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Programme budget for the biennium 2010-2011

Revised security management framework and revised estimates relating to the programme budget for the biennium 2010-2011 under section 5, Peacekeeping operations, related to a strengthened and unified security management system for the United Nations

Report of the Secretary-General

Summary

The present report comprises the revised framework for accountability of the United Nations security management system, including an update on the implementation of the new security level system that will replace the long-standing security phase system in January 2011 and a funding proposal for strengthening safety and security in high-risk locations, following an in-depth analysis of the position of the United Nations (see A/C.5/64/10).

Section I is submitted pursuant to paragraph 139 of General Assembly resolution 64/243, in which the Assembly endorsed the conclusions and recommendations of the Advisory Committee on Administrative and Budgetary Questions relating to safety and security for the biennium 2010-2011.

Section II is submitted pursuant to section VI, paragraph 3, of General Assembly resolution 64/245, in which the Assembly endorsed the conclusions and recommendations of the Chair of the Advisory Committee (see A/C.5/64/SR.20 and Corr.1) relating to additional emergency resources to enhance the level of security for United Nations staff working in Afghanistan and other high-threat locations. In that respect, the resource requirements for strengthening the safety and security of United Nations staff and premises at the United Nations Military Observer Group in India and Pakistan are presented in section II.

The actions to be taken by the General Assembly are set out in section III.

* A/65/150.



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I. Revised framework for accountability of the United Nations security management system

A. Background

1. In its resolution 56/255, the General Assembly noted with concern the lack of an accountability and responsibility mechanism in the area of field security and requested the Secretary-General to submit to it a report thereon. In response, the Secretary-General introduced the initial 2002 framework for accountability for the United Nations security management system (A/57/365), which the Assembly welcomed in its resolution 57/155.

2. The framework was revised by the Inter-Agency Security Management Network at its annual meeting in April 2005 and included in the report of the Secretary-General on a strengthened and unified security management system for the United Nations (A/61/531). The General Assembly, in its resolution 61/263, adopted the current framework for accountability.

3. Following the attack in Algiers in 2007, the report entitled “Towards a Culture of Security and Accountability” of the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide (commonly referred to as the “Brahimi report”),¹ highlighted the need for the framework for accountability to be reviewed in order to identify where further clarity might be needed.

4. Based on guidance from both the United Nations System Chief Executives Board for Coordination (CEB) and its High-level Committee on Management in the third quarter of 2008, the framework for accountability was extensively reviewed and updated by the Department of Safety and Security and submitted to the steering group of the Inter-Agency Security Management Network in 2009. The revised framework for accountability was further refined and submitted to the High-level Committee on Management at its September 2009 session and endorsed by CEB in early October 2009.

5. At the sixty-fourth session of the General Assembly, the Advisory Committee on Administrative and Budgetary Questions was informed of the actions taken with respect to two developments in the United Nations security management system following recommendations made by the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide.

6. Subsequently, in its report A/64/7/Add.16, endorsed by the General Assembly in its resolution 64/243, the Advisory Committee:

(a) Noted that the framework for accountability for the United Nations security management system had been revised and indicated that it expected that the revised framework would be submitted to the Assembly at the earliest opportunity (para. 14);

(b) Noted that a new threat-focused concept for a security level system was being developed and piloted and welcomed that approach, and looked forward to the results of the pilot project and the ensuing proposals from the Department of Safety and Security (para. 15).

¹ Available from www.un.org/News/dh/infocus/terrorism/PanelOnSafetyReport.pdf.

B. Revisions to the framework for accountability

7. As a result, the revised United Nations security management system framework for accountability now:

(a) Clarifies the roles and responsibilities of all actors in the United Nations security management system, including those not previously included in the preceding framework for accountability, such as local security assistants and the Executive Group on Security (see item (h) below);

(b) Includes a provision to recognize, without abrogating the responsibility of the host Government for its obligations, that in circumstances where United Nations staff are working in areas subject to conditions of insecurity that require mitigation measures beyond those which the host Government can reasonably be expected to provide, the United Nations has a duty as an employer to reinforce and, where necessary, supplement the capacity of the host Government to fulfil those obligations;

(c) Recognizes the changed environment in which the United Nations security management system is seeking to maintain operations by adopting a “how to stay” rather than “when to leave” approach to security management;

(d) Acknowledges clearly that in accepting responsibility and accountability for security management, 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 staff, premises and assets;

(e) Includes the revised mission statement of the United Nations security management system, which describes three principles by which a robust and cohesive security management system shall adhere;

(f) Details the mechanism by which existing and proposed security management policies, procedures and practices, as well as their implementation, are reviewed and determined;

(g) Further clarifies the decision-making responsibility of the Under-Secretary-General for Safety and Security and how it is conferred;

(h) Refers to the newly established Executive Group on Security (chaired by the Under-Secretary-General for Safety and Security, with its members appointed by CEB) and its role in advising, reinforcing and facilitating rapid decision-making of the Under-Secretary-General for Safety and Security;

(i) Reflects that in supporting the decentralized security management system, designated officials are accredited by the Secretary-General to the host Governments and have the requisite authority to take decisions in exigent circumstances, including on the mandatory relocation or evacuation of staff;

(j) Clarifies that in line with integrated peacekeeping operations, where the Head of Mission serves as the designated official, the security management team may also include heads of components, offices or sections, as specified by the designated official.

8. The revised framework for accountability for the United Nations security management system is included as annex I to the present report, and the roles and

responsibilities of the actors within the security management system are set out in annex II.

C. Security level system

9. The effective functioning of the United Nations security management system is dependent on having appropriate tools available to support the functioning of the system. One of those tools is the security risk management model predicated on security risk assessments in which the risks to United Nations staff, premises and assets are evaluated. The current security phase system, despite a number of revisions since its inception in 1980 to accommodate new operational realities, is incompatible with the security risk management approach now in place.

10. The importance of this issue was highlighted in the report of the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide, which, as a matter of priority, called for the replacement of the existing security phase system with a system in which country- and area-based security measures are determined on the basis of the security risk assessment. The recommendation was subsequently taken up by a steering committee of the High-level Committee on Management under the aegis of CEB.

11. At the sixty-fourth session of the General Assembly, the Advisory Committee on Administrative and Budgetary Questions was informed that the Department of Safety and Security was leading a project group to develop a new security level system and pilot testing new guidelines for determining acceptable risk. The Advisory Committee expressed interest in the results of the pilot project and the ensuing proposals (A/64/7/Add.16, para. 15).

12. In view of the significance of the proposals for the effective management of the United Nations security system, the report describes the results of the pilot scheme and the current position of the Department of Safety and Security on their implementation.

13. The project group, which comprised representatives from the specialized agencies, funds, programmes and various departments of the Secretariat, began its work in May 2009 by reviewing threat assessment methodologies, the revised security risk assessment process, the current security phase system and the revised framework for accountability. Based on that review, the group developed the security level system and, over the following months, pilot-tested the system with the security cells and security management teams in five countries/areas that had been approved by the steering committee of the High-level Committee on Management, namely Colombia, Israel/West Bank/Gaza, Kenya, Somalia and the Sudan. The group further revised the system to take account of the suggestions received at the country level.

14. Subsequently, all those involved in the pilot project were requested to conduct a self-test of the security level system on a wider range of locations in each country and to provide their opinions on various aspects of the system through an anonymous survey, the results of which indicated overwhelming support for the security level system over the security phase system.

15. The methodology described above ensured feedback from multidisciplinary groups at each stage of the development and testing of the security level system and

allowed the group to adjust and refine the new model, taking into account a wide range of field considerations.

16. The security level system is designed to support the broader United Nations security risk management process. It is a tool that can accurately and transparently reflect the specific threat-based security environment in which the United Nations system operates and is based on a structured threat assessment that has standardized categories of threats that can be assessed using standardized variables in a uniform way. This allows the same technical analytical process to be applied in all security level assessments worldwide. If there is a change in the security environment, the structured threat assessment can be revised easily and a new security level determined based on the factual information available.

17. In addition to determining a security level, the structured threat assessment in the security level system also informs the risk assessment. As noted in paragraph 9 above, it is in the context of the security risk assessment that risks to United Nations staff, premises and assets from threats in the environment are evaluated, and that assessment forms the basis for decisions on what security measures are needed. This differs from the current security phase system in which a change in the phase automatically triggers security measures and security-related entitlements. The security level system de-links those actions. Decisions made on the basis of the security risk assessment (and not the security level system) provide increased flexibility and fully support the new philosophy endorsed by CEB in April 2009, namely, a change from a “how to leave” to a “when to stay” mindset, which is intended to facilitate the continuing implementation of the mandates and activities of the United Nations system.

D. Implementation of the security level system

18. To ensure the effective transition from the security phase system to the security level system, an implementation date of 1 January 2011 was established, which allows for the implementation of the system to be carried out in three stages:

(a) Training: between March and September 2010, all security officers and officials in the United Nations security management system will have received training on the security level system and will have commenced preparation of the security levels in their countries. For those countries identified by the Department of Safety and Security as having complex security environments, training is being provided for the security management team and briefings are being provided to host Government officials, as appropriate;

(b) Preparation: by 30 October 2010 the security levels in all countries will have been determined, providing security professionals and the security management teams with an opportunity to apply and work with the security level system in their country/area before full implementation;

(c) Validation: by 30 November 2011 the Department of Safety and Security will have validated all security levels.

19. This preparatory period will also allow staff to be effectively informed of the new security level system through an information campaign consisting of brochures, posters, a list of frequently asked questions and briefings by security officials and officers to ensure that staff have a clear understanding of the new system.

20. As with any new system, the security level system may require small adjustments based on feedback during the preparatory period. Nonetheless, it is a major step forward in resolving the shortcomings of the security phase system, strengthening the United Nations security management system and enabling the efficient and effective implementation of United Nations system mandates, operations and activities.

E. Guidelines for acceptable risk

21. Also in support of the “how to stay” paradigm, and acknowledging that all risk cannot be totally eliminated, guidelines for acceptable risk have been developed that describe how the United Nations can accept higher levels of residual risk (i.e. whatever risk remains after risk management strategies have been applied) when there is a need to implement vital programmes. In so doing, the guidelines provide a basis on which risks may be balanced against the importance of the programme and also recognize that the higher the residual risk, the higher the level of collaboration and decision-making needed. For example, the Executive Director of the particular organization must be involved, along with the Under-Secretary-General for Safety and Security, in decisions to undertake extremely important programmes in situations of very high residual risk.

22. The project group pilot-tested at the same time the guidelines for acceptable risk and the security level system in five countries. While feedback from pilot test participants was very positive on the model, it was recognized that the part of the model dealing with determining “programme criticality” required clear definitions and the establishment of a clear framework for decision-making. Subsequently, the High-level Committee on Management established a high-level working group to examine those issues more closely with a view to presenting its conclusions to CEB at its spring 2011 session.

II. Revised estimates relating to the programme budget for the biennium 2010-2011 under section 5, Peacekeeping operations

A. Background

23. On 10 March 2010, in a statement to the General Assembly at the first part of its resumed sixty-fourth session (see A/C.5/64/SR.26), a representative of the Secretary-General provided an update on the Secretariat’s response to the general security situation in Afghanistan and other high-threat locations, which had been brought to the attention of the General Assembly in a letter from the Secretary-General dated 9 December 2009 (A/C.5/64/10). The deterioration of the general security situation was acknowledged by the Secretariat. However, at that stage it was not in a position to provide a detailed proposal for Afghanistan and other high-threat locations owing to the limited time available to examine the security enhancement options and the necessity to consult with agencies, funds and programmes to gain their agreement on the jointly financed funding portion where services or facilities are not appropriately funded by the regular budget.

24. Since then, the agencies, funds and programmes present in Afghanistan and Pakistan, as well as the United Nations Assistance Mission in Afghanistan, have continued to invest in their respective security needs. The Department of Safety and Security provided additional support in the supply of essential security equipment for Pakistan.

25. Recent attacks in Pakistan include the incident at the World Food Programme compound in October 2009 and the January 2010 attack in Muzaffarabad, close to the United Nations Children's Fund office. The Department of Safety and Security determined that the United Nations Military Observer Group in India and Pakistan (UNMOGIP) was vulnerable, and a security assessment was conducted at the headquarters compound of UNMOGIP to identify gaps and recommend immediate mitigation measures.

26. The security assessment indicated that, in order to face the current security challenges, enhanced measures should be implemented in the form of immediate improvements to the physical security of the headquarters compound as well as additional security staff.

27. The current headquarters compound in the diplomatic enclave was given to the United Nations by the host Government in 1991. The UNMOGIP headquarters moved to this plot from Rawalpindi on 1 November 2007 because of damage to the headquarters caused by an earthquake. The present proposal takes into account the improvements already covered in the programme budget for the biennium 2010-2011 and proposes additional requirements such as blast walls, Hesco bastions, security lighting and physical resources that are suitable for the security threat faced by UNMOGIP.

28. UNMOGIP has seven field stations located along the side of Kashmir that is administered by the Government of Pakistan, and its headquarters is located in Islamabad. There are four field stations on the side administered by the Government of India, two rear headquarters in Srinagar and a liaison office in Delhi (military observers and national staff on the Indian side are not affected by the security situation in Pakistan). Furthermore, 26 international and 48 national staff members are present in the Islamabad office. Taking into account the leave, rest and recuperation cycle, it is estimated that an average of 20 international staff are present at all times in the Islamabad office. In addition, 4 military observers are present at all times in the office, with another 7 present for half of the year (while the mission headquarters is based in Islamabad); 18 military observers are located in the seven field stations in Pakistan and 15 in the four field stations in India. The organization chart for UNMOGIP is provided in annex III.

29. In view of the rapidly changing security climate, in which threat levels may fluctuate according to an event or adverse pronouncement, there is a need to make immediate safety decisions at the UNMOGIP compound. This cannot be achieved with the present approach and staffing levels. Accordingly, additional resources are required as reflected below.

B. Resource requirements

Summary of resource requirements of UNMOGIP for 2010-2011, by object of expenditure

(Thousands of United States dollars)

<i>Object of expenditure</i>	<i>Initial appropriation</i>	<i>Additional requirements</i>	<i>Estimate</i>
Posts	9 314.5	147.7	9 462.2
Other staff costs	3 093.8	—	3 093.8
Travel of staff	1 012.8	—	1 012.8
Contractual services	179.2	—	179.2
General operating expenses	1 968.6	—	1 968.6
Hospitality	3.2	—	3.2
Supplies and materials	1 097.8	—	1 097.8
Furniture and equipment	860.2	615.0	1 475.2
Improvement of premises	—	2 396.0	2 396.0
Total (net of staff assessment)	17 530.1	3 158.7	20 688.8

30. On the basis of the Department of Safety and Security's assistance visit to UNMOGIP on 12 November 2009 and the resulting final report dated 6 February 2010, additional resource requirements have been identified as essential for staff security.

Posts (\$147,700)

31. The current complement of staff requires strengthening to improve the coverage of basic minimum operating security standards. The proposed posts to be established effective 1 January 2011 are one Chief Security Officer at the P-4 level and one Security Information Assistant at the Local level. The two posts will strengthen the security management structure of the mission to the level required for staff safety and security as determined by the Department of Safety and Security. The Chief Security Officer will advise the Head of UNMOGIP on security matters, interact with local Pakistani security authorities and provide leadership on the full range of security tasks needed to support the mission. The Security Information Assistant will assist in the collection and management of security-related information.

Furniture and equipment (\$615,000)

32. A provision of \$615,000 comprises the cost of three armoured trucks (\$420,000) and 130 flak jackets and helmets (\$195,000). The armoured trucks consist of one vehicle to be based in Islamabad for dedicated use by the security section to permit rapid intervention/extraction when mission staff require assistance in the event of a security incident; a second vehicle also based in Islamabad for use on visits to UNMOGIP field stations at Domel (distance 160 km), Rawalakot (distance 250 km), Kotli (distance 230 km), Bhimber (distance 260 km), Sialkot (distance 277 km), Gilgit (distance 750 km) and Skardu (distance 990 km); and a third vehicle to be based in Srinagar for use in crisis situations. These armoured

vehicles are critical in mitigating vulnerability in road movements, especially in areas where there could be roadside bombs and planned attacks. In addition, 130 new flak jackets and helmets are requested to replace flak jackets and helmets that are inadequate for the increased threat level.

Improvement of premises (\$2,396,000)

33. The provision of \$2,396,000 comprises the costs of replacing existing porta-cabin exterior walls and roofs with a more durable structural external membrane in the amount of \$1,450,600; constructing a 12-by-8-metre safe room and a concrete brick wall facade to prevent the effects of vehicle-borne improvised explosive devices (\$459,000); purchasing a firefighting system (\$337,200); and installing a sally port (Hesco bastions), reinforced main gate, additional perimeter lighting and biometric movement access control (\$149,200).

III. Actions to be taken by the General Assembly

34. **The General Assembly is requested to take note of the revised framework for accountability for the United Nations security management system.**

35. **The General Assembly is also requested to:**

(a) **Approve the establishment of two new posts (1 P-4 and 1 Local level) for UNMOGIP effective 1 January 2011 under the programme budget for the biennium 2010-2011;**

(b) **Appropriate a total amount of \$3,181,100 under the programme budget for the biennium 2010-2011 comprising increases under section 5 (\$3,158,700) and section 35, staff assessment (\$22,400), to be offset by a corresponding amount under income section 1, Income from staff assessment.**

Annex I

Inter-organizational security measures: framework for accountability for the United Nations security management system

A. Scope

1. The primary responsibility for the security and protection of personnel employed by the United Nations system organizations, their spouses, recognized dependants and property and the property of the organizations rests with the host Government. This responsibility flows from every Government's normal and inherent function of maintaining order and protecting persons and property within its jurisdiction. In the case of international organizations and their officials, the Government is considered to have a special responsibility under the Charter of the United Nations or the Government's agreement with a particular organization.

2. Without prejudice to the above and while not abrogating the responsibility of the host Government for its obligations, the United Nations has a duty as an employer to reinforce and, where necessary, to supplement the capacity of the host Government to fulfil those obligations in circumstances where United Nations personnel are working in areas subject to conditions of insecurity that require mitigation measures beyond those which the host Government can reasonably be expected to provide; the present framework for accountability specifies the responsibilities and accountabilities of United Nations officials and personnel for such measures.

3. In this regard, the United Nations security management system, in seeking to establish and maintain operations in insecure and unstable environments, adopts the principle of "how to stay" as opposed to "when to leave" as a tenet of its approach.

4. In accepting responsibility and accountability for security management, the United Nations recognizes 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 its personnel, premises and assets.

B. Mission statement

5. The goal of the security management system is to enable the United Nations to conduct its activities while ensuring the safety, security and well-being of personnel and the security of United Nations premises and assets.

6. To achieve this goal, all organizations shall maintain a robust and cohesive security management system and adhere to three principles:

- (a) Determination of acceptable risk;
- (b) Provision of adequate and sustainable resources to manage the risk to personnel and their eligible dependants, premises and assets;
- (c) Development and implementation of security policies and procedures.

C. Governance mechanism

7. The governance of the United Nations security management system as a whole consists of the following elements:

(a) The Inter-Agency Security Management Network (IASMN), consisting of the senior managers who have oversight of security functions within each member organization of the security management system, reviews existing and proposed policies, procedures and practices of the system and their implementation and provides recommendations on them to the High-level Committee on Management;

(b) A comprehensive review of policies and resource-related issues pertaining to the entire United Nations security management system is a standing item on the agenda of the High-level Committee on Management; the Committee reviews the recommendations made by IASMN and either decides on them directly or recommends their endorsement and implementation to the United Nations System Chief Executives Board for Coordination (CEB), which is chaired by the Secretary-General.

D. Actors within the United Nations security management system

Secretary-General

8. Under Article 97 of the Charter of the United Nations, the Secretary-General is the chief administrative officer of the Organization; the mandates promulgated by the principal organs are entrusted to him for their implementation under Article 98. The Secretary-General is thus accountable to the Member States for the proper running and administration of the Organization and the implementation of its programmes, including in the context of this framework, the overall safety and security of United Nations personnel, premises and assets at headquarters and field locations. The Secretary-General can delegate authority to the various Under-Secretaries-General, who are individually accountable to him.

Under-Secretary-General for Safety and Security

9. The Under-Secretary-General for Safety and Security is appointed in writing by the Secretary-General to whom he/she reports and is accountable. The Secretary-General delegates to the Under-Secretary-General for Safety and Security the authority to make executive decisions relevant to the direction and control of the United Nations security management system and the overall safety and security of United Nations personnel, premises and assets at both field and headquarters locations. He/she represents the Secretary-General on all security-related matters and serves as the Chair of IASMN. He/she is responsible for developing security policies, practices and procedures for the United Nations system worldwide and coordinating with the organizations of the United Nations system to ensure implementation, compliance and support with regard to the security aspects of their activities; preparing reports of the Secretary-General on all security-related matters; and advising the Secretary-General on all matters related to the security and safety of the United Nations system.

Executive Group on Security

10. The members of the Executive Group on Security are appointed by CEB. When requested by the Under-Secretary-General for Safety and Security, the members of the Group provide advice and reinforce and facilitate the rapid decision-making authority and accountability of the Under-Secretary-General for Safety and Security, in accordance with its terms of reference. The members of the Group have a responsibility to support the Under-Secretary-General in the discharge of his/her mandate related to the safety and security of all personnel employed by the organizations of the United Nations system and their recognized dependants, premises and assets.

Executive heads of United Nations system organizations^a

11. The executive heads of the United Nations agencies, funds and programmes are responsible and accountable to the Secretary-General for ensuring that the goal of the United Nations security management system is met within their respective organizations. Without prejudice to their accountability to their own governing and legislative bodies, the executive heads of the specialized agencies and other organizations participating in the United Nations security management system recognize the coordinating role and authority of the Secretary-General in matters related to the safety and security of United Nations personnel and commit themselves to ensuring that the goal of the security management system is met.

Senior security managers and/or security focal points at headquarters

12. The executive heads will appoint a senior security manager and/or a security focal point at their respective headquarters to be responsible for coordinating the organization's response to safety and security and providing the executive head and all the relevant actors with advice, guidance and technical assistance.

Designated officials

13. In each country or designated area where the United Nations is present, the senior-most official is normally appointed in writing by the Secretary-General as the designated official for security and is accredited to the host Government as such. The designated official is accountable to the Secretary-General, through the Under-Secretary-General for Safety and Security, and is responsible for the security of United Nations personnel, premises and assets throughout the country or designated area.^b The Secretary-General delegates to the designated official the requisite authority to take decisions in exigent circumstances, including, but not limited to, the mandatory relocation or evacuation of personnel. This authority and decisions taken pursuant to it shall remain subject to the authority and review of the Under-Secretary-General for Safety and Security. The designated official is responsible for

^a Includes the major organizational units of the Secretariat that have heads which are officially accountable to the Secretary-General, other bodies subsidiary or related to the United Nations, such as the agencies, funds and programmes, and organizations participating in the United Nations security management system.

^b Elected executive heads of specialized agencies appointed as designated officials remain accountable to their respective governing bodies and carry out their designated official functions on the basis of specific bilateral arrangements agreed with the Department of Safety and Security.

ensuring that the goal of the United Nations security management system is met in his/her country or area.

Representatives of organizations participating in the United Nations security management system

14. Representatives of organizations of the United Nations system at the country level who participate in the security management system are accountable to the Secretary-General through their respective executive heads or to the executive heads of the specialized agencies, as appropriate, for all matters related to the security of their personnel at the duty station.

Security management team

15. The security management team will consist of the designated official, who acts as Chair, the head of each United Nations organization present at the duty station and the chief security adviser/officer. The team advises the designated official on all security-related matters.

16. In peacekeeping missions, where the Head of Mission serves as the designated official, the security management team may also include heads of components, offices or sections, as specified by the designated official. The heads of military and police components of peacekeeping missions will always serve as members of the team.

17. The members of the team are responsible for supporting the designated official in the discharge of his/her mandate related to the safety and security of United Nations personnel, premises and assets.

Area security coordinators

18. Area security coordinators are staff members appointed in writing by the designated official, in consultation with the security management team, in areas of larger countries that are separated from the capital in terms of both distance and exposure, in order to coordinate and control security arrangements applicable to the personnel, premises and assets in their area of responsibility. Area security coordinators are accountable to the designated official for their security-related responsibilities, in accordance with their respective letters of appointment.

Chief security advisers/security advisers

19. The chief security adviser/security adviser is a security professional appointed by the Under-Secretary-General for Safety and Security to advise the designated official and the security management team in their security functions. The adviser reports to the designated official and maintains a technical line of communication to the Department of Safety and Security. In countries where a deputy security adviser is authorized, these provisions also apply to that individual.

Chief security officers

20. In some countries where peacekeeping missions are deployed and the Head of Mission is appointed as the designated official for that country or area, there may be no presence of security professionals appointed by the Under-Secretary-General for

Safety and Security. Under those circumstances, the mission's chief security officer will act as a security adviser and assume that level of accountability.

Country security focal points

21. In the absence of a chief security adviser/security adviser, the designated official, in consultation with the Department of Safety and Security and the staff member's employing organization, will appoint an international staff member to act as country security focal point for the security management team. The focal points are accountable to the designated official, through their head of agency, for the security-related responsibilities, in accordance with their respective letters of appointment.

Other security personnel of the Department of Safety and Security

22. The Department of Safety and Security personnel at Headquarters and in the field are responsible for assisting the designated official and agencies, funds, programmes and organizations of the United Nations system and are accountable to the Under-Secretary-General according to the terms of the Department of Safety and Security internal framework for accountability.

Single-agency security officers

23. Single-agency security officers are security professionals hired by organizations of the security management system to advise their respective organizations and to be responsible for the security aspects of activities that are specific to their organizations. Single-agency security officers are accountable to their respective organizations and at the same time are responsible for supporting the designated official under the coordination of the chief security adviser/security adviser.

24. Single-agency security officers act as the chief security adviser/security adviser ad interim for a specified period when required and requested. This is confirmed in writing by the designated official, following consultation with the relevant head of agency, and includes the terms of reference of the chief security adviser/security adviser for accountability purposes.

Local security assistants

25. The local security assistant is recruited at the country level by the Department of Safety and Security, an agency, fund or programme or missions led or supported by the Department of Peacekeeping Operations.

26. Under the immediate supervision of the respective security professional, the local security system provides assistance in preparing security risk assessments, minimum operating security standards, minimum operating residential security standards and contingency plans and monitors the implementation of security policies and procedures and all matters pertaining to the safety and security of personnel, premises and assets. It is important to note that the security professionals maintain responsibility and accountability for safety and security in accordance with the framework for accountability.

Wardens

27. Wardens are appointed in writing by the designated official/area security coordinator, in consultation with the security management team, to assist in the implementation of the security plan. Wardens are accountable to the designated official/area security coordinator for their security-related functions, irrespective of their employer organization.

Personnel employed by organizations of the United Nations system

28. Personnel employed by the organizations of the United Nations system are accountable to their respective organizations. All such personnel, regardless of rank or level, have the responsibility to abide by security policies, guidelines, directives, plans and procedures of the United Nations security management system and their organizations.

E. Conclusion

29. The present framework for accountability provides clear guidance on how to enable the United Nations to conduct its activities while ensuring the safety, security and well-being of its personnel and the security of its premises and assets. This goal may be attained by ensuring that all actors of the United Nations security management system are empowered by providing them with the necessary resources and training and a clear understanding of their roles and responsibilities.

30. The roles and responsibilities of all actors of the United Nations security management system for which they will be held accountable can be found in annex II.

Annex II

Roles and responsibilities of actors within the United Nations security management system

Secretary-General

1. The Secretary-General has overall responsibility for the safety and security of United Nations personnel, premises and assets at headquarters and field locations.

Under-Secretary-General for Safety and Security

2. The Under-Secretary-General for Safety and Security:
 - (a) Advises the Secretary-General on all matters related to the security and safety of personnel, premises and assets of the United Nations system;
 - (b) Represents the Secretary-General on all security-related matters;
 - (c) Leads and manages the Department of Safety and Security;
 - (d) Chairs the Inter-Agency Security Management Network;
 - (e) Prepares and publishes an internal framework for accountability documenting individual roles, responsibilities and accountabilities related to safety and security in his/her department;
 - (f) Oversees the development of security policies, practices and procedures for the United Nations system worldwide;
 - (g) Coordinates with the organizations of the United Nations system to ensure implementation, compliance and support with regard to the security aspects of their activities;
 - (h) Prepares reports of the Secretary-General on all security-related matters;
 - (i) Directs the organizational response to crisis management as required.

Executive Group on Security

3. When requested by the Under-Secretary-General for Safety and Security, or at the request of any Executive Group on Security member, the Group:
 - (a) Advises the Under-Secretary-General for Safety and Security in situations where a rapid decision is required to avoid loss of life or to resolve an impasse at the security management team level;
 - (b) Meets as requested by the Under-Secretary-General or confers with the Under-Secretary-General by telephone or other means when the situation does not permit a meeting;
 - (c) Supports the Under-Secretary-General in the implementation of his/her decision taken in consultation with the Executive Group on Security.

Executive heads of United Nations organizations^a**4. The executive heads of United Nations organizations:**

- (a) Implement the “no programme without security, no security without resources” strategy in all programmes;
- (b) Ensure that safety and security are core components of all programmes and activities and that security risk assessments are considered and given due priority from the start of all planning processes;
- (c) Prepare and publish an internal framework for accountability documenting individual roles, responsibilities and accountabilities related to safety and security for their organization;
- (d) Ensure that all managers and personnel working for them not only support the Secretary-General but also discharge their responsibilities in ensuring compliance with the United Nations security management system;
- (e) Liaise closely with the Under-Secretary-General for Safety and Security to ensure a coherent system-wide approach to security;
- (f) Have a collective responsibility to work together to implement and contribute to the development of the United Nations security management system;
- (g) Act as advocates in all available forums to ensure that Member States provide for the safety and security of all personnel, premises and assets of the United Nations system and that crimes against United Nations personnel, premises and assets are not tolerated and the perpetrators are brought to justice;
- (h) Have a “duty of care” to ensure that personnel employed by their own organization and the recognized dependants of those personnel are not exposed to unacceptable risk and that all measures are taken to mitigate risks;
- (i) Appoint a senior security manager and/or security focal point at Headquarters;
- (j) Recognize and reward good performance in security management by including security in job descriptions and performance appraisals, and address cases of non-compliance at all levels in the organization;
- (k) Address specific security concerns for women as required.

Senior security managers and/or security focal points at Headquarters**5. The senior security managers and/or security focal points:**

- (a) Advise the executive head and senior management on security matters and keep them updated on security management issues;
- (b) Ensure that representatives of their organization are aware that they must participate fully in the security management team as applicable;

^a Includes: the major organizational units of the Secretariat that have heads which are officially accountable to the Secretary-General, other bodies subsidiary or related to the United Nations, such as the agencies, funds and programmes, and organizations participating in the United Nations security management system.

- (c) Assist in and support the mobilization of resources to assist field offices in the implementation of security requirements;
- (d) Serve as a member of the Inter-Agency Security Management Network and other senior-level forums;
- (e) Work in close association with the Department of Safety and Security and other members of the Network and support the Under-Secretary-General for Safety and Security in the discharge of his/her responsibilities;
- (f) Provide advice to representatives of their organization for the implementation of security policies and procedures as applicable;
- (g) Ensure that all personnel of their organization and the recognized dependants of those personnel are aware of security training requirements and facilitate the provision of security training and briefings;
- (h) Disseminate information and educational materials regarding security matters;
- (i) Monitor and report on compliance with security policies, practices and procedures.

Designated officials

6. The designated officials:

- (a) Implement the arrangements detailed in United Nations security policies and procedures and develop and implement the required plans for the duty station with the aim of maintaining the security and safety of United Nations personnel, premises and assets;
- (b) Engage with the authorities of the host country to advocate full implementation of the host country's security responsibilities in respect of United Nations personnel, premises and assets;
- (c) Apply the security risk management approach to all United Nations activities and operations;
- (d) Manage and direct all security activities at the duty station;
- (e) Recommend to the Under-Secretary-General for Safety and Security nominations of suitable individuals to act as designated official ad interim; such appointees will be the head of an agency, fund, programme or organization;
- (f) Keep the Secretary-General informed, through the Under-Secretary-General for Safety and Security, of all developments in the country that have a bearing on the safety and security of the United Nations system;
- (g) In the event that operational matters affect safety and security, communicate this information to the Under-Secretary-General for Safety and Security;
- (h) Implement any arrangements decided by the Secretary-General in support of the host Government's measures for the safety and security of United Nations personnel, premises and assets, and maintain liaison with the Government of the host country on matters concerning the safety and security of United Nations personnel, premises and assets;

(i) Collaborate on safety and security matters with intergovernmental and non-governmental organizations working as operational partners of the United Nations system in accordance with established guidelines;

(j) Chair the security management team and submit minutes of its meetings to the Department of Safety and Security;

(k) Keep the members of the security management team, as well as the senior officials of each organization at the duty stations, as applicable, fully apprised of all security-related information and measures being taken in the country;

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

(m) Maintain a fully integrated operational communications system for security management;

(n) In consultation with the security management team, appoint area security coordinators and wardens, verify that they are adequately trained and equipped and provide their parent agency with input for the individual's performance appraisal;

(o) Prepare special arrangements, agreed on an inter-agency basis, for the evacuation of internationally recruited personnel and an internal relocation plan for locally recruited personnel;

(p) In an emergency where it has not been possible to communicate with the Under-Secretary-General for Safety and Security, use their best judgement in carrying out relocations/evacuations and report to the Secretary-General, through the Under-Secretary-General for Safety and Security, immediately thereafter;

(q) Provide all United Nations personnel and their recognized dependants with information on specific measures they should take in relation to the security plan and ensure that all such personnel receive adequate and appropriate security training;

(r) Provide all requested reports to the Department of Safety and Security, as outlined in the United Nations security policy handbook or other directives from the Under-Secretary-General for Safety and Security;

(s) Take appropriate action when advised of non-compliance with United Nations security policies, practices and procedures, including referral to the organization concerned, and report serious instances of non-compliance to the Under-Secretary-General for Safety and Security;

(t) Address specific security concerns for women as required;

(u) If applicable, appoint, in consultation with the employing organization, a country security focal point and ensure that the country security focal point receives appropriate training to fulfil his/her responsibilities.

G. Representatives of organizations participating in the United Nations security management system

7. The representatives:

- (a) Implement appropriate action to provide for the safety and security of their respective personnel and their recognized dependants at the duty station;
- (b) Ensure that safety and security is a core component of their respective programmes in the country and that appropriate funding is provided;
- (c) Consult with and assist the designated official on all matters concerning security and on the implementation and maintenance of the security plan, minimum operating security standards and minimum operating residential security standards;
- (d) Serve as a member of the security management team;
- (e) Advise the designated official, chief security adviser and the respective security focal point at Headquarters on the particular concerns of their organization regarding security;
- (f) Ensure full and complete compliance by their personnel and their recognized dependants with all security-related instructions;
- (g) Take action on instances of non-compliance with security policies, practices and procedures and advise the designated official on action taken;
- (h) Ensure that activities of their organization are conducted in a way that manages the risks to personnel, premises and assets;
- (i) On a regular basis, provide the designated official with updated lists of personnel and their recognized dependants in the country;
- (j) Routinely advise the designated official regarding the whereabouts and the movement of their personnel and recognized dependants, in accordance with procedures established at the duty station;
- (k) Report to the designated official and the respective security focal point at Headquarters all security-related incidents;
- (l) Report all recognized dependants residing at the duty station of internationally recruited staff who are serving elsewhere so they are accorded the same provision for security as dependants of international staff serving at the duty station;
- (m) Ensure that arrangements are in place for intergovernmental and non-governmental organizations working as operational partners with the United Nations agencies concerned;
- (n) Ensure that the movement of all personnel is undertaken in accordance with United Nations system rules and procedures;
- (o) Equip their respective personnel with required safety and security equipment as specified in minimum operating security standards and train them in its use;
- (p) Require that their respective personnel attend appropriate security awareness training and briefings;

- (q) Attend all security training for members of the security management team;
- (r) Coordinate activities of agency security personnel, where applicable, with the designated official.

Security management team

8. The team:

- (a) Collectively provides advice and support to the designated official;
- (b) Meets on a regular basis to review the prevailing situation and ensures that security is being managed effectively at all locations throughout the country where personnel employed by the United Nations system are present;
- (c) Ensures that there are functioning and effective security and contingency plans that are maintained and implemented for all locations throughout the country where personnel employed by the United Nations system and their recognized dependants are present;
- (d) Ensures that lists of personnel and their recognized dependants are up to date;
- (e) Ensures that all area security coordinators and wardens are trained, equipped and able to carry out their responsibilities;
- (f) Establishes minimum operating security standards and minimum operating residential security standards, based on a credible security risk assessment, at all locations throughout the country where personnel employed by the United Nations system and their eligible dependants are present, including the monitoring of its implementation and compliance;
- (g) Ensures that resources are available to implement all approved measures;
- (h) Provides input to the performance appraisal of senior security officers employed in the country by the United Nations system, as appropriate;
- (i) Addresses specific security concerns for women as required.

Area security coordinators

9. The coordinators:

- (a) Act under the authority of the designated official to coordinate and control the security arrangements for operations in their area of responsibility;
- (b) Appoint wardens for their area of responsibility;
- (c) Develop and maintain area-specific security plans;
- (d) Maintain lists of personnel employed by the organizations of the United Nations system and their recognized dependants at their location;
- (e) Coordinate the implementation of minimum operating security standards, based on an up-to-date security risk assessment prepared by a security adviser;
- (f) Keep the designated official systematically informed regarding incidents or developments in their area of responsibility that have a bearing on the security

and safety of personnel employed by organizations of the United Nations system and their recognized dependants;

- (g) Convene meetings of the area security management team;
- (h) Manage the security clearance system for their area of responsibility.

Chief Security Advisers/security advisers^b

10. The advisers:

(a) Serve as principal adviser to the designated official and the security management team on all aspects of security management, crisis readiness and preparedness at their respective duty stations and in the execution of responsibilities with regard to the security of personnel employed by the organizations of the United Nations system and their eligible dependants, premises and assets;

(b) Participate in and provide security inputs to operational planning;

(c) Cooperate closely on security matters with representatives of organizations at the country level and all other officials of the United Nations system at the duty station to ensure the best possible security management;

(d) Manage the security unit, including personnel, finance, budget and logistics;

(e) Assist with security operations conducted by agencies as requested;

(f) Establish and chair a security cell for duty stations where there are also single-agency security officers in order to ensure that all security officers at the duty station are working together to further security management;

(g) Prepare appropriate records of meetings of the security cell;

(h) Develop contacts with national security agencies with a view to obtaining the best possible protection for personnel employed by the organizations of the United Nations system and their recognized dependants and their property;

(i) Serve as a member of the security management team at the country level;

(j) Undertake security risk assessments for all locations in the country where personnel of the organizations of the United Nations system and their recognized dependants are present and facilitate the implementation of recommended mitigating measures;

(k) Prepare, maintain and update the country-specific security plan, contingency plans and security lists of personnel employed by the organizations of the United Nations system and their recognized dependants;

(l) Prepare and maintain current, feasible and implementable plans for relocation/evacuation to a safe area;

(m) Maintain an effective and functioning security and emergency communications system;

^b These terms apply to the senior security professional directly supporting the designated official. Where a Chief Security Adviser or security adviser is not present, this term is equivalent to the titles of Chief Security Officer and Chief of Security and Safety Services.

(n) Establish a system for briefing all personnel employed by the organizations of the United Nations system and their recognized dependants upon arrival, providing local security training as necessitated by changes in the security environment and ensuring that such personnel are kept informed of matters affecting their security;

(o) Maintain up-to-date instructions for personnel employed by the organizations of the United Nations system and their eligible dependants on precautions they should take in relation to the implementation of the security plan, including providing a comprehensive listing of emergency supplies they should have on hand and providing guidance on their behaviour during emergencies, including natural disasters and political crises;

(p) Report all cases in which personnel employed by the organizations of the United Nations system and/or their recognized dependants have been victims of crime;

(q) Conduct security surveys of residential areas and premises;

(r) Maintain an appropriate level of confidentiality regarding security matters;

(s) Advise and assist the designated official and the security management team in the development and implementation of minimum operating security standards and minimum operating residential security standards;

(t) Maintain regular communications with their respective regional desk and submit all mandatory reports in a timely manner to Department of Safety and Security;

(u) Report to the designated official and concerned representatives of organizations all instances of non-compliance with security policies, practices and procedures.

Country security focal points (applicable in countries where no professional security staff are assigned)

11. The focal points:

(a) Manage day-to-day security-related matters supported by the Department of Safety and Security;

(b) Maintain up-to-date lists of personnel and their recognized dependants;

(c) Prepare, maintain and update the country-specific security plan;

(d) Submit all mandatory reports in a timely manner to the Department of Safety and Security;

(e) Immediately report all security-related incidents involving United Nations staff and their recognized dependants to the designated official and the Department of Safety and Security;

(f) Assist the designated official and the security management team in the development and implementation of minimum operating security standards and minimum operating residential security standards, based on a security risk assessment;

- (g) Serve as a member of the security management team;
- (h) Provide information on residential security to international staff.

Other personnel of the Department of Safety and Security

12. The chief security officer and safety services/sections:

- (a) Provide for the security and safety of delegates, staff, visiting dignitaries and other visitors within a United Nations complex at Headquarters and offices away from Headquarters;
- (b) Assist the chief security adviser and participate in the work of the security cell for the development of security policies and procedures as appropriate;
- (c) Prepare, monitor and maintain safety and security standard operating procedures and systems, are responsible for emergency preparedness and crisis management and conduct security risk assessments;
- (d) Manage all human resources, financial, budgetary and logistical matters for their respective service/section;
- (e) Provide standardized and specialized training for staff and security personnel;
- (f) Provide personal protection for United Nations senior officials and dignitaries present and/or visiting their area of responsibility as required;
- (g) Advises and assists the designated official and security management team in the development and implementation of relevant minimum operating security standards;
- (h) Coordinates with local authorities and local law enforcement agencies;
- (i) Cooperates closely on security and safety matters with all other offices of the United Nations system at the duty station to ensure the best possible security management;
- (j) Retains day-to-day operational responsibility and reporting in accordance with the reporting lines established for the duty station;

13. The chief security officer for peacekeeping missions (where the Head of Mission is not the designated official and where a Department of Safety and Security chief security adviser is present):

- (a) Manages the day-to-day operations of the security section and serves as the mission security adviser to the Head of Mission on all security-related matters;
- (b) Coordinates with the chief security adviser and participates in the security cell for the development of security policies and procedures;
- (c) Contributes to security risk assessments for all locations in the mission area where personnel are present and actively participates in the planning and evaluation of the effectiveness of the country security plans and other aspects of security operations;
- (d) Reviews and monitors activities related to the mission security programme and mission security plans; identifies air and land evacuation requirements to be used in emergencies;

- (e) Maintains emergency communications by making periodic checks to determine whether the system is operational and functioning properly;
- (f) Establishes a 24-hour emergency response system;
- (g) Maintains continuing awareness of prevailing local security conditions, identifying probable threats and advising mission and project personnel to follow appropriate preventative steps;
- (h) Provides personal protection for senior personnel or visiting VIPs as required;
- (i) Compiles and maintains an updated staff list, which includes all mission personnel, including visiting missions and consultants;
- (j) Monitors and evaluates office physical security measures and conducts security surveys of installations and facilities;
- (k) Provides training and advice to mission personnel on minimum operating residential security standards, as well as determining the need for such resources.

14. The field security coordination officers (responsible and accountable to the chief security adviser/security adviser):

- (a) Implement all aspects of security management, crisis readiness and preparedness at the duty station;
- (b) Prepare, maintain and update country-specific security plans, contingency plans and security listings of personnel employed by organizations of the United Nations system and their recognized dependants;
- (c) Undertake security risk assessments for all locations in the country/area where personnel employed by organizations of the United Nations system and their recognized dependants are present;
- (d) Establish contacts with national law enforcement agencies with a view to obtaining the best possible protection for personnel employed by the organizations of the United Nations system and their recognized dependants;
- (e) Conduct security surveys of residences and premises.

Single-agency security officers

15. The officers:

- (a) Advise and assist the agency country representative or operations manager on his/her security responsibilities, including participation in operational planning, and provide security inputs, including information regarding compliance with United Nations security policies, practices and procedures;
- (b) Advise and assist the designated official, the area security coordinator or chief security adviser in the discharge of his/her responsibilities, as required;
- (c) Participate as a member of the security cell established by the chief security adviser/security adviser;
- (d) Advise the security cell on particular concerns of his/her organization regarding security;

(e) Act as the chief security adviser/security adviser ad interim in the absence of the chief security adviser/security adviser for a given duty station, as appropriate and when required by the employing organization.

Local security assistants

16. The assistants:

- (a) Assist in monitoring the implementation of security policies and procedures;
- (b) Assist in supporting all matters pertaining to the safety and security of personnel, premises and assets;
- (c) Assist in developing security contingency plans and the country security plan;
- (d) Assist in preparing security risk assessments;
- (e) Assist in preparing minimum operating security standards and minimum operating residential security standards and monitoring compliance;
- (f) Assist in preparing contingency plans;
- (g) Assist in conducting security training for United Nations personnel, locally recruited guards and others, as appropriate.

Wardens

17. The wardens:

- (a) Function as a channel of communication between the designated official and personnel employed by the organizations of the United Nations system and their recognized dependants and visitors staying at hotels in their zone;
- (b) Regularly inform personnel regarding security arrangements and the security phases in effect;
- (c) Undertake other security-related duties as assigned by the designated official or the chief security adviser/security adviser;
- (d) Ensure that recognized dependants left at the duty station by internationally recruited staff who are serving elsewhere are accorded the same security provisions as dependants of international staff serving at the duty station;
- (e) Visit every family living in their area to ensure that they are aware of the security arrangements.

Personnel employed by the organizations of the United Nations system

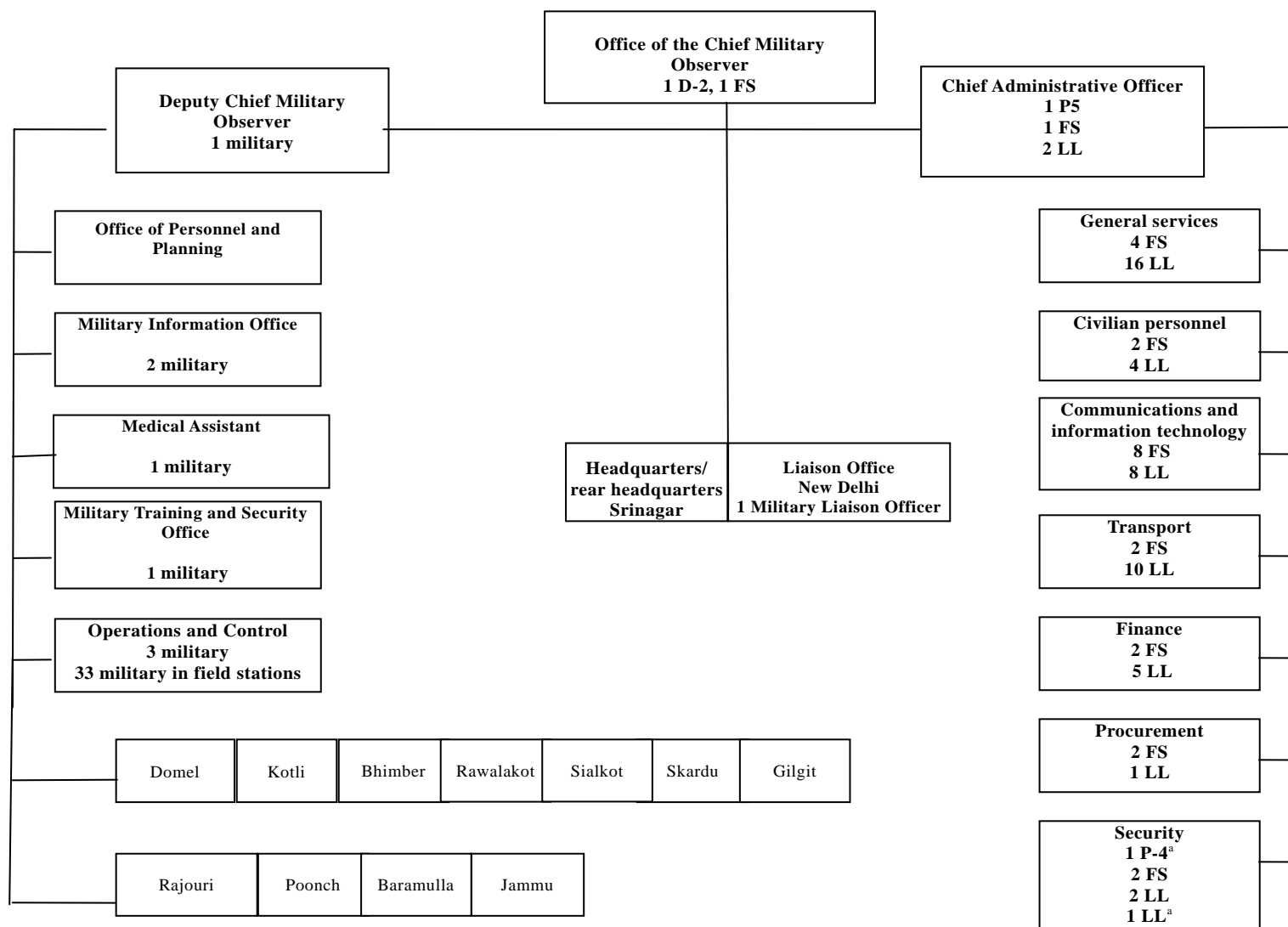
18. The personnel:

- (a) Must familiarize themselves with information provided to them regarding the United Nations security management system at their location;
- (b) Obtain security clearance prior to travelling;
- (c) Attend security briefings and sign a document certifying that they have been briefed;

- (d) Know their warden, chief security adviser/security adviser, field security coordination officers or country security focal points;
- (e) Are appropriately equipped for service at the duty station;
- (f) Comply with all United Nations system security regulations and procedures at the duty station, both on and off duty;
- (g) Comport themselves in a manner which will not endanger their safety and security or that of others;
- (h) Report all security incidents in a timely manner;
- (i) Attend and complete security training relevant to their level and role;
- (j) Complete the Basic Security in the Field and Advanced Security in the Field security learning programmes, on CD-ROM as appropriate.

Annex III

Organizational structure and post distribution of the United Nations Military Observer Group in India and Pakistan for the biennium 2010-2011



Abbreviations: FS, Field Service; LL, Local level.

^a New post.