Handbook
for
United Nations
Designated Officials
for Security

UNDSS

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for
United Nations
Designated Officials
for Security

United Nations
Department of Safety & Security

FOREWORD

The role of the United Nations today is as relevant and important as at any time in its history. Whether standing for human rights, supporting development, humanitarian operations, peacekeeping, peace building, dispute resolution, addressing climate change, or global health issues, personnel from the United Nations today serve in over 180 countries to better human conditions.

In many places we face critical security threats, safety issues, instability, and extremism in order to fulfill our mandates. UN employees of the Secretariat and our Agencies, Funds, and Programmes have paid a price with their lives, suffered injuries, hardship, and separation from families, yet we continue to attract the brightest, most dedicated, idealistic employees from our 193 member states.

If there is one common factor in these increasingly dangerous and hostile places we serve, it is that our member states, donors, and indeed the populations we serve all expect the United Nations to respond, address issues, and alleviate suffering.

As a Designated Official for Security, you are the leader of your Security Management Team in your country. You have accepted the challenges and responsibilities that come with directing diverse United Nations programmes and activities along with the concomitant security requirements.

Your role as the most senior UN Official responsible for security is critical in leading your team. The safety and security of staff, UN assets and premises fall under your purview. We in UNDSS are here to support you in every way we can, but you are the decision-maker on the ground and we will look to you for decisions and recommendations.

This handbook was developed in order to assist you in performing your role as the Designated Official for Security, to ensure the security of United Nations personnel and their eligible family members, UN premises and assets in your country, and to ensure that programme requirements are balanced with security require-ments so we can continue to fulfill our obligations as the United Nations.

Gregory B. Starr
Under-Secretary-General for Safety and Security

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AFPO	Agencies, Funds, Programmes and Organizations
ASC	Area Security Coordinator
ASG DSS	Assistant Secretary-General for Safety and Security
ASMT	Area Security Management Team
CAP	Consolidated Appeals Process
CCC	Crisis Coordination Centre
CEB	Chief Executives Board
CIMS	Compliance Information Management System
CMT	Crisis Management Team
CoS	Chief of Security and Safety Services/Sections
CSA	Chief Security Adviser
CSFP	Country Security Focal Point
CSO	Chief Security Officer
DFS	Department of Field Support
DPA	Department of Political Affairs
DPKO	Department of Peacekeeping Operations
DRO	Division of Regional Operations (within DSS)
DSS	Department of Safety and Security
DO	Designated Officials for Security
DO a.i.	Designated Officials for Security ad interim
DHSSS	Division of Headquarters Security and Safety Services (within DSS)
EGS	Executive Group on Security
EO	Executive Office (within DSS)
FSH	Field Security Handbook
FSS	Field Support Service (within DSS)
HCLM	High Level Committee on Management
HIM	Hostage Incident Management
IASC	Inter-Agency Standing Committee

IASMN	Inter-Agency Security Management Network
ICSC	International Civil Service Commission
IGO	Inter-Governmental Organization
INGO	International Non-Governmental Organization
JFA	Jointly Financed Activities Budget
LCSB	Locally Cost-Share Budgets
MORSS	Minimum Operating Residential Security Standards
MOSS	Minimum Operating Security Standards
MOU	Memorandum of Understanding
POSS	Peacekeeping Operations Support Section (within DSS DRO)
SA	Security Adviser
SIOC	Security Information and Operations Centre
SL	Security Level
SLS	Security Level System
SLT	Saving Lives Together
SMT	Security Management Team
SPM	Security Policy Manual
SRA	Security Risk Assessment
SRM	Security Risk Management
SSIRS	Significant Security Incident Reporting System
STA	Structured Threat Assessment
TRIP	Travel Request Information Processing
USG DSS	Under-Secretary-General for Safety and Security
UNSMIN	United Nations Security Managers Information Network
UNSMS	United Nations Security Management System

Chapter 1
You are the Designated Official for Security
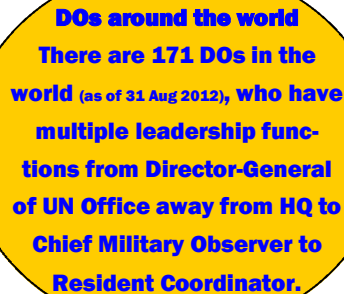
1.1 Congratulations!!!

You have been appointed as Designated Official for Security (DO) by the Secretary-General, which is one of the most critical functions in the Organization. To ensure leadership and authority at field and headquarters levels, as well as effective interaction with host Governments and international counterparts, the DO function is normally assigned to the most senior official of the Organization in a country, designated area or mission.

1.2 Multiplicity of Functions

The Designated Official function is not a stand-alone appointment, but a duty which is combined and assigned in addition to multiple other leadership functions.

DOs around the world
There are 171 DOs in the world (as of 31 Aug 2012), who have multiple leadership functions from Director-General of UN Office away from HQ to Chief Military Observer to Resident Coordinator.

As a United Nations Designated Official for Security, you can be an Executive Head of an Organization of the United Nations system, Director-General of a United Nations Office Away

from Headquarters, Executive Secretary of a Regional Commission, Registrar of an International Tribunal, Head of Mission and Special Representative of the Secretary-General, or Joint Special Representative, Special Envoy of the Secretary-General, or Special Coordinator, Force Commander, Chief Military Observer, United Nations Resident Coordinator, Humanitarian Coordinator as well as Resident Representative, or Country Director or Head of a Country Office of a United Nations organization.

You may carry Designated Official duties when you already have the combined functions of Resident Coordinator, Humanitarian Coordinator and Resident Representative. The synergy of the above leadership functions with the responsibilities of a Designated Official serves the following important objectives:

a) *Integration of security management into the overall decision-making process* at the country, designated area or mission level.

b) *Coherence of security management arrangements* to address all organizations of the United Nations system, which are present and operating in the country, designated area or mission level.

c) *Consistency of security arrangements* to ensure that programmes and mandates at the country, designated area or mission level are delivered and implemented with adequate security.

d) *Centralization of functions* related to the liaison and coordination with host Governments for security-related matters.

1.3 Key Actor of the UNSMS

As Designated Official, you are a key actor in the United Nations Security Management System (UNSMS), accountable to the Secretary-General, through the Under-Secretary-General for Safety and Security, for the security of United Nations personnel and their eligible family members, UN premises and assets throughout the country, designated area or mission. All United Nations system personnel and their eligible family members rely on your security management leadership, especially in crisis situations.

Protests near UNAMA Offices in Mazar-i-Sharif, Afghanistan
1 April 2011
UN Photo/UNAMA

Chapter 2
UN Security Management System (UNSMS)

2.1 What is the UNSMS?

The United Nations Security Management System (UNSMS) is a UN system-wide approach to security that encompasses policies, guidelines, processes and security personnel aimed at managing security risks to the UN system in order to enable UN system activities worldwide. The UNSMS is composed of all UN system organizations and other international organizations that have signed a Memorandum of Understanding (MOU) with the UNSMS.

> * Notes: Currently, there are four international organizations that have signed a Memorandum of Understanding (MOU) with the UNSMS, namely, 1) the Asian Development Bank (ADB), 2) the European Bank for Reconstruction and Development (EBRD), 3) the International Criminal Court (ICC), and 4) the International Organization for Migration (IOM).

At the global level, the UNSMS is overseen by the Department of Safety and Security (DSS), in tandem with the Inter-Agency Security Management Network (IASMN), which falls under the

auspices of the High Level Committee on Management (HLCM), one of three pillars of the Chief Executives Board (CEB) that also includes the High Level Committee on Programmes (HLCP) and the United Nations Development Group (UNDG). The CEB, which brings together all Executive Heads of UN system organizations, is chaired by the Secretary-General of the UN.

To ensure consistency across the UNSMS, after having been reviewed by the IASMN, all policies are presented to the HLCM and CEB and only implemented following approval by the HLCM and, in some instances, the CEB.

Where a rapid decision is required to avoid loss of life or to re-solve an impasse at the Security Management Team (SMT) level, the Under-Secretary-General for Safety and Security (USG DSS) may convene the Executive Group on Security (EGS), which is comprised of Executive Heads of the World Food Programme (WFP), the United Nations Development Programme (UNDP), the United Nations Children's Fund (UNICEF) and up to two Executive Heads of other UN organizations, ideally comprised of those with the largest operational footprint(s) and Offices away from Headquarters in the affected country, as well as the USGs of the Department of Peacekeeping Operations (DPKO), the Department of Field Support (DFS) and the Office for the Coordination of Humanitarian Affairs (OCHA).

At the local level, the inter-agency character of the UNSMS is reflected in the composition of the Security Management Team (SMT). All resident UNSMS organizations are represented at the

SMT by their Country Director or Representative. Personnel and assets of UNSMS organizations that do not have a permanent presence in the country are also covered by the UNSMS in-country.

2.2 Policy Framework

The policy framework for security management in the UNSMS can be summarized in these five guiding principles:

a) ***The Primacy of the Host Country*** for the safety and security of UN personnel and their eligible family members, UN premises and assets. Host country responsibilities cannot be enacted without full cooperation from the host Government which needs to be coordinated and channeled to the maximum effect by the DO and other UN in-country actors of the UNSMS **(For more information, see Security Policy Manual, Chapter II, Section E "Relations with Host Countries on Security Issues")**.

b) ***Security Risk Management***. The Security Risk Management (SRM) tools aim to enable the DO to make decisions about "how to stay" and deliver mandated programmes. Those decisions are based on a security risk management model that begins with identifying and assessing the threats, then considering this in a holistic security risk assessment and how the UN determines the level of risk after putting in place risk miti-gating measures. The SRM framework is the cornerstone of the functioning of the UNSMS. The SRM

framework provides for a structured decision-making model by which complex decisions on risk may be made as soundly as possible **(For more information, see Security Policy Manual, Chapter IV, Section A "Policy and Conceptual Overview of Security Risk Management")**.

* Threats vs. Risk

Threat: Any factors (actions, circumstances or events) which have the potential or possibility to cause harm, loss or damage to the United Nations system, including its personnel, assets and operations	Risk: The combination of the *impact* and *likelihood* for harm, loss or damage to the United Nations system from the exposure to threats. Risks are categorized in levels from Very Low to Very High for their prioritization

c) *Decentralized decision-making supported by global lessons-learned*. Managers on the ground know what the UN needs to achieve there and what security problems the environment contains. As the SRM approach uses a structured decision-making model, it should be used by managers on the ground to solve local security problems within a framework of policies and guidelines that are built taking into account lessons learned from previous experiences.

d) ***Balance between risk and enabling programmes***. Because a situation of zero risk rarely exists, the UN must be able to balance the residual risks it takes with the program benefit it can achieve, while conscious of keeping UN personnel safe. These decisions are guided by the UNSMS "Acceptable Risk Model" that balances security risks with programme criticality **(For more information, see Security Policy Manual, Chapter IV, Section C "Guidelines for Determining Acceptable Risk")**.

e) ***Accountability framework to support the risk-management approach***. The revised Framework of Accountability for the UNSMS supports the risk approach to security management, acknowledging the concept of residual risk by stating: "in accepting responsibility and accountability for security management, it is recognized that fatalities and/or casualties may occur, even though appropriate efforts are being made and measures implemented to reduce to an acceptable level the risks to United Nations personnel, premises and assets." The Framework supports the difficult risk decisions you must take but also emphasizes your responsibility for assessing and managing security risks. The Framework also details the individual responsibilities of all the other actors in the UNSMS **(For more information, see Security Policy Manual, Chapter II, Section B "Framework of Accountability", paragraph 4)**.

In this way, security management decisions in the UN rests on three pillars as shown on the right: a policy framework to assist decisions, an account-ability framework to support decisions, and you, the DO, to make the decisions.
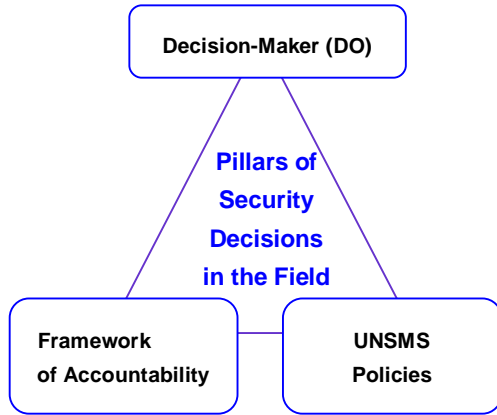
At present, the policies of the UNSMS are found in the *Field Security Handbook* (FSH, 2006) and the *Security Policy Manual* (SPM). The IASMN agreed to replace the FSH with the SPM on a step-by-step basis in order to revise existing policies, while developing new policies at the same time. Both the still relevant portions of the FSH and the new portions of the SPM are hosted on the UNSMIN and DSS websites.

2.3 Applicability of the UNSMS

UNSMS policy clearly establishes which persons are covered by the UNSMS. To be covered by the UNSMS, an individual must have a direct contractual relationship with a UNSMS organization. Included are staff members, individuals on other types of contracts that are not normally considered as staff members, United Nations Volunteers (UNVs), consultants, individual

Also covered are eligible family members of most personnel, as well as individually deployed police and military personnel in DPKO, DFS and DPA-led missions *(For more information, see Security Policy Manual, Chapter III, "Applicability of the United Nations Security Management System")*.

If an individual has a direct contract with a non-UNSMS organization, (e.g. IGOs, NGOs or a private company) that is contracted by a UNSMS organization (e.g. as an implementing partner), that individual is not covered by the UNSMS. However, under the "Saving Lives Together (SLT)" framework, cooperation and collaboration on security issues is fostered between UNSMS partners and non-UNSMS organizations.

> * Note: "Saving Lives Together (SLT)" is an initiative developed by the Department, in tandem with Secretariat departments and the IASMN, to support security management cooperation with United Nations-accredited non-governmental organizations and humanitarian partners.

It is important that DOs are familiar with the extent of the applicability of the UNSMS and the organizations and individuals covered.

2.4 Structure and Reporting Lines

The DO is accountable to the Secretary-General, through the USG DSS, for the safety and security of all individuals covered by the UNSMS. The DO is supported by the SMT and UN security professionals in this regard.

The representative of each UNSMS organization in-country is accountable to the Secretary-General, through their Executive Directors, for the safety and security of all individuals covered by the UNSMS.

Security Focal Points of each UNSMS organization comprise the IASMN, which is chaired by the USG DSS and also includes observers from other inter-agency networks and working groups of the HLCM, including the Finance and Budget Network, the Medical Directors' Working Group and the Human Resources Network, as well as the staff federations. The IASMN reports to the HLCM, which is comprised of managers with the senior most delegated authority for financial, administrative and human resource decisions within their respective organi-zations. The HLCM in turn submits its report to the CEB twice yearly.

Chapter 3
Responsibilities of the Designated Official for Security

The Designated Official for Security (DO) is responsible for the security of UN personnel and their eligible family members, premises and assets in the designated country, area or mission through:

a) *Implementing the arrangements* detailed in UN security policies and procedures as well as developing and implementing the required plans, and managing and directing all security activities.

b) *Engaging with the Host Country authorities* to advocate full implementation of the Host Country's security responsibilities in respect of UN personnel and their eligible family members, premises and assets.

c) *Applying the Security Risk Management* (SRM) approach to all UN activities and operations.

d) *Keeping the Secretary-General informed*, through the Under-Secretary-General for Safety and Security (USG DSS), of all developments related to the safety and security of the UN system.

e) *Recommending suitable nominations,* among the Heads of Agencies, Funds and Programmes, to act as Designated Official ad interim in their absence from designated countries, areas or missions *(For more information, see Guidelines for Appointment of Designated Official Ad Interim 2008, available on the United Nations Security Management Information Network website)*.

f) *Chairing the Security Management Team* (SMT) and keeping the members of the SMT, as well as the senior officials of each organization at the designated country/area, fully apprised of all security related information and measures being taken.

g) *Appointing Area Security Coordinators and Wardens* in consultation with the SMT, a Country Security Focal Point in consultation with the employing organization, and ensuring their appropriate training and provision of equipment, if applicable.

h) *Collaborating on security matters with intergovernmental and non-governmental organizations* working as operational partners of the UN system in accordance with established guidelines.

i) *Preparing special arrangements,* agreed on an inter-agency basis, for the evacuation of internationally-recruited personnel and/or their eligible family members, and an internal relocation plan for locally recruited personnel.

j) In an emergency where it has been impossible to communicate with the USG DSS, using his/her *best judgement in carrying out relocation/evacuation* and reporting to the Secretary-General, through the USG/DSS, immediately thereafter.

k) *Providing all UN personnel and their eligible family members information* on specific measures to take in relation to the security plan and ensuring their appropriate training.

l) *Ensuring the timely submission of all mandatory security information* to DSS, as outlined in the UN Security Policy Manual and/or other directives from the USG DSS.

m) *Taking appropriate action on non-compliance* with UN security policies, practices and procedures, including referring non-compliance to the concerned organization, and reporting serious instances of non-compliance to the USG DSS.

n) *Maintaining a fully integrated operational communications system* for security management.

o) *Addressing specific security concerns for women* as required.

MINUSTAH Distributes Supplies for Flood Victims
5 September 2008
UN Photo/Logan Abassi

Chapter 4
Resources and Assets of the Designated Official for Security

4.1 Host Country Authorities

Under the Charter of the United Nations and specific agreements with individual United Nations system organizations, the Host Governments hold primary responsibility for the security and protection of personnel employed by the United Nations system organizations, their eligible family members and the organizations' property.

a) Therefore, it is important that the DO engages, through effective liaison and coordination with host country authorities to advocate for the full implementation of the host country's security responsibilities in respect of UN personnel, premises and assets.

b) It is also vital that the DO, in consultation with the Chief Security Adviser (CSA)/ Security Adviser (SA), objectively assesses the host country's capability to ensure adequate levels of security as in certain cases the host country authorities might lack the expected capacity to provide substantial security assistance to the UN.

c) In such situations when UN personnel are working in areas that are subject to conditions of insecurity, the capacity of the host countries to fulfill their security obligations should be further supplemented by additional security measures implemented by the UNSMS beyond those which the host countries can provide.

4.2 Security Management Team

The Security Management Team (SMT), chaired by the DO, and comprising the *heads of all United Nations system organizations* at the country/mission level, collectively provides advice and support to the DO on all security-related matters. SMT members advise the DO on the particular concerns of their organizations regarding security and ensure that activities of their organizations are conducted in a way that manages the risks in the country, designated area or mission. They also ensure that safety and security are a core component of their respective programmes are adequately funded at the local level, and that their personnel comply with all security-related instructions and requirements.

a) Considering that the SMT is the core component of the UNSMS ensuring that security is managed on an inter-agency basis and coordinated in an integrated manner, it is important that the DO provides effective leadership to the SMT and keeps its members fully apprised of all security related information and measures being taken in the country/ mission.

b) It is important that the DO ensures that the SMT meets regularly, as required, and remains actively engaged in all aspects of security management including security risk management, security planning, crisis management and cooperation with host governments on issues that have a bearing on the security of UN personnel.

Note: The frequency of meetings correlates to the security level system as per the policy on the Security Level System Policy, see *Security Policy Manual*, Chapter IV, Section B "Security Level System".

c) Though decisions are normally made in a consultative manner reflecting the views and recommendations of SMT members, the final decision on security-related issues rests with the DO. In emergency situations where it is not possible to communicate with the USG for Safety and Security, *the DO has the requisite authority and is expected to take decisions* in exigent circumstances, including, but not limited to, the mandatory relocation and/or evacuation of personnel.

4.3 Area Security Coordinator

The DO can be responsible for the security of UN personnel, assets and operations in very large countries or missions that may comprise multiple security level areas and distinctive zones of activities. The following procedures apply in such situations.

a) In areas of larger countries or missions that are separated from the capital in terms of both distance and exposure, the DO, in consultation with the SMTs, may appoint (in writing) an Area Security Coordinator (ASC) in order to coordinate and control security arrangements applicable to all personnel, premises and assets in their areas of responsibility.

b) The ASC is accountable to the DO for his or her security-related responsibilities. The ASC must establish an Area Security Management Team (ASMT) comprising heads or senior personnel of all UNSMS organizations at the area level. Minutes of ASMT meetings, with recommendations and proposals, should be provided to the DO and the SMT for further review and endorsement.

4.4 Security Professionals

Most DOs are not security specialists. This is why various categories of security professionals are deployed to countries and areas normally characterized by a high concentration of United Nations personnel, elevated risks and/or a high complexity of UN operations to assist the DO in the discharge of security management responsibilities.

a) The *Chief Security Adviser/Security Adviser (CSA/SA)* is a Department of Safety and Security (DSS) staff member and security professional appointed by the USG DSS to advise the DO and the SMT in their security functions. The CSA/SA

reports to the DO and maintains a technical line of communication to DSS.

b) In an integrated peacekeeping mission, the DSS CSA manages the integrated security section of the mission. In some non-integrated peacekeeping missions, the mission's *Chief Security Officer (DFS/CSO)* will act as SA in the absence of a DSS appointed security professional.

c) In countries and missions with a large UN presence, there are usually additional categories of security professionals directly supervised by the CSA, SA and CSO such as Deputy Security Adviser (DSA), Field Security Coordination Officer (FSCO), Security Information Analyst (SIA), Security Operations Officer (SOO), as well as Mission Security Officer (MSO) and Local Security Assistant (LSA). In very complex missions, the security structure is further reinforced by Security Information and Operations Centres (SIOC).

d) In addition, *Single-Agency Security Officers* of organizations of the UN system may be deployed to specific countries, designated areas and missions to advise their respective organizations and take responsibility for security specific to their organization's activities. Security Officers are accountable to their respective organization and at the same time have an obligation to support the DO under the coordination of the CSA/SA. In the absence of a DSS CSA/SA, Single-Agency Security Officers can be appointed by

DSS as the *CSA/SA ad interim,* in consultation with their respective organizations.

e) In order to ensure efficient and effective use of resources and that all security officers at the duty station are working in unison to further the security management process, the CSA/SA establishes and chairs a *Security Cell* which includes Single-Agency Security Officers.

f) *Security and Safety Services/Sections (SSS),* staffed by *uniformed Security Officers,* are established at United Nations Headquarters, Offices Away from Headquarters, Regional Commissions and International Tribunals to ensure the security and safety of delegates, personnel, visiting dignitaries and other visitors.

g) *Chief of Security and Safety Services/Sections* (CoS) is responsible for security and safety programs at his or her duty station and assists the DO. The CoS can be also appointed by DSS as the CSA/SA for a country hosting a United Nations Headquarters, Offices Away from Head-quarters, Regional Commissions and International Tribunals.

4.5 Country Security Focal Point

Currently, CSAs, SAs, CSOs, CoS and other categories of UN security professionals are deployed to approximately 60 per cent of 187 countries where UN system organizations are present. The

following arrangements apply in countries where security professionals are not deployed.

a) In the absence of a resident CSA, SA, CSO or CoS, the DO, in consultation with DSS and the relevant parent organization, will appoint, in writing, an international staff member to act as the *Country Security Focal Point* (CSFP) for the SMT. The CSFP is accountable to the DO, through the head of his or her organization, for security-related responsibilities.

b) In addition, DSS assigns *regional responsibilities* to senior security professionals located in other countries to assist the DO and CSFP in the implementation of UNSMS policies and procedures.

4.6 Wardens

Wardens are not security professionals. They are selected from among international and locally recruited personnel and appointed by the DO/ASC, in writing, in consultation with the SMT, to assist in the implementation of the security plan. Wardens are account-able to the DO/ASC for their security related functions, irrespec-tive of their employing organization.

a) Wardens play a key role in communication between the DO and UN personnel, their eligible family members and visitors.

b) The Warden System can be *Zone-Based* or *Organization-Based* as decided by the DO in consultation with the SMT.

c) Because of the time-consuming burden of additional responsibilities and as an added incentive, it is recommended that Wardens are given an additional day off every two months, over and above their normal annual leave entitlement.

* Warden System

Zone-based: Wardens are responsible for all UN personnel in a specific geographic area	*Organization-based*: Wardens are responsible for all UN personnel belonging to a specific organization in a specific geographic area

4.7 United Nations Personnel

All those employed by organizations of the United Nations system, regardless of rank or level, have a responsibility to abide by security policies, guidelines, directives, plans and procedures of the UNSMS.

a) All personnel must conduct themselves in a manner that will not endanger their own safety and security, or that of others.

b) They must familiarize themselves with security management information relevant to their location/duty station, attend and complete necessary security training and required briefings and report all security incidents in a timely manner.

4.8 Security Budget

Budgeting of security personnel, equipment and services is a necessary and important element of ensuring a sustainable and reliable security management system. There are numerous different budgetary mechanisms in the UN that provide funding for safety and security, including regular, global cost share, mission specific, local cost-share budgets at the country or mission area, as well as organization-specific and extra-budgetary funding as follows;

a) Safety and security resources and arrangements for DPKO/ DFS/DPA-led peacekeeping, political and other special missions are funded through the *Mission Specific Budget* approved by the UN General Assembly (usually on an annual basis) and the *Support Account for Peacekeeping Operations (QSA)*.

b) Safety and security resources and arrangements for UN Headquarters and offices Away from Headquarters are funded through the *Regular Budget* of the UN or, in the case of UNOV in Vienna, locally cost-shared by the agencies that occupy the Vienna International Centre. These budgets are approved by the General Assembly on a biennial basis.

c) Safety and security resources and arrangements in field duty stations, including in countries where there are DPKO, DFS or DPA missions, are financed through a central global cost-shared budgetary arrangement with all the organizations of the UNSMS contributing proportionally based on its global head count of personnel serving in non-OECD countries (known as the *Jointly Financed Activities Budget or JFA*). The JFA is administrated by DSS and an annual security budget is allocated to each country office where DSS security professionals are deployed (within the limits of the overall approved global budget). This budget is also approved by the General Assembly on a biennial basis.

d) In addition, at the field level (country/mission), the DO and SMT are responsible for developing the *Local Cost-Share Budgets (LCSB)*, if required, to address field-related security costs specific to the countries, designated areas or missions, where the financial responsibility of each participating organization is apportioned on the basis of the number of personnel of each respective organization present in the country or mission. The LCSB is an annual budget, which, as of 2012, has been developed in 93 countries and missions. LCSB funding can be utilized to finance the following specific security costs;

- *Identification Programme.* For a common badging system implemented at the duty station.

- *Operational support.* The number, function and level of approved additional security personnel above the DSS authorized staffing and the funding to support them in their functions.

- *Communications Structure.* For the country communications structure requirements.

- *Security Training.* For conducting the Safe and Secure Approaches in Field Environments (SSAFE) or other security related training.

- *Crisis Management Centre.* Operation of a Crisis Management Centre.

- *Guard Force.* Operating, contracting or other requirements associated with a guard force at UN House or other guard force arrangements at the duty station.

- *Psychosocial Support.* To obtain the services of a Stress Counsellor as required for the duty station.

- *Vehicle Requirements.* Special vehicle requirements such as armoured vehicles or vans.

> * Note: More information on LCSB's including timelines can be found on the UNSMIN web site at https://www.unsmin.org

e) Safety and security resources and arrangements related to the implementation of UNSMS security policies and proce-

dures specific to individual organizations of the UNSMS are financed by these organizations, including Minimum Operating Security Standards (MOSS) and Minimum Operating Residential Security Standards (MORSS) implementation costs for their respective personnel.

f)   Currently, there are no contingency funds to meet any additional unforeseen requirements, such as those needed to fund the increased security requirements associated with humanitarian crises or other programme delivery needs. Given that in the short to medium term the outlook for increasing the regular DSS budget (JFA) is unlikely, it might be necessary for the DO and the SMT when facing complex humanitarian emergencies to find other sources of additional funding such as the Consolidated Appeals Process (CAP), Flash Appeals (FA) and bilateral contributions from donor countries if the growing security needs on the ground are to be adequately met.

Chapter 5
How to Perform the Designated Official for Security Responsibilities

5.1 Interacting with Host Country Authorities

The DO has the responsibility to liaise with Host Government authorities in all aspects of security management on behalf of the UN. It is important that the DO, immediately upon arrival to his/her duty station, engages with the authorities in executing their responsibilities for protecting the UN or maintaining and enhancing already existing collaboration, particularly in the following areas:

a) *Liaison* To establish and maintain close liaison with designated contacts, to establish mechanisms for effective sharing of security-related information, strengthening the analysis of security threats and risks and for ensuring that privileged information is handled with appropriate discretion. The DO shall request the authorities to designate focal points with whom the UN can cooperate on a regular basis and to introduce their senior security professionals to maintain such cooperation.

b) *Information sharing* Two-way information exchange is central with emphasis placed on situational awareness, analysis of threats and vulnerabilities of UN personnel,

premises and operations, and strategies for communication with the local population and other target audiences to promote understanding of UN system mandates and activities.

c) *Security risk management* Collaboration must include periodic assessments of security measures for all UN premises and concrete action on the implementation of security management measures. Such collaboration should also focus on timely customs clearance and licensing of security-related equipment required for the safety and security of the UN. The Host Government must provide the required resources for the safety and security of United Nations personnel, property and operations.

d) *Crisis Management* To enable the Government to respond effectively in a crisis, the DO shall request that focal points be designated within host government authorities, to mobilize and coordinate support when a crisis affects the UN, including the provision of emergency contacts, procedures and resources. It is also important to assess the capacity of the authorities to respond to events that can adversely affect the security of UN personnel, premises or operations; part of this assessment shall include an annual crisis response exercise/drill.

e) *Legal Aspects* Collaboration should also aim to ensure that crimes committed against UN personnel are investigated and perpetrators identified and prosecuted according to the

law. The DO and the SMT must ensure that UN personnel are aware of and respect national laws and customs. In addition, the DO shall bring to the attention of the host Government any concerns regarding arrests, detention or harassment or any obstruction to freedom of movement of UN personnel in accordance with the existing UNSMS policy on Arrest and Detention *(For more information, see Security Policy Manual, Chapter IV, Section T, "Arrest and Detention")* .

f) ***Concerns for specific categories of personnel*** Collaboration should include gender-related security issues and the special circumstances of locally recruited personnel. It is important to ensure that counterparts understand the status of locally recruited UN personnel and non-UN personnel under international law.

5.2 Organising the Security Management Team

The DO, immediately upon arrival to his/her duty station shall constitute, after consultation with the representatives of the other UN system organizations, a SMT to advise him or her on all safety and security-related matters, or ensure that the existing SMT is inclusive and functioning.

The leadership of the DO in the SMT is crucial for achieving the UNSMS' goal of enabling the safest and most efficient conduct of the programmes, activities and operations of the UN system. Effective functioning of the SMT can be achieved through the following:

a) The DO ensures that the SMT remains actively engaged in all aspects of security management, including security risk management, security planning, crisis management and cooperation with the host Government on issues which have a bearing on staff security.

b) The DO shall undertake every effort to create and maintain an environment conducive to *UN inter-organizational and inter-departmental collaboration*.

c) The DO shall ensure that all members of the SMT have received SMT training.

d) *Minutes* of each SMT meeting must be prepared and a copy forwarded to SMT members and to the appropriate DSS DRO Regional Section or Peacekeeping Operations Support Section (POSS) *within 48 hours* after the meeting.

e) The DO shall undertake every effort to ensure that all decisions and recommendations made in the course of SMT meetings are followed up and implemented.

UN Country Team (UNCT) vs. Security Management Team (SMT)		
	UNCT	**SMT**
Leader	Resident Coordinator	Designated Official
Membership	all UN entities that carry out operational activities in a programme country/area	members of the UN Country Team, a senior security professional, and any additional members able to contribute to safety and security management
Primary Objective	Strategic management of UN programmes in the field	Delivery of UN programmes in environments with acceptable levels of risk

5.3 Supervising Security Professionals

A senior DSS security officer – normally the CSA/SA – serves as the principal adviser to the DO and the SMT on all aspects of security management, crisis readiness and preparedness at their respective duty stations and in the execution of their response-bilities with regard to the security of personnel employed by the organizations of the UN system and their eligible family members, UN premises and assets. The CSA/SA is also a member of the

SMT and reports directly to the DO. It is important that the DO extends effective supervision to the CSA/SA and, if available, the security section managed by the CSA/SA through the following:

a) *Maintaining direct reporting lines of the CSA/SA to the DO* and holding regular meetings with the CSA/SA requesting professional security advice on all security management issues.

b) *Directing and overseeing the implementation by the CSA/SA of key requirements of UNSMS policies and procedures*, including the preparation or update, for the further review by the DO and the SMT, of the Structured Threat Assessment (STA) under the Security Level System (SLS), by which the corresponding Security Level (SL) is established, the Security Risk Assessment (SRA), Minimum Operating Security Standards (MOSS), Minimum Operating Residential Security Standards (MORSS) if applicable and the Security Plan.

c) *Introducing the CSA/SA to Host Government officials* to ensure security liaison and collaboration with focal points at the working level who have been designated by the senior national authorities.

d) *Facilitating close cooperation of the CSA/SA with all representatives of UNSMS organizations* at the country, mission or designated area levels to ensure the most effective security management.

e) *Ensuring that the CSA/SA always maintains effective technical lines of communication with DSS* Headquarters to seek professional advice and guidance.

f) *Conducting objective appraisal* and providing regular *feedback to DSS* on the performance of the CSA/SA.

5.4 Reviewing Existing Security Arrangements

It is important that the DO, immediately upon arrival to his/her duty station, *thoroughly reviews the status of security planning and existing security arrangements* in the country, designated area or mission, in particular, through examining the following:

a) The *SLS, SRA, MOSS, MORSS, SP and LCSB* – these documents must be developed and/or reviewed annually or immediately following significant changes in the security operating environment or changes of UN programmes and mandates at the country or mission level.

b) The *nomination of the DO ad interim (DO a.i.)*, the functioning of *emergency field communications system*s, the appointment and training of the *ASC(s) and Wardens*.

c) The *system for providing security-related information* to all personnel employed by the organizations of the UN system and their eligible family members in the country or mission area, including security briefings upon arrival,

security training as required, and security alerts and warnings to keep them informed on all matters affecting their security.

d) The ***collaboration with non-governmental organizations*** working as operational partners of the UN system in accordance with established principles under the Saving Lives Together (SLT) framework.

e) The implementation of the ***Significant Security Incident Reporting System (SSIRS)*** to report security incidents affecting UN system personnel, their eligible family members, UN assets and operations.

f) The ***level of compliance*** of individual UN system organizations and their personnel with UNSMS security standards and procedures.

5.5 Ensuring Crisis Preparedness

The DO shall make every effort to ensure that all *crisis* preparedness measures are undertaken in the country, designated area or mission irrespective of the level of threat and security risk. Crisis preparedness in UN duty stations is achieved through the implementation of specific UN policies and procedures related to security planning and security management as outlined in the UNSMS Security Policy Manual and Field Security Handbook. These policies and procedures include the following key components:

a) The country, designated area or mission **Security Plan** shall address the most likely *security contingencies*, including "worst case" scenarios, comprising specific security arrangements with a set of predetermined and rehearsed responses to *various crisis situations* that could impact UN system personnel, eligible family members, assets and operations. These arrangements entail the following:

- Updated and verified lists of *international and locally recruited personnel* and their eligible family members.

- Established and tested *Emergency Communication System* to provide reliable communications between the DO, the CSA/SA, the SMT and the Wardens, as well as relevant UN offices outside the country or mission.

- *Casualty Evacuation Plans* for the rescue and movement of injured or sick personnel from the location or incident site at which injury occurs.

- *Medical Evacuation Plans* for evacuation of sick or injured personnel from the country.

- *Mass Casualty Plan* identifying the response capacity of the local emergency services.

- Identified *Concentration Points* where UN system personnel and their eligible family members can be assembled during emergencies and *Designated Places of Relocation* to which personnel and eligible

family members can be relocated or evacuated in time of a security crisis.

- Identified *Means of Relocation/Evacuation* delineating how personnel and eligible family members can be moved to designated locations and assets required.

- Established *Building Emergency/Evacuation* Plans for all UN premises exercised every 6 months.

c) The DO shall organize a **Crisis Management Team (CMT)** as an essential measure in crisis management. The CMT should be action-oriented with members nominated by the DO in consultation with the SMT to manage an ongoing crisis on a 24-hour basis until the emergency is resolved.

d) The CMT shall operate from a secure and central location with adequate communications systems. Therefore, a UN common system **Crisis Coordination Centre (CCC)** must be established in the capital and in all major operational hubs in the country or mission.

Chapter 6
DSS Support to the Designated Official for Security

6.1 Department of Safety and Security (DSS)

The Department of Safety and Security (DSS) is responsible for providing leadership, operational support and oversight of the security management system with the strategic aim of enabling the safest and most efficient conduct of mandated programmes and activities of the UN system worldwide.

DSS is composed of the Office of the Under-Secretary-General for Safety and Security (OUSG), which includes the Policy, Planning and Coordination Unit and the Compliance, Monitoring and Evaluation Section, the Executive Office (EO), and three major operational components, the Division of Regional Operations (DRO), the Division of Headquarters Security and Safety Services (DHSSS) and the Field Support Services (FSS).

The Office of the Under-Secretary-General for Safety and Security supports the work of the USG and the ASG. Within OUSG, the Policy, Planning and Coordination Unit (PPCU) is, inter alia, responsible for the development of UNSMS policies and guidelines in tandem with the IASMN, while the Compliance, Evaluation and Monitoring Section (CEMS) is responsible for, providing the world-wide evaluation and monitoring of compliance with security policy, standards and procedures.

The Executive Office is responsible for all financial, human resources, logistics and general administrative matters for DSS, both at headquarters and in the field. The EO also maintains a stock of vehicles and essential security equipment at its Logistics Centre in Dubai to facilitate rapid deployment of assets in the event of crisis.

The Division of Regional Operations is responsible for the coordination and management of safety and security of field operations and serves as the safety and security focal point for field duty stations. The Division ensures security coordination with the DOs and SMTs at UN duty stations globally. The Division is composed of four Regional Sections (Africa, Middle East and North Africa, Europe and the Americas, and Asia-Pacific), the Peacekeeping Operations Support Section (POSS), the Threat and Risk Assessment Unit (TRU) and the 24/7 Communications Centre that is responsible for maintaining situational awareness concerning all aspects of security in the field. The TRU serves as an early warning mechanism on threats directed at the UN, providing analytical support to the Department and organizations of the UNSMS.

The Division of Headquarters Security and Safety Services provides strategic leadership and oversight to the Security and Safety Services (SSS) in UN Headquarters, Offices Away from Headquarters, Regional Commissions, and International Criminal Tribunals through the provision of overall policy standardisation and direction, operational guidance and technical support. DHSSS is responsible for the coordination and management of

safety and security of headquarters operations and serves as the safety and security focal point for these locations. The Division ensures security coordination with the Director-Generals and Executive Secretaries in these duty stations, who are also the DOs for designated countries. The Division consists of the Office of the Director and the Protection Coordination Unit (PCU), which is responsible for managing close protection services across the UN system.

The Field Support Service, comprising the Training and Development Section (TDS), the Critical Incident Stress Management Unit (CISMU), the Crisis Management Information Support Section (CMISS), the Registry Unit, and the Aviation Risk Management Office (ARMO), provides security training, critical incident stress counseling for United Nations personnel, information management support and aviation risk management support to United Nations system organizations, as well as security professionals, managers and United Nations personnel worldwide.

6.2 Specific Support Provided by DSS

Strategic Guidelines The DO may seek strategic guidance and directions from the USG DSS on critical security management issues. The Secretary-General delegated to the USG DSS the authority to make executive decisions relevant to the direction and control of the UNSMS and the overall safety and security of UN personnel, premises and assets at both field and headquarters

locations. The USG DSS may also address critical security management issues to the Executive Heads of the Organizations of the UN system on behalf of the DO.

Crisis Management The role of DSS Headquarters is to support the crisis response efforts of the DO and advise the Secretary-General, and all affected components of the UNSMS. In the case of a catastrophic event that renders a DO and SMT incapable of exercising effective crisis management and response, DSS headquarters may assume operational control of some or all of the security-related crisis management functions. The USG DSS acts on behalf of the Secretary-General and is responsible for providing guidance to the DO facing a crisis situation. The USG, DSS will designate a Crisis Manager (CM) to coordinate DSS crisis management and response activities.

* Note: In the event of a crisis in a peacekeeping mission, DPKO and DFS HQ provide overall guidance and direction, expert advice and technical support for the duration of the crisis while DSS HQ remains responsible for the overall safety and security of UN civilian personnel and their recognized eligible family members, as well as for military and police personnel when not deployed with their contingent or unit. DSS HQ is an integral part of the crisis response established by DPKO/DFS and DSS representative(s) participate in the DPKO Crisis Response Cell (CRC).

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Surge Deployment Requests related to the deployment of additional security personnel to address unforeseen security contingencies or crisis response are within the purview of the DRO. Please note that such "surge" deployment can be arranged for a limited period, up to six weeks, and is available to assist crisis situations only.

Protection Coordination The Protection Coordination Unit in DHSSS is responsible for managing personal protection details in a systematic and coordinated manner. Senior UN Officials may be assessed as requiring additional mitigation to enable them to deliver their mandate. The PCU has access to member state and UN close protection trained personnel. The PCU supports senior officials by being a focal point for matters relating to close protection.

Special Events and External Conferences These events and conferences often gather large numbers of UN personnel and other participants in locations that are not normally under UN organizational control. The security challenges presented by the broad variations in size and scale of such events, along with the corresponding security requirements, may necessitate a provision of additional specialized support and assistance. The DHSSS has the delegated authority for the coordination, overview and pro-vision of strategic and technical advice for all special events held at venues away from UN Secretariat and UNSMS organizations' Headquarters, as well as for mobilizing resources and for the deployment of SSS personnel to support the event.

Training   Designated officials may request, through respective Regional Sections of DRO or POSS, DSS to provide security training assistance. The FSS Training and Development Section (TDS) has developed training programmes for various categories of UNSMS actors, including SMT members and security professionals. In addition, there are specialized training modules, such as Hostage Incident Management, for UN personnel operating in high threat environments.

Information Management   The Crisis Management Information Support Section of FSS maintains the United Nations Security Managers Information Network (UNSMIN) website at https://www.unsmin.org, which also provides a variety of tools and platforms to obtain, analyze and manage security related information such as the Significant Security Incident Reporting System (SSIRS) and the Travel Request Information Processing (TRIP) system. Additional assistance can also be requested from the help desk at *dsshelp@un.org*. Of particular interest to the DO might be the Country Briefing Note which portrays the information readily available to UN senior management.

Critical Incident Stress Management   The FSS Critical Incident Stress Management Unit (CISMU) provides rapid professional response to critical incidents through its network of deployed Stress Counsellors and provides/facilitates critical incident management training for UN senior managers, as well as individual staff members as a preventive measure.

Aviation Risk Management Office The FSS Aviation Risk Management Risk Management Office (ARMO) can provide advice on the relative safety of airlines operating in countries where the United Nations is present.

Compliance Evaluation The OUSG Compliance, Evaluation and Monitoring Section (CEMS) has developed a comprehensive Compliance Information Management System (CIMS) that can assist Designated Officials in monitoring and evaluating compliance with security policy, procedures and guidelines.

Policy Clarifications The Policy, Planning and Coordination Unit of the OUSG has developed a comprehensive library of UNSMS policies and guidelines and can provide further clarifications to Designated Officials on the scope, applicability and interpretation of policies and guidelines. Specific queries may be addressed directly to PPCU at *undss.policy@un.org*.

Human Resources (HR) and Budgetary Issues On issues related to the assignment/reassignment of DSS security professionals, their performance appraisal, as well as the allocation of the JFA budget to specific duty stations, Designated Officials may consult the Executive Office.

DHSSS Support DHSSS has extensive experience and capacities that can be requested through DRO and be deployed to field operations (although costs may have to be covered by the relevant organization in the requesting country or mission) in the following areas:

- *Facility protection*. Operation of uniformed and armed personnel to provide security at major facilities.

- *Physical security*. Design and implementation of security projects, e.g. perimeter protection and access control systems.

- *Electronic security systems*. e.g. ID card and access control, CCTV, alarm and public address systems, operations centre technology.

- *Conference security*. Uniformed and armed security officers are provided from various duty stations to secure major UN sponsored conferences.

- *Personal protection operations*. Ensure the security of senior UN officials.

- *Specialised security operations*. e.g. Specialised training in close protection operations and weapons, electronic counter-surveillance and explosives detection (canine teams are deployed at several major UN offices).

Executive Communications In time sensitive situations, UNDSS 24/7 Communication Centre can rapidly connect you to senior DSS and UNSMS officials. Please call + 1 917 367-9438, + 1 917 367-9439 or E-mail at *undsscomscen@un.org*.

6.3 Communications with DSS

Designated Officials for Security are engaged in constant communications with DSS on a variety of security management issues. In addition to the specific contact points for information elaborated in the preceding section. The following lines of communication are available to ensure the consistency and coherence of interactions between DSS and Designated Officials:

a) ***Security Coordination Officers*** Security Coordination Officers of Regional Sections and the Peacekeeping Operations Support Section of DRO DSS are security professionals with assigned responsibilities for security coordination with specific countries, designated areas or missions, who are the first contact points in DSS. They advocate security needs of these countries, areas and missions within DSS and the UNSMS to ensure prompt response or action. Daily and routine issues, such as training needs, policy clarifications and security information management can be addressed to Security Coordination Officers who are there to support your operational needs.

b) ***Chiefs of DRO Sections*** Chiefs of Regional Sections and the Peacekeeping Operations Support Section of DRO DSS are responsible for the regional coordination of safety and security arrangements. Issues related to security capacity in countries and areas under their responsibility, performance of security professionals, as well as the needs for surge deployment, can be communicated to the Chiefs.

c) ***Director and Deputy Director of DRO*** The Director and the Deputy Director are responsible for the strategic management of safety and security operations in field locations including overall guidance for contingency planning and critical safety and security response mechanisms, such as during hostage situations, evacuations, death of UN personnel and/or their eligible family members, or the occupation of UN facilities. Issues related to crisis preparedness, management and response should be addressed to the Director and the Deputy Director, and copied to the responsible Section Chief.

d) ***Director of DHSSS*** The Director, who is responsible for managing the Division, serves as the principal supervisor for the Security and Safety Services at UN Headquarters New York, Offices away from Headquarters and Regional Commissions, the International Tribunals and other installations, may be addressed on any issues related to headquarters security and safety programmes, including those on physical security and static services.

e) ***Executive Officer*** The EO is responsible for Finance and HR issues, and sensitive topics such as personal issues and/or alleged misconduct relating to DSS staff should be addressed to him/her.

f) ***USG and ASG DSS*** The USG for Safety and Security and the ASG provide strategic guidance and leadership in all matters related to the security and safety of UN personnel

and their eligible family members, UN premises and assets. Critical security management issues can be addressed to the USG and the ASG for advice and direction or to advocate for action on specific safety and security issues in individual countries and missions with member States, the UN Secretary-General or Executive Heads of UNSMS partner organizations.

Indonesian Peacekeepers Provide Security in North Darfur
5 August 2012
UN Photo/Albert González Farran

Chapter 7
Addressing Specific Security Situations

There are some typical security situations and circumstances faced by the DOs in the discharge of their security management responsibilities where they frequently raise specific questions seeking DSS advice, including, but not limited to the following:

- Often, organizations of the UN system hold large-scale external conferences outside UN premises in a country or mission under my responsibly; what is my specific role as the DO?

- There were a number of UN personnel arrested and detained by government authorities in a country or mission under my responsibility, including both resident and visiting UN personnel; what is the course of action by the DO in such situations?

- What is the right course of action and specific responsibility of the DO in case of abduction of UN personnel by non-government actors?

- There were recent critical security incidents affecting UN premises resulting in inquiries and investigations; what is the specific responsibility of the DO for the security of UN premises?

- Multiple UN organizations at the country or mission level collaborate with implementing partners who are not UN entities in the delivery of their programmes and mandates; what is the DO's role and responsibility for the security of implementing partners?

- Protective Services, including by armed security officers are provided to some UN officials, but not to all; how is the provision of Protective Services regulated in the UN?

- Security-related entitlements, including Danger Pay, are important matters for UN personnel in my duty station; what is the role of the DO in the process of determining these entitlements?

7.1 External Events and Conferences

UNSMS organizations frequently sponsor and organize a large number of events and conferences each year. These events and conferences often gather large numbers of UN personnel and other participants in locations that are normally not under the organizational control of the UNSMS.

Such events and conferences may take place in countries and missions under your responsibility as the DO. The following procedures apply to ensure the proper management of security issues associated with external events organized or sponsored by UNSMS in countries and missions under your responsibility:

a) Each UNSMS organization sponsoring or organizing an event or conference shall notify the DO in advance of any planned event in the country or mission under his or her responsibility .

b) This notification is not a request for clearance for the conference to take place but serves to initiate the required process allowing the DO and the SMT to determine whether the security situation permits the holding of the conference and to assess whether adequate security measures can be implemented. *External conferences should not be held in venues located in Security Level 4 and above.*

c) A preliminary SRA of the proposed event and venue should be completed at the country or mission level making recom-mendations on the security risk management measures needed to bring the residual security risks to the conference to an acceptable level.

d) The DO, in consultation with the SMT and DSS, and based on the conclusions of the SRA, provides clearance for the event to occur and determines whether additional security capacity and/or specialized assistance for this event is required.

e) The sponsoring UN Organization shall make necessary arrangements and provide required financial resources to comply with the required security risk management measures.

f) Should any specialized assistance be needed, DSS will review the event venue, update the event SRA and Security Plan and establish any additional security requirements for the conference.

7.2 Arrest and Detention of UN Personnel

In the period from 2009 to 2012, about 200 UN personnel were subject to arrests and detentions by government authorities annually. Arrests and detentions of UN personnel took place in over 120 countries and missions, including in high as well as low-risk duty stations.

As these incidents may occur in any country or mission, the DO should be aware of standard UNSMS procedures for responding to any incident of arrest and detention of UN personnel. While detailed procedures are outlined in the UNSMS policy on Arrest and Detention, the following points summarize the major steps and security responsibilities of the UNSMS at the country or mission area in case of arrest and detention *(For more information, see Security Policy Manual, Chapter IV, Section T "Arrest and Detention")*.

a) When an individual covered by the UNSMS has been arrested or detained by authorities of a government, it shall be immediately reported to the headquarters of the employing UNSMS organization and the USG DSS.

b) The DO or representative of a United Nations system organization at the location where the arrest or detention has taken place shall immediately contact the Foreign Ministry or relevant government office and request:

- All relevant information about the arrest or detention, including the legal grounds for the arrest or detention, charges against the person concerned and the name of the governmental agency under whose authority the measure is taken.

- Access, as soon as possible, to the detained person by a UN official; when such access is not granted, there should be systematic follow-up to request it until it is granted.

- When there are concerns for the safety and/or welfare of the individuals arrested or detained, seek the government's cooperation in arranging that a UN representative is accompanied by a medical physician.

c) The organizations comprising the UNSMS are in some cases subject to different legal regimes governing their status, privileges and immunities and those enjoyed by their personnel. Therefore, it would be inappropriate for security officials to make determinations on the legal status of the person under arrest or detention.

d) The employing organization will be responsible for communications with the immediate family members and staff representatives concerned. The employing organization

shall also determine what further action may be required in accordance with its legal status and applicable legal instruments.

7.3 Abduction of UN Personnel

From 10 to 30 personnel of UNSMS organizations fall victim of abduction annually. While most abduction cases are criminally driven, some are politically motivated. A number of incidents of abduction develop into hostage incidents. As the organizations of the UNSMS are increasingly called upon to operate in insecure areas, the risk of UN personnel becoming the victims of a hostage incident has increased substantially.

Responding to the above challenges, the UNSMS has developed a comprehensive Hostage Incident Management policy *(For more information, see Security Policy Manual, Chapter IV, Section U "Hostage Incident Management")* and specific Guidelines on Hostage Incident Management *(For more information, see Security Management Operations Manual, "Guidelines on Hostage Incident Management")*. These provide the DOs and other UNSMS actors with necessary guidelines and procedures on Hostage Incident Management (HIM).

Should an individual covered by the UNSMS be taken hostage, the organization shall make every effort to secure their speedy and safe release. In the event of a hostage taking, the USG DSS will take the necessary policy decisions and ensure a coherent response by the Organization. The DO, in consultation with the

SMT, is responsible for all necessary actions on behalf of the Organization to secure the speedy and safe release of the hostage(s).

According to the UNSMS HIM policy, the ***Organization shall neither pay ransom nor make any substantial concessions to hostage-takers to secure the release of hostages, nor shall it intervene with the member State concerned to make concessions in exchange for hostages***, because this would encourage potential hostage-takers, and thus, increase the danger that other personnel might face in the future.

However, the ***Organization may establish contacts or start a dialogue with the hostage-takers*** if it is determined that this would promote the speedy and safe release of the hostages. Such contacts or dialogue should be aimed at trying to convince the hostage-takers of the inhumanity, illegality and futility of their actions as a means of attaining their objectives.

Good security planning and coordination will greatly reduce the risk of UN personnel and other individuals covered becoming hostages. Therefore, an HIM plan should be developed under the Security Plan for the country or mission with elevated threats of hostage taking. When there is evidence to suggest that any UN personnel or eligible family members have been taken hostage, the DO shall immediately:

a) *Report the incident to the USG DSS* with all information readily available.

b) *Contact the Ministry of Foreign Affairs of the host country*, maintain contact with the host Government authorities at the policy-making and operational levels and appoint a focal point to provide liaison with the authorities.

c) *Review the security arrangements* in effect to determine if they should be enhanced.

In a hostage situation, the DO, utilizing technical advice and assistance from DSS, establishes a Hostage Incident Management Team to provide technical advice, guidance and assistance concerning the management of the incident to the DO and the SMT.

When notified of a hostage incident, the USG DSS may activate, *if required*, a Crisis Coordination Centre in DSS comprised of representatives of different departments and organizations of the UNSMS, as well as the Permanent Missions of the countries concerned, to provide further advice and guidelines to the DO, the SMT and the HIM Team.

Every hostage situation is different. There are no simple solutions for the resolution of a hostage incident, however, there are techniques which can be used to facilitate speedy and safe release and minimise the effects of a detention on the hostage(s). With the myriad of technical nuances in the HIM process, DSS has developed and provided a comprehensive HIM training programme and created a roster of HIM-trained security professional at headquarters and in the field to lead HIM teams in unfortunate situations of hostage taking.

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From January 2009 to date, *DSS managed 49 hostage incidents involving 71 United Nations system personnel and family members with all but one hostage*, who died of a heart attack, *safely released*.

7.4 Security of UN Premises

Since 2003, there were multiple violent attacks on UN premises resulting in catastrophic damage to UN facilities and mass casualties among UN personnel. These incidents occurred not only in conflict zones and high-threat countries and missions, but also in locations assessed to be at low to medium security risk level.

Most UN premises are provided by member states, leased or rented by UNSMS organizations and are not built with security and safety considerations. If so required and without abrogating the responsibility of the host Government for the security of UN premises, additional security measures for premises security should be implemented by the UNSMS beyond those which the host countries can provide.

The DO, in consultation with the SMT, is responsible for ensuring that the SRM process is applied to all United Nations premises in their respective countries and missions to respond to the security risks identified. All security arrangements at UN premises shall also comply with MOSS requirements.

a) The premises security system must be approved by the DO and implemented within an agreed timeframe according to priority.

b) Organizations of the UNSMS are responsible for providing adequate funding to meet the premises security needs of their respective agencies.

c) The Country Cost Shared Budget (CCSB) mechanism should be applied to shared or common premises, as appropriate. Notwithstanding this, organizations of the UNSMS may implement additional security risk management measures to their respective premises as they determine appropriate.

d) If there are any significant problems with the proper application or implementation of premises security systems by the UNSMS organizations, the DO must contact the USG DSS for support and/or intervention.

e) If a premise is purpose built for use by an organization of the UNSMS, the security system for that premise, and the capital investment required, must be included in the earliest stages of planning.

f) The evaluation of premises for rent or purchase by an organization of the UNSMS must examine security consideration as early as possible and take into full account area-specific requirements, conditions and considerations.

7.5 Protective Services for Senior UN Officials

Threats to senior UN officials may arise due to their potentially higher visibility, leadership role in the implementation of specific mandates and programmes, specific areas of operations as well as their previous positions within the UNSMS organizations or from prior service.

In some instances, when specific threats directed at senior UN officials are known, anticipated or identified through security risk assessments and where the capacity of the host countries and the existing UNSMS security arrangements are insufficient to provide adequate level of security to senior UN officials, Protective Services may be required to further mitigate elevated security risks.

Under the UN SRM approach, *the **deployment of Protective Services is subject to a risk-driven determination***. Protective Services can be arranged at the two following levels:

a) The Security Liaison Officer (SLO) function is to ensure security situational awareness and liaison with the UNSMS and the Host Government in circumstances when a sufficient level of security can be assured by the UNSMS and/or the Host Government at the country or mission level. The SLO is usually unarmed.

b) The Close Protection Unit (CPU) provides 24/7 close protection function through the deployment of multiple armed Protection Officers positioned in concentric layers of defence

to prevent or minimize the impact of specific threats, primarily though the timely extraction of the senior UN official from the area.

In rare situations, as a head of mission carrying DO duties, you may receive Protective Services if the below criteria were met. The country or mission under your responsibility may also be visited by senior officials of other UNSMS organizations. In such situations, the following applies:

a) The CSA/SA shall assess specific threats to the senior UN official in the country or mission, seeking advice from the DRO Threat and Risk Assessment Unit (TRU), and make recommendations as to whether Protective Services are required and at what level, taking into consideration the capacity of the Host Country as well as existing UNSMS security arrangements.

b) If specific threats to the visiting senior UN official are identified and the capacity of the Host Country is insufficient, existing UNSMS security capabilities at the country or mission level can be utilized for the provision of Protective Services at the required level.

c) In situations when Protective Services are recommended, but the Host Country and UNSMS at the country or mission level are lacking the capacity to ensure the adequate security of the senior UN official, Protective Services must be deployed from alternate locations. The costs of such

deployments must be borne by the office of the senior UN official receiving Protective Services.

d) *Protective Services are exceptional arrangements dictated by high risk and programme criticality* in situations when, on the background of elevated security threats directed at the senior UN official, security resources at the country or mission level are deemed insufficient to mitigate high or very high risk to the senior UN official, the DO may advise the office of the senior UN official to postpone the visit or to adjust its programme to minimize the security risk and apprise the USG DSS on such recommendation.

The DHSSS Protection Coordination Unit (PCU) can provide technical advice with regard to the above arrangements and facilitate the coordination of the deployment of Protective Services from outside of the country or mission if necessitated by the assessment.

7.6 Security of Implementing Partners

Personnel of Non-Governmental Organizations (NGOs), who have no direct contractual relationship with a UN organization, are not covered by the UNSMS. However, security collaboration between the UNSMS and implementing partners is important to enable programme delivery at the country or mission level.

"Saving Lives Together" (SLT) is a framework for UNSMS-NGO security collaboration in the field. The SLT does not seek a universal approach to security management to be followed by NGOs, but builds on the strengths of all partners involved. The SLT comprises six recommendations as follows:

a) Convening broad-based forums for field security collaboration and information sharing between NGOs and SMTs.

b) Meeting common UNSMS-NGO security related needs and sharing resources, including in the consolidated appeals or other fundraising mechanisms.

c) Facilitating inter-agency emergency telecommunications with a focus on inter-operable integral systems.

d) Collaborating and consulting on the development and delivery of contextually based security training to share training material and requirements.

e) Identifying minimum security standards on the basis of an agency or organization-specific SRA model.

f) Seeking adherence to Common Humanitarian Ground Rules (CHGR) to ensure that humanitarian assistance is impartial.

Depending on the situation, the SLT framework applies a staged approach for its implementation, including an Informal - Early warn-ing stage, when a country is listed on the Inter-Agency

Standing Committee (IASC) Early Warning list; Intermediate stage – when a country is identified as in crisis and eligible for the Consolidated Appeals Process (CAP), and the Full Spectrum stage – when conditions of open conflict and/or disaster are present.

* Note: The Inter-Agency Standing Committee (IASC) is the primary mechanism for inter-agency coordination of humanitarian assistance. It is a unique forum involving key UN and non-UN humanitarian partners.

DOs are encouraged to advise heads of UNSMS organizations at the country or mission level to promote the importance of the SLT framework within their respective organizations and to implementing partners. More information on the SLT can be found at *http://saving-lives-together.org*.

7.7 Security Related Entitlements and Allowances

As a DO, you need to be aware of the security-related entitlements that are payable to UN personnel and their eligible family members, as well as the security-related allowances that are payable to certain categories of UN personnel across the UN common system, for which you are required to provide input. Your role in the process is detailed below.

Security-related Entitlements

This term is used to describe the payments that are made to UN personnel and their eligible family members in cases of evacuation and/or relocation. Information on the allowances and the conditions under which these are payable may be found in the Security Policy Manual **(For more information on the Policy on Measures to avoid risk (Evacuation, Relocation and Alternate Work Modalities), as well as information on evacuation and relocation allowances, see Security Policy Manual, Chapter VI, Section A "Security Risk Management").**

Hardship Allowance

Most of the UN organizations' work is done in the field and often in duty stations where living and working conditions are difficult. The hardship allowance aims to compensate staff for difficult living conditions at these duty stations. Duty Stations are accorded a hardship classification that assesses the overall quality of life at a duty station and relies primarily on the completion by the duty station of a questionnaire on conditions of life and work. In determining the degree of hardship, consideration is given to local conditions of safety and security, health care, education, housing, climate, isolation and the availability of the basic amenities of life.

All duty stations are placed in one of six categories, H (Headquarters and similarly designated locations) and A to E, which are field duty stations, with category A being the least difficult. The hardship category of each duty station is reviewed at least once

every three years. In practice, however, many duty stations are reviewed more frequently as under established procedures, those with a difficult or volatile security situation, for example, must be looked at every year or more frequently.

DSS is requested to provide to the ICSC its security factor for the list of duty stations to be reviewed. When this list is received from the ICSC, DRO directs the request for review to the relevant senior security professionals in the field who will advise you on the level of the security factor to be assigned to the duty station in question. This advice, which you are asked to consider, should include information on the current security threats and risks determined through the Security Risk Management process. You will need to convene an SMT meeting to discuss this and revert to DSS with a recommendation that is reviewed before the security factors to be assigned to the duty stations under review are transmitted to the ICSC.

The ICSC convenes a tripartite Working Group *("ICSC Working Group for the Review of Conditions of Life and Work in Field Duty Stations")* consisting of representatives of its secretariat, the organizations and the staff federations to examine the duty stations in question in order to reach a recommendation on the overall classification of a duty station. DSS is invited to attend the working group when security issues are discussed to provide any clarifications required. The recommendation of the working group is sent to the ***Chairman of the ICSC who has the delegated authority to take final decisions on hardship classification matters***.

It is to be noted that those DOs who are also Resident Coordinators or Resident Representatives, are also responsible for ensuring that the ICSC Hardship questionnaires that are sent by the ICSC, are completed for the duty stations they cover, and to ensure broad participation in the completion of the questionnaire from all organizations that maintain a presence there.

Designation of Duty Station as Family or Non-Family/Rest and Recuperation Cycles

The term family and non-family is a designation used to indicate whether eligible staff members assigned to a duty station are able to have his or her eligible family members reside at the duty station. The designation impacts on whether the Additional Hardship Allowance (AHA) that was introduced to compensate internationally recruited staff for service in non-family duty stations is payable and is a factor in determining rest and recuperation cycles, as well as helpful to staff in making career decisions.

DSS does not actually designate duty stations as family or non-family. However, DSS is requested by the ICSC to provide information as to whether family restrictions for security purposes are in place at specific duty stations. As is the case for hardship classification, on the basis of the information provided by DSS, the Chairman of the ICSC, in consultation with the Tripartite Working Group, will decide whether to designate a duty station as family or non-family.

To determine whether family restrictions are in place for security purposes, DOs, in consultation with the SMT, are asked to provide DSS with specific information regarding situations where there are security restrictions in place for any or all eligible family members of internationally recruited personnel in a given area.

In situations where eligible family members must be relocated or evacuated from a duty station, that duty station will be deemed to have family restrictions in place. The UN will neither install nor allow the return of eligible family members to this duty station for the duration of the event that triggered the relocation/evacuation. The family restriction status may be abolished once the event that triggered the relocation/evacuation has stabilized or ended.

In the case of a duty station designated as a family duty station where there has been an evacuation of eligible family members for security reasons, at least six months must pass and there must be an indication given that restrictions on the presence of eligible family members is expected to continue in the foreseeable future before any change may be made to the designation of the duty station. If eligible family members return to the duty station within six months, then the duty station designation will not change; it will remain a family duty station, until such time as circumstances may dictate otherwise.

In the case of a new duty station, DSS is requested by the ICSC to indicate whether family restrictions for security purposes should be in place from the outset and whether this is likely to be the situation for a sustained period. It could also be the case that the

situation in a non-family duty station that has retained that design-nation for a while could change and it could be deemed that there are no longer family restrictions in place for security purposes and that this is expected to be the case for the foreseeable future. In such cases, the ICSC would also be informed accordingly.

Therefore, you must regularly review the status of any family restriction designations, in consultation with the SMT, when discussing the SRA and security risk management options within the SMT and ensure that your CSA/SA revises the SRA when any changes occur that might affect the status of family restrictions.

It is important to note that the ICSC has determined that the only factor that will influence whether a duty station is designated as family or non family is dependent on whether family restrictions are in place for security purposes and <u>not</u> on any other factors such as whether a duty station may have sufficient medical or housing facilities, which are factors normally considered and compensated for under the hardship scheme.

Danger Pay

Danger Pay is a special allowance established by the Interna-tional Civil Service Commission (ICSC) for internationally and locally recruited staff who are required to work where very dan-gerous conditions prevail. ***Danger pay has been implemented as of 1 April 2012, replacing Hazard Pay***. Danger pay also replaces ***Extended Hazard Pay*** and, as such, the conditions for the payment of danger pay no longer differ between

internationally recruited and locally recruited staff, except in terms of the amount payable.

For a duty station to be deemed as a 'danger pay' location, it needs to meet at least one of the following criteria:

a) UN staff or premises, owing to the very fact of their association with, or employment by, an organization of the UN common system, are clearly, persistently, and directly targeted in these locations, thus presenting an imminent and constant threat to staff and activities;

b) UN staff or premises are at high risk of becoming collateral damage in a war or active armed conflict; _or_

c) Non-protected environments where medical staff are specifically at risk to their life when deployed to deal with health emergencies as declared by the World Health Organization.

Every three months (unless exigent circumstances demand otherwise), DSS requests DOs in locations where danger pay is currently payable) to indicate whether the security situation in their respective areas of responsibility continue to meet any of the criteria in a) or b) above in order that DSS may review the submission. DOs may also initiate a request for danger pay if the situation in his/her area of responsibility meets criteria a) or b) above.

The DO, in providing recommendations to DSS for the application of Danger Pay, must ensure that his/her CSA/SA provides the DRO Desk Officer with i) an updated SRA; ii) a clear list and map of the locations proposed for danger pay; and iii) the number of international and local UN personnel in these locations; and iv) a detailed analysis of the prevailing security situation in these locations.

The USG DSS will review each case and make the appropriate recommendation to the Chairman of the ICSC who will take the final decision on whether or not to grant Danger Pay.

Situations may also arise where a security situation improves and the criteria for danger pay is no longer met. Following the same validation procedure described above, the USG DSS could recommend that payment of danger pay ceases.

DOs need to ensure that the CSA/SA and all other SMT members are aware of the criteria, amounts, and duration of danger pay. To ensure that all danger pay application processes remain credible, DOs should make sure that all documents submitted to DSS are accurate and include a rigorous security analysis of the relevant country/area.

For further information on the allowances described above, please refer to the ICSC's website at *http://icsc.un.org.*

FINAL NOTES

The Department of Safety and Security has developed this handbook primarily to outline key actions Designated Officials should take when preparing for and responding to safety and security matters in their areas of responsibility. The handbook provides you and your team with the most up-to-date and advanced guidance on how to make accurate, timely and transparent security management decisions to enable pro-gramme delivery.

The content presented here does not aim to replace more in-depth guidance or policy documents of the United Nations Security Management System; you are encouraged to use this handbook as one of many resources to assist in the execution of your safety and security functions.
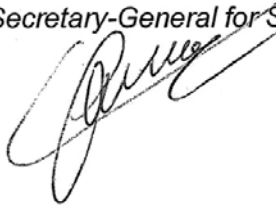
As a former Designated Official, I understand your security concerns and needs, and would like to assure you that UNDSS is always ready to support you. Today more than ever, we need a knowledgeable and skilled security community to meet the security challenges that you and others will certainly face. A greater awareness of security-related issues will in some cases help avert incidents and in most cases lessen their consequences.

I hope this handbook will play an important part in enhancing the safety of United Nations and humanitarian personnel and hope that you will find it of real value as you work to accomplish this vital aspect of your mission. We are committed to supporting you to enhance the safety and security of UN personnel and are deeply appreciative of your efforts.

Please remember that you are not alone and you always have our support.

Mbaranga Gasarabwe
Assistant Secretary-General for Safety and Security

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