordinate and control security arrangements in their area of responsibility. Area coordinators are appointed in writing by the designated official, in consultation with the security management team. Area coordinators are accountable to the designated official for their security-related functions, irrespective of their employing agency. The performance of the area security coordinator shall be reflected in the individual's performance appraisal. Duty time required to carry out area security coordinator responsibilities will be provided by the employing agency as determined at the field level by the designated official and the security management team.

18. Area coordinators are responsible for:

(a) Acting on behalf of the designated official, from whom they have delegated responsibility, to coordinate and control the security arrangements for sub-office operations outside the capital;

(b) Appointing wardens for their area of responsibility;

(c) Developing area-specific security plans;



(d) Maintaining lists of personnel employed by organizations of the United Nations system and their eligible dependants at their location;

(e) Implementing MOSS;

(f) Keeping the designated official systematically informed regarding incidents or developments in their area of responsibility that have a bearing on the security and safety of personnel employed by organizations of the United Nations system and their eligible dependants.

8. Wardens

19. Wardens are appointed by the designated official and the security management team to ensure proper implementation of the security plan in a predetermined zone of a large city. Wardens are appointed, in writing, by the designated official in consultation with the security management team. Wardens are accountable to the designated official for their security-related functions, irrespective of their employing agency. Duty time required to carry out warden responsibilities will be provided by the employing agency as determined at the field level by the designated official and the security management team. The performance of the warden should be reflected in the individual's performance appraisal.

20. Wardens are responsible for:

(a) Functioning as a channel of communication between the designated official and personnel employed by organizations of the United Nations system and their eligible dependants in his/her zone;

(b) Ensuring that such personnel are regularly informed with regard to security arrangements and the emergency phases in effect;

(c) Ensuring that instructions on precautionary measures are being followed;

(d) Ensuring that one person is designated to maintain contact with United Nations visitors residing temporarily at residences or hotels within the warden's zone;

(e) Carrying out other security-related duties as assigned by the designated official or the field security coordination officer;

(f) For internationally recruited staff who are nationals of the country serving elsewhere or who have been assigned to a nearby non-family duty station and who have left their dependants at the duty station, ensuring that such dependants are included in security arrangements;

(g) Visiting every family living in their area to ensure that they are aware of security arrangements.

9. Persons employed by organizations of the United Nations system and their eligible dependants

21. All personnel employed by the organizations of the United Nations system are responsible for their own safety and security, irrespective of their location of assignment. Persons employed by organizations of the United Nations system are accountable to their country head of agency and executive head of agency.

22. Personnel employed by organizations of the United Nations shall be responsible for the following:

(a) Familiarizing themselves with information provided to them regarding the United Nations security management system at their location;

(b) Receiving security clearance prior to travelling;

(c) Attending security briefings and signing a document certifying that they have been briefed;

(d) Knowing who their warden and/or agency security focal point is;

(e) Being appropriately equipped for service at the duty station;

(f) Applying and complying with all security regulations and procedures at the duty station, whether on or off duty;

(g) Comporting themselves in a manner which will not endanger their safety and security or that of others.

IV. Mechanisms to implement accountability

23. In order to enforce and monitor accountability of the performance of responsibilities related to the United Nations field security management system, a number of mechanisms have been established and must be implemented. While the security policy of the United Nations system continues to be promulgated in the United Nations *Field Security Handbook*, in order to ensure accountability, all agencies will develop an organizational policy statement incorporating the principles of accountability and outlining the roles and responsibilities of each individual in the security management system adapted to the specific



organizational structure of the agency (see annex). This will decrease the potential for varying interpretations and applications of security measures, which can lead to errors, and also provide a more effective basis for accountability within each organization.

A. Selection of individuals who will be given security responsibilities

24. It is critical that each individual who is given responsibilities in the security management system at the field level have identified core competencies. All agencies will be guided by the following competency requirements for the security functions at the different levels:

(a) The core competencies of designated officials shall be: integrity, accountability, judgement and decision-making, communications, planning and organizing, team-building, strategic vision, managing sensitive issues, managing decisions, delegating, leadership, empowering others, building trust and managing performance;

(b) Agency representatives at the country level shall have core competencies similar to those identified for designated officials;

(c) The core competencies of field security coordination officers and single agency security officers shall be: integrity, accountability, strategic vision, analytical thinking, leadership, empowering others, building trust, sensitivity, communications, teamwork, planning and organizing, creativity, social awareness and interpersonal skills;

(d) The core competencies of area coordinators and wardens shall be: integrity, accountability, leadership, managing sensitive issues, organizing, team-building, communications, planning, interpersonal skills.

B. Self-learning by/training of all individuals who have security responsibilities

25. Security and stress management training provided by UNSECOORD and individual agencies is mandatory for all personnel employed by the organizations of the United Nations system. In addition, specialized security management training is mandatory for all managers and field security coordination officers. This training can be accomplished by various methods. It is recognized that there are different levels of security training required by different categories of staff, based on their functions, as outlined below.

26. The contents of all security-related training and training materials shall be standardized by UNSECOORD to ensure a consistent security message is provided to all personnel. Agencies must ensure that such standardization is respected. All agencies must include security as part of their induction training for new personnel. In addition, security training/briefing at the field level is an essential component of field operations.

27. Each organization shall ensure that certification is provided to all individuals who participate in the security training and a security training record established. Heads of agencies at the duty station must ensure that all personnel employed by organizations of the United Nations system are so certified.

1. Senior security manager and/or headquarters security focal points

28. Security management training is essential for those senior security managers and/or headquarters security focal points who assume such responsibilities. UNSECOORD will provide security and stress management training and refresher training for all senior security managers and/or headquarters security focal points. Agencies will be responsible for ensuring that their respective senior security manager and/or headquarters security focal point receives such training and will also be responsible for ensuring that the relevant competencies identified above are reinforced through such training.

2. Designated officials and members of the security management team

29. Security and stress management training is mandatory for all designated officials and members of the security management team. Individuals who are selected to serve as designated officials or as members of the security management team must receive security management training at the first available opportunity. While each agency is responsible for providing appropriate security training to its senior managers, UNSECOORD will continue to provide this specific training to designated officials and security management teams at field locations.

3. Field security coordination officers and agency specific security officers

30. Field security coordination officers shall be provided with induction orientation by UNSECOORD prior to assuming their responsibilities at the duty station. Field security coordination officers shall also be provided with periodic training to keep them up-to-date with regard to new developments in the field of security



management. UNSECOORD will include agency specific security officers in its induction orientation, upon request, and will routinely include them in all periodic and specialized training, as appropriate. To ensure duty stations can attain compliance with their respective MOSS, field security coordination officers will be required to conduct security training of staff at each duty station.

4. Area security coordinators and wardens

31. Area security coordinators and wardens shall be provided with training in how to carry out their functions by UNSECOORD. This training shall be conducted by field security coordination officers and will be augmented by UNSECOORD training missions.

5. Personnel of the United Nations system

32. It shall be the responsibility of each agency of the United Nations system to ensure that its respective personnel are provided with adequate and appropriate security awareness and stress management training. This training can be accomplished in a number of ways. A "Basic Security Awareness" CD-ROM will be completed and distributed in January 2003. All personnel employed by organizations of the United Nations system will be required to complete the security awareness training on this CD-ROM. Based on their completion of this training, persons employed by organizations of the United Nations system will be required to take a computer-generated test and receive a certificate generated by the computer programme that will be recorded in their personnel file. It will be the responsibility of country representatives to ensure that all persons employed by organizations of the United Nations system and eligible dependants at the duty station are security-certified.

33. Upon arrival at the duty station, all personnel will receive a duty-station specific security briefing by the field security coordination officer and will acknowledge receipt of this briefing in writing. In addition, all personnel employed by organizations of the United Nations system will undergo other country specific security training required in accordance with its MOSS and will receive a certificate of completion.

C. Performance management

34. Performance management is a key component of any system of accountability. It shall be the duty of each agency of the United Nations system to incorporate security responsibilities into the job descriptions of every staff member in the

field who has a security mandate. The performance appraisal of each individual shall include an evaluation of how well they are performing these functions.

35. Designated officials shall be required to prepare and submit to UNSECOORD a yearly security management plan identifying goals to be achieved along with measurable performance indicators. The attainment of these goals will be considered by UNSECOORD as part of the review of the person's performance as designated official. In this connection, UNSECOORD shall provide to either the United Nations Development Group Office and the Administrator of UNDP or to the executive head of the individual's parent agency, an assessment of the individual's performance as designated official to be included in the person's overall performance appraisal.

36. For members of the security management teams, the executive heads or their nominees should seek the views of the designated official and UNSECOORD in evaluating the performance of their respective representatives who serve on such teams.

37. For field security coordination officers, performance appraisals shall be undertaken by the designated official in consultation with the security management team; each head of agency at the duty station will be expected to provide a written assessment of the field security coordination officer for inclusion in the performance appraisal.

38. For area coordinator and wardens, the performance appraisal carried out by their parent agency shall include a notation that they served in this capacity, as well as an evaluation of their performance.

D. Inspection and review — lessons learned

39. Monitoring of security management is central to the assessment, prevention and correction of errors or irregularities. UNSECOORD will therefore undertake compliance and inspection missions to verify that all actors of the United Nations system at a particular duty station are carrying out their security-related functions. A checklist, which has been established for every category of staff, will form the basis for review. This checklist will be provided to all designated officials and security management teams so that they have a full understanding of the scope of the inspection.

40. Upon completion of the review, the inspection team will brief the designated official



and security management team on its findings and will set a date by which all identified shortcomings must be corrected. The report of the team will also be provided to the senior security manager and/or headquarters security focal point. A return visit to the duty station will be scheduled to confirm that the identified shortcomings have been corrected. In the event they have not, a report will be provided to the executive heads of United Nations agencies, as well as to the High-Level Committee on Management, advising that the duty station is not in compliance with existing United Nations rules and procedures governing field security management.

41. The ability of the agencies to identify and address risk factors and learn from past mistakes is critical to good security management. In this connection, UNSECOORD will undertake an annual review of all major security incidents to establish lessons learned and to identify both shortcomings and good practices. These will be disseminated to all agency headquarters.

E. Establishment of a system of incentives

42. It is impractical to establish a stand-alone system of incentives that apply only to the field security management system. In addition, due regard must be taken of the different staff rules and regulations, systems of performance appraisal and administration of justice, which differ from agency to agency. Many of the existing staff rules and regulations within the United Nations system already make provision to address these concerns. However, unlike some other parts of the United Nations system, in the field of security compliance, lives of personnel employed by organizations of the United Nations are at stake. In order to be consistent and effective, any system of incentives must be applied and implemented across the board by all United Nations agencies, programmes and funds. Incentives are therefore required to reward good performance and correct non-fulfilment of responsibilities. Minimum standards of professional behaviour that emphasize both individual and agency accountability must be identified.

43. In an effort to keep staff motivated in the area of security compliance, innovative ideas are required, including distinguished service awards, letters of appreciation and certificates to reward good performance.

44. Non-fulfilment of responsibilities must be identified, with a corresponding set of measures to be taken by the agency. Three stages of non-

fulfilment of responsibilities have been identified as follows:

- (a) Non-fulfilment of responsibilities resulting in negative impact on operations;
- (b) Non-fulfilment of responsibilities resulting in loss of or damage to property;
- (c) Non-fulfilment of responsibilities resulting in serious injury or loss of life.

45. In the event of a security incident involving serious injury or loss of life, UNSECOORD will undertake an investigation and will provide a copy of its report to the executive head of the relevant agency for appropriate action. It is expected that a report on the actions taken in this regard by the relevant agency will be provided to the High-Level Committee on Management.

V. Conclusions and recommendations

46. The new mechanism of accountability and responsibility in the area of field security was established shortly after the General Assembly, in section VIII of its resolution 56/255 of 24 December 2001, decided on the new security management system for the United Nations and related personnel operating in the field. The new mechanism designs roles and responsibility at all levels of the security management system and provides for comprehensive monitoring and evaluation of its functioning.

47. The Secretary-General is confident that the new mechanism of accountability and responsibility in the area of field security ensures that the United Nations field security management system functions effectively and that staff responsible for the security of United Nations operations and personnel in the field are held accountable for both their actions and inaction.

48. The General Assembly may wish to take note of the mechanism of accountability and responsibility in the area of field security that is currently in place.

Notes

¹ The Department of Peacekeeping Operations has indicated that it would review and incorporate peacekeeping personnel into the framework for accountability following the preparation of a protocol defining the lines of responsibility and accountability between the Department of Peacekeeping Operations and the Office of the United Nations Security Coordinator (UNSECOORD) as they relate to peacekeeping operations.



Annex

Generic security policy statement

I. Introduction

1. This policy is designed to be implemented in parallel with existing United Nations policies, practices and procedures (see also para. 23 of the framework for accountability) contained in the following publications:

(a) United Nations Field Security Handbook, 1 January 1995 (under revision)

(b) Office of the United Nations Security Coordinator (UNSECOORD) security directives

(c) United Nations Security and Operations Manual, 1995

(d) Staff Rules and Regulations of the United Nations, and/or of each individual agency.

2. Additionally reference is also made to a number of other publications/documents:

(a) Security in the Field (UNSECOORD), 1998

(b) United Nations Security Awareness Booklet (UNHCR), 1995

(c) Terms of reference outlining the governance mechanism applied to the United Nations security management system as approved by High-Level Committee on Management at its meeting in September 2001 (see para. 5 of the framework for accountability).

II. General

3. The primary responsibility for the security and protection of personnel employed by organizations of the United Nations system, their eligible dependants and property and of the agency's property, rests with the host government.

4. Responsibility for the management of the United Nations security management system rests with the Secretary-General, as Chairman of the United Nations System Chief Executives Board for Coordination (CEB). Executive heads of United Nations agencies, funds and programmes (hereafter referred to as agencies) will be accountable to the Secretary-General.

5. The Secretary-General and the executive heads will be supported by the United Nations Security Coordinator and his/her office. The identification of all actors within the United Nations security management system, together with their respective

roles and responsibilities, will be outlined in an annex to the present document.

6. All United Nations agencies will fully support the United Nations Security Coordinator in the discharge of his/her responsibilities and will actively participate in the development of policies and procedures and their implementation and compliance, as set out in the terms of reference of the United Nations security management system governance mechanism.

7. The term "personnel" refers to both internationally and nationally recruited personnel employed by organizations of the United Nations system, regardless of contractual status. The term "country representative" refers to the head of any United Nations agency, programme or fund in a specific country. All personnel employed by organizations of the United Nations system are expected to adhere to security rules, regulations and procedures. Personnel employed by organizations of the United Nations system who do not comply with these rules, regulations and procedures will be held responsible in accordance with the staff rules and regulations of their respective organization.

III. Organizational

8. As it relates to their agency, executive heads or their deputies have the overall responsibility for the safety and security of their personnel. This responsibility is, however, also shared by all managers at headquarters, regional and country offices, who are accountable for the personnel they supervise.

9. The executive heads and their deputies will appoint a senior security manager and/or headquarters security focal point to assist them in this task. He/she will be responsible for coordinating the agency's day-to-day response to safety and security and providing all the relevant actors with advice, guidance and technical assistance. The senior security manager and/or headquarters security focal point shall monitor security issues in all locations where personnel operate and ensure that they are provided with the necessary training and equipment. The senior security manager and/or headquarters security focal point shall further encourage compliance, on behalf of the executive head, with regard to all United Nations security policy and procedures, as detailed in the references listed, as



well as in regard to any additional individual organizational security directives.

10. In all respects, the organizational senior security manager and/or headquarters security focal point will operate in support of UNSECOORD and within the framework of the United Nations security management system. He/she will also represent the organization at the Inter-Agency Security Management Network within the agreed terms of reference for the governance mechanism.

11. Any personnel employed by the organization who do not comply with security instructions as highlighted above shall be required to explain in writing their non-compliance through the senior security manager and/or headquarters security focal point and their immediate supervisor to the executive head.

12. The senior security manager and/or headquarters security focal point shall ensure that all candidates for employment as professional field security officers within the single-agency are screened and approved for deployment by UNSECOORD in accordance with an inter-agency agreement. The United Nations Security Coordinator shall verify that professional field security staff are trained, updated on United Nations procedures and receive technical guidance in the conduct of their duties.

13. In support of UNSECOORD, senior security managers and/or headquarters security focal points shall review security arrangements for all duty stations and field offices where their agency operates and maintain copies of all relevant instructions, Minimum Operating Security Standards (MOSS) and, if required, country-specific security plans. The field security focal point shall provide advice as appropriate to country representatives and assist the UNSECOORD field security coordination officer, as required.

14. All agency managers, who have responsibility for planning and approving field projects, programmes and missions, will liaise closely with the senior security managers and/or headquarters security focal points and country representatives, ensuring that adequate provisions are made for safety and security arrangements. This should include obtaining the required security clearances before personnel employed by organizations of the United Nations system and eligible dependants commence travel and ensuring that such personnel receive a security briefing and country information package upon arrival at the duty station. Information on in-

country security conditions must be up-to-date and accurate. The senior security manager and/or headquarters security focal point will be available to assist in these aspects.

15. All projects, programmes and missions that include field level activity shall be screened by the country representative or his/her nominee to ensure adherence to United Nations security procedures and to verify that adequate provisions are made for the security of staff. This requires the inclusion in the field project document of a paragraph describing the threat assessment in the country.

IV. Country duty stations/field offices

16. The country representative is responsible to the executive head for the security, safety and welfare of persons employed by the organization and their eligible dependants. In addition, country representatives have a responsibility for the protection of all assets, property and information belonging to the organization or to the United Nations, where appropriate. All persons in the supervisory chain will be held accountable for this responsibility.

17. All supervisors and personnel must make themselves aware of the contents of the references listed above and must adhere to their direction and advice. Copies may be requested through the senior security manager and/or headquarters security focal point.

18. Country representatives are responsible for ensuring that personnel under their supervision and their eligible dependants adhere to United Nations security policy, rules and regulations together with any organizational instructions.

19. No supervisor should ever instruct or request, directly or indirectly, any staff member to disregard security policy, rules, regulations or instructions, and should never knowingly permit personnel to expose themselves to unnecessary risk. Any supervisor who breaches this will be held accountable under the relevant staff rules and disciplinary procedures.

20. Personnel employed by the organizations of the United Nations system are also responsible for their own safety and security as well as that of others with whom they work. Such personnel must therefore exercise proper precautions and avoid taking unwarranted risks that may jeopardize either their own safety and security or that of other staff members, as well as the assets, property and



information of the agency. Personnel who do not adhere to security policy, rules, regulations and directions will be accountable under relevant staff rules and disciplinary procedures.

21. In each country the Secretary-General will appoint a United Nations designated official who will be responsible and accountable for the overall security management arrangements at the duty station. The designated official will convene a security management team to advise on all security-related matters. The team will include country representatives of all United Nations organizations, plus others with technical expertise, as appropriate.

22. Country representatives will participate actively in the security management team; this responsibility may not be delegated except temporarily due to authorized absence. In such cases, it should be delegated to their deputies. Participation in the security management team requires that every member will undertake such training as offered by UNSECOORD. This responsibility will be reflected in the relevant job descriptions and terms of reference.

23. All country representatives, in their capacity as members of the security management team, will assist the designated official in developing Minimum Operating Security Standards (MOSS), which incorporate Minimum Telecommunications Standards (MITS), in their respective countries.

24. Each country representative will designate a country security focal point from amongst their senior staff. While the day-to-day tasks associated with safety and security may be delegated, it must be remembered that the responsibility and accountability are always retained by the country representative.

25. In this regard, therefore, executive heads, assisted by their appropriate senior staff, will ensure that budgetary planning and resource allocation make provision for security-related requirements in accordance with guidance provided by the senior security manager/headquarters security focal point. Normally this would include security personnel, both international and national (guard services), communications, training, personal protective equipment, office security systems and vehicle safety equipment. In this way, the requirements of the Minimum Operating Security Standards (MOSS) can be effectively developed implemented, maintained and sustained.

26. At each duty station, UNSECOORD will conduct from time to time, security training for

country representatives as well as for all personnel employed by the organizations of the United Nations system. Single agencies with a security training capability will ensure that any training provided to their staff is consistent with and accredited by UNSECOORD. Senior security managers and/or headquarters security focal points will be responsible for holding records of attendance. These records will assist in taking decisions relating to personnel working in high-risk areas, particularly following phase three determinations of essential staff. It must be noted that attendance at security training is mandatory.

27. All personnel employed by organizations of the United Nations system and their eligible dependants who are travelling for official purposes to a duty station where a security phase is in effect require a security clearance from the designated official. All personnel must have a recorded written security clearance each time that they deploy outside the city area where they normally work. This shall be managed by the security focal point in each office and may, at some duty stations, also be a stipulation of the designated official. This authorization is required for safety and security planning, so that the whereabouts of personnel employed by organizations of the United Nations system and their eligible dependants are known at all times, and is also necessary to ensure validation of malicious acts insurance policies.

28. Country representatives are not authorized to open sub-offices, relocate personnel employed by the organization and their eligible dependants or conduct extended activity outside of the main offices without the concurrence of both the designated official and senior security manager and/or headquarters security focal point. Establishment of new offices, operations bases must conform to Minimum Operating Security Standards (MOSS).

29. Country representatives and their personnel must actively participate in security preparedness and contingency planning and familiarize themselves with the contents and procedures of security plans. These are formulated by the designated official and the security management team and are approved by UNSECOORD. One copy of the plan is forwarded to the senior security manager and/or headquarters security focal point for information, as appropriate. All staff shall be familiar with the plan and its contents and will be required to adhere to its provisions.



UNSECOORD ACCOUNTABILITY CHECK-LIST

SUMMARY

1. In his reports to the General Assembly (A/56 469 and A/55/494), the Secretary-General indicated that compliance and inspection visits to all duty stations would be carried out by UNSECOORD to ensure that all actors of the United Nations system at the particular duty station were carrying out their security-related functions.
2. UNSECOORD intends to initiate compliance and inspections missions in early 2003. This document outlines the areas that the compliance and inspection teams will consider. This list will be provided to all duty stations so that all participants in the security management system at the field level and at headquarters know on what basis they will be assessed.
3. Once a compliance and inspection mission has been completed, the team will debrief the Designated Official and Security Management Team and will advise them on measures which must be taken to correct deficiencies and implement the recommendations of the team. A copy of the report will also be provided to all security focal points.
4. The compliance and inspection team will establish a date by which all recommendations must be implemented. A follow-up visit will then be conducted. Should a Designated Official and Security Management Team have failed to implement the recommendations, a report will be provided to the High Level Committee on Management (HLCM) to determine what further action is warranted.



ACCOUNTABILITY IN THE FIELD



BACKGROUND INFORMATION

Country:

Current Phase(s) in Effect:

Total number of UN system international staff in each location at the duty station
By agency (to be provided upon arrival at the duty station):

Total number of UN system national staff in each location at the duty station
By agency (to be provided upon arrival at the duty station):

Total number of unaccompanied UN system dependants (staff members serving elsewhere) by
agency and by duty station (to be provided upon arrival at the duty station):

Date of last security plan received by UNSECOORD (to be determined prior to
commencement of the mission):

Date of last staff list received by UNSECOORD (to be determined prior to Commencement of
the mission):

Date of last Threat Assessment and Minimum Operating Security Standards (MOSS) received
by UNSECOORD (to be determined prior to commencement of the mission):

Date of last Security Management Team minutes received by UNSECOORD (to be
determined prior to commencement of the mission):

Date of last Quarterly Incident Report received by UNSECOORD (to be determined prior to
commencement of the mission):

Date of last Security Assessment Mission by UNSECOORD:



1. DESIGNATED OFFICIAL

NAME:

DATE APPOINTED:

1. Does the DO have a written Letter of Appointment as DO?
2. Has the DO appointed an Deputy Designated Official in writing?
3. Has the Deputy DO received training?
4. Has the Deputy DO been briefed/provided with hand-over notes?
5. Has a Security Management Team (SMT) been constituted?
6. Are members of the SMT appointed in writing?
7. When was the last meeting of the SMT?
8. Have Area Security Coordinators (ASC) been appointed in writing?
9. Have the ASCs been trained?
10. Have ASCs been equipped with communications and other equipment?
11. Have Zone Wardens been appointed in writing?
12. Have Zone Wardens been trained?
13. Have Zone Wardens been equipped with communications and other equipment?
14. Does the DO normally chair and attend SMT meetings?
(Of the last 10 SMT meetings, how many have been attended by the DO?)
15. Is the frequency of SMT meetings in accordance with the guidance of the Field Security Handbook (FSH) and Operations Manual with respect to the phase?
16. Has a Crisis Management Team been constituted?
17. If so, are members of the Crisis Management Team appointed in writing?
18. Does the DO maintain liaison with the DO in the country of relocation?
19. When was the Do in the country of relocation last notified of a change in phase?
20. Is the DO maintaining liaison with inter-governmental/non-governmental organizations (I/NGO)?
21. When was the last security meeting with I/NGOs?
22. Have any IGO/NGOs signed a Memorandum of Understanding regarding security?
23. Was UNSECOORD consulted prior to the signature of the MOU?
24. Does the DO maintain liaison with the local international community?
25. Does the DO maintain liaison with the host country authorities?
26. What measures are in place to ensure liaison with the host country authorities?



27. Is there an approved Security Plan?
28. What is the date of the last update?
29. Are there approved Contingency Plans?
30. What are they and what are the dates of the last update?
31. Do the security and contingency plans address the needs of national staff?
32. Is the Minimum Operating Security Standards (MOSS) in place for each location at the duty station?
33. What was the date of the last review of MOSS?
34. Is the phase appropriate to the threat/risk assessment at each location at the duty station where staff are located?
35. Are there Minimum Telecommunications Standards (MISTS) in place for all locations at the duty station where staff are located?
36. What was the date of the last review of MIST?
37. Are staff lists sent to UNSECOORD in accordance with the security phase in place?
38. What is the date of the last list sent?
39. Do the lists include dependants of staff members assigned elsewhere who might be at the duty station?
40. Is the DO reporting regularly to UNSECOORD?
41. What briefing/training system is in place for newly reporting staff?
42. What are the procedures for granting security clearance?
43. How long does the “normal” security clearance take?
44. Has the DO visited all the UN system sub-offices in the country?
45. Has the Designated Official appointed a Senior Locally-Recruited Staff Member?
46. What sustainment training is in place for staff?
47. Are there any arrangements in place for staff members to receive stress counseling?
48. What is the status of implementation of prior recommendations?



II. SECURITY MANAGEMENT TEAM

1. Has a Security Management Team been constituted?

List the members

Name	Agency	Date Appointed

2. Have all members of the SMT received the UNSECOORD SMT training?
3. Are members of the SMT appointed in writing?
4. Is the frequency of SMT meetings in accordance with the guidance of the Field Security Handbook and Operations Manual with respect to the Phase?
5. Are minutes of the SMT meeting forwarded to UNSECOORD within five days of the meeting?
6. Are minutes of the SMT meeting shared with all UN agencies, programmes and funds and with those I/NGOs who have signed an MOU?
7. Are agencies, programmes and funds represented on the SMT by the country representative?
8. Does the country representative had a designated alternate to attend meetings in his/her absence?
9. What other individuals are members of the SMT?
10. Are the reports of the Field Security Officer being fully disseminated to the SMT?
11. Is the FSO briefing the SMT on a regular basis?
12. Has the SMT approved the Security Plan and related Contingency Plans?
13. Does the SMT have a single UN 24/7 Radio room with operational communications networks?
14. If there is a DPKO mission present at the duty station, what measures have been implemented to ensure maintenance of liaison?



III. HEAD OF AGENCY/PROGRAMME/FUND

(One Sheet per agency head)

Name:

Agency:

Date Appointed:

1. Does the agency maintain an updated staff list of international staff and recognized dependants? What is the date of the last update?
2. Does the agency maintain an updated staff list of national staff and recognized dependants? What is the date of the last update?
3. Does the agency maintain an updated list of recognized dependants of staff members assigned to other duty stations? What is the date of the last update?
4. Does the agency representative attend SMT meetings on a regular basis?
(How many of the last ten meetings has the representative attended?)
5. Has the agency representative attended the UNSECOORD SMT training?
6. Is there an Agency Security Focal Point?
7. Has the agency security focal point been appointed in writing?
8. Has the security focal point received the UNSECOORD training?
9. Has the agency representative appointed a suitable alternate, in writing?
10. Has the alternate received the UNSECOORD training?
11. Has the agency addressed the security needs of national staff?
12. As appropriate to the security phase, does each agency have a Movement Control Plan to monitor the location of staff members?
13. Have all agency staff received security awareness training?
Attach a chart of each staff member (international and national) the date the training was received and which agency conducted the training.
14. Does each agency sub-office comply with the MOSS/MISTS?
15. Have all staff members submitted an inventory of household effects?
16. When were the agency sub-offices visited by the FSO?
Submit a chart showing each office visited, when visited and the length of stay.



17. Does the agency representative and focal point have copies of the
Field Security Handbook
Security Operations Manual
All Security and Contingency Plans
18. Do the office premises meet safety standards?
19. Does the agency have agency-specific security officers?
20. Does the security officer communicate with the FSO?
21. Does the security officer participate in the coordination cell?
22. Is stress counseling available to agency staff?
23. Does the representative hold staff meetings?
24. Is security information routinely provided to implementing partners?
25. Have all prior recommendations been implemented?



IV. FIELD SECURITY OFFICER

Name:

Date Appointed:

(For those locations where an FSO has a sub-regional responsibility, a questionnaire should be completed in respect of his performance in each country)

1. Is there a country-wide security structure in place?
2. Has the country-wide security plan been implemented?
3. Have appropriate country-wide contingency plans been implemented?
4. Is there an evacuation plan?
5. Is there a plan for the relocation of national staff?
6. Is there a Medical Evacuation Plan?
7. Is there a Hostage Incident Management Plan?
8. Has MOSS been implemented for all UN offices in the country?
9. Has MISTS been implemented for all UN offices in the country?
10. Is the threat assessment current? What is the date?
11. Have warden systems been established for
International Staff
National staff
12. Are up-to-date lists maintained of staff members and recognized dependants?
What is the date of the last list?
13. Is there an access control system in place at all UN premises?
14. Is a local guard force used? What type of contract do they have?
Have they been trained?
15. Are security surveys of residences conducted?
16. Are security surveys of offices conducted on request?
17. Have travel clearance procedures been established appropriate to the security phase in effect?
18. Have training programmes been developed for:
Newly arrived staff members (induction briefings)
Security awareness for all staff
Wardens
Technical security training as appropriate – drivers, radio operators, etc.
19. Provide a list of all security training conducted in the past 12 months.
20. Are reports submitted to UNSECOORD as required by the Field Security Handbook?



21. Is there good co-operation with other UN offices at the duty station?
22. Has a security cell been established with single-agency security officers?
23. When was the last meeting of the security cell?
24. Are there good contacts with national security agencies?
25. Is there good co-operation in security-related matters with the diplomatic missions in the country?
26. Is there good cooperation with I/NGOs?
27. Have the I/NGOs signed the MOU?
28. Are accidents and incidents routinely investigated?
29. Are concentration points periodically checked?
30. Are the survival supplies at these points still current?
31. Does the FSO attend the SMT meetings?
32. Has the FSO received the UNSECOORD SMT training?
33. Does the FSO act as the SMT secretary?
34. Is the security budget managed properly?
35. Is the equipment in the security office managed efficiently?
36. Are drills conducted as appropriate?
37. When was the last fire drill conducted?
38. What was the date of the last communications exercise?
39. What was the date of other appropriate drills (attach list)?
40. Does the FSO routinely visit UN sub-offices in the country?
Provide a list of all offices and dates visited for the past 12 months.
41. Does the FSO coordinate site safety and physical security checks with agencies?
42. If there is a DPKO mission present, has the FSO established a good working relationship with the Chief Security Officer of the Mission?



V. AREA SECURITY COORDINATOR

Name:

Agency:

Date Appointed:

1. Does the ASC have a written letter of appointment?
2. Has a deputy ASC been appointed in writing?
3. Has the ASC received the UNSECOORD SMT training?
4. Has an Area SMT been constituted?
5. Are members of the SMT appointed in writing?
6. Have zone wardens been appointed in writing?
7. Does the ASC convene and attend Area SMT meetings?
(Of the last 10 ASMT meetings, how many have been attended by the ASC?)
8. Is the frequency of the ASMT meetings in accordance with the guidance in the Field Security Handbook and Operations Manual with respect to the phase?
9. Has a crisis management team been appointed, as appropriate?
10. Is the ASC maintaining liaison with I/NGOs?
11. When was the last security meeting with the NGO community?
12. Have any NGOs signed the MOU ? (If so, list)
13. Is the ASC maintaining liaison with host country authorities?
14. What measures are in place with host country authorities to ensure safety and security of UN staff?
15. Is there an approved Security Plan?
16. What is the date of the last update?
17. Are there approved Contingency Plans?
18. What are they and what are the dates of the last updates?
19. Do the security and contingency plans address the needs of National Staff?
20. Is there a MOSS/MIST in place?
21. Does the MOSS/MIST plan include all sub-offices of UN organizations at the duty station?
22. What is the date of the last review?
23. Are staff lists sent to the DO in accordance with the security phase in place?
24. What is the date that the last list was sent?



25. Is the ASC reporting regularly to the DO?
26. What briefing/training system is in place for newly arrived staff?
27. What is the procedure for granting security clearances?
28. How long does the 'normal' security clearance take?



VI. AREA SECURITY MANAGEMENT TEAM

1. Has an Area Security Management Team been constituted?

Name	Agency	Date Appointed

2. Have all ASMT members received the UNSECOORD SMT Training?
3. Are members of the ASMT appointed in writing?
4. Is the frequency of ASMT meetings in accordance with the guidance of the Field Security Handbook and Operations Manual with respect to the phase?
5. Are minutes of the ASMT meeting forwarded to the DO within five days of the meeting?
6. Are minutes of the ASMT meeting shared with all UN agencies, funds, programmes and those I/NGOs that have signed the MOU?
7. Are agencies, funds and programmes represented on the ASMT meeting by the respective team leader?
(Provide a chart of the last 10 SMT meetings indicating each agency representative).
8. If there is an FSO or a single-agency security officer present, does this individual attend the ASMT meetings?
9. Has the SMT approved the regional security plans and related contingency plans?



VII. WARDENS

Name:

Agency:

Date Assigned:

(One questionnaire to be completed per warden)

1. Are updated lists of staff members and recognized dependants maintained for the warden's area of responsibility?
2. Are wardens regularly briefed by the FSO?
3. What was the date of the last briefing?
4. Does the warden have appropriate and adequate equipment?
5. Does the warden regularly visit all staff members in the assigned zone?
6. Are recognized dependants of staff members serving elsewhere included in the warden's zone? (as applicable)
7. Does the warden verify that instructions are being followed?
8. Has the warden attended the UNSECOORD training?
9. Has the warden attended other mandated training?



VIII. STAFF MEMBER

Agency:

Status (International/National):

(An appropriate random sampling of staff assigned to the duty station to be interviewed)

1. Who is your zone warden?
2. When was the last time you received personal security awareness training?
3. Do you know what to do in the event of an evacuation or a relocation?
4. Who is your agency security focal point?
5. Do you have any security concerns you would like to discuss?
6. Do you received security training? By whom?
7. Have you been provide with and have you read the security information?
8. Do you comply with security instructions and regulations?
9. Do you comport yourself in a manner which does not endanger the safety and security of others?

