



UNITED NATIONS

FIELD SECURITY HANDBOOK

**System-wide Arrangements for the Protection
of United Nations Personnel and Property in the Field**

Effective January 2006

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SECURITY HANDBOOK

Chapter I

INTRODUCTION

- 1.1 The Handbook is intended to be a comprehensive policy document. In addition to restricted technical information for use only by officials directly concerned with security, it contains information of an organizational and administrative nature agreed upon by the Chief Executives Board (CEB) which should be made available to those responsible for the administration of entitlements at the duty station. The Handbook, as a whole, is not intended for distribution to each staff member at the duty station. However, relevant sections of it may be reproduced for distribution to staff members, as appropriate.
- 1.2 Compliance with the policies outlined in this Handbook is mandatory; failure to comply with these policies and procedures could seriously endanger the lives of staff members and has implications for the liability of the organizations concerned.
- 1.3 The arrangements described in this Handbook have been agreed to by the organizations of the United Nations system at the Ad Hoc Inter-Agency Meeting on Security Matters¹ in Geneva in June 1994 and were subsequently endorsed by the Administrative Coordination Committee (ACC) at its meeting held in October 1994. The Handbook was modified by the Ad Hoc Inter-Agency Meeting on Security Matters in Paris in May 2001 and modified again by the Inter-Agency Security Management Network (IASMN) to reflect the Framework for Accountability for the United Nations security management system as directed by the General Assembly in resolution A/RES/56/255-VII at its meeting held in 2002.
- 1.4 This Field Security Handbook is intended for the use of UN staff only, and any other use is not authorised.

¹ The Ad Hoc Inter Agency Meeting on security matters was replaced by the Inter Agency Security Management Network (IASMN) effective 1 January 2002.

Chapter II

INTER-AGENCY COORDINATION

A Coordination at Headquarters Level

- 2.1 It is critical that the action taken by the organizations of the United Nations system in all matters relating to security, particularly in the preparation, maintenance and implementation of country-specific security plans, is fully coordinated. Therefore, in order to ensure effective implementation of these security arrangements, the organizations of the United Nations system will conduct their activities in accordance with the policies and procedures, as set forth in this Field Security Handbook.
- 2.2 The Secretary-General appoints an Under-Secretary-General for Safety and Security to oversee the United Nations security management system and a Deputy to the Under-Secretary-General to carry out the functions of the Under-Secretary-General for Safety and Security in the latter's absence.
- 2.3 The Under-Secretary-General for Safety and Security, who is responsible for overseeing the United Nations security management system, acts on behalf of the Secretary-General to ensure a coherent response by the United Nations system to any emergency situation, with responsibility for all policy/procedural matters related to security issues. The Under-Secretary-General for Safety and Security takes decisions, on behalf of the Secretary-General, relating to all aspects of evacuations and relocations. In making decisions, the Under-Secretary-General for Safety and Security will consult, as appropriate and time permitting, all organizations whose operations in any country would be affected by a decision to restrict or suspend activities, or relocate/evacuate staff members and/or their spouses and eligible dependants and any other significant security decision.
- 2.4 The Under-Secretary-General for Safety and Security formulates detailed recommendations aimed at ensuring the safety and security of staff members, their spouses and eligible dependants of the entire United Nations system. He/she initiates discussions with relevant organizations and offices on current and potential security problems, is responsible for coordinating, planning and implementing inter-agency safety and security programmes and is the overall focal point for inter-agency cooperation.
- 2.5 The specific roles and responsibilities of the Department of Safety and Security (DSS) will include but are not limited to:
 - a) assess on a continuing basis the extent to which staff members of the United Nations system and operations worldwide are exposed, or vulnerable, to security problems;
 - b) review security plans formulated for staff members of the United Nations System in each country and ensure that each duty station is in an adequate state of preparedness regarding security contingency planning;

- c) review and approve all minimum operating security standards (MOSS) established by the duty stations;
- d) conduct compliance and accountability missions to all duty stations to ensure that officials concerned with security are implementing and managing security in accordance with United Nations policies;
- e) ensure that Designated Officials receive security briefings and training before their assignment to a duty station;
- f) provide security and crisis management training to Designated Officials, members of the Security Management Team and Chief Security Advisors;
- g) prepare instructions and information for Designated Officials and others responsible for security;
- h) select and manage the Chief Security Advisors;
- i) in consultation with relevant officials of United Nations organizations, evaluate Designated Officials, members of the Security Management Teams, and Chief Security Advisors and ensure that their performance in security functions is reflected in their annual performance appraisals;
- j) coordinate and manage the system-wide United Nations security and stress management training programmes and security awareness training for staff members of the United Nations system, their spouses and eligible dependants to ensure the maintenance of high standards;
- k) arrange for the provision of stress counsellors in critical incidents;
- l) prepare and distribute security updates including monthly travel advisories;
- m) manage all hostage incidents affecting personnel of the United Nations system;
- n) manage the Malicious Acts Insurance policy;
- o) review and approve, as appropriate, all requests for reimbursement of residential security measures in accordance with Minimum Operating Residential Security Standards (see Annex G);
- p) undertake investigations into the deaths of staff members or recognized dependants or other significant incidents, as required;
- q) serve as the focal point for follow-up to investigations.

2.6 It is important to note that because the security of staff members of the United Nations system, their spouses and their eligible dependants is the paramount concern, decisions taken by the Under-Secretary-General for Safety and Security, on behalf of the Secretary-General, by virtue of CEB agreement, are mandatory for all organizations, their staff and eligible dependants.

B Coordination with Headquarters of Organizations

2.7 The executive heads of each of the United Nations organizations covered by these arrangements will support the Under-Secretary-General for Safety and Security in the

discharge of his/her duties and will appoint a Senior Security Manager (SSM) and/or Senior Security Focal Point (SSFP) with oversight of the organization's security functions to ensure continuity in coordination and liaison. It will be the responsibility of the Under-Secretary-General for Safety and Security to keep the Senior Security Manager and/or Headquarters Security Focal Point of each organization informed of decisions taken with regard to all security matters affecting staff members of the United Nations system and assets of the organization. Executive heads of United Nations agencies, programmes and funds are responsible and accountable to the Secretary-General. The Executive Heads will:

- a) assume their responsibilities for the safety and security of the staff members, their spouses and eligible dependants working for them;
- b) ensure that provisions are made for the implementation of the United Nations Security Management system;
- c) be responsible for resource allocation and the prioritisation of security;
- d) have an obligation to advocate in all available forums to ensure that Member States provide for the safety and security of all staff members employed by organizations of the United Nations system and their eligible dependants and that crimes against such staff members will not be tolerated and the perpetrators brought to justice;
- e) support the United Nations Security Management system;
- f) have a collective responsibility to work together to implement the United Nations security management system and to support the Secretary-General in ensuring that the legislative mandates given to him by the General Assembly are discharged;
- g) ensure that all managers working for them not only support the Secretary-General but also discharge their responsibilities in ensuring compliance with the United Nations security management system;
- h) have a "duty of care" to ensure that staff members employed by organizations of the United Nations system and their eligible dependants are not exposed to necessary risk;
- i) liaise closely with the Under-Secretary-General for Safety and Security to ensure a coherent system-wide approach to security; and
- j) provide staff lists of all recognized dependants resident in a country where the staff member is not assigned.

2.8 The Senior Security Manager and/or Headquarters Security Focal Point will be responsible and accountable to his/her Executive Head and has the following responsibilities:

- a) advising the Executive Head on security matters and keeping him/her updated on security management issues;

- b) ensuring that country representatives of the agency are participating fully on the Security Management Team, as applicable;
- c) working in close association with DSS and other members of the United Nations system and supporting the Under-Secretary-General for Safety and Security in the discharge of his/her responsibilities;
- d) providing assistance to field representatives for implementation of Minimum Operating Security Standards (MOSS), as applicable;
- e) assisting/supporting in the mobilization of resources to assist field offices in implementation of security requirements;
- f) serving as a member of the Inter-Agency Security Management Network (see paragraph 2.9 below);
- g) ensuring that all persons employed by organizations of the United Nations system and eligible dependants of the agency are provided with security training and briefings;
- h) disseminating information and education regarding security matters;
- i) ensuring that policies and procedures with respect to security clearances are complied with; and,
- j) ensuring that the appointment of single agency Security Officers within their organization are recruited based on agreed inter-agency standards and work in support of the UN security management system.

C Inter-Agency Security Management Network (IASMN) – Governance

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

- a) a comprehensive review of policies and resource-related issues pertaining to the entire United Nations security management system should be a standing item on the agenda of the High-Level Committee on Management. The Under-Secretary-General for Safety and Security or his/her designated representative should participate in such discussions;
- b) the High-Level Committee on Management will be supported by the Inter-Agency Security Management Network (IASMN), consisting of the senior managers who have oversight of the security functions within their agency;
- c) the Inter-Agency Security Management Network, which will be chaired by the Under-Secretary-General for Safety and Security, will meet at least once a year to review all existing and proposed policies, procedures and practices of the United Nations security management system and report and make recommendations on these to the High-Level Committee on Management;
- d) between annual meetings, the Under-Secretary-General for Safety and Security may convene working group meetings among interested organizations to discuss specific security issues. The reports of the working groups will be provided to the Inter-Agency Security Management Network for review and endorsement;

- e) the Inter-Agency Security Management Network will monitor the implementation of United Nations security management policies, practices and procedures by all actors of the United Nations system, including the budget, and report and make recommendations thereon to the High-Level Committee on Management; and
- f) the High-Level Committee on Management will review the recommendations made by the Inter-Agency Security Management Network and either decide on them or recommend to the United Nations System Chief Executives Board for Coordination how they should be implemented.

D Coordination at Field Level

- 2.10 In each country where there is a United Nations presence, the Secretary-General, in consultation with the executive heads of the other organizations, will designate one senior official to be titled the Designated Official. This individual will have overall and special responsibility for the security and protection of all the organizations' staff members and eligible dependants and property, in each country of assignment or employment and the property of the agencies. This person will normally be the United Nations Resident Coordinator.
- 2.11 In those cases where someone other than the Resident Coordinator is appointed as the Designated Official, it will be mandatory for the Resident Coordinator (if there is one) to be appointed as the Deputy Designated Official.
- 2.12 It is the responsibility of the representatives of all organizations of the United Nations system in the country to work closely in support of the Designated Official who is the sole accountable authority in the security management arrangements. A Security Management Team (SMT) will be established in each country to facilitate this collaboration.

Chapter III

APPLICABILITY OF SECURITY ARRANGEMENTS

A Staff members of the Organizations of the United Nations System

- 3.1 For the purposes of security arrangements, the provisions of this Handbook, except as noted in paragraph 3.3 below, apply to:
- a) all persons in the employ of the organizations (except those who are both nationally-recruited and paid by the hour), together with their spouses and eligible dependants;
 - b) consultants, officials or experts, including transient staff members, on mission for the organizations of the United Nations system;
 - c) United Nations volunteers, their spouses and eligible dependants who are authorized to be at the duty station;
 - d) United Nations fellows, either non-resident fellows studying in the country, or nationals who are on leave from the country of study; and
 - e) staff members of those International and Non Governmental Organisations who have signed a Memorandum of Understanding with the United Nations systems to cooperate on security matters (see Annex P).
- 3.2 With respect to United Nations peacekeeping operations, United Nations military and police personnel are under the exclusive jurisdiction of the Head of Mission. Staff members who are included in the civilian component of peacekeeping operations, and the spouse and dependants of such civilian staff members who are authorized to be at the duty station, will be included in the security arrangements detailed herein. Dependants of military and police personnel will not be included in such arrangements because they have no official United Nations status and the organization has no direct responsibility for them.
- a) When appointed as Designated Official (DO), the Head of Mission is accountable of the Secretary-General, through the USG DSS, for the security of all personnel employed by the organizations of the UN system and their recognized dependants throughout the country or designated area. As DO, the Head of Mission will also ensure that the goals of the United Nations security management system are met, that a Security Management Team has been constituted and that the DSRSG/RC/HC is appointed as the Deputy Designated Official because of his/her special concern with agency, programme and fund staff members and eligible family members dispersed throughout the country.
 - b) When not appointed as Designated Official, the Head of Mission will: ensure that the civilian personnel of the mission and their authorized dependants are in full

compliance with all security-related instructions; work in close collaboration with the Designated Official; and, serve as a member of the Security Management Team.

B. Assistance to Other Persons

- 3.3 The organizations may lend assistance, when possible and to the extent feasible, for the security of persons falling within one of the categories listed below. Any travel or financial assistance provided to such persons will be on a space-available and reimbursable basis.
- a) Persons attending, by official invitation, meetings sponsored by United Nations organizations;
 - b) Other non-nationals of the host country working in cooperation with the United Nations organizations under such arrangements as service with non-governmental or other volunteering organizations, on sub-contracted projects, or with bilateral technical assistance groups with which organizations have entered into special agreements or arrangements;
 - c) In family duty stations, dependants of persons referred to in (a), (b) and (e);
 - d) In family duty stations, dependants and relatives of persons referred to in paragraph 3.1 who are not covered by the provisions thereof;
 - e) Non-nationals of the host country who are domestic employees of staff members as defined in paragraph 3.1, or persons who are visiting staff members privately.

Chapter IV

RESPONSIBILITY FOR SECURITY

A Host Government

- 4.1 The primary responsibility for the security and protection of staff members, their spouses and eligible dependants and property, and of the organizations' property, rests with the host government. This responsibility flows from every government's normal and inherent function of maintaining law and order and protecting persons and property within its jurisdiction. In the case of international organizations and their officials and property, the government is considered to have a special responsibility under the Charter of the United Nations or the government's agreements with individual organizations.
- 4.2 Under Article 105 of its Charter, the United Nations is entitled to enjoy such privileges and immunities as are necessary for the fulfilment of its purposes. The other organizations in the United Nations family and their staff enjoy similar privileges and immunities under their respective constitutional instruments. Officials of the organizations are entitled under the same provisions to enjoy such privileges and immunities as are necessary for the independent exercise of their functions.
- 4.3 Further, within the territory of a state which is a party to the Conventions on the Privileges and Immunities of the United Nations and of the Specialized Agencies, staff members of the organizations "shall be given, together with their spouse and relatives dependent on them, the same repatriation facilities in time of international crisis as diplomatic envoys".
- 4.4 The Conventions further stipulate that the premises of the organizations are "inviolable" and that their property, wherever located and by whomsoever held, is immune from "any form of interference". (For relevant portions of the Charter and Conventions on the Privileges and Immunities of the United Nations and the Specialized Organizations, see Annex A).

B Organizations of the United Nations System

- 4.5 It is recognized, however, that during some emergencies and particularly in cases where civil disorder may ensue, the security and protection factors will be uncertain. In such instances the organizations of the United Nations system must take necessary action for the protection and security of their staff members, their spouses and eligible dependants, in accordance with the directives of the Secretary-General.
- 4.6 The Designated Official will endeavour to coordinate such actions with organizations that do not belong to the United Nations system and, to the extent feasible and desirable, with diplomatic missions of foreign countries, keeping the Secretary-General, through the Under-Secretary-General for Safety and Security, appraised of the situation (see paragraph 5.2 below). Specific arrangements should be put in place with diplomatic missions who are willing to participate in the execution of the security plan.

4.7 The organizations of the United Nations system will, where necessary and if so requested, facilitate the tasks of the host governments in the discharge of their obligations by making appropriate supporting arrangements. The Secretary-General, in his capacity as Chief Administrative Officer of the organizations of the United Nations system, and acting on their behalf, will, based on his analysis of any given situation, determine in each case the nature and extent of supporting arrangements required. The Secretary-General will ensure that the necessary measures are taken to provide for the protection and security of all staff, eligible dependants and property, and the organizations' property.

C Staff members of the United Nations system

4.8 All staff members employed by organizations of the United Nations system are responsible for their own safety and security, irrespective of their location of assignment and are responsible for complying with all security policies and procedures of the organizations. Staff members employed by organizations of the United Nations system are accountable to their country head of agency and Executive Head agency.

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

- a) familiarizing themselves with information provided to them regarding the UN security management system at their location;
- b) receiving a security clearance prior to travelling to a country in which a phase has been declared. Informing the Designated Official in the country of destination when travelling to a country where a phase has not been declared;
- c) attending security briefings and signing a document certifying that they have been briefed;
- d) knowing who their warden and/or agency security focal point is;
- e) being appropriately equipped for service at the duty station;
- f) applying and complying with all security regulations and procedures at the duty station, whether on or off duty;
- g) comporting themselves in a manner which will not endanger their safety and security or that of others; and
- h) completing all mandatory training.

4.10 The protection provided by the host government in no way alters the responsibilities of staff members to the organizations they serve and, in particular, the requirement that they shall not seek nor receive instructions from any government or authority external to the organization, which they serve. If they are given instructions by authorities of the host country relative to security or protection, which differ from those of the Designated Official, he/she should be informed immediately. Within these limitations, the organizations' staff members shall cooperate with the host government, and the organizations, in their efforts to assure the security and protection of themselves, their

spouses and eligible dependants and their property. If a government other than the host government offers alternative security arrangements, the Designated Official should be consulted before the facilities are accepted.

Chapter V

SECURITY PLANNING IN THE FIELD

A The Security Management Structure

a) Designated Official

- 5.1 In each country, the Designated Official is the person responsible for the security management arrangements of the United Nations system. The Designated Official will be held accountable directly to the Secretary-General, through the Under-Secretary-General for Safety and Security, for ensuring the safety and security of staff members of the United Nations system, their spouses and eligible dependants and property, and the property of the organizations.
- 5.2 The Designated Official, acting in consultation with the Security Management Team and other senior officials of United Nations organizations in the country, as applicable, will maintain liaison with the government of the host country on matters concerning the security and protection of the organizations' staff members, their spouses and their eligible dependants.
- 5.3 Through the Under-Secretary-General for Safety and Security, the Designated Official will be responsible to the Secretary-General for the following:
- a) ensuring the observance of the arrangements detailed in the Field Security Handbook and developing and implementing the security plan for the duty station with the aim of maintaining the safety and security of United Nations system staff members and operations. The plan will include the identification and investigation of a number of feasible options for the safe movement of all the staff members employed by organizations of the United Nations system and their eligible dependants within the country, or to a designated country of relocation, should relocation or evacuation become necessary;
 - b) recommending to DSS a suitable nomination to act as Designated Official ad interim. Such appointees normally will be the head of an agency, programme or fund;
 - c) keeping the Secretary-General informed, through the Under-Secretary-General for Safety and Security, of all developments in the country which might have a bearing on the security and protection of the staff members employed by organizations of the United Nations system and their eligible dependants and their property, or that of the organizations. Where operational matters affect security or inter-agency security issues, these must be communicated to the Under-Secretary-General for Safety and Security;
 - d) implementing any arrangements decided by the Secretary-General in support of the host government's measures for the security and protection of staff members employed by the organizations of the United Nations system, their eligible

- dependants and their property and of the organizations' property; maintaining liaison with the government of the host country on matters concerning the security and protection of these individuals;
- e) ensuring the regular functioning of the Security Management Team and identifying staff members who will have special responsibilities in this regard;
 - f) ensuring that there is a fully integrated functioning and operational communications system for security management;
 - g) developing and implementing together with the Security Management Team Minimum Operations Security Standards (MOSS), for all United Nations operations throughout the country (see Annex G);
 - h) monitoring the implementation of MOSS and verifying that all persons employed by organizations of the United Nations system are appropriately equipped with required safety and security equipment as specified in the MOSS and trained in its use;
 - i) appointing, together with the Security Management Team, area coordinators and wardens and verifying that the Security Management Team has adequately trained and equipped them; providing their parent agency with input for the individual's Performance Appraisal;
 - j) keeping the members of the Security Management Team as well as the senior officials of each organization at the duty station (as applicable) fully apprised of all security-related information and measures being taken in the country;
 - k) establishing a briefing system that will ensure that all staff members employed by organizations of the United Nations system and their eligible dependants are advised of specific precautionary measures which they should take in relation to the security plan and ensuring that all such staff members receive adequate and appropriate security training;
 - l) including in the security arrangements at the duty station, staff members and eligible dependants of inter-government and non-governmental organizations which have signed the Memorandum of Understanding (MOU);
 - m) ensuring collaboration on security with IGOs/NGOs working as implementing partners of the United Nations in accordance with established guidelines;
 - n) submitting all reports, as outlined in the Field Security Handbook to DSS;
 - o) ensuring that the specific arrangements, agreed on an inter-agency basis to be implemented when internationally-recruited staff members are evacuated, are in place for nationally-recruited staff members, to include options for relocation within the country, as required;
 - p) in an emergency where it has not been possible to communicate with the Secretary-General, the Designated Official is authorized to use his/her best judgment in carrying out relocations/evacuations and report to the Secretary-General through DSS immediately thereafter; and
 - q) provide security clearances and tracking movement of visiting staff as appropriate to the phase.

b) Country Representatives

5.4 Although overall responsibility for the security of all staff members, their eligible dependants and property, and that of the organizations of the United Nations system is vested in the Designated Official, the representative of each organization of the United Nations system in the country (“Country representative” or “Agency head”) is accountable to the Secretary-General through his/her Executive Heads under the overall guidance of the Under-Secretary-General for Safety and Security for all matters related to the security of their staff members at the duty station. Representatives of organizations participating in the United Nations security management system shall be responsible for:

- a) serving as a member of the Security Management Team;
- b) being responsible for the safety and security of staff members employed by their organization at the duty station and their eligible dependants and for the implementation of the security plan;
- c) ensuring that safety and security is a core component of all programmes at the duty station and that appropriate funding is provided based on need;
- d) consulting with and assisting the Designated Official on all matters concerning security and the implementation and maintenance of both the security plan and MOSS and for compliance with both;
- e) ensuring full and complete compliance by his/her staff members and eligible dependants with all security-related instructions;
- f) ensuring that all his/her staff members attend appropriate security awareness training and briefing;
- g) attending all training themselves;
- h) ensuring that staff members have adequate and operating communications equipment in line with MOSS;
- i) ensuring that the Designated Official is provided on a regular basis with updated lists of all staff members employed by the agency and their eligible dependants in the area;
- j) ensuring that the Designated Official is at all times informed of the whereabouts and movements of the agency’s staff members and eligible dependants in the area in accordance with procedures established at the duty station;
- k) reporting to the Designated Official all security-related incidents;
- l) ensuring that movement of all staff members is undertaken in accordance with United Nations rules and procedures;
- m) for internationally-recruited staff members employed by the organization who are nationals of the country serving elsewhere or who have been assigned to a near-by non-family duty station and who have left their dependants in the country, ensuring that such dependants are included in security arrangements;
- n) ensuring that arrangements are in place for IGOs/NGOs working as implementing partners with United Nations agencies; and

- o) ensuring that staff members have completed and submitted the inventory of their Household Effects, Automobiles and Valuables (see Annex K).

c) Security Management Team

- 5.5 The Designated Official will constitute, after consultation with the representatives of the other organizations, a Security Management Team (hereinafter referred to as the Security Management Team) which will ensure that security is managed and coordinated in an integrated manner on an inter-agency basis. Such a team must include:
 - a) the Designated Official;
 - b) the Deputy Designated Official(s), as applicable;
 - c) Heads of Agencies, Programmes and Funds;
 - d) the Chief Security Advisor;
 - e) Representatives of IGOs/NGOs who have signed the Memorandum of Understanding; and
 - f) any mission dispatched to the area by DSS.
- 5.6 Depending on the circumstances, the Security Management Team additionally may include other representatives of organizations or other individuals such as:
 - a) the medical officer, if one is assigned (the civilian-attending physician should not be a member of the Security Management Team);
 - b) stress counsellor (if assigned);
 - c) a staff member with a legal background, if applicable;
 - d) press spokesperson;
 - e) head of the nationally-recruited Staff Council (when issues related to nationally-recruited staff are discussed);
 - f) single-agency Security Officers; and
 - g) telecommunications Officer.
- 5.7 At large duty stations with significant concentrations of organizations, the Designated Official and Security Management Team may make recommendations to DSS to adjust the composition of the Security Management Team.
- 5.8 The Designated Official may also include representatives of other organizations working with the United Nations system in an observer capacity, as applicable.
- 5.9 Members of the Security Management Team have a personal and collective responsibility to support the Designated Official in the discharge of his/her mandate related to the safety and security of all staff, irrespective of the agency. Under the overall authority of the Secretary-General through the Under-Secretary-General for Safety and Security and the Designated Official at the duty station, the Security Management Team is responsible for:
 - a) working in close collaboration with the Designated Official;

- b) meeting on a regular basis as contained in paragraph 5.10 to review the prevailing situation and to ensure that security is being managed effectively at the duty station;
- c) ensuring that there is a functioning and effective Security Plan which is maintained and implemented at each location in the country where staff members employed by organizations of the United Nations system and their eligible dependants are present;
- d) ensuring that lists of staff members and their eligible dependants are up-to-date;
- e) ensuring that each Area Security Coordinator and Warden is trained and equipped to carry out his/her functions and to ensure that he/she fully understands and implements the complete range of these responsibilities;
- f) establishing MOSS at the duty station, monitoring its implementation and ensuring compliance by all staff members employed by organizations of the United Nations system and their eligible dependants;
- g) ensuring that resources are available to implement all measures which are approved; and
- h) providing input to the performance appraisal of all security officers employed in the country by the United Nations system, where they have staff operating.

5.10 It is mandatory that all Security Management Teams meet on a regular basis. The frequency of these meetings will be determined by the security phase in effect at the duty station. For those duty stations where there is no phase in effect, Security Management Teams are expected to meet quarterly; for duty stations in phase 1, the Security Management Team shall meet monthly; for duty stations in phases 2, 3 and 4, meetings will be weekly or as needed, as dictated by circumstances. For duty stations which are in phase 5 and where the Security Management Team is located outside the duty station, meetings will be held daily or more frequently, as required.

5.11 **In all cases**, minutes of the meetings will be produced using the format contained in Annex R and submitted to DSS and all members of the Security Management Team within 48 hours.

d) Field Security Officers

- i) Full-time Professionals - Principal Security Advisor (PSA) and/or Chief Security Advisor (CSA)

5.12. Chief Security Advisors (and, exceptionally, Principal Security Advisors at the D-1 level or Security Advisors at the P-4 level in some duty stations) are internationally-recruited security professionals who are appointed by DSS. The Chief Security Advisor, who is the senior security official at the duty station, is directly accountable to the Under-Secretary-General for Safety and Security and is appointed as the primary advisor to the Designated Official and the Security Management Team on all matters related to security. While the Designated Official has the responsibility for the day-to-day management of the Chief Security Advisor, on substantive matters the Chief Security Advisor will report concurrently to the Designated Official and to DSS.

5.13. In larger duty stations the Chief Security Advisor may be assisted by an internationally-recruited Deputy Security Advisor (DSA) and Field Security Coordination Officers

(FSCO). They will work under the supervision of and be accountable to the Chief Security Advisor. Some Chief Security Advisors have regional responsibilities covering more than one duty station. They will be responsible for ensuring that the functions outlined below are implemented in each of the countries for which they are responsible. ***Job Titles for all full-time DSS security personnel in the field are explained in the box below:***

Nomenclature for DSS Personnel in the Field		
<u>Title</u>	<u>Level</u>	<u>Remarks</u>
Principal Security Advisor (PSA)	D-1	Positions (financed by DPKO) exist only at a few high risk duty stations
Chief Security Advisor (CSA)	P-5	
Security Advisor (SA)	P-4	Only when in charge at country level (i.e. where there is no P-5 CSA)
Deputy Security Advisor (DSA)	P-4 or P-3	If second in charge at DSS country level
Field Security Coordination Officer (FSCO)	All others at Professional level (P-4, P-3 or P-2)	
Mission Security Officer (MSO)	FS	Only in DPKO missions
Local Security Assistant (LSA)	Locally recruited	

5.14. CSAs (and PSAs or SAs where applicable) are responsible for:

- a) serving as principal advisor to the Designated Official and Security Management Team in the execution of responsibilities with regard to the safety and security of staff members employed by organizations of the United Nations system and their eligible dependants and property;
- b) all aspects of security management, crisis readiness and preparedness at their respective duty stations;
- c) cooperating closely on security matters with all other offices of the United Nations system at the duty station to ensure the best possible coordination;
- d) establishing and chairing a security coordination cell for duty stations where there are also single-agency security officers, to ensure that all security officers at a duty station are working together to further inter-agency security coordination;

- e) preparing, maintaining and updating the country-specific security plan, contingency plans and security listings of staff members employed by organizations of the United Nations system and their eligible dependants;
- f) undertaking risk/threat assessments for all locations at the duty station where staff members employed by organizations of the United Nations system and their eligible dependants are present;
- g) developing good contacts with national law enforcement agencies, with a view to obtaining the best possible protection for staff members employed by organizations of the United Nations system and their eligible dependants and their property;
- h) ensuring that all security and communications equipment is in good repair;
- i) ensuring that all staff members employed by organizations of the United Nations system and their eligible dependants receive local security training as necessitated by changes in the security environment;
- j) ensuring that staff members employed by organizations of the United Nations system and their eligible dependants are kept informed of matters affecting their safety and security and making appropriate arrangements for briefing newly arrived United Nations staff;
- k) maintaining up-to-date, detailed instructions for staff members employed by organizations of the United Nations system and their eligible dependants on precautions they should take in relation to the implementation of the security plan, including a comprehensive listing of emergency supplies they should have on hand and guidance on their behaviour during a variety of emergencies, including natural disasters and political crises;
- l) ensuring that plans for relocation/evacuation to a safe area are current, feasible and implementable;
- m) reporting all cases in which staff members employed by organizations of the United Nations system and/or their eligible dependants have been victims of crime and submitting required reports on such cases;
- n) conducting security surveys of residential areas and premises;
- o) ensuring that the appropriate level of confidentiality is maintained with regard to security matters;
- p) serving as a member of the Security Management Team at the country level; and
- q) advising the Designated Official and Security Management Team on operational security requirements consistent with the MOSS.

ii) Security Focal Point

5.15 At those Duty Stations where there is no Professional Chief Security Advisor, the Designated Official should appoint a Country Security Focal Point (CSFP) for the Security Management Team to ensure that the functions outlined above are implemented.

This security focal point will be an internationally recruited staff member unless an exception is granted by DSS

iii) Field Security Coordination Assistants

- 5.16 At each duty station, Field Security Coordination Assistants (FSCA) will be appointed to assist the Chief Security Advisor. Field Security Coordination Assistants are nationally-recruited staff members who work under the supervision of and are accountable to the Chief Security Advisor. If there is no Chief Security Advisor, the Field Security Coordination Assistant will assist the Country Security Focal Point however, the Country Security Focal Point remains responsible for those responsibilities delineated in paragraph 5.14 above. Field Security Coordination Assistants are responsible for assisting the Chief Security Advisor and the Designated Official as follows:
- a) liaising and coordinating with local government security organizations;
 - b) maintaining the Security Plan, including updating staff lists;
 - c) maintaining Minimum Operations Security Standards for equipment;
 - d) maintaining office security; and
 - e) any other matters, as required by the Chief Security Advisor or Designated Official.

iv) Single-agency Security Officers

- 5.17 Single agency security officers are security professionals hired by single United Nations agencies to advise country representatives regarding issues specific to the operations of that agency at the duty station. All security officers, irrespective of their funding agency, will work in direct support of the Designated Official as the sole authority for safety and security of staff members employed by the organizations of the United Nations system and their eligible dependants within the country. Single-agency security officers operate within the overall United Nations security framework and coordinate directly with the Chief Security Advisors and, through their head of agency, with the Designated Official and Security Management Team. They are thus accountable to the Designated Official and the Department of Safety and Security as well as to their country representative.
- 5.18 A single-agency security officer, in addition to his/her agency-specific responsibilities, is responsible for:
- a) advising and assisting the agency country representative on his/her security responsibilities;
 - b) advising and assisting the area Security Coordinator or Designated Official in the discharge of his/her responsibilities, when requested to do so;
 - c) participating as a member of the security cell established by the Chief Security Advisor;
 - d) ensuring that staff members are trained and briefed on security matters within existing security policy and procedures;
 - e) ensuring that security procedures and policies are adhered to at all times;

- f) reviewing the Residential Security Measures in place for all international staff members of the agency;
- g) acting as the Chief Security Advisor, if requested to do so by the Designated Official; and
- h) reporting all security incidents to the Designated Official.

e) Area Security Coordinators

- 5.19 At some duty stations there are sub-office operations or projects or programmes outside the capital. In these cases, the Designated Official, in consultation with the Security Management Team, shall appoint an Area Security Coordinator (ASC).
- 5.20 Area Security Coordinators are staff members who are appointed by the Designated Official and Security Management Team in areas of larger countries which are separate from the capital in terms of both distance and exposure, to coordinate and control security arrangements in their area of responsibility. Area Security Coordinators are appointed in writing by the Designated Official, in consultation with the Security Management Team. Area Security Coordinators are accountable to the Designated Official for their security-related functions, irrespective of their employing agency. The performance of the Area Security Coordinator shall be reflected in the individual's performance appraisal. Duty time required to carry out area security coordinator responsibilities will be provided by the employing agency, as determined at the field level by the Designated Official and Security Management Team.
- 5.21 This individual acts on behalf of the Designated Official and will coordinate and control the security arrangements for the area, including the appointment of wardens (see paragraphs 5.23 to 5.27). The Area Security Coordinator will normally be the Head of the largest United Nations agency in that area. In most cases this is expected to be an internationally-recruited staff member. The Area Security Coordinators will be responsible for:
- a) acting on behalf of the Designated Official, from whom they have delegated responsibility, to coordinate and control the security arrangements for sub-office operations outside the capital;
 - b) appointing wardens for their area of responsibility;
 - c) developing area-specific security plans;
 - d) maintaining lists of staff members employed by organizations of the United Nations system and their eligible dependants at their location;
 - e) implementing MOSS; and
 - f) keeping the Designated Official systematically informed regarding incidents or developments in their area of responsibility which have a bearing on the safety and security of staff members employed by organizations of the United Nations system and their eligible dependants.

5.22 It will be the responsibility of the Designated Official and Security Management Team to ensure that each Area Security Coordinator is trained and equipped to carry out his/her functions and to ensure that they understand fully, and implement, the complete range of these responsibilities. In the event there are no International Staff members assigned to an area nationally-recruited staff members are assigned as the Area Security Coordinator; however, the nationally recruited ASC may not grant security clearance to an internationally-recruited staff member for travel into or around the area. The ASC will make a recommendation on the proposed mission to the Designated Official who will grant the clearance.

f) Wardens

5.23 In order to facilitate the coordination of the security arrangements, information and instructions, the Designated Official will, in consultation with the Security Management Team, appoint a number of internationally and nationally-recruited staff to act as wardens and deputy wardens.

5.24 Wardens are appointed to ensure proper implementation of the Security Plan in a predetermined zone of a large city. For reasons of practicality, separate warden systems will be established for internationally and nationally-recruited staff. The zone covered by a warden should preferably not be larger than that which would enable him/her, or his/her deputy, within one hour, to reach staff members, their spouses and their eligible dependants on foot, in case of an emergency.

5.25 Wardens are appointed in writing by the Designated Official in consultation with the Security Management Team and are accountable to the Designated Official for their security-related functions, irrespective of their employing agency. The Designated Official and Security Management Team shall ensure that each warden is trained and equipped to carry out his/her functions. The duty time required to carry out warden responsibilities will be provided by the employing agency, as determined at the field level by the Designated Official and Security Management Team.

5.26 As this is a voluntary and additional responsibility which goes beyond the normal responsibilities of a staff member, all active wardens and their deputies are to be given one compensatory day off every other month for carrying out these additional responsibilities. The performance of the Warden should be reflected in the individual's performance appraisal.

5.27 Wardens are responsible for:

- a) functioning as a channel of communication between the Designated Official and staff members employed by organizations of the United Nations system and their eligible dependants in his/her zone;
- b) ensuring that such staff members are regularly informed with regard to security arrangements and the emergency phases in effect;
- c) checking to see that instructions on precautionary measures are being followed;

- d) ensuring that one person is designated to maintain contact with United Nations visitors residing temporarily at hotels within the warden's zone; and
- e) carrying out other duties as assigned by the Designated Official or Chief Security Advisor.

B The Country-Specific Security Plan

- 5.28 The primary management tool for security preparedness at any duty station is the security plan. Specific guidelines and instructions for the preparation of the security plan are contained in Annex B. The purpose of the plan is to outline the responsibilities of individuals, the actions to be carried out and, to the extent possible, the sequence to be followed to ensure the security of all United Nations staff members. Designated Officials, in consultation with the Security Management Team, will prepare and maintain a security plan which will enable the organizations of the United Nations system to operate safely at the duty station and to respond to any emergency situation. In the preparation of the security plan, the Designated Official and Security Management Team will ensure that nationally-recruited staff members are fully consulted with, and involved in, all aspects of it which refer to them. The Designated Official will also ensure that the measures relative to the safety and security of nationally-recruited staff members, their spouses and eligible dependants, outlined in Annex C are fully implemented.
- 5.29 The security plan must be seen as a living document and must be tested and reviewed in accordance with Annex B. The plan, on completion, must be sent for approval to the Under-Secretary-General for Safety and Security, who may suggest modifications and will provide approval.
- 5.30 While it is recognized that the Host Government is responsible for providing full protection to United Nations Compounds and office buildings, the Designated Official and Security Management Team must ensure that they have a contingency plan in place to deal with any type of situation, such as, inter-alia, unauthorized entry and office occupation, threatening telephone calls, bomb threats, natural disasters and mass casualties. Advice on the handling of such threats may be found in the Security Operations Manual. The Contingency Plan must also make provision for business continuity planning and the possibility that the office premises become unusable for a prolonged period of time.

C Listings of Staff Members and their Eligible Family Members for Security Purposes

- 5.31 It is essential that up-to-date and accurate information is available for all staff members and their eligible family members in the country. Each Designated Official and Security Management Team will maintain the following lists:
- a) a list of internationally-recruited staff members and their eligible family members at the duty station (See Annex D);
 - b) a list of nationally-recruited staff members and their eligible family members at the duty station (See Annex E).

- c) a detailed record for each staff member at the duty station as outlined at Annex F;
- 5.32 These lists must be updated semi-annually where there is no Phase in effect and whenever a Phase change occurs; in addition the lists should be updated every three months for duty stations in Phase I and II, every month for duty stations in Phase III, and every week for duty stations in Phase IV and V. The representative of each organization at the duty station is responsible for keeping the Designated Official informed with regard to the staff members of his/her organization and their eligible family members. Staff members belonging to organizations which do not have a representative or an office in the country, are personally responsible to provide the Designated Official with the required information. This will also apply to staff members who officially are assigned to other duty stations who have eligible dependants living in the country.

D Emergency Communications

- 5.33 Communications are a key factor in the safety and security of an operation and its staff members. It is also critical to the operation's overall success. Effective communications are therefore essential and must be an integral part of the security plan. Communications capabilities must be sufficient to satisfy local, in-country, regional, international and, most importantly, emergency requirements.
- 5.34 The overriding criteria for emergency communications in any operation is that all staff have the ability, 24-hours a day, to contact help should the need arise. Agreements with host governments to ensure uninterrupted access to local communications networks and necessary licensing for the use of satellite telephones and for radio frequencies are a prerequisite. It is important that host country agreements provide for all United Nations offices and staff to use a range of frequencies suitable to maintain wireless communications, both for voice and data, under the conditions prevailing in the operational area. In cases where difficulties are encountered with the host government or where local conditions make the use of some communications equipment impractical, the Designated Official, as far as is reasonably possible, will implement the telecommunications standards of Minimum Operating Security Standards (MOSS), bearing in mind that the safety and security of staff is paramount. (See Annex G).
- 5.35 Due to the variety of communications types, coordination between organizations is essential to ensure that connectivity is achieved and maintained. The Designated Official will assign a lead organization to coordinate security/emergency communications amongst the organizations present at the duty station. In addition, the Designated Official, with the lead organization, will appoint a Telecommunications Coordination Officer (who may be a member of the Security Management Team) to ensure compliance and coordination of all communications requirements.
- 5.36 Each head of organization at the duty station is responsible for the communications within his/her organization and to the headquarters. Each organization is responsible for providing the necessary common communications equipment and procedural advice to its staff to conform to the emergency communications requirements as determined by the Designated Official. Each organization is responsible for ensuring that implementing

partners of that organization, if applicable, have equipment that is compatible with the common United Nations communications requirements.

5.37 In countries without an acceptable communications system and for field operations outside capital cities or major regional centers, additional capabilities may be required. These additional resources can be classified as follows:

a) International:

- i) Where appropriate the United Nations should use the United Nations Global Telecommunications Network;
- ii) Independent personal satellite telephone systems provide for voice, fax, data and video communications. This can be fixed, mobile or fitted to vehicle units;
- iii) HF radio communications provide for voice and data communications. This can be a base station, fitted to a vehicle or a portable unit.

b) Local:

- i) Trunking radio system consisting of handheld portable radio units that also allow for connection to the telephone network;
- ii) VHF radios, either stand-alone or with repeaters. These provide independent, fixed, and portable voice communications.

c) Remote/Field Locations:

- i) Satellite telephone system for voice, fax and data communications (Fixed, portable and fitted to vehicle);
- ii) HF radio for voice and data communications (fixed base station, fitted to vehicle and portable);
- iii) VHF for local network voice communication (handheld, fixed base station, repeaters (as necessary) and fitted to vehicle).

5.38 It is recognized that each operation will have different local resources available and therefore additional resource requirements will vary. However, all operations will maintain the MOSS telecommunications standards.

E Security Phases

5.39 The security plan is country specific and takes into consideration the particular political, geographical and other circumstances of the duty station concerned. The United Nations utilizes a world-wide five-phase security management system. The five Phases are:

- a) Phase One - Precautionary
- b) Phase Two - Restricted Movement
- c) Phase Three - Relocation
- d) Phase Four - Emergency Operations
- e) Phase Five - Evacuation

- 5.40 The Designated Official can implement measures under Phases One and Two at his/her own discretion, following consultation with the Security Management Team, and notify the Secretary-General accordingly through the Under-Secretary-General for Safety and Security. Phases Three, Four and Five will be declared by the Designated Official only when the authorization of the Secretary-General has been obtained through the Under-Secretary-General for Safety and Security. If an imminent breakdown of communications is likely, the Designated Official is authorized to use his/her best judgment in implementing Phases Three to Five, reporting such action to the Secretary-General, through the Under-Secretary-General for Safety and Security, immediately thereafter.
- 5.41 The Phases may be implemented in chronological order, or as the situation dictates (e.g., in a quickly developing situation, Phase Two -- Restricted Movement may be the initial phase ordered). It should be noted that situations may occur where one part of the country is under a different phase than the remainder of the country. A "return to normal" may be implemented by the Designated Official with respect to Phases One and Two following consultation with the Security Management Team. The appropriateness of the Phase must be reviewed by the Designated Official and Security Management Team on a regular basis but at least every three months to ensure its applicability. If Phases Three to Four have been implemented, the decision to return to a lower phase will be taken by the Secretary-General on the advice of the Under-Secretary-General for Safety and Security. After a Phase Five evacuation, before a decision to return to a lower phase is taken, the Under-Secretary-General for Safety and Security will deploy a security assessment mission to report on the situation. All changes in security phase require a review and updating of the security plan and list of staff and eligible dependants at the duty station.
- 5.42 In order for the Designated Official and Security Management Team to be aware of who is at the duty station at any given time, all travel to the duty station in any declared security phase requires clearance from the Designated Official. Travel to Phase V areas requires clearance from DSS on the recommendation of the Designated Official. The same requirements will apply for travel within the duty station. It will be the responsibility of each organization of the United Nations system to ensure that their respective staff members are informed of and comply with security clearance procedures.

a) Phase One – Precautionary

- 5.43 The Designated Official may declare Phase One -- Precautionary to warn staff members that the security situation in the country, or in a portion of it, is such that caution must be exercised, and they should take action as outlined for this phase, as well as be prepared to take action as outlined for subsequent phases.
- 5.44 Following notification to the Secretary-General, through the Under-Secretary-General for Safety and Security, of the declaration of Phase One, the Designated Official will convene an urgent meeting of the Security Management Team to take the following actions:

- a) notify the Designated Official in the designated country of relocation, as well as in nearby countries, of the implementation of Phase One;
- b) ensure that the measures relative to nationally-recruited staff and their eligible dependants have been fully implemented;
- c) convene a meeting of wardens;
- d) review and update the security plan;
- e) check and update lists of all staff members and their eligible dependants and locations within the country;
- f) ensure that the staff members have been briefed and are prepared to move to the next phase, as required;
- g) identify staff members for specific security-related tasks;
- h) ensure that Area Coordinators are advised of the situation and requested to maintain regular contact with the Designated Official;
- i) identify with the Security Management Team any particular medical conditions amongst the staff, which might require attention, should relocation/evacuation be ordered; and,
- j) notify all staff members of the implementation of Phase One.

b) Phase Two – Restricted Movement

- 5.45 Phase Two -- Restricted Movement will be declared to signify that the situation warrants a much higher level of awareness and preparedness than the precautionary phase and to impose major restrictions on the movement of staff members and their eligible dependants who may be directed to remain at home unless otherwise instructed. However, implementation of Phase Two should be used as a transition measure.
- 5.46 Following the notification to the Secretary-General, through the Under-Secretary-General for Safety and Security, of the declaration of Phase Two, the Designated Official, in consultation with the Security Management Team will take the following actions:
- a) notify the Designated Official in the country of relocation and nearby countries that Phase Two has been implemented;
 - b) determine, in consultation with the Security Management Team, which staff members are most essential in the event that Phase Three is implemented;
 - c) ensure that wardens and area coordinators have been notified of the change of phase; and,
 - d) as circumstances dictate, instruct appropriate staff members and all dependants to remain at home.

c) Phase Three – Relocation

5.47 The authorization by the Secretary-General for the declaration of Phase Three enables the Designated Official and Security Management Team to initiate the implementation of any or all of the following actions:

- a) temporary concentration of all internationally-recruited staff members and/or their spouses and eligible dependants in one or more concentration points; or,
- b) relocation of all internationally-recruited staff members and/or their spouses and eligible dependants to alternative locations within the country; and/or
- c) evacuation outside the country of all eligible dependants of internationally-recruited staff members and/or non-essential internationally-recruited staff members, together with their spouses and eligible dependants. The determination of essential staff members for security purposes will be made by the Designated Official, and the Security Management Team; however, any staff member who is unable to effectively carry out his/her assigned tasks due to the deteriorating security situation should be considered non-essential. Subject to the approval of the Under-Secretary-General for Safety and Security, based on the recommendation of the Designated Official and Security Management Team, spouses of internationally-recruited staff members who are considered essential may be authorized to remain at the duty station under Phase III. This only applies to spouses and there are no exceptions;
- d) temporary concentration and/or internal relocation of all nationally-recruited staff and eligible dependants, if they wish to avail themselves of this option.

5.48 With the declaration of Phase Three, the Designated Official will take all of the following mandatory actions:

- a) notify the Designated Official in the designated country of relocation, as well as in nearby countries, of the implementation of Phase Three;
- b) notify Area Coordinators and wardens to instruct all staff members and their eligible dependants regarding actions to be taken;
- c) brief Area Coordinators and wardens, as necessary, on further steps that may be required ;
- d) review arrangements which must be implemented under Phases Three through Five, for the payment of salaries and allowances of nationally-recruited staff members, and other essential payments;
- e) review other arrangements to be implemented under Phases Four and Five, in accordance with the agreed upon Minimum Operating Security Standards, including modification of the Security Plan to take into account the departure of some staff members;
- f) notify staff members in other parts of the country, unaffected by the declaration of Phase Three, of these developments through the Area Security Coordinator; and

- g) if possible, complete the checklist: Follow up after Evacuation of Staff Member (Annex L) in respect of those who have departed.

d) Phase Four – Emergency Operations

- 5.49 The authorization by the Secretary-General to declare Phase Four enables the Designated Official, in consultation with the Security Management Team, to recommend to the Secretary-General, through the Under-Secretary-General for Safety and Security, the evacuation outside the country of additional internationally-recruited staff members. The purpose of Phase IV is to limit the numbers of international staff members at the duty station to those vital for emergency, humanitarian relief, security operations or any other operation deemed essential by the Secretary-General. All other internationally-recruited staff members who heretofore were involved in the maintenance of programme activities will be relocated at this time.
- 5.50 With the declaration of Phase Four, the Designated Official and Security Management Team will take all of the following actions:
 - a) notify the Designated Official in the designated country of relocation, as well as in nearby countries, of the implementation of Phase Four;
 - b) notify the host government and local authorities and request assistance as necessary;
 - c) meet with internationally and nationally-recruited wardens instructing them on actions to be taken, including necessary adjustments to warden lists;
 - d) prepare to implement continuity of operations plan to the extent possible by ensuring implementation of the agreed upon Minimum Operating Security Standards and by identifying the senior nationally-recruited officer (SNRO) and requesting each organization to designate its own Officer-in-Charge;
 - e) instruct the SNRO to be prepared for the transition from the Designated Official and Security Management Team to the SNRO and the Officers-in-Charge of each organization;
 - f) meet with remaining internationally and nationally-recruited staff to advise on the current situation and actions being taken;
 - g) instruct that all spouses of internationally-recruited staff members authorized to be at the duty station in Phase Three, must depart;
 - h) continue the relocation of nationally-recruited staff and their dependants within the country, as applicable; and
 - i) if possible, complete the check-list: follow up after evacuation of staff member (Annex J) in respect of those who have departed.

e) Phase Five – Evacuation

- 5.51 The authorization by the Secretary-General for the declaration of Phase Five signifies that the situation has deteriorated to such a point that all remaining internationally-recruited staff members are required to leave, without exception. With the declaration of Phase

Five, normally by the Secretary-General, the Designated Official will take all of the following actions:

- a) notify the Designated Official in the designated country of evacuation, as well as in nearby countries, of the implementation of Phase Five;
- b) notify the host government and local authorities and request assistance as necessary;
- c) ensure the orderly transition from the Designated Official and Security Management Team to the Senior Nationally-recruited Officer (SNRO) as officer-in-charge (see paragraph 5.52); and
- d) establish an office in the country of relocation/evacuation from where the Designated Official and Security Management Team, who are required to remain, must continue to support the SNRO and national Security Management Team.

F Continuity of United Nations Operations

5.52 When all internationally-recruited staff members are evacuated, security-related responsibility for the continued operation of United Nations offices, to the extent feasible, will pass from the Designated Official and the Security Management Team to the Senior Nationally-recruited Officer and the Officers-in-Charge of United Nations organizations. Exposure to risk by the SNRO and his/her colleagues must be avoided at all costs. Security permitting, the responsibilities of the SNRO and the OICs will include:

- a) maintaining the routine operations of the offices to the extent possible;
- b) maintaining contact with the Designated Official and Security Management Team in the country of relocation;
- c) maintaining contact with the local authorities; and
- d) ensuring to the extent possible the safety and welfare of all United Nations staff members, their dependants and property and the property of the organizations.

G Resumption of United Nations Operations at a Phase Five location

5.53 Prior to the resumption of United Nations operations at a location where Phase Five has been declared, the Under-Secretary-General for Safety and Security will determine when conditions are appropriate and will appoint a security assessment mission consisting at a minimum of two Professional security officers. Medical, communications and demining experts can be included in the assessment at the discretion of the Senior Security Officer. Inclusion of other staff members will require DSS approval. They will submit a report to DSS making recommendations, as appropriate. The views of the Designated Official should be incorporated into the report; however, the report should remain confidential until provided to the Secretary-General and a decision made. The decision to downgrade the Phase and to resume operations will normally be made by the Secretary-General based on the recommendation of DSS.

H Security of Residences of Internationally-recruited Staff members

- 5.54 The primary responsibility for the security and protection of the organizations' staff members and their eligible family members and property rests with the host government. Often, however, governments, due to economic difficulties or lack of manpower, may not be able to provide the necessary protection when there is a partial or total breakdown of law and order resulting in increased criminal activity. It may become necessary under these circumstances to take additional measures to enhance the safety and security of United Nations staff members and their families at their place of residence. These measures, known as "Minimum Operating Residential Security Standards (MORSS), include such items as security guards, alarm systems, door and window bars, locks, safe havens, or other protective devices. The approval of any such measures would only be made in exceptional cases, where the Designated Official has confirmed that the security situation was indeed serious, and following an evaluation by DSS of a submission by the Designated Official.
- 5.55 Current arrangements require parent United Nations organizations to bear the entire cost of the MORSS that may be determined as appropriate for the duty station concerned.
- 5.56 MORSS should form a distinct yet integral part of the Minimum Operating Security Standards (MOSS) for a duty station. In this regard, the Designated Official, in consultation with the Security Management Team, should establish the MORSS for the duty station. These MORSS should not be linked to the security phase at the duty station, but rather to the law and order situation, at the duty station.
- 5.57 In order to ensure a standard approach at all duty stations, the following procedures should be followed by Designated Officials in establishing MORSS for a particular duty station:
- a) The elements to be included in MORSS should be determined by the Security Management Team through conduct of a threat and risk assessment for the duty station, to include all locations where staff members are deployed and resident. Designated Officials should also consider gender in conducting their threat assessment. The MORSS for a duty station should set specific criteria for single female staff at the duty station, and should also take into account families, single staff members and the neighbourhood security environment.
 - b) The Designated Official and the Security Management Team should determine the country-specific financial cap that would be recommended to DSS for approval. This cap should be based on careful market research at the duty station so as to determine the best prices available for each of the measures that the Security Management Team identifies for inclusion in the MORSS. One-time installation costs and recurrent costs should be identified separately. In determining the cap for the duty station, the Security Management Team should look for the best service providers, using a common services approach and seeking economies of scale and common standards of performance and quality service, in keeping with the Secretary-General's reform agenda.

- c) Following receipt of the MORSS, including the recommended financial cap, for each duty station, DSS will review and evaluate the MORSS and financial caps in collaboration with the agency security focal points concerned.
- d) At a minimum, the residences of internationally recruited staff should have solid core external doors, which should be equipped with locks, as well as provided with external lighting at the entrances to the residence. Beyond this, each duty station MORSS should be determined by the Security Management Team, according to their threat/risk assessment.
- e) Once the MORSS for a duty station has been approved by DSS, its makeup and financial cap would be the established standards for residential security and be subject to compliance inspection.

5.58 Every Head of Agency must ensure that newly arrived internationally recruited staff members are provided with a country-specific security briefing, to include the following topics:

- Details concerning the Country/Area specific Security Plan;
- All SOPs governing security at the duty station;
- Training and instructions appropriate to the Phase in effect at the duty station, and at a minimum, training in personal security, hostage survival, office/residential security, use of communications equipment, and basic first aid;
- The MORSS that have been approved for the duty station, and therefore a description of specific measures which should be put in place at their residence, as well as the financial terms for residential security measures, which will be paid as determined by each agency. In addition, staff must be informed of their individual responsibility for implementing MORSS measures, including the consequences of default or fraud. Staff members are required to retain copies of bills and guard contracts to provide to their agencies as required. The MORSS for each duty station are the minimum measures, and staff would be responsible for supplementing these measures to suit their own circumstances.

5.59 A staff member will not qualify for lump sum payment of one-time installation costs where these measures are already in place at the residence.

5.60 As an alternative to a lump sum payment, another option that Designated Officials and Security Management Teams may wish to consider is a negotiated Common Services Security Contract to cover all UN offices and staff residences. This has been done successfully in some duty stations and complies with the UN Secretary-General's agenda for reform through sharing of services. A common UN contract in these terms could reap benefits such as economies of scale, common standards of performance and quality services. In the event that the Security Management Team decides to pursue this option, it should indicate this in the MORSS submitted to DSS for review and approval.

5.61 In order to ensure that standards are maintained, the following compliance and review process should be followed:

- a) At the duty station, the Chief Security Advisor (CSA), or in the absence of a security professional, the Country Security Focal Point (CSFP) must provide new staff with a security briefing and advice on the suitability of locations where the staff member should live.
- b) Once a newly arrived staff member has identified a residence, and prior to commitment to or signing of a lease agreement, the Chief Security Advisor where feasible, the Country Security Focal Point or the agency security focal points at the duty station should conduct a security check of the residence and advise the staff member on the suitability of the property and/or its location.

5.62 The Minimum Operating Residential Security Standards (MORSS) represents only the most basic security measures required to ensure a minimum level of protection. It is the staff member's individual responsibility to:

- a) Implement the residential security measures;
- b) Review his/her own situation, and supplement the MORSS as required to fit his/her particular circumstances;
- c) Ensure proper utilization of the sum given to him/her for residential security;
- d) Exercise prudence and judgment to ensure correct maintenance of the residence, including any security measures installed at the residence;
- e) Return a signed copy of MORSS to the Head of his/her Agency with a declaration that MORSS measures have been implemented.

5.63 Newly assigned staff members to the duty station should routinely be advised that security is one of the most important criteria in the selection of a place to live and they should be encouraged to seek accommodation which offers the necessary guarantees of safety and accessibility in case of emergency. Staff members responsible for certifying the "reasonableness" of accommodation for the purpose of the rental subsidy scheme should consider this a most important factor. The importance of adequate communications (telephone) and residential protection should be emphasized. Failure to comply with advice given should be brought to the immediate attention of the agency Headquarters.

Chapter VI

OTHER SECURITY-RELATED ISSUES

A Travel

- 6.1 The nature of the Organizations' activities requires that at any given time a considerable number of staff members of the United Nations system are on official travel status. Such staff members are affected by crisis situations in countries which they are visiting or planning to visit. It is therefore necessary that certain measures be taken to ensure that the risk of such travel is reduced to a minimum. The following precautions should apply:
- a) all persons who fall under the United Nations security umbrella must have the appropriate security clearance before undertaking any travel either to a country or within a country where a security phase is in effect. All requests for security clearance must be submitted to the Designated Official concerned who will either respond directly to the requesting organization or, as applicable, will forward the request to DSS for decision; (See Annex H)
 - b) organizations should ensure that staff members are acquainted with existing or potential security problems in the areas which they intend to visit and that they have obtained necessary security clearance before travelling;
 - c) staff members must contact the Designated Official immediately upon arrival to request a briefing on the security situation and obtain any information with regard to their personal safety. Staff members must also keep the Designated Official informed of their whereabouts while in the country.

B Compliance with Security-related Decisions

- 6.2 Staff members who refuse to comply with the instructions of the Designated Official and Security Management Team will be informed by the Designated Official, in writing, with a copy to their organization Headquarters, that their security clearance has been revoked and that their actions may result in the institution of disciplinary proceedings and the imposition of disciplinary measures as provided for in the relevant staff regulations and rules of the employing organization. The names of staff members refusing to comply with instructions will be provided to DSS for appropriate follow-up action.
- 6.3 Relocations/evacuations ordered by the Secretary-General do not necessarily coincide in extent and timing with those recommended by embassies represented at the duty station, whose nationals may be staff members of the United Nations system. Staff members should be reminded that they are bound by United Nations regulations and should also be reminded that following embassy instructions, without the prior approval of the Designated Official, might cause them to be subjected to disciplinary action.
- 6.4 Situations may arise in which an individual staff member (internationally-recruited or nationally-recruited) or eligible family member is threatened because of his/her

nationality, ethnic origin or religion or as a direct consequence of his/her employment by United Nations organizations. In addition, during emergencies a staff member may be threatened by the location of his/her residence. In such cases, the Designated Official may request authorization from the Under-Secretary-General for Safety and Security to temporarily relocate the staff member to an alternate location either within or outside the duty station. In cases of extreme urgency or when the Designated Official is unable to contact Headquarters, the Designated Official may authorize relocation within or outside the duty station and inform the Under-Secretary-General for Safety and Security ex post facto.

- 6.5 No manager or supervisor should ever instruct a staff member to disregard security policy, rules, regulations or instructions.

C Financial Arrangements

- 6.6 The relocation/evacuation of internationally-recruited staff members, their spouses and their eligible dependants will, in the first instance, normally be to a designated relocation site, either inside the country or in another country. This area will be approved by DSS on the recommendation of the Designated Official in the country concerned and take into account all factors such as the availability of air transportation, hotel accommodations, communication facilities, staff resources at the office of the Designated Official in the designated country of relocation for assistance to evacuees, etc. If the cost of travel to the home country from the duty station is lower than that to the designated country of relocation, direct travel to the home country should be authorized, security conditions permitting. Travel should be in conformity with the rules governing standards of accommodation for travel.
- 6.7 The Designated Official in the country of relocation will be alerted at the earliest possible moment to a possible evacuation to permit local arrangements to be made for the reception and accommodation of the individuals involved.
- 6.8 Following the relocation/evacuation to the designated area, a decision will be taken within 30 days with respect to the staff members and eligible dependants evacuated, in terms of:
- a) their return to the duty station. In the case of a spouse and eligible dependants, when a staff member returns to the duty station, a decision will be taken either for the return of authorized dependants to the duty station or for their relocation to an area within convenient distance of the duty station (subject to periodic reviews) or to the home country in accordance with b) below;
 - b) the reassignment, temporary or otherwise, of the staff member, together as applicable with his/her spouse and eligible dependants; and
 - c) their return to the home country. In the case of staff members and/or spouses and eligible dependants evacuated to their home country, the eligible spouses and dependants will not return to the duty station unless:

- i) the Secretary-General, after appropriate consultation, has authorized the return of eligible dependants;
 - ii) the staff member is expected to remain in the duty station for at least three months after arrival; and
 - iii) the employing organization has provided the relevant travel authorization.
- 6.9 Where eligible dependants have been relocated to an area within convenient distance of the duty station, the Under-Secretary-General for Safety and Security may authorize on an exceptional basis the eligible dependants of newly appointed or transferred staff members to the affected duty station to travel also to such an area within convenient distance to the duty station.
- 6.10 Should a situation arise where staff members and/or spouses and eligible dependants who have been relocated/evacuated decide to return to the duty station, without the explicit authorization of the Under-Secretary-General for Safety and Security, the staff members will be required to reimburse evacuation allowances, as applicable, in respect of those persons returning to the duty station, may be subject to disciplinary measures, and will have his/her security clearance revoked.
- 6.11 The Designated Official in the designated country of relocation will be responsible for the evacuated staff members and/or spouse and eligible dependants in this area; he/she will be responsible for their reception, for assisting them to find accommodation and for the payment of any subsistence allowance payable to them. The Designated Official will also provide all possible assistance to persons mentioned in paragraph 3.6 on a reimbursable basis. All payments made in the designated country of relocation should be reported in detail to each respective organization/agency, as applicable, to identify amount and type of payments, name of recipient, parent organization and period covered.
- 6.12 Those staff members of the organizations and their eligible dependants (as defined in paragraph 3.1) who have been relocated/evacuated on the instructions of the Secretary-General will be paid a daily or monthly allowance. These allowances will be payable in accordance with the provisions contained in Annex I. The appropriate rate will be payable as from the date on which travel involved is completed.
- 6.13 The schedule of evacuation allowances has been established on the assumption that, within a finite period (normally a maximum of six months), staff members will either have been authorized to return to the duty station or will have been reassigned to another location (on either a temporary or a longer-term basis), or will have separated from service.
- 6.14 For nationally-recruited staff members, the Designated Official may authorize payment of DSA for a period of up to 30 days. The Designated Official may also authorize payment of three months salary advance and, if necessary, a grant to cover transportation costs for the staff member and his/her eligible family members.

D Compensation for Loss of, or Damage to, Personal Effects of
Internationally-recruited Staff members

- 6.15 Compensation to internationally-recruited staff members for loss of, or damage to, personal effects which is attributable to service in connection with an emergency situation or a disaster will be payable in accordance with the relevant administrative instructions of each organization. In cases of hardship, appropriate advances may be made pending final settlement of a claim for compensation.

E Reporting Security Incidents

- 6.16 It is absolutely vital that all incidents in which United Nations staff members, eligible dependants and their property have been affected by crime and violence should be immediately reported to the Designated Official either directly or through the senior official of the organization concerned. The office of the Designated Official, besides reporting the incidents to the authorities, will maintain records on such incidents and ensure that they are reflected in the Quarterly Incident Report. All serious cases, and especially those involving physical violence, should be reported immediately to the Under-Secretary-General for Safety and Security. Statistics on all incidents should be submitted on a quarterly basis in accordance with the format provided by DSS. These statistics represent one of the elements considered by the International Civil Service Commission (ICSC) for the classification of duty stations according to living and working conditions.
- 6.17 In the event of the death of a staff member, spouse or eligible dependant under suspicious circumstances, the Designated Official shall immediately initiate the actions outlined in Annex L and inform DSS immediately. DSS will determine whether an investigation using outside experts is required.

F Reporting Arrest or Detention of Staff members¹

- 6.18 When there is evidence to suggest that any staff member of the United Nations system, whether internationally or nationally-recruited, or other agent of the United Nations², or a member of his or her immediate family has been arrested or detained by authorities of a government, the Designated Official immediately shall report the incident by the fastest means of communication available (such as email, cable, facsimile, radio, or telephone) to the Under-Secretary-General for Safety and Security.
- 6.19 The Designated Official at the duty station where the arrest or detention has taken place shall immediately contact the Foreign Ministry of the government concerned and request:

¹ Although similar arrangements apply to all organizations, the specific procedures described in this chapter essentially cover only the immediate United Nations family of organizations (excluding the Specialized Organizations). Other organizations often have their own arrangements. (See Annex N for further information regarding other organizations.)

² In case of doubt concerning whether a person is included or not, the Designated Official shall submit a report including information on the person's status.

- a) all relevant information about the arrest or detention; and
 - b) the government's cooperation in arranging as a matter of urgency that representatives of the United Nations accompanied by a medical physician of their choice be given access to the individual arrested or detained.
- 6.20 The report to Headquarters shall convey all information readily available, including:
- a) the name and nationality of the person arrested or detained, his/her employment status with and official functions for the United Nations; for family members the family relationship must be given. In the case of children, the age(s) should be given;
 - b) the time, place and other circumstances of the arrest or detention;
 - c) the legal expression or term used by the applicable local law to describe the arrest or detention;
 - d) the legal grounds for the arrest or detention, including any charges against the person concerned;
 - e) the name of the governmental agency, such as a court or an administrative authority, under whose authority the measure is taken;
 - f) whether a representative of the United Nations has been or will be given access to the person arrested or detained. In the affirmative, any request or other reaction from the person concerned also shall be conveyed; and
 - g) whether consular protection and/or legal counsel is or will be available to the person arrested or detained. In the affirmative, the identity of these services shall be conveyed.
- 6.21 If information on some of the items listed above is not available without delay, the available information should be forwarded immediately to Headquarters, and the missing items shall be communicated in a supplementary report or reports as soon as possible. Additional information relevant to the case shall also be reported as soon as possible. In this way the availability, centrally, of accurate and up-to-date information on each staff member, other agent or member of their family who has been arrested or detained or who has disappeared or been killed may be ensured. No statements concerning the incident should be made to the news media unless previously cleared by United Nations Headquarters.
- 6.22 The Under-Secretary-General for Safety and Security will inform the employing agency. The administration of the employing agency will inform the immediate family members and staff representatives concerned. The employing agency will determine what further action may be required, including, as appropriate, the involvement of the Secretary-General and the Office of Legal Affairs.
- 6.23 If the arrest or detention is carried out by an unauthorized or unknown person or persons rather than by authorities of a government, the incident also shall be reported immediately and the present procedure shall be followed except in those respects where it is clearly inapplicable.
- 6.24 To ensure prompt reporting of all arrests and detentions, the reporting procedure should be followed by the appropriate agency representatives in countries in which there is no

Designated Official or in areas which are remote from the office of the Designated Official. (A memorandum on the United Nations legal rights when a staff member, other agent of the United Nations, or a member of their family is arrested or detained is contained in Annex N).

- 6.25 In the event that a case of arrest or detention of staff members of the United Nations or the organizations constitutes a clear violation of the privileges and immunities of the staff member concerned, and at the same time the employing organization has not been able to fulfil its obligations toward the staff member, then heads of organizations with programmes in the country may be requested by the Secretary-General of the United Nations to suspend all operations, other than those of a purely humanitarian nature, and to cancel future missions until the situation is resolved.
- 6.26 The determination on whether to invoke the terms of the preceding paragraph shall be made by the Secretary-General, through the Under-Secretary-General for Safety and Security, on the advice of the employing organization and the recommendation of the Designated Official in the country concerned.

G Policy of the United Nations with regard to possession of personal firearms

- 6.27 The policy of the Organization with regard to the possession and carrying firearms is that no United Nations staff member (including security officers) are authorized to carry firearms unless they are cleared by DSS's Division of Headquarters Security and Safety Service (DHSS) and authorized by the Secretary-General.
- 6.28 Private use of firearms by United Nations staff members shall be in accordance with the laws of the host country. However privately owned firearms shall not be carried in United Nations aircraft, vehicles or into United Nations offices or during the conduct of official business. In those countries that authorize private citizens to carry firearms, and it is standard procedure for citizens to commute to and from work with private firearms, the Designated Official may authorize agencies to construct appropriately guarded and secured weapons lockers where private weapons will be secured during working hours.

H Policy of the United Nations System with regard to Hostage-Taking and Kidnapping

- 6.29 The policy of the Organizations of the United Nations system with regard to hostage-taking of staff members and their recognized dependants is based on the existing norms of international law as reflected in the 1979 International Convention against the Taking of Hostages which, inter alia, provides that the taking of hostages is an offence of grave concern to the international community, that any person committing an offence of taking hostages shall either be prosecuted or extradited, and that States shall make such offences punishable by appropriate penalties which take into account the grave nature of these offences.
- 6.30 The policy of the Organization regarding Hostage-taking is also based on the relevant decisions of its principal organs adopted in furtherance to the aforementioned norms of international law and, in particular, on Security Council resolution 579 (1985) by which the Council unequivocally condemned hostage-taking, called for the immediate release of all hostages wherever and by whomever they were being held, and affirmed the

obligation of all States in whose territory hostages were held to urgently take all appropriate measures to secure their safe release and to prevent the commission of acts of hostage-taking in the future.

a) Definition of hostage-taking

6.31 For the purposes of the present procedures, hostage-taking is defined as the seizure or detention with a threat to kill, injure or to continue to detain staff members or their recognized dependants (hostages) in order to compel a third party, namely a State, the Organization, a natural or juridical person or group of persons, to do or to abstain from doing any act as an explicit or implicit condition for the release of the hostages.

b) Policy of the organizations of the United Nations system

6.32 Should staff members of the organizations of the United Nations system or their recognized dependants be taken hostage, the organizations shall make every effort to secure their speedy and safe release. To achieve this goal, 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. Because of the political and long-term implications associated with the management and resolution of hostage cases, all matters will be under the direct responsibility of the Secretary-General through the Under-Secretary-General for Safety and Security.

6.33 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 staff members might face in the future.

c) Responsibilities of Member States

6.34 Notwithstanding the provisions of the present procedures, the Government of the State in which the hostage-taking has occurred, or, if applicable, the Government of the State where the hostages are held by the offenders, has the primary responsibility under international law to take all measures it considers appropriate to ease the situation of the hostages, in particular to secure their release and, after their release, to facilitate, when relevant, their departure.

d) Decision-making Authority

6.35 The Under-Secretary-General for Safety and Security shall be responsible for taking policy decisions in the event of hostage-taking and ensuring a coherent response by the organizations to any hostage incident.

6.36 Should staff members of the organizations or their recognized dependants be taken hostage, it is the responsibility of the Designated Official, to take all necessary actions on

behalf of the Organization to secure the speedy and safe release of the hostages. Such actions should be taken by the Designated Official in consultation with the organization of the staff member taken hostage and DSS. In those instances where the issues involved are so sensitive as to cause damage to other staff members, or have an impact on United Nations operations outside that particular duty station, the Designated Official should not proceed with any decisions which might have significant implications for the Organization and its staff without obtaining the concurrence of the Under-Secretary-General for Safety and Security.

e) Immediate actions by the Designated Official

- 6.37 When there is evidence to suggest that any United Nations staff member or an eligible dependant has been taken hostage, the Designated Official shall immediately:
- a) report the incident to DSS;
 - b) contact the Ministry of Foreign Affairs of the host country;
 - c) advise all members of the Security Management Team at the duty station; and
 - d) review security arrangements in effect to determine whether they should be enhanced.

f) Reporting Requirements

- 6.38 Given the sensitive nature of hostage-taking incidents, the Designated Official will be the **sole** focal point for all incidents at the country level. The Designated Official should provide the Under-Secretary-General for Safety and Security with all information readily available including:
- a) name and nationality of the person(s) taken hostage, his/her employment status with and official functions for the organizations; for eligible dependants, relationship must be given. In the case of children, the age(s) should be given;
 - b) time, place and other circumstances of the hostage-taking;
 - c) physical condition of the hostages;
 - d) identity of the individuals and/or organizations holding the hostages;
 - e) demands that are being made by the hostage-takers;
 - f) name of the host Government agency under whose authority action will be taken to recover the hostages, as well as a description of any action contemplated by host Government authorities.
- 6.39 If some of the information referred to in paragraph 6.38 above is not immediately known, the missing items shall be communicated as soon as they are available. Additional information relevant to the incidents shall also be communicated as soon as possible.

g) Cooperation with the Host Government

- 6.40 In the event of a hostage incident, the Designated Official shall:
- a) immediately contact the Ministry of Foreign Affairs of the Host Government and request:
 - i) all information about the hostage-taking;
 - ii) the cooperation of the Host Government authorities in arranging the safe release of the hostages;
 - iii) information regarding the actions of the Host Government authorities plan to take.
 - b) At all times maintain contact with the Host Government authorities at the policy-making and operational levels;
 - c) Appoint an official to provide liaison with the Host Government authorities.

h) Review of the Security Arrangements

- 6.41 In the event of a hostage incident, the Designated Official shall immediately review, with the assistance of the Security Management Team, security arrangements in effect to determine if these arrangements should be enhanced.
- 6.42 The Designated Official should guide the Security Management Team on how the hostage incident will be managed. The review of the security arrangements should include consideration as to whether it would be advisable to relocate immediate members of the hostages' families if there is reason to believe that their safety is at risk. For detailed information regarding the management of any hostage incident, refer to the Security Operations Manual.

i) Disclosure of Information

- 6.43 Due to the fact that premature or erroneous disclosure of information related to a hostage incident can place the lives of staff members in jeopardy, cause severe emotional distress to the families of the hostages and negatively affect the activities of the Organization, information concerning hostage-taking will be disclosed by the Designated Official and/or his/her appointed representative following consultation with DSS.
- 6.44 In light of the special responsibilities of the Under-Secretary-General for Safety and Security, before any information regarding a hostage incident is released to the media, such information should be cleared by that Office.
- 6.45 Considering the exclusively sensitive nature of the information related to a hostage incident, staff members should be instructed to abstain from disclosing information related to the incident to anyone outside the Organization.
- 6.46 Staff members shall be asked to ensure that their family members are aware of the restrictions concerning disclosure of information and encourage their compliance of these.

j) Requests for Mediation

- 6.47 For the purposes of the present procedure, mediation is defined as a request from the parties involved in a hostage incident for the intervention of the Organization to act as an intermediary in order to produce an agreement to secure the release of hostage(s). Designated Officials will not engage as mediators without first obtaining the concurrence of the Secretary-General through the Under-Secretary-General for Safety and Security.

ANNEX A

RELEVANT EXTRACTS OF THE CHARTER OF THE UNITED NATIONS

Charter of the United Nations

Article 104

The Organization shall enjoy in the territory of each of its Members such legal capacity as may be necessary for the exercise of its functions and the fulfilment of its purposes.

Article 105

- 1 The Organization shall enjoy in the territory of each of its Members such privileges and immunities as are necessary for the fulfilment of its purposes.
- 2 Representatives of the Members of the United Nations and officials of the Organization shall similarly enjoy such privileges and immunities as are necessary for the independent exercise of their functions in connection with the Organization.
- 3 The General Assembly may make recommendations with a view to determining the details of the application of paragraphs 1 and 2 of this Article or may propose conventions to the Members of the United Nations for this purpose.

RELEVANT EXTRACTS OF THE CONVENTION ON THE PRIVILEGES AND IMMUNITIES OF THE UNITED NATIONS ADOPTED BY THE GENERAL ASSEMBLY ON 13 FEBRUARY 1946

ARTICLE V

OFFICIALS

SECTION 17.

The Secretary-General will specify the categories of officials to which the provisions of this Article and Article VII shall apply. He shall submit these categories to the General Assembly. Thereafter these categories shall be communicated to the Governments of all Members. The names of the officials included in these categories shall from time to time be made known to the Governments of Members.

SECTION 18

Officials of the United Nations shall:

- a) be immune from legal process in respect of words spoken or written and all acts performed by them in their official capacity;
- b) be exempt from taxation on the salaries and emoluments paid to them by the United Nations;
- c) be immune from national service obligations;
- d) be immune, together with their spouses and relatives dependent on them, from immigration restrictions and alien registration;
- e) be accorded the same privileges in respect of exchange facilities as are accorded to the officials of comparable ranks forming part of diplomatic missions to the Government concerned;
- f) be given, together with their spouses and relatives dependent on them, the same repatriation facilities in time of international crisis as diplomatic envoys;
- g) have the right to import free of duty their furniture and effects at the time of first taking up their post in the country in question.

SECTION 19.

In addition to the immunities and privileges specified in Section 18, the Secretary-General and all Assistant Secretaries-General shall be accorded in respect of themselves, their spouses and minor children, the privileges and immunities, exemptions and facilities accorded to diplomatic envoys, in accordance with international law.

SECTION 20.

Privileges and immunities are granted to officials in the interests of the United Nations and not for the personal benefit of the individuals themselves. The Secretary-General shall have the right and the duty to waive the immunity of any official in any case where, in his opinion, the immunity would impede the course of justice and can be waived without prejudice to the interests of the United Nations. In the case of the Secretary-General, the Security Council shall have the right to waive immunity.

SECTION 21.

The United Nations shall co-operate at all times with the appropriate authorities of Members to facilitate the proper administration of justice, secure the observance of police regulations and prevent the occurrence of any abuse in connection with the privileges, immunities and facilities mentioned in this Article.

ARTICLE VI

EXPERTS ON MISSIONS FOR THE UNITED NATIONS

SECTION 22.

Experts (other than officials coming within the scope of Article V) performing missions for the United Nations shall be accorded such privileges and immunities as are necessary for the independent exercise of their functions during the period of their missions, including the time spent on journeys in connection with their missions. In particular they shall be accorded:

- a) immunity from personal arrest or detention and from seizure of their personal baggage;
- b) in respect of words spoken or written and acts done by them in the course of the performance of their mission, immunity from legal process of every kind. This immunity from legal process shall continue to be accorded notwithstanding that the persons concerned are no longer employed on missions for the United Nations;
- c) inviolability for all papers and documents;
- d) for the purpose of their communications with the United Nations, the right to use codes and to receive papers or correspondence by courier or in sealed bags;
- e) the same facilities in respect of currency or exchange restrictions as are accorded to representatives of foreign governments on temporary official missions; and
- f) the same immunities and facilities in respect of their personal baggage as are accorded to diplomatic envoys.

SECTION 23

Privileges and immunities are granted to experts in the interests of the United Nations and not for the personal benefit of the individuals themselves. The Secretary-General shall have the right and the duty to waive the immunity of any expert in any case where, in his opinion, the immunity would impede the course of justice and it can be waived without prejudice to the interests of the United Nations.

ANNEX B

GUIDELINES FOR PREPARATION OF A SECURITY PLAN

A Introduction

- B.1.1 The Security Plan is the most important security document at each duty station. It describes how the Designated Official and Security Management Team are going to address and manage the most likely security situations that can confront them. Its purpose is to outline the proactive and reactive actions to be taken to ensure the safety and security of United Nations personnel and their eligible family members, property and operations in response to any emergency situation. Normally, these situations result from civil or political unrest, hostile actions, natural disasters, medical emergencies, hostage taking, and conventional violent crime involving United Nations personnel.
- B.1.2 Though it is necessary to follow the given format for reasons of standardization, it should be borne in mind that the number and types of security situations that might occur at any duty station are infinite. There will be many ways of dealing with each situation, the most appropriate of which can only be determined at the time of the crisis and implementation of the appropriate response plan. Furthermore, the ways and means of dealing with a specific situation will vary from country to country and area to area within a country or city and from hour to hour in a quickly evolving situation. Therefore, the security plan is intended to provide a basic set of actions that may need to be altered or modified to meet the specific circumstances confronted. However, it is critical to note that modifying an established detailed existing plan to meet a crisis is significantly easier than dealing with that crisis with no plan at all.
- B.1.3 While it is impossible to predict what can happen at any one particular duty station, it is commonly accepted that all duty stations, regardless of current security conditions, must have an accurate, updated and feasible plan for dealing with a variety of potential security problems. The plan simply prioritizes and focuses on the most probable ones.
- B.1.4 The Security Plan addresses not only the issue of evacuation, but must take into account the myriad of security situations that could impact on a duty station and its staff. It demands that the Designated Official and Security Management Team consider these potential problems and develop deliberate plans, before the crisis occurs in order for them to meet the crisis should it happen.
- B.1.5 A list of possible contingency plans may include, inter-alia:
- Natural Disasters
 - Medical Evacuations (not only from the capital but also from outlying duty stations)
 - Hostage Incidents
 - Checkpoint procedures
 - Ambush procedures
 - Hijacking procedures
 - Fire Evacuation

- Office Occupation
- Demonstrations in front of the office
- Arrest/detention of a staff member/authorized dependant
- Robbery at residence while staff member/dependant is at home
- Procedures if in a minefield
- Serving as Country of relocation
- Mass United Nations casualties
- Explosive devices
- Terrorist attacks (including those involving nuclear, biological or chemical agents).

- B.1.6 The Designated Official, in consultation with the Security Management Team, is responsible for preparing the plan that will incorporate methods of addressing specific security events. All planning should focus on the "worst case" scenario and should not be discounted because of political sensitivity or optimistic thinking.
- B.1.7 While the Designated Official and Security Management Team play a crucial role in providing the guidance, final review and approval of the Security Plan, it is the primary responsibility of the Chief Security Advisor, with the assistance of other key personnel, who will actually prepare and maintain the plan.
- B.1.8 This annex has been prepared to provide the DO, SMT and CSA with information to prepare a security plan for the duty station. Additional information concerning the security plan can be found in the United Nations Security Operations Manual distributed to Chief Security Advisors and Designated Officials. DSS stands ready to advise and assist in the process of preparing the country-specific security plan. All plans must be forwarded to DSS for final review and approval. DSS will provide written approval to the duty station within 60 days of receipt of the plan from the Designated Official.
- B.1.9 All plans prepared or revised after the effective date of this Field Security Handbook will be prepared in accordance with the format outlined in this annex. Plans which are not in the format will be immediately returned for appropriate action and re-submission.
- B.1.10 Countries with NO Security Phases and with Security Phases One or Two will review and revise their country-specific security plan annually. Those countries in which Security Phases Three, Four or Five are in effect will review and update their country-specific security plan every six months or sooner as changes in the security situation develop.

B SECURITY PLAN - FORMAT

- B.2.1 This Annex provides sufficient information for the duty station to prepare a country-specific security plan. Additional information can be found in the United Nations Security Operations Manual produced by the Department of Safety and Security.
- a) Threat assessment/Security Risk management
- B.2.2 In order for Designated Officials and Security Management Teams to establish a valid country-specific security plan they should start by preparing a threat assessment of the duty station. The threat assessment is an annex to the country-specific security plan and must be completed before an effective security plan can be prepared.

B.2.3 DSS has developed a threat assessment/risk management process that enables a DO and SMT to examine and evaluate a standardized set of factors that will assist them in assessing the threat at their respective duty station. Significant factors considered in the evaluation process are: political, economic, social, crime and violence, infrastructure, security forces, threats to the United Nations, natural disasters, and demonstrated anti-United Nations activities. A specific guideline regarding the threat assessment/risk management is included in the United Nations Security Operations Manual. All Designated Officials and Security Management Teams must use this tool to assist them in identifying the specific threats which confront personnel at the duty station and then develop appropriate plans to respond to these threats.

b) Section I: Purpose of the Plan

B.2.4 Every plan must have a purpose. The purpose of the country-specific security plan is to provide the Designated Official, Security Management Team and other members of the security structure at a duty station with a set of predetermined and rehearsed responses to various crisis situations that could impact their personnel and operations. Events such as political crises requiring a relocation or evaluation of United Nations staff and dependants; hostage-kidnapping involving United Nations staff; acting as a safe haven for another duty station in crisis; responding to a natural disaster, and medically evacuating a staff member who has received a life-threatening trauma injury from the deep field are all realistic examples of security-related events that each duty station must be prepared to confront.

B.2.5 If Designated Officials and Security Management Teams wait for a crisis to happen and then start planning, they will not be able to respond effectively. However, if the country team develops various response plans before the crisis occurs, when they have sufficient time to prepare, they will be in a much better position to successfully respond to and meet any of these security challenges.

B.2.6 Thus, this introductory section simply states the purpose of the security plan for the specific country and what contingencies are specifically addressed.

c) Section II: security situation

B.2.7 The completed threat assessment makes it easy to describe the security environment in which the duty station must operate. This portion of the security plan should be concise and clearly describe the political, conventional crime and natural disaster threats (as appropriate) that can affect the security of United Nations staff operating in the country. In view of the variety of situations that can be present in different parts of a country, it is important to describe the security situation in the capital and then each major sub-area outside the capital where United Nations staff operates.

d) Security arrangements

B.2.8 This section specifically identifies actors and information that are critical and common to the various contingency plans contained within the country-specific security plan. They are:

a) Designated official

The Designated Official must be identified. For example: “The Designated Official for country X is the United Nations Resident Coordinator.”

b) Alternate designated official(S)

The Alternate Designated Official(s) who will perform the functions of the Designated Official in the absence of the latter must be identified.

c) Chief Security Advisor

If a full-time professional CSA, or professional single Agency Security Officer, is assigned to the duty station then there is no requirement for this portion of the plan. However, if there is no DSS CSA or Agency Security Officer assigned, the person performing the functions of the CSA must be identified and will be titled Security Focal Point, for example: “the Security Focal Point is the Deputy Resident Representative for Operations, United Nations Development Program.”

d) Coordination Center

Every plan must have one central location from which a crisis will be managed. All information will be reported to this location and all instructions from the Designated Official/Security Management Team will be issued from this location. Typically, the Coordination Center is the communications center or radio room for the duty station. Each sub-office operation will also have an Area Coordination Center from which the Area Coordinator can manage a security crisis. In addition, it serves as a location from which the DO/SMT can continuously be provided with updates on the situation. This again is typically the communications center or radio room of the sub-office operation.

e) Concentration point

This is one or more locations where staff members and their eligible dependants can assemble for safety from their respective warden zones during a security emergency. Concentrating personnel in central locations enables the DO to account for all staff and their eligible dependants and makes it easier to provide for their security. It is the location where staff and eligible dependants can be adequately secured and where emergency supplies such as food, water, medical supplies and sanitation facilities can be provided for short periods of time while arrangements are being made to evacuate or relocate to a safe haven. A concentration point (s) can be any location such as a church, school, hotel, warehouse, airport terminal, a UN office, or even a staff member's house.

f) Designated place of relocation

The designated place of relocation is the site, either internal or external to the duty station, to which staff members and their dependants can be relocated or evacuated in time of a security crisis. Typically, relocations occur to an adjacent country. A

designated place of relocation must be identified in every security plan. It is the responsibility of all Designated Officials to ensure that the DO at the receiving duty station is aware of the designation of that country as a place of relocation and that he/she receives a copy of the security plan.

Each sub-office operation will also have a designated place of relocation identified for its specific duty station. It is not necessary that all staff be relocated to the capital in time of crisis. They can be relocated or evacuated to another country if that country is closer and it is easier and safer to move to that location safely. Again, the DO at the designated place of relocation must be informed so that he/she can prepare to receive staff during a crisis.

g) Means of Relocation/Evacuation

This section must contain a short narrative description of how staff and their eligible dependants will be evacuated to the designated place of relocation. With the completion of the threat assessment, the DO/SMT will use the information available concerning the duty station's infrastructure to plan two means of evacuating to the designated place of relocation. Most duty stations utilize air movement as the primary option and road movement as the secondary option. However, because of geographic location, several duty stations consider boats as their primary option. Furthermore, civilian buses and trains can also be considered if they are reliable and can be readily used by the United Nations in an emergency situation.

The security plan must include a description of each option that could be used by the duty station, specifically identifying how it will be implemented. Flight times from the evacuation site to the designated place of relocation will be included on all air options. Specific details regarding the route (s) to be taken as well as a map indicating the route (s) will be included for all road (car and bus) and boat evacuations.

h) Annexes

Once the basic information has been provided the remainder of the country-specific security plan is composed of annexes. The use of annexes will permit the DO/SMT to easily update the plan as changes occur, to add unique contingency plans to the plan and to ensure that the respective plan is always current. The annexes listed below must be included as described.

i) Annex A -Security Management Team Contact List/Host Government Contact List

This annex must contain the Name, Title, Office, Home, Mobile, Fax and other telephone numbers and e-mail addresses of each member of the Security Management Team. It should also contain the same type of information for members of the host government who would need to be contacted in a crisis.

ii) Annex B -DSS Contact List

The Department of Safety and Security (DSS) will provide a standard listing of the Name, Title, Office, Home, Mobile and fax telephone numbers and e-mail addresses of all members of DSS for this annex.

iii) Annex C -Area Coordinator Contact List

This annex will contain the Name, Title, Office, Home, Mobile, Fax and other telephone numbers that can be used to reach each Area Coordinator.

iv) Annex D -Zone Warden List

This annex will contain lists of zone wardens for both internationally and locally-recruited personnel. Each list will specify the area covered by each zone, the name of each warden and all deputies with office, home, mobile telephone numbers and their individual radio call sign for the emergency communications system. This list can be posted on all office bulletin boards and provided to all staff to ensure they know their respective warden (s).

v) Annex E- International Staff Lists

International staff lists must contain the staff member's name, nationality, organization, Laissez Passer Number (or National Passport Number), title, residential address and telephone number in a tabular form.

vi) Annex F – National Staff Lists

National staff lists must contain the staff member's name, nationality, organization, title, residential address and telephone number in a tabular form.

vii) ANNEX G – Designated Place Of Relocation - Points of Contact

This annex will contain important information concerning the points of contact at the designated place of relocation. It will include, at a minimum the name, office, home, mobile and satellite telephone numbers for the Designated Official and Chief Security Advisor at the designated place of relocation. It must also contain

the telephone numbers and radio frequencies and call signs for the communications center at the safe haven, if one is operational.

viii) Annex H- Emergency Communications System

This annex describes the emergency communications system that is operational at the duty station. It must contain a list of all HF and VHF frequencies used at the duty station for both internal and regional communications in the country; the call sign list in effect for the duty station; and a listing of all satellite telephones by model and telephone number for the Designated Official, Chief Security Advisor and other agencies/organizations at the duty station.

ix) Annex I- List of Vehicles

If relocation or evacuation will be conducted by road, it will be critical to know how many vehicles are present at the duty station. This annex must contain a complete inventory of all official and non-official vehicles at the duty station. It should be broken down by agency, vehicle type, registration number and number of passengers it can carry.

x) Annex J -Local Staff Relocation Plan

Nationally-recruited staff must be a part of the country-specific security plan. It is not optional but mandatory. In view of the fact that the organization may not be able to evacuate nationally-recruited staff during a security crisis, it is imperative that each country-specific security plan contain a plan that will facilitate relocating those nationally-recruited staff and their eligible family members to a safe location within their country. This annex outlines the details of the plan developed by the National Staff Association in conjunction with the Chief Security Advisor or Country Security Focal Point.

xi) Annex K- Hostage Incident Management Plan

All duty stations are vulnerable to hostage/kidnapping situations, and there is no means of identifying when an incident will happen. Therefore, it is important that each duty station be prepared to respond to a hostage situation involving United Nations staff member(s). This plan must address the standard operating procedures to be used, identify specific individuals to act as negotiators and establish the various support teams to respond to a hostage event. Press, medical, reception, transportation, communications and family assistance support teams must be established, trained and be fully prepared to successfully respond.

xii) Annex L- Relocation Response Plan

In the event of a serious security crisis in one country resulting in an evacuation, another country (duty station) will be the safe haven to which the staff and their

eligible dependants will be evacuated. Many duty stations are prepared to undertake or evacuate themselves but do not consider that they may be the duty station to which others are evacuated. This plan prepares the duty station to act as a reception place. It specifically addresses elements such as how the evacuees will arrive, how they will be identified, who will take care of their security, transportation, housing, food, water, sanitation needs, emergency medical and health support, follow-on travel assistance, and issues dealing with payment of advance DSA.

In addition, there will be issues that must be coordinated with the host government regarding policy for such items as visas, additional host government security assistance, and special arrival and/or in processing requirements established by the host government.

xiii) Annex M -Medical Evacuation Plan

Duty stations routinely do a good job of conducting medical evacuations of personnel and dependants requiring specialized emergency treatment when it must be done from the capital. However, few plan for the life-threatening trauma injury to a staff member or dependant who resides several hundred kilometres from the capital in the interior of the country.

This annex requires each duty station to establish emergency medical evacuation procedures for all locations outside the capital. Specifically, it addresses such things as who can provide emergency medical treatment in the field, how the patient will be moved from the field, what transportation is available or can be used, whether the injured person is required to come to the capital or can he/she go directly to another closer country, who will be notified, and who will be responsible for managing the evacuation and what authorizations are required.

xiv) Annex N- Natural Disaster Plan

For those countries that are vulnerable to natural disasters, this annex outlines the major natural disasters likely to affect the duty station and the plan provides for ensuring the security and safety of United Nations staff and dependants. This Annex should also outline arrangements for dealing with mass casualties within the United Nations community.

xv) Annex O - Continuity of UN Operations

The United Nations does not necessarily cease all operations when Phase Five is declared. In most cases, locally- recruited staff continue the important operations of the organization. Each duty station must be prepared for a phase Five situation in which all internationally-recruited staff will be removed and the operations of all agencies, funds and programmes, will be turned over to selected senior nationally-recruited personnel. This plan identifies the Officer-

in-Charge for each agency, the Senior Nationally recruited (Local) Officer to be in charge overall, the specific measures for the safety and welfare of all nationally-recruited UN staff, the security of UN premises, the payment of salaries and other necessary expenses, the maintenance of minimum routine operations, and the means of communicating with the DO and other members of the SMT in the safe haven.

xvi) Annex P -Area Coordinator (Sub-Office) Security Plans

This section contains the security plans, prepared by each Area Security Coordinator, for each of the sub-office operations outside the capital.

xvii) Annex Q -Staff Lists

This annex contains the complete lists of staff and dependants at the duty station for both internationally and nationally-recruited staff. The information should be provided in the format outlined in Annexes D and E of the Field Security Handbook.

xviii) Annex R Maps

Maps play a critical role in managing any crisis and are a key element in all security plans. It is understood that many countries do not have high quality maps available, and many duty stations use simple or basic locally-produced road maps. In many cases this cannot be avoided. However, the DO and SMT must ensure that the maps that they routinely use in their duty station are included in this annex and sent to DSS. In the event of a crisis DSS will immediately use these maps to coordinate all discussions and provide advice/recommendations to the DO/SMT as they provide security updates regarding the crisis. It ensures that all concerned are viewing the same maps and reduces confusion.

The duty station must provide appropriate maps of the capital as well as for each area outside the capital in which United Nations staff operate.

xix) Annex S Positions

The longitude and latitude of all UN offices, warehouses and major installations shall be listed in this annex in tabular form.

ANNEX C

MEASURES RELATIVE TO THE SECURITY AND SAFETY OF NATIONALLY - RECRUITED STAFF MEMBERS AND THEIR ELIGIBLE DEPENDANTS

- C.1.1 Nationally-recruited staff may be evacuated from a duty station in only the most exceptional cases in which their security is endangered as a direct consequence of their employment by organizations of the United Nations common system. A decision in this regard can only be made by the Secretary-General, as recommended by the Under-Secretary-General for Safety and Security, based on a recommendation by the Designated Official.
- C.1.2 However, there are a number of measures available to the United Nations system which are intended to ensure to the extent possible the security of nationally-recruited staff. With regard to nationally-recruited staff members who are not citizens of the country, based on paragraph 3.6 of the Field Security Handbook, the organizations may lend assistance, when possible and to the extent feasible, on a reimbursable basis to leave the duty station. Practically speaking, these staff members should be advised to make necessary arrangements themselves since the organization will not necessarily be in a position to assist them.
- C.1.3 All-nationally-recruited staff members must be made aware of the assistance the United Nations System will provide to them in time of crisis.

All nationally-recruited staff members must be fully aware of what assistance the United Nations system will provide to them, their spouses and their recognized dependants in times of crisis. This will prevent expectations from being raised unjustifiably. Therefore each organization must ensure that all nationally-recruited staff members have been briefed regarding their entitlements in the event of an emergency. This process should be repeated at regular intervals. International staff must be clearly advised that, regardless of their very understandable empathy with local staff members, they are doing them a very serious disservice if they raise their hopes for evacuation or anything outside the measures outlined in this annex.

- C.1.4 Nationally-recruited staff members must be fully integrated into the security management system and must play an active role in the preparation of the portion of the Security Plan which affects them directly.

The Security Plan should not be seen exclusively as an outline for the evacuation of internationally-recruited staff members but should be a blue-print for how the organizations of the United Nations system can operate safely at a duty station. Nationally-recruited staff members are usually in a better position to know what security measures would work best for them in their particular environment.

C.1.5 Representatives of nationally-recruited staff members are required from time to time to participate in meetings of the Security Management Team.

Representatives of nationally-recruited staff members are required from time to time to participate in meetings of the Security Management Team when their security is being discussed. This inclusive process will permit the nationally-recruited staff to participate fully in designing and implementing security plans which affect them.

C.1.6 Security awareness training must be provided to all nationally-recruited staff.

Nationally-recruited staff members must be provided with security awareness training. In addition, they must be made aware of the contents of the Security Plan.

C.1.7 A warden system for nationally-recruited staff must be established.

A separate and distinct warden system must be established for nationally-recruited staff members. Depending on local conditions, DSS may, on an exceptional basis, authorize nationally-recruited staff to be integrated into the warden system for internationally-recruited staff.

C.1.8 Lists of nationally-recruited staff members, their spouses and eligible dependants must be kept up-to-date and copies sent to DSS; nationally-recruited staff, together with their parent organization must preserve official documentation outside the duty station.

It is critical that lists of nationally-recruited staff members, their spouses and eligible dependants be kept up-to-date with copies of these lists being systematically sent to DSS. As part of the advance planning process, nationally-recruited staff members and their respective organizations should be encouraged to preserve basic official documentation, such as contracts, salary information and annual leave, together with key personal documents (birth and marriage certificates) outside the duty station. The availability of the Official Status file of the staff members (contractual status and entitlements) both for themselves and/or surviving dependants is particularly crucial after a crisis.

C.1.9 Concentration points for nationally-recruited staff members should be identified and prepared in advance of a crisis

In deteriorating security conditions, the need for physical consolidation of nationally-recruited staff, their spouses and recognized dependants may be seen as necessary. Prior identification and preparation of these will be necessary. Consideration should be given to using common premises, where applicable. Proper preparation will involve estimating the numbers of people and the amount of time staff are likely to remain at the concentration point(s). The result of this calculation will determine what supplies will be required to ensure that the basic needs of staff and dependants are met while they remain in the concentration points. These will include food, drinking water, cooking and toilet facilities, blankets and first aid material. In addition, concentration

points must be equipped with communications facilities. It is essential, however, that the decision on the establishment and use of these concentration points should be fully discussed and agreed with nationally-recruited staff.

C.1.10 Planning for internal relocation, including identification of relocation options and means/feasibility of reaching them, must be carried out in advance of any crisis.

In a crisis, relocation in-country, whenever possible, is the main option for nationally-recruited staff. Designated Officials/Security Management Teams must identify a number of “in-country” relocation sites well in advance of any crisis and prepare detailed contingency plans to be included in the country-specific Security Plan.

C.1.11 In order to prepare for relocation within the country, considerable logistics preplanning – including confirming with the local authorities that the relocation will be permitted— and the possible commitment of funds will have to be done and confirmed well in advance. Further, the need to conduct reconnaissance of the routes to be used in the relocation exercise is essential.

C.1.12 It must be assumed that movement will take place at a time of developing tension and the availability of transport may be seriously affected. Numbers of individuals to be relocated will need to be known and, in this context, the concept of “extended family” may have to be taken into consideration. Transportation grants may only be given to the staff member, spouses and recognized dependants.

C.1.13 However, this concept cannot be developed without considering the risks involved, which are as follows: Relocation, while authorized by the local authorities in advance of any crisis, may be refused in the developing crisis situation for a variety of reasons. Further, military authorities may have taken command, imposing new rules and, frequently, requisitioning all local transport assets. In addition, road movement in a developing crisis may be extremely dangerous. If there are uncontrolled armed elements in the area, the risk of ambush and killing is very high. As has been seen in a number of situations, the presence of military escorts does not necessarily guarantee safety. It must be stressed that, once the authorization has been given for the relocation of nationally-recruited staff by the Secretary-General through DSS, the final decision to actually relocate always rests with the staff member based on local safety considerations.

C.1.14 Each organization should designate an officer-in-charge at the duty station and collectively the SMT should designate a Senior Nationally Recruited Officer (SNRO) to manage UN offices in the event that all internationally-recruited staff members are evacuated; appropriate arrangements to provide financial incentives to those individuals required to report to work should also be made.

C.1.15 In the event of a declared evacuation of internationally-recruited staff, organizations should designate a national Officer-in-Charge to manage organization-specific matters. This individual is to be identified by the SMT in advance of a crisis and be fully prepared and equipped to perform this function. All staff are to be aware of, prior to the evacuation, who is the designated national Officer-in-Charge. Should the relocation of nationally-recruited staff have been approved, the families of those staff members

left in charge of United Nations offices should be authorized to relocate if they so wish and be provided with funds as though the staff member had accompanied them.

- C.1.16 Nationally-recruited staff members who self-evacuate will not be entitled to evacuation entitlements. Special assistance in the form of medical/logistical help to nationally-recruited staff members who self-evacuate may be considered by the organizations on an inter-agency basis, but should not create an incentive for staff or their dependants to leave.
- C.1.17 As indicated in paragraph C.1.1 above, nationally-recruited staff members are not normally evacuated from their home country. Therefore, the organization does not take responsibility for nationally-recruited staff members who voluntarily choose to self-evacuate/relocate outside their home country or for the consequences thereof. However, within the parameters of this policy, offices in countries neighbouring a duty station from which staff have voluntarily self-evacuated may provide a variety of services and assistance to these colleagues.
- C.1.18 Special assistance to self-evacuated staff may be approved by the organizations when ALL the following conditions apply and following inter-agency agreement:
- a) confirmation from DSS that security conditions prohibit locally-recruited staff (either a specific group or all) from reporting to work;
 - b) security conditions have forced staff from their homes; and,
 - c) there is no access to an in-country designated place of relocation.
- C.1.19 In the event of voluntary self-evacuation, neighbouring countries will be notified by the headquarters of agencies, programmes and funds, if the criteria listed above apply. If so, the offices of UN agencies, programmes and funds in neighbouring countries may undertake the following, as appropriate:
- a) Provide assistance in identifying low cost accommodations for self-evacuees and their dependants (Offices are encouraged to negotiate a reduced rate wherever possible);
 - b) Provide, as appropriate, salary advances of up to three months upon confirmation from Headquarters (or from the office in the home country) that a salary advance has not already been made in the home country. If the security situation allows staff to return to work in their home country within the period of advance, maximum flexibility is to be applied to the recovery time period, taking into consideration the staff member's contractual status;
 - c) Employment with the organization in the receiving country may be possible and is determined by i) the concurrence of local authorities and ii) availability of work at the receiving office;
 - d) When appropriate, and upon the decision of the country team, with the concurrence of the appropriate local authority, a satellite office for the crisis country may be established. It should then be determined by management of the crisis country, in consultation with their headquarters, which staff will be required to report to work at the temporary office;

- e) Salaries should continue to be paid at a rate that corresponds to the level of the staff member's duty station. Self-evacuated staff who have been employed in a satellite office or in the office of a neighbouring country, may have their salaries "topped up" to the corresponding salary scale. Salaries should be paid in local currency of the neighbouring country in accordance with established practice for staff in that office;
 - f) Following inter-agency consultation, medical assistance may be arranged with expenses to be reimbursed in accordance with the practice of the parent agency and on the basis of rates of the receiving country.
 - g) Contract extensions may be authorized by the parent organization for an initial three month period for staff with fixed term appointments. Should the instability prevent a return to the home country within this three month period, an additional three month extension may be considered (The total period is not to exceed six months). There will also be issues regarding other types of contracts, particularly those of a short-term nature. This will need to be handled on the basis of sound judgement locally, and consultations as appropriate.
 - h) Reports on the number of staff and dependants received by the neighbouring country should be forwarded to the parent agency on a monthly basis. This information should be provided to DSS by the agency security focal point.
 - i) DSA will not be authorized for staff who self-evacuate.
 - j) Staff members who have self-evacuated should ensure that they report to the local office of their parent organization as soon as possible. Thereafter, one of these staff members should serve as a focal point to the receiving country office and for the self-evacuated staff. This "liaison" should be responsible for disseminating relevant information to all his/her self-evacuated colleagues as well as providing the office with updated information on the status of self-evacuees.
- C.1.20 In-country planning and preparation are the essential first steps to safe-guarding nationally-recruited staff in emergency situations. However, the active support of neighbouring country offices is critical to their continued protection and well-being. Many responses, such as salary advances, may be impossible to effect in the home country prior to a self-evacuation. It may be necessary then for neighbouring countries to step in and provide timely assistance to self-evacuees.
- C.1.21 Providing help to self-evacuees can represent a significant amount of extra work for the assisting office. However, by addressing the human resource issues of complex emergencies quickly and in accordance with a standard approach, time consuming consultations can be avoided and ad hoc decision making reduced. Moreover, under these arrangements, financial implications can be kept within reasonable limits and legal complications avoided.
- C.1.22 Maintaining staff on normal contractual status after they have voluntarily evacuated from an extremely hazardous situation is a fundamental act of a good employer. However, the duration of Special Leave with Full Pay or Special Leave without Pay in such instances cannot be indefinite. If a return to the home country is considered possible and the office has returned to operations, then staff are expected to return to

active service as soon as their situation allows, but not beyond the stipulated time limits outlined in paragraph C.19 (g) above. Each case has its nuances and some staff may be in a position to return while others (for political or other reasons) may not. Nevertheless staff must be made aware of the allowable time periods and must realize that these will be consistently applied. Each organization should review its arrangements in this regard.

- C.1.23 A number of organizations have found it useful to send missions to neighbouring countries and assist staff in their decision to return or separate as well as re-establish normal activities in the affected office itself. Such missions can help to evaluate stress-related problems, plan the return of staff and resumption of activities, to determine the need for measures such as rehabilitation grants to facilitate staff rebuilding destroyed homes or to discuss separation packages for staff choosing not to return

ANNEX D

LIST OF INTERNATIONALLY-RECRUITED STAFF MEMBERS, THEIR SPOUSES

AND THEIR ELIGIBLE DEPENDANTS IN _____

<u>Name</u>	<u>Nationality</u>	<u>Organization</u>	<u>Spouse/Dependants</u>	<u>Names of Accompanying</u>	<u>Ages of</u>	<u>Children</u>	<u>Duty</u>	<u>Station</u>	<u>Passport</u>	<u>Number</u>	<u>Laisser Passer</u>	<u>Number</u>	<u>Blood</u>
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Total Number of Internationally-recruited Staff Members _____

Total Number of Eligible dependants _____

ANNEX E

LIST OF NATIONALLY-RECRUITED STAFF MEMBERS

AND THEIR ELIGIBLE DEPENDANTS IN _____

<u>Name</u>	<u>Parent Organization</u>	<u>Names of Eligible dependants</u>	<u>Ages of Children</u>	<u>Duty Station</u>	<u>Address & Telephone No.</u>
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ANNEX F

**RECORD OF INTERNATIONALLY-RECRUITED STAFF MEMBERS, THEIR SPOUSES
AND THEIR ELIGIBLE DEPENDANTS¹**

AGENCY: _____

STAFF MEMBER:

Family Name First Name Date of Birth Nationality UN ID Card No.

SPOUSE:

Family Name First Name Date of Birth Nationality UN ID Card No.

LOCAL ADDRESS (state quarter, floor, entrance, type of building; attach location sketch):

TELEPHONE NUMBER (indicate direct line/ switchboard): _____

HOME COUNTRY ADDRESS:

¹ It is the staff member's responsibility to advise the Designated Official of any changes in the information given.

CONTACTS OF KIN IN HOME COUNTRY (name, address, telephone):

CHILDREN:

Child's Name	UN ID Card No.	Date of Birth	Name and Address of school attended	Days and hours attended
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a) Type of school transport: _____ Time of return: _____
b) Time of pick-up: _____

OTHER PERSONS/VISITORS/SERVANTS RESIDING WITH STAFF MEMBER:

Name	Age	Relationship	Nationality	Duration of visit	Passport No.
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DISABLED/INVALID PERSON(S) WHO MAY REQUIRE SPECIAL ATTENTION (e.g. PREGNANCY, DIABETES, AGED, ETC) RESIDING WITH STAFF MEMBER
(Confidential Note may be given to CMO/Medical Assistant):
Advise your Headquarters of changes as they occur.

NAME AND QUALIFICATIONS OF MEDICALLY-TRAINED FAMILY MEMBERS:

PRIVATELY-OWNED VEHICLE:

Model	Seating capacity	Registration Number	Condition	Location of vehicle	Does spouse (or dependant) drive?
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FAMILY PASSPORTS:

Name	Relationship	Number	Place of issue	Date of Issue	Date of expiry	Valid visas for
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UN LAISSEZ-PASSER/FAMILY CERTIFICATE:

Name _____ Relationship _____ Number _____ Place of issue _____ Date of Issue _____ Date of expiry _____ Valid visas for _____

FAMILY HEALTH CERTIFICATES

Name _____ Relationship _____ Small pox _____ Typhoid _____ Cholera _____ Yellow Fever _____ Others _____

INVENTORY OF FURNITURE, ETC

Submitted _____
To be submitted _____

To Agency on: _____

_____ Date

OTHER RELEVANT INFORMATION:

ANNEX G

MINIMUM OPERATING SECURITY STANDARDS (MOSS)

POLICY DOCUMENT

A. GENERAL

a) Introduction

- G.1.1. MOSS is a fundamental policy document for all UN field operations. It was developed in response to the threats and risks faced by United Nations staff and operations to ensure that minimal essential security practices and procedures are established and equipment and physical resources are available to mitigate the risk. MOSS is a system-wide initiative that is managed by the Department of Safety and Security (DSS).
- G.1.2. Each country team and operation is required to develop a country MOSS using the MOSS policy document as a starting point. These instructions introduce the MOSS policy document and provide detailed guidance for the development and implementation of country MOSS.

b) MOSS Policy Document

- G. 2.1. The MOSS policy document should be regarded as a baseline. It has been developed by DSS in coordination with Designated Officials and the Inter Agency Security Management Network (IASMN). It is a generic document that sets the minimum operating security standards for United Nations field operations globally.

c) Purpose

- G.3.1. The purpose of MOSS is to establish a standard field based criteria for minimum security arrangements to enhance staff security, mitigate risk and enable field operations.

d) Accountability

- G.4.1. Within the report of the Secretary-General, dated 28 August 2002, 'Inter-organizational Security Measures: Framework for Accountability for the United Nations Field Security Management System', MOSS is a defined responsibility for senior managers in the field and at agency headquarters. As such it is subject to accountability.

e) Format

- G.5.1. The baseline MOSS document is presented in a tabular format. It commences with the requirements for countries in which no security phase has been declared, i.e. 'No Phase'. This is followed by the requirements of the five separate security Phases of the United Nations Management System.
- G.5.2. The tables are cumulative, with those requirements starting at 'No Phase' being implicit to all other Phases; e.g. the requirements of MOSS under Phase Three include all the requirements of 'No Phase', Phases One and Two.

- G.5.3. When changing from one Phase up to a higher Phase (e.g. Phase One to Phase Two) the increased measures for the new phase are required to be implemented as soon as possible. Typically full implementation is to be completed within a maximum of 60 days from declaration of the Phase change.

f) Financial Implications

- G.6.1. MOSS provides the minimum standards to manage those ‘normal’ risks typically encountered at field duty stations. As such the MOSS table indicates, “what you must have” and not “what you would like to have” in order to mitigate risk and safely conduct operations within the country. It is noted; however, that in some duty stations where there is open war or civil conflict additional protective resources may be necessary. Attachment 1 to MOSS is designed to address these situations. Further, the threat of terrorist attacks requires enhanced resources. The risk of terrorism is global and may, just as likely be apparent in a no phase country as a phase three country. Attachment 2 is designed to address these situations.
- G.6.2. Attachment 1 to the MOSS table ‘Protective Equipment and Facilities’ provides a list of additional resources, procedures and equipment to mitigate risk when dealing with threats relating to operating in armed conflict situations and/or areas where mines are apparent.
- G.6.3. Attachment 2 to the MOSS table ‘Enhanced Protective Measures and Resources for the Threat of Terrorism’ provides a list of additional resources, procedures and equipment necessary to mitigate risk when operating in areas where the threat of terrorism is apparent.
- G.6.4. The use of any or all the resources/equipment in Attachments 1 or 2 must be justified by a security risk assessment and applied adopting the relevant United Nations guidelines.

g) Scope

- G.7.1. MOSS implementation has certain financial and resource implications at the country level and funding for which remains the responsibility of the Country Team; DSS does not have funds for MOSS implementation. Any financial implications will have two aspects:
- a. The inter-agency, or common system, requirement for joint funding.
 - b. The single-agency requirement for Agency equipment.

Example: A country-specific MOSS may require a 24 hour/7 day per week communications centre, plus VHF handsets for all international staff and selected national staff, plus shatter resistant film for all UN offices. Common system costs will include the communications centre, its operators, and its equipment. Whereas single-agency costs of the same MOSS will include VHF radios for that Agency’s staff and for the required blast protective film for that Agency’s offices only.

h) Malicious Acts Insurance Policy

- G.8.1. The underwriters of the Malicious Acts Insurance Policy (MAIP) have noted the United Nation’s compliance to MOSS. Therefore, non-compliance of MOSS measures may be used by the policy underwriters as justification for denying or reducing compensation in the event of an incident involving United Nations staff.

i) Development of the country MOSS

G.9.1 The development of each country-specific MOSS must be preceded by a detailed and thorough Security Risk Assessment conducted by a 'competent authority' in coordination with the Security Management Team (SMT). For the purposes of conducting a formal Security Risk Assessment, 'competent authorities' are considered to be; DSS Security Personnel, Chief Security Advisers (CSA), Security Officers (SO) from United Nations Agencies, DPKO Chief Security Officers (CSO) or any other person specifically approved by DSS for that purpose.

G.9.2 The Designated Official and the Security Management Team are responsible to develop their country-specific MOSS. Only one MOSS is usually produced for each country. The five steps required in the development of a country-specific MOSS are as follows:

Step 1: Conduct a Security Risk Assessment and confirm the Security Phases.

Step 2: Compare the extant security measures in each security Phase against those required in the MOSS policy document (baseline) and determine shortfalls, if any.

Step 3: Identify, if any, what additional measures are required to mitigate the specific risks in the country that are above the requirements set out in the MOSS policy document.

Step 4: Once all MOSS requirements have been considered and documented, the MOSS should be presented in the tabular format. The SMT will then endorse the country MOSS and forward it to DSS for review.

Step 5: DSS will authorise the country MOSS. The MOSS is then implemented at the country level, with equipment obtained and installed, training undertaken and structures put in place.

j) Implementation of MOSS

G.10.1 All countries are required to have a country MOSS and to have implemented it completely. When Phases are changed the implementation of changes to the country MOSS should be conducted as rapidly as possible (at least within 60 days) - hence the need for pre-planning is paramount. A country with no security Phase **MUST** have a contingency for the implementation and procurement of assets and resources necessary to move to Phase One. The MOSS system is designed to ensure, as far as possible, a logical and smooth transition from a lower to higher phase with minimal increase in actual resources. The largest resource requirement is from No Phase to Phase One.

G.10.2 The following explanations provide clarity to some of the concepts and terminology used in the baseline MOSS document.

a) Telecommunications

ECS. The concept of an Emergency Communications System (ECS) ensures there is a reliable communications structure/link established between those United Nations staff who have been appointed with security and safety responsibilities (i.e. DO, CSA, SMT members, Wardens, ASCs and selected staff). The ECS is a structural and procedural element of MOSS that is reinforced by radios at Phase One. It has two elements; (1) the ability for the

security officials, and others, to communicate within the country, and (2) the ability for senior security officials to communicate to DSS and other organisations outside the country. Radios are required in the establishment of a Phase One (or greater) ECS because they provide an independent means of communications that is not afforded by cellular telephones and perhaps hand-held, satellite telephones.

No Phase. Under conditions of ‘No Phase’ the ECS is based on ‘appropriate and available means’ to ensure reliable security/safety communications between the SMT members, Wardens and ASCs. This may be a combination of cellular telephones, landlines telephones, email or radios as appropriate. Mobile satellite telephones are required to enable the CSA and DO to maintain communications with DSS and other organisations.

Phase One. In Phase One the ECS is reinforced with a fully operational and independent radio network of UHF, VHF and/or HF radios. The ECS in Phase One is to be ‘monitored’ on a 24-hour basis - this ensures that emergency calls can be effectively serviced. A simple system of identifying a ‘duty officer’ may be appropriate for monitoring purposes. In this way security linkage is maintained between all security officials at the duty station. Lastly, there is a requirement to equip and establish a common-system Communications Centre/Radio Room, and a Crises Coordination Centre (CCC) in the Capital, and at each of those outlying locations outside the Capital. There is no requirement to have these facilities operating on a 24-hour a day basis, but they are to be equipped with all the necessary resources to ensure that, should it be necessary, they can be operated effectively. Note: Radio room and CCC are not to be used as storage or other disruptive uses.

Phase Two. Phase Two is typically considered as an interim Security Phase during which the SMT considers whether the security environment is likely to deteriorate further (perhaps to Phase Three) or to improve (return to Phase One). As per the Field Security Handbook, ‘essential staff’ are to be identified, and provided with VHF/UHF radios. The dedicated Radio Rooms are to be operated to maintain 24/7 communications operations. This will likely include email, fax and satellite telephone operations.

b) Vehicles

No Phase. All UN vehicles may be utilised throughout all areas of the country not under any Security Phase. All UN drivers must have appropriate driving documentation (National driving licenses and/or relevant UN certification). UN vehicles must be able to be identified as UN vehicles at all times, and must be correctly registered and insured in the country.

Phase One. Under Phase One the DO is responsible to be aware of the location of all UN staff at all times and an effective and reliable system to monitor staff whereabouts is required. Further, all vehicles are to have an ‘effective and reliable’ means of communications – this may be achieved by a proven reliable, cellular telephone system with wide area coverage. This allows the implementation of the necessary system of movement control (or tracking) of UN vehicles so that the DO can fulfil his responsibilities. In addition, ‘Field Vehicles’ need to be identified and equipped, these will be full-size, 4x4

vehicles equipped with radio communications for field mission outside of the Capital area/region.

Phase Two. All vehicles operating in a Phase Two environment are to be equipped with UHF, VHF and/or HF radios.

Phase Three. All drivers are to be provided with VHF/UHF, handheld radios. Specialised equipment may be identified and procured for these 'Field Vehicles' as appropriate (e.g. extra spare tyres, spare fuel, emergency lights, ballistic blankets, etc).

c) Training

All Phases. All UN staff are required to complete the basic Security Awareness' CD-ROM. In addition, throughout the process of MOSS development and implementation, security managers must be aware of the need to provide training and briefings for the general staff and for those with security responsibilities. The CSA is required to undertake such training and DSS can provide additional resources as appropriate.

Phase Three. Specialised training must be provided to selected staff on, trauma kits, protective equipment or facilities, etc, as appropriate.

d) Equipment

No Phase. 'Emergency power supply' is a common-system, independent and reliable source of electrical generation to ensure communications equipment is operative, security lighting is available at all times, essential business functions can be conducted even after the loss of 'city supplied' or commercially supplied power. In certain locations, electricity or other power supplies may be critical for basic warmth (e.g. Mongolia). Emergency fuel is required for these facilities in all instances. Contingency plans for the procurement of Phase One equipment are to be established.

Phase Two. Contingency plans are required for the procurement and installation of appropriate Specialised Equipment (see paragraph 6 below).

Phase Three. Specialised protective equipment is to be procured and fitted as appropriate and as described in Attachment 1.

e) Security Plan

No Phase. A functional Security Plan, based on a formal Threat Assessment, is required for all UN duty stations as described in the Field Security Handbook (FSH) to include an operational Warden system and the appointment of ASCs as appropriate. In addition, each Country Team must establish local security Standard Operating Procedures (SOP's) for various emergency scenarios. All buildings are to have an Emergency Evacuation Plan in place. Staff should be fully briefed on the contents of these documents and have access to all relevant UN policy and operational security documents.

Phase One. Security clearance procedures (in accordance with the FSH) are to be established and implemented. This includes country-specific travel clearance procedures. SMTs are required to meet at least monthly.

f) Specialised Equipment

CSA Equipment. The CSA is provided with certain standard equipment by DSS. Additionally, the CSA security budget provides for specialised field kit as required.

Trauma Kit. A trauma kit is required in Phase Two. It is an advanced first aid kit with specialised medical equipment to treat major trauma injuries. Normally this requires the attendance of a qualified paramedic, nurse or doctor. At least one UN staff member should be trained in the use of this equipment.

PEP Kit. Post Exposure Prevention (PEP) kits are provided and managed by WHO. At the field level the PEPs are typically held under the care of the WHO representative. They are designed for use under the supervision of a medical doctor but can be initiated without such.

g) Protective Equipment and Facilities (See Attachment 1).

For those countries exposed to threats from active conflict or war, including explosive attack, artillery/mortar fire, aerial bombardment, heavy-machine gunfire, ambush attack or landmines and UXOs, protective equipment and facilities may be appropriate in the development of a country MOSS.

Construction, procurement and/or deployment of any of the below protective equipment/facilities is to be recommended by a ‘competent authority’ after the completion of a Security Risk Assessment (endorsed by the SMT), and endorsed by DSS.

Training is required for all protective equipment and facilities. For example, for body armour it must include: fitting and donning, protection levels, care and maintenance, vehicle carriage and authority to wear/discard.

NBC – Annex T of the Field Security Handbook provides policy on NBC issues. (Not a MOSS requirement.)

h) Enhanced Protective Measures and Resources for Threat of Terrorism (See Attachment 2).

Determining threat and risk is a complex task. On one hand, a terrorist threat could be present and necessitate counter-measures in a country that is otherwise at security Phase One or lower. On the other hand, terrorist animosity and intent towards the United Nations is likely to vary throughout the world, as will the capacity of host governments to provide protection. There may be some countries at a very high security phase that may not, at least in the short term, face a major terrorist threat.

For this reason, the enhanced protective measures and resources are designed as a “supplement” to the MOSS policy document. In the first instant implementation is to be considered based on the global level of the specific terrorist threat (“green” for negligible or low risk, “amber” for medium risk, and “red” for high risk) for each location. Countries at the ‘green’ risk level may not require additional resources above baseline MOSS. However, those countries with risk levels at ‘amber’ or ‘red’ will need to review current protective and procedural requirements from the Attachment 2 table to enhance their current security regime.

The extent of the enhancement application will be determined by the SMT, based on the local Security Risk Assessment, endorsed by DSS. In this manner, counter-terrorism measures can be selectively “bolted onto” the existing baseline MOSS for a country, location, or region taking into account the particular local requirements and operational environment.

i) Conclusion

The MOSS policy document is an enabling document that provides a system-wide process that establishes a foundation of minimum levels of security resources, procedures, practices to ensure a minimum level of risk mitigation and security preparedness at the field level. The implementation of MOSS combined with effective security and risk management will create conditions for a working environment that is, as far as is reasonably possible, safe and secure for UN staff and operations.

TERMINOLOGY

In general, the terminology used in the Field Security Handbook is used throughout MOSS. However, the following words and phrases are also noted within the MOSS 'baseline' document:

Country Offices. Although various Agencies may use variant terms, the 'Country Offices' used in MOSS describes those country headquarters offices typically located in the Capital city of that country, e.g. Those UNDP, UNFPA and IMF offices in Colombo, Sri Lanka.

Offices Outside the Capital. Those offices considered to be sub-offices, or affiliated offices, to those Country Offices (above). They are typically located well outside the Capital city, and come under the responsibility of an ASC for security matters.

Common-system. Used to indicate at least one such facility, equipment or capability is to be provided for the UN system in that country or specific Area within the country.

Area. As per the Field Security Handbook in relation to security planning. In general, the term 'Area' defines a geographic area within which an Area Security Coordinator (ASC) is appointed by the DO. The ASC, in addition to his/her normal Agency duties, has specific security related responsibilities within his/her Area similar to the DO.

Monitored. In relation to the ECS in No Phase declared situations, the term 'monitored' implies that all staff within the ECS are to be capable of calling an identified individual or callsign/number through a reliable and un-interrupted means of communication, and be able to pass on relevant security information and to receive an appropriate response. The mechanism for this 'monitoring' is determined by the DO/SMT.

Security Risk Assessment. This is to be conducted as described in the UN Security Risk Management policy document.

Independent radio network. The term 'independent radio network' (Phase One Telecommunications) indicates that the UN communications system, particularly radio networks, are to be owned and operated by the UN whenever possible. This implies that shared arrangements (e.g. co-use of the same VHF Repeater with an NGO, government body or commercial organisation, etc) should be avoided whenever possible.

Security Channel. A separate frequency, perhaps through a separate VHF/UHF Repeater, that is dedicated as a security channel with limited access to the relevant security management personnel as directed by the DO.

Field Vehicles. Those vehicles appropriate for heavy duty in a crisis or high-risk environment. Typically high quality, full-size, 4x4, four door utility sedan type vehicles, fitted with appropriate communications and specialised equipment as appropriate.

Specialised Equipment. That protective equipment or facility utilised in high-risk environments where the threat of aerial bombardment, roadside attack or random anti-personnel landmines is considered to be significant. For the implementation of MOSS this includes; Body Armour, Ballistic Blankets for vehicles, Bunkers and Blast Protective Film for windows.

Mobile Satellite Telephone. As opposed to a static, embedded satellite telephone that would not be capable of rapid deployment to a Concentration Point, DO's residence, or ECC, etc in time of crises.

Radio Room. More accurately defined as a communications centre, the 'radio room' is to be equipped and fitted with those means of communications appropriate for the country security plan and may include, email, satellite telephone, facsimile, VHF/UHF radio base stations, HF base stations, landline telephone, Telex or other system. An identified alternate site should also be identified so that a rapid change can be instigated if necessary.

Crisis Coordination Centre (CCC). An identified room equipped and fitted with appropriate equipment to allow for the convening of crisis management groups and to enable them to access appropriate documents, facilities and resources in a comfortable group working environment. This may be a designated conference room but should not be an operating office or storage area. It should be near to, or share some facilities of, the Radio Room. Consideration should be given to the site of the CCC so that access in times of crisis is possible. An identified alternate site should also be identified so that a rapid change can be instigated if necessary.

NO PHASE

Telecommunications

<u>COUNTRY OFFICES</u> (Agency HQ's in Capitals)	Offices Outside Capital	Individual Staff	Procedures	Requirement
<p>Establish an Emergency Communications System (ECS)¹ throughout the functional area of the Capital, and its operational locations, utilizing 'appropriate and available means' in order to:²</p> <ol style="list-style-type: none"> 1. Provide communications between DO, CSA, SMT, Wardens. 2. Provide communications between the DO, CSA and ASCs. 	<p>Establish an Emergency Communications System (ECS) throughout the operational 'Area' utilizing 'appropriate and available means' in order to:</p> <ol style="list-style-type: none"> 1. Provide communications between the ASC and the ACSA, SMT within the Area. 2. Provide communications between ASC and DO/CSA in the Capital. 	<p>DO, CSA, SMT members, ASCs and selected staff provided with appropriate and available means of communications in order to establish and operate an ECS.</p>	<p>ECS is to be tested and practiced at regular intervals.</p>	<p>ECS network to be capable of operating 24 hour/7 days per week (24/7) with uninterrupted and reliable communications between the DO, CSA, SMT and all Wardens and ASCs.</p>
<p>Establish an ECS to enable communications between the DO/SMT/CSA and relevant UN Offices outside the country (including DSS). Provide a common-system, mobile satellite telephone.</p>			<p>A contingency plan for resource mobilisation of communications equipment requirements in readiness for Phase One, is to be developed.</p>	

¹ ECS has two primary functions: (1) To ensure members of the security management structure are able to communicate with each other during a crisis or emergency (2) To enable the DO/SMT to communicate security/emergency information to DSS and other offices outside the country.

² With regard to an ECS in No Phase, the term "appropriate and available means" would typically mean cellular/mobile telephones, together with satellite telephones, but in countries where an administrative or natural disruption of the relevant communications networks is likely then a VHF/HF network is required. The WGET points out that the use of cellular phones should not be considered as a reliable alternative to a radio network in emergency situations even in No Phase situations.

NO PHASE

Security Plan

Country Offices	Offices Outside Capital	Vehicles	Staff
<p>Documentation with DO, SMT and CSA:</p> <ul style="list-style-type: none"> • Security Risk Assessment.³ • UN Field Security Handbook (FSH). • Security Operations Manual. • Country-specific Security Plan. • Country-specific MOSS. • Security Standard Operating Procedures. • Medical evacuation procedures. • Relevant country maps. 	<p>1. Area Security Coordinators (ASC) appointed.</p> <p>2. Documentation with ASC:</p> <ul style="list-style-type: none"> • UN Field Security Handbook. • Security Operations Manual. • Area-specific Security Plan. • Area-specific MOSS. • Security Standard Operating Procedures. • Medical evacuation procedures. • Relevant country maps. 	<ul style="list-style-type: none"> • Drivers must have a relevant and current, national driving licence. • All UN vehicles appropriately registered by the Host Government. • All vehicles appropriately marked with UN logos/flags/decals, etc (as per country SOPs). 	<p><u>All staff provided with:</u></p> <ul style="list-style-type: none"> • UN Security in the Field booklet. <p><u>All staff required to:</u></p> <ul style="list-style-type: none"> • Make themselves aware of relevant Country/Area-specific Security Plan, SOPs and policies. • Comply with all UN security policies.
<p>Warden Systems</p> <ul style="list-style-type: none"> • Established and operational. • Exercised regularly. 	<p>Warden Systems</p> <ul style="list-style-type: none"> • Established and operational. • Exercised regularly. 		<p><u>All new staff provided with:</u></p> <p>Country-specific security orientation briefing.</p>
<p>Building Emergency/Evacuation Plan</p> <ul style="list-style-type: none"> • Established for all UN offices and facilities. • Exercised every six months. 	<p>Building Emergency/Evacuation Plan</p> <ul style="list-style-type: none"> • Established for all UN offices and facilities. • Exercised every six months. 		<p>Training</p> <p>All staff to complete Basic Security Awareness CD-ROM.</p>

³ To be conducted by a 'competent authority' and may include recommendations for 'protective equipment and facilities.

NO PHASE

Equipment

Country Offices	Offices Outside Capital	Vehicles	Staff
<p>Emergency power supply available for charging and operation of appropriate, common-system communications equipment, office external security lighting and essential computer facilities⁴.</p> <p>PEP kits obtained for the common-system (provided and managed by WHO).</p> <p>Contingency plans for the procurement of Phase One MOSS equipment requirements are to be established.</p>	<p>Emergency power supply available for charging and operation of appropriate, common-system, communications equipment, office external security lighting and essential computer facilities.</p>	<ul style="list-style-type: none"> • First aid kit. • Fire extinguisher • Spare wheel, jack and appropriate tools. • Vehicles appropriately marked (as above). • Seat belts. 	<p>CSA provided with standard equipment.⁵</p>

⁴ This is to ensure the integrity of the ECS in times of crisis. A common-system facility is required, as part of MOSS, to maintain the capabilities noted (typically the UN House). However, it is recommended that all Agencies with separate compounds adopt a similar requirement.

⁵ When a CSA is appointed to a country, DSS, or the CSA's budget, will provide the following mandatory equipment or the funds to purchase them: radio equipment, telephone (satellite and cellular), laptop computer and accessories, digital camera, GPS, first aid kit.

PHASE ONE

Telecommunications

Country Offices	Offices Outside Capital	Vehicles	Individual Staff	Procedures
<ul style="list-style-type: none"> • ECS is to be reinforced with fully operational, independent radio network utilizing UHF, VHF and/or HF equipment. • Security channel for DO, CSA and SMT members incorporated into radio networks. • A system is to be established to ensure all ECS communications are <u>monitored 24/7</u>⁶ • A common-system radio room is to be established and equipped.⁷ • A common-system Crisis Coordination Centre (CCC) to be established.⁸ 	<ul style="list-style-type: none"> • ECS is to be reinforced with fully operational, independent radio network utilizing UHF, VHF and/or HF equipment. • Security channel for ASC, ACSA, local SMT and Wardens incorporated into radio networks. • A system is to be established to ensure all ECS communications are <u>monitored 24/7</u>. • A common-system radio room is to be established and equipped. • A common-system Crisis Coordination Centre (CCC) to be established. 	<p>Provision of effective and reliable communications to all UN vehicles.⁹</p> <p>'Field Vehicles' identified and equipped.¹⁰</p>	<p>DO, CSA, ASCs, SMT members, Wardens and selected staff provided with UHF/VHF handset radios. At a minimum all staff with radios are required to participate in a monthly radio check.</p>	<p>Same as 'No Phase'. Scheduled radio checks conducted to include regular vehicle tracking.</p>

⁶ In Phase One "monitored" may be allocated to a duty officer or other nominated staff member to ensure their radio is on, and capable of being responded to.

⁷ Radio room to be equipped with base station radios, satellite telephone, email, etc.

⁸ CCC is to be located in/or close to the radio room and is used during crises (maybe conference room but with additional, appropriate equipment).

⁹ May utilise cellular telephones under a wide area coverage, or within city limits. For travel outside of network vehicles will require VHF/UHF/HF radios.

¹⁰ 'Field Vehicles' are vehicles equipped with radio communications for field missions outside of the capital area/region. (4x4 type vehicles).

PHASE ONE

Security Plan & Equipment

Country Offices	Offices Outside Capital	Vehicles	Staff
<ul style="list-style-type: none"> • Same requirements as 'No Phase'. • Security clearance request system established. • SMT meetings at least once a month. 	<ul style="list-style-type: none"> • Same requirements as 'No Phase'. • Security clearance request system established. 	<ul style="list-style-type: none"> • Same requirements as 'No Phase'. • 'Field Vehicles' identified and equipped (see footnote 9). • Vehicle 'movement control' procedures implemented. • Contingency plan for resource mobilisation of equipment requirements in readiness for Phase Two and above to be developed. 	<ul style="list-style-type: none"> • Same requirements as 'No Phase'. • All staff to be provided briefing on UN security arrangements and Security Plan.
<p><u>Documentation</u></p> <ul style="list-style-type: none"> • Same as 'No Phase'. <p>Country-specific travel clearance procedures in effect, in accordance with Field Security Handbook (FSH).</p>	<p><u>Documentation</u></p> <ul style="list-style-type: none"> • Same as 'No Phase'. <p>Area and Country-specific travel clearance procedures in effect, in accordance with FSH.</p>		<ul style="list-style-type: none"> • All staff to prepare individual 'emergency bags'.¹¹ • CSA provided with additional equipment appropriate to conditions.

¹¹ 'Emergency Bag' is a 15 kilogram (maximum) bag designed to be ready for rapid relocation or evacuation. Contains identification and essential items only.

PHASE TWO

Telecommunications

Country Offices	Offices Outside Capital	Vehicles, Staff and Procedures	General Requirement
<ul style="list-style-type: none"> Same as 'No Phase' and Phase I requirements. Operate common-system, 24/7 security radio room. <p>Mobile satellite telephone provided to DO, Agency Heads, CSA and other key individuals.</p>	<ul style="list-style-type: none"> Same as 'No Phase' and Phase I requirements. Operate common-system, 24/7 security radio room. Mobile satellite telephone available for ASC. 	<ul style="list-style-type: none"> All Phase Three 'essential staff' identified, and provided with VHF/UHF radios. 	<ul style="list-style-type: none"> Same as 'No Phase' and Phase I requirements. Initiate resource contingency plan as appropriate for move to Phase 3. <p>A common-system radio technician employed.</p>

Security Plan

Country Offices	Offices Outside Capital	Vehicles, Staff and Procedures	General Requirement
Same as 'No Phase' and Phase I requirements.	Same as 'No Phase' and Phase I requirements.	Same as 'No Phase' and Phase I requirements.	Same as 'No Phase' and Phase I requirements.

Equipment

Country Offices	Offices Outside Capital	Vehicles	Staff
<ul style="list-style-type: none"> Same as 'No Phase' and Phase I requirements. <p>Plan developed for the procurement and deployment of Phase 3 MOSS telecommunications and equipment requirements.</p>	Same as 'No Phase' and Phase I requirements.	Same as 'No Phase' and Phase I requirements.	Same as 'No Phase' and Phase I requirements.

PHASE THREE

Telecommunications

Country Offices	Offices Outside Capital	Vehicles	Staff	Procedures/Requirement
<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • Operate Crisis Coordination Centre as required. 	<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I & II. • Operate Crisis Coordination Centre as required. 	<ul style="list-style-type: none"> • All vehicles to be equipped with VHF and/or HF radios. • Satellite telephones provided for 'field vehicles' as appropriate. 	<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • All international and selected national staff provided with VHF/UHF handheld radios. All drivers provided with VHF/UHF handheld radios. 	<p>Same requirements for 'No Phase', Phase I and II. Regular radio checks with all staff, vehicles and offices – Daily checks are highly recommended.</p> <p>Vehicle tracking – Missions to report position on regular basis – Hourly checks are recommended.</p>

Security Plan

Country Offices	Offices Outside Capital	Vehicles	Staff
<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • SMT to meet every week. 	<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • ASC to form local SMT and meet weekly. 	<p>Same requirements for 'No Phase', Phase I and II.</p>	<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • Ongoing country-specific, countrywide, staff security training scheduled. • Specialised training identified and initiated (e.g. body armour usage; mine awareness, etc).

PHASE THREE

Equipment

Country Office	Offices Outside Capital	Vehicles	Staff
<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • GPS located at each Country Office. • Emergency power supply to all UN Agency offices. • Emergency fuel and spare parts for emergency power supply obtained. • Emergency food stocks for Concentration Points obtained and managed.¹² • Medical Trauma kit obtained.¹³ • Protective equipment and facilities provided as appropriate (see Attachment 1). 	<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • GPS located with ASC. • Emergency power supply to all UN Agency offices. • Emergency fuel and spare parts for emergency power supply obtained. • Protective equipment and facilities provided as appropriate (see Attachment 1). 	<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • 'Field Vehicles 'to be utilised for all missions. • Protective equipment to be obtained and fitted as appropriate. 	<ul style="list-style-type: none"> • Same requirements for 'No Phase', Phase I and II. • Training provided to relevant staff on: <ul style="list-style-type: none"> • GPS system. • Medical trauma kit. • Protective equipment and facilities provided as appropriate (see Attachment 1).

¹² As per requirements of the Field Security Handbook (FSH).

¹³ Minimum of one per common-system.

PHASE FOUR

No change from Phase Three

PHASE FIVE

Special security clearance procedures and resource requirements as directed by
DSS

PROTECTIVE EQUIPMENT AND FACILITIES - ATTACHMENT 1

BODY ARMOUR				
Country Offices	Sub Offices	Vehicles	Staff	Procedures
SOPs relating to body armour. Management plan for secure storage, maintenance and care for all body armour.	SOPs relating to body armour. Management plan for secure storage, maintenance and care for all body armour.	Body Armour carried inside the vehicle as per SOP's	Training provided to all staff expected to utilise equipment, especially drivers.	Security Risk Assessment document written by 'competent authority'
BLAST PROTECTIVE FILM				
Country Offices	Sub Offices	Vehicles	Staff	Procedures
Fitted as per UN Guideline and in accordance with suppliers standards.	Fitted as per UN Guideline and in accordance with suppliers standards..	May be used on 'mission vehicles'.	Training provided to all staff expected to utilise equipment	Security Risk Assessment document written by 'competent authority'
BALLISTIC BLANKETS				
Country offices	Sub Offices	Vehicles	Staff	Procedures
SOPs relating to ballistic blankets. Management plan for maintenance and care for all ballistic blankets	SOPs relating to ballistic blankets. Management plan for maintenance and care for all ballistic blankets	Those 'field vehicles' expected to operate in the affected areas may be fitted with ballistic blankets.	Training provided to all staff expected to utilise equipment	Security Risk Assessment document written by 'competent authority'
BUNKERS AND REINFORCED ROOMS				
Country Offices	Sub Offices	Vehicles	Staff	Procedures
SOPs relating to bunkers. Management plan for construction, maintenance and care for all bunkers and reinforced rooms.	SOPs relating to bunkers. Management plan for construction, maintenance and care for all bunkers and reinforced rooms.	May be a requirement to construct reinforced garages or 'blast walls' to protect vehicles.	Training provided to all staff expected to utilise the bunker or reinforced room.	Security Risk Assessment document written by 'competent authority'

**ENHANCED PROTECTIVE MEASURES AND RESOURCES FOR
THREAT OF TERRORISM – ATTACHMENT 2**

TELECOMMUNICATIONS

Country Offices	Sub Offices	Vehicles	Staff	Procedures
<p>1. ECS must be established in line with MOSS. In addition depending on the risk of local terrorism the MOSS can be upgraded to require 24/7 radio room and all or partial Phase 3 MOSS ECS requirements regardless of the country phase in effect.</p> <p>2. In addition there may be a requirement to increase the confidentiality of information. MOSS upgrades can include:</p> <ul style="list-style-type: none"> • Electronic Encryption (fax/phone) • Electronic encryption of security radio frequencies • IT firewalls • Current anti virus 	<p>ECS must be established in line with MOSS. In addition depending on the risk of local terrorism the MOSS can be upgraded to require 24/7 radio room and all or partial Phase 3 MOSS ECS requirements regardless of the country phase in effect.</p> <p>2. In addition there may be a requirement to increase the confidentiality of information. MOSS upgrades can include:</p> <ul style="list-style-type: none"> • Electronic Encryption (fax/phone) • Electronic encryption of security radio frequencies • IT firewalls • Current anti virus 	<p>In addition to baseline MOSS regardless of the security phase vehicle telecommunications requirements can be upgraded to Phase 3 MOSS level.</p>	<p>In addition to baseline MOSS, regardless of the security phase, staff telecommunications requirements can be upgraded to Phase 3 MOSS level.</p>	<p>1. 'Validated' Country specific Threat/Risk assessment prepared by 'competent authority'.</p> <p>2. SOP's developed to include additional requirements for:</p> <ul style="list-style-type: none"> • Movcon • Radio Checks • ECS continuity checks

EQUIPMENT AND TRAINING

Country Offices	Sub Offices	Vehicles	Staff	Procedures
<p>Access Control requirements to detect: Stabbing/Firearm weapons, chemicals and/or bomb components:</p> <ol style="list-style-type: none"> 1. Xray machine at visitors entrance. 2. Metal detector archways and/or wands at visitors entrance. 3. Xray machine at common post registry. 4. Vehicle check mirror at entrance. <p>The above equipment would require:</p> <ol style="list-style-type: none"> 1. SOP's relating to the above items. 2. Maintenance and care regime. 	<p>Access Control requirements to detect: Stabbing/Firearm weapons, chemicals and/or bomb components:</p> <ol style="list-style-type: none"> 1. Xray machine at visitors entrance. 2. Metal detector archways and/or wands at visitors entrance. 3. Xray machine at common post registry. 4. Vehicle check mirror at entrance. <p>The above equipment would require:</p> <ol style="list-style-type: none"> 1. SOP's relating to the above items. 2. Maintenance and care regime. 	<ol style="list-style-type: none"> 1. Each vehicle to have a 'Vehicle check Mirror' for detecting bomb components. 2. Specific enhanced security Movcon SOP's <p>Based on the particular security risk assessment and in coordination with DSS the use of armoured/protected vehicles can be considered.</p>	<ol style="list-style-type: none"> 1. Training in the use of equipment. 2. Selected personnel trained in 'Enhanced Security' techniques as appropriate to the risk. 3. Selected personnel trained in specific 'Risk Management Techniques'. 4. Specific training for Guards in 'Enhanced Security techniques' and use of equipment. 	<ol style="list-style-type: none"> 1. 'Validated' Country specific Security Risk Assessment prepared by 'competent authority'. 2. Relevant SOP's developed for additional use and control of equipment.

SECURITY PLAN

Country Offices and Sub Offices	Vehicles	Staff	Procedures
<p>Required documentation, plans and SOPs:</p> <ol style="list-style-type: none"> 1. Action plans relevant to terrorist threats, for example what to do if. <ul style="list-style-type: none"> • Car bomb/IED. • Letter bomb. • Chemical through the mail. • Person found with concealed weapon/bomb. • Suicide bomber 2. Enhanced security access control SOP's to allow for active inspection/screening of personnel. <p>Information analysis cell to be created to develop credible information for the SMT and DSS</p>	<p>Required documentation, plans and SOPs::</p> <ol style="list-style-type: none"> 1. Action plans/SOPs relevant to terrorist threat, for example what to do if. <ul style="list-style-type: none"> • Find a bomb planted on vehicle when parked. • Kidnap/Hijack attempt. • Ambush. 	<p>All staff should be given relevant basic training to familiarise themselves with additional MOSS equipment and procedures.</p>	<p>Validated' Country specific Security Risk Assessment prepared by 'competent authority'.</p>

RECOMMENDED PERIMETER PROTECTION STANDARDS AND ACCESS CONTROL PROCEDURES

COUNTRY OFFICES AND SUB OFFICES

Perimeter integrity is a function of the threat which in the case of Terrorism requires, in some cases, extreme counter measures. The use of any or all of the resources/equipment below will enhance perimeter, integrity and mitigate the particular risk. Implementation must be preceded by a security risk assessment and applied adopting the relevant United Nations guidelines:

1. Shatter Resistant Film (SRF) fitted to all windows as per UN standard.
2. Wall constructed as per UN Guidelines.
3. Minimum stand-off between wall and building to be determined as part of the Country Specific MOSS using the UN guidelines.
4. Minimum clear zone extending inward from protected side of wall to be determined as part of the Country Specific MOSS using UN guidelines.
5. CCTV monitoring and recording of perimeter with 24/7 control room as per UN guidelines.
6. Additional temporary barriers for example, barbed/razor wire, sandbags, jersey barriers and other filled barriers are to be available within one day of being required.
7. Anti-Ram barriers/gates at vehicle entrance as per UN guidelines.
8. Perimeter and building flood lighting to be installed as per UN guidelines.
9. In event of a power failure all security related and critical lighting must resume full operation within 90 seconds all remaining lighting systems must resume full operation within 5 minutes.
10. Employees parking area to be designated as per UN guidelines.
11. The motor pool is to be designated as per UN guidelines.
12. Visitors parking must be outside the compound.

ANNEX H

SECURITY CLEARANCE PROCEDURES

A. Introduction

- H.1.1 In view of the Designated Official's special responsibility for the security and safety of all United Nations staff members and their dependants at the duty station, it is mandatory that each Designated Official (in consultation with the Security Management Team) establish security clearance procedures for their duty station, to include receiving and issuing clearances in response to requests for both external and internal travel. These security clearance procedures will apply not only to all personnel of the United Nations, its agencies, programmes and funds (hereinafter referred to as the agencies) covered by the provisions of the Field Security Handbook but also to those personnel whom the agencies are obligated to provide travel (hereinafter referred to as personnel).
- H.1.2 The purpose of these procedures is to ensure that the Designated Official (and all country level representatives of the agencies) can monitor the location and number of all personnel at the duty station and to ensure that they are included in the Security Plan. In the event of a crisis or emergency this information would ensure that a staff member can be located quickly. It is critical that all personnel understand that they have a shared responsibility in ensuring their security while travelling to the field and that obtaining a security clearance is one of the most important steps in preparing to go on mission.

B. Security Phases and Clearance Requirements

- H.2.1 Security clearance is mandatory for all personnel travelling to an area where a security phase is in effect. A prerequisite to the granting of security clearances is the completion of the "Basic Security Awareness" CD-Rom. Completion of the CD-Rom is valid for three years, at which point staff members must retake and pass the test.
- H.2.2 All security clearances should be directed to the Designated Official at the duty station to which the staff member will travel. The following describes the authority for granting security clearances for travel to areas in which a security phase is in effect:
- a) **Security Phases One and Two.** Security clearance requests must be forwarded to the Designated Official, who is the only individual at the duty station with authority to approve these requests.
 - b) **Security Phases Three and Four.** DSS, on behalf of the Secretary-General of the United Nations, grants security clearance for Security Phases Three and Four. Normally, this authority is delegated to the Designated Official; however, it may be rescinded by DSS as required.
 - c) **Security Phase Five.** Clearance authority for areas in which Security Phase Five is in effect is not delegated and will be granted only by DSS.
- H.2.3 Once a security phase is declared and implemented it is reported in the DSS "Monthly Travel

Advisory” which is distributed to all Designated Officials and Agency Senior Security Managers and/or security focal point.

- H.2.4 **Annual Leave and Personal Travel.** Annual leave and personal travel are not official travel and do not require security clearance, except as noted in paragraphs H.3.2 and H.3.3. However, when travelling to a location where a Security Phase is in effect, all personnel must contact the Designated Official and provide local contact information. This will ensure that they are included in local security arrangements and receive important security information in the event of an unexpected security emergency.

C. External Security Clearance Programme

- H.3.1 This procedure applies to all personnel who are required to travel on official business to a country where a security phase is in effect. The individual must submit a written request, via fax or email, for security clearance to the Designated Official at the duty station to be visited. If the mission consists of more than one person, it is the responsibility of the mission team leader to request security clearance.
- H.3.2 Agencies may request security clearance on behalf of an individual; however it is the staff member’s responsibility to ensure security clearance is issued prior to commencing travel.
- H.3.3 The name, fax, telephone numbers, and email address of all Designated Officials and Field Security Officers at all United Nations duty stations are provided by DSS to all agency Senior Security Managers and/or security focal points, Designated Officials, and Field Security Officers. Individuals who are required to travel can contact any of these persons, after they have checked the DSS Monthly Travel Advisory, and obtain the information necessary to request security clearance. Security clearance requests must be submitted to the Designated Official seven days before start of the mission to ensure sufficient time for the staff member(s) to receive written approval.
- H.3.4 The request for security clearance must include, at a minimum, the following information (a suggested format is attached):
- a) Name
 - b) Nationality
 - c) UNLP or national passport number, issue and expiry date
 - d) Agency/organization
 - e) Mission/Travel purpose
 - f) Specific dates of the mission
 - g) Where the individual is staying while at the duty station
- H.3.5 As indicated above, the Designated Official may grant security clearances for areas/duty stations in Security Phase One, Two, Three and Four. For areas/duty stations in Security Phase Five the Designated Official will make a recommendation to DSS which will grant, or deny, the security clearance.
- H.3.6 **Home Leave.** Personnel are routinely authorized to travel to their country of home leave on an annual or biannual basis as part of their conditions of service. The security clearance procedures described herein also apply to personnel when travelling in home leave status. This will ensure that they are included in local security arrangements and receive important

security information in the event of an unexpected security emergency. In the event staff are scheduled for Home Leave and the area of Home Leave is in Security Phases Three, Four or Five, approval may be given for the staff member to take home leave in another country, to be determined in accordance with the staff regulations and rules of each organisation.

- H.3.7 In the event that the staff member does not desire an alternate place of Home Leave, the following security clearance procedures should be noted:
- a) Security Clearance may be provided for the staff member and eligible family members to travel to areas where Phases One and Two are in effect.
 - b) Security Clearance may be provided for the staff member and spouse (subject to the approval of the Designated Official) to travel to areas in which Phase Three is in effect. Other eligible family members may not travel to an area where Phases Three is in effect.
 - c) Security Clearance may be provided for the staff member only to travel in areas in which Phase Four is in effect.
 - d) No travel will be authorized for personnel or their eligible family members to travel to areas in which Phase Five is in effect.
- H.3.8 In the event the country of Home Leave experiences a serious security situation that moves it to Security Phase Three, Four or Five while the staff member is in the country, the staff member and eligible family members will be subject to the same security instructions that are applicable to international personnel at the duty station in that country. However, evacuation allowances will not be payable. Any remuneration for the costs incurred with the evacuation will not be in excess of, or in addition to, any remuneration already paid for Home Leave travel.

D Internal Security Clearance Programme

- H.4.1 Travel of personnel within the duty station may also require clearance. While there is no requirement to maintain internal security clearance procedures if there is no security phase in effect at the duty station, Designated Officials and Security Management Teams are strongly encouraged to establish a system to control movement of staff throughout the country.
- H.4.2 Should there be a Security Phase in effect within the country, procedures to issue security clearances for internal travel on official business must be established and managed by the Designated Official and Security Management Team.
- H.4.3 To facilitate the clearance process, the Designated Official should establish a country-specific security clearance request form (see sample) to be used by all personnel at the duty station. Once the request for security clearance has been received, the Designated Official must ensure that the request is transmitted to the relevant Area Security Coordinator (ASC), who, if appropriate, must positively reply to the Designated Official prior to the Designated Official approving security clearance for travel to the area.
- H.4.4 **Delegation of Authority:**
- a) As DSS has delegated the authority to the Designated Official to grant security

clearances for travel areas that are in Security Phases Three and Four; that authority may be further delegated by the Designated Official to an Area Security Coordinator, who will be accountable for his/her decisions, for travel within his/her area of responsibility, as determined by the Designated Official and Security management Team. This delegation of authority must be in writing, by name, and signed by the Designated Official.

- b) The Designated Official may not delegate to Area Security Coordinators who are locally-recruited staff for entry into a movement within an area. In the case where an Area Security Coordinator is a locally-recruited staff member, he/she will make a recommendation on the proposed mission to the Designated Official who may then grant the security clearance.
- c) In addition the Designated Official may delegate to the Chief Security Advisor (CSA) the authority to sign security clearances in the Designated Official's name. Although the Designated Official is delegating the authority to provide security clearances, the Designated Official remains responsible for those security clearances provided on his/her behalf.

H.4.5 Area Clearances: In circumstances where the operations of agencies require the movements of large numbers of staff, on a frequent basis, into areas in which a security phase is in effect, the Designated Official, after consultation with the Security Management Team and the Area Security Coordinator concerned, with the approval of DSS, may authorize the provision of 'Area Security Clearances' to staff members. The following prerequisites are mandatory prior to granting Area Security Clearances:

- a) Heads of Agencies will be required to track and control movement, on a daily basis, of agency staff who have received the area security clearances.
- b) All staff members who receive area clearances will be provided with a briefing by the Chief Security Advisor on the procedures to be followed.
- c) A database of such briefings will be maintained by the Chief Security Advisor for the Designated Official.
- d) Area Clearances will be granted only for a limited period of time, and in no case longer than 30 days (after which time they may be renewed by the Designated Official).
- e) Minimum Operating Security Standards (MOSS) compliance must be in effect during the travel.
- f) Area Clearances will be valid for day trips only.

H.4.6 In addition the provisions of the Area Security Clearances might include other requirements, such as the following:

- a) Specific routes/modes of travel (as appropriate).
- b) Specified travel times (i.e. daylight hours only).
- c) Specified locations to which travel is authorized.

- d) Staff members to report commencing and ending travel and, as appropriate, during travel (to a common UN radio room (who will maintain a log of staff travel reports), an agency coordinator, etc.).
- e) Other procedures as determined by the Designated Official.

H.4.7 Designated Officials who want to implement Area Security Clearances must provide all relevant information and the proposed procedures to DSS for review. Upon DSS approval of the Area Security Clearance, the Designated Official and agency Senior Security Managers will be advised accordingly.

E Annual leave and personal travel within a Duty Station

H.5.1 **Locally-Recruited Staff.** Security clearance is neither required nor provided for locally-recruited staff members on unofficial travel in their home country. Locally-recruited staff members must be advised that, if they go on unofficial travel to areas in which a UN security phase is in effect, they do so at their own risk.

H.5.2 **International Staff.** Security clearance is required for International staff members on unofficial travel in their country of assignment if they are travelling to areas outside of their duty station and in a security phase. Staff members must be advised that, if they go on unofficial travel to areas in which a UN security phase is in effect, and they do not have a security clearance, they do so at their own risk.

F Other issues related to Security Clearances

H.6.1 **Travel to/from areas with different security phases.** Security clearance is required when travelling from one area in which a security phase is in effect to another area in which a security phase is in effect, even if the travel is to an area of lower phase. The Designated Official provides security clearance for travel from area to area unless the Area Security Clearance procedures previously described are in effect.

H.6.2 **Travel in a country with one security phase.** When a country has one Security Phase in effect for the entire country, security clearance is required when travelling from area to area, as described above.

H.6.3 In areas in which Phases Three or Four are in effect, Designated Officials should establish a reasonable operating radius around an urban area in which staff routinely operate and in which they can travel without obtaining security clearance. Personnel can move throughout the area by communicating with the central communications center or radio room that records and monitors their movement in the area.

H.6.4 **A phase is upgraded or declared in the duty station of assignment while the staff member is on official or unofficial travel:** If there is a movement to a higher security phase, while a staff member is out of the duty station, for any reason, it is incumbent on the staff member's Country Head of Agency to advise the staff member of the change in phase and request the Designated Official to, if appropriate, provide a security clearance for the returning staff member.

H.6.5 **Requirement for Security Clearance while transiting through an area in which a phase has been declared:** As United Nations staff normally travel by air, a security clearance is not required in the event of United Nations staff member transits through an airport, that is located in a geographical region where a security phase has been declared, as long as the staff member does not leave the airport. Exiting the airport, or transit through all other mass transportation hubs (ports, railway stations, bus stations, etc) will require a security clearance. In the event that a United Nations staff member is required, unexpectedly, to leave the airport (due to flight cancellations, missed flights, etc) the staff member must, as soon as possible, inform the Designated Official or the Chief Security Advisor, to provide local contact details and request a security clearance.

H.6.6 **Tracking of Staff and Dependents:** Designated Officials and Heads of Agencies are required, at all times, to know the locations of their staff members and eligible dependents.



APPLICATION FOR CLEARANCE – (duty station name) - IN-COUNTRY TRAVEL

Please forward to UN Chief Security Advisor on behalf of the UN Designated Official : **Fax :**
 tel : Cell : (After Hours – Emergency Only)

Important : a) **Please apply 48 hours before travel at the latest**
 b) In case of emergency, clearance may be granted by phone
 c) **Do not travel before you receive clearance.**

Date :	UN Agency : UN-
Name(s) :	Title(s) and Nationality(es) :
Name(s) of UNdriver(s):	

Date “Basic Security in the Field” course completed:

Accompanied by : a) Other UN staff (list names) b) Gov. officials c) Driver
 d) Spouse e) Others - specify

	<u>From</u>	<u>To</u>	To District - Commune/Town	Date/Time Departure	Date/Time Return	Hotel/ Phone
1)		<u>Province</u>				
2)						
...						

Reason for Mission :

Mode of Travel : a) By Plane, b) Other (boat etc),
 c) By UN car(s) :

RegNo(s) : **VHF/HF Callsign(s) :** **Mob Phone No(s):**

Name of your supervisor authorizing mission : (Please print/sign) :

Return clr To : *(Agency Submitting request)*

Tel/Fax : *(Agency/head of mission contact number)*

<<<For Use By Agency Head/Designated Official>>>

Security Clearance is Authorized / Not authorized

Date : . . . For Agency Head/Designated Official

SECURITY CLEARANCE REQUEST

TO: (Name of Designated Official
Designated Official for (Name of Country))

FAX: (DO's fax number)

DATE: (Date of Request)

FROM: Name of Requestor

FAX: (Requestor's fax number)

Request security clearance for the individual (s) named below.

Please fill up the shaded part only

Name:	Arrival Date/Time:
Title:	Flight No
Sex:	Departure Date/Time
Current Duty Station:	Flight No
Present Nationality:	Mode of within-country travel:
Nationality at Birth:	UNLP (or UN Cert.) No
Passport No.:	UNLP (or UN Cert.) Expire.
Passport Expire. Date:	S/m's E-mail address:
S/m's fax No.:	Address while on mission:
Date "Basic Security in the Field" course completed:	
Purpose of Visit:	

Name of Accompanying Spouse/Child	Relationship	Nationality at Birth	Present Nationality	Passport No.	Passport Expiration Date	Family Cert. No.	Expiration Date	Arrival Date	Departure Date

Security Clearance for the above travel: _____ is granted. _____ is not granted.

Comments:

Signature of Designated Official

Name of Designated Official

Date

SECURITY CLEARANCE IS REQUIRED FOR ALL COUNTRIES IN PHASE I OR ABOVE.

RETURN TO REQUESTOR.

ANNEX I

REMUNERATION OF UNITED NATIONS SYSTEM STAFF AND ELIGIBLE FAMILY MEMBERS ON RELOCATION/EVACUATION¹ STATUS

A . Security Evacuation Allowance (SEA)

B . Extended Monthly Security Evacuation Allowance (EMSEA)

Introduction

NOTE: The following provisions are designed to assist organizations in the administration of Evacuation Allowances contained in the schedule, which are applicable as of Security Phase Three and beyond. They are not an exhaustive listing: clearly, a certain degree of judgement and flexibility will be required to deal with the various situations that might arise. These should be handled on the basis of consultation among organizations.

A. Security Evacuation Allowance (SEA)

I.1. Emoluments applicable during evacuation

- a) Staff members in receipt of post adjustment and related allowances shall receive net base salary plus post adjustment, mobility and hardship allowance applicable to the official duty station on the date of evacuation, and rental subsidy of official duty station, plus Evacuation Allowances as set out in paragraph I.4. below.
- b) Staff members in receipt of base salary plus DSA in lieu of post adjustment² at the time of evacuation shall receive net base salary, plus appropriate Evacuation Allowances as set out in paragraph I.4.

1. Relocation is within the country of duty station; evacuation is outside. SEA is payable for evacuation. In relocation cases, DSA applies.

2. Staff members on mission service – those in receipt of base salary, post adjustment and other elements of remuneration of the duty station of origin, plus DSA or MSA of the mission area – shall not be entitled to the payment of SEA, as they are expected to be returned to their duty station of origin after the implementation of evacuation measures. DSA may, however, be paid in respect of periods of stay in the safe haven area when travel to the safe haven has been authorized by the employing organization. (NOTE: Mission service is a concept limited mainly to the United Nations and its affiliated programmes)

I.2. Emoluments applicable in respect of temporary reassignment during evacuation

- a) Staff members in receipt of post adjustment and related allowance shall receive net base salary, plus post adjustment, mobility and hardship allowance applicable at the official duty station on the date of evacuation, and rental subsidy of official duty station, plus DSA, for the staff member only at the rate applicable to the duty station of temporary reassignment.

In such cases, payments in respect of dependants who were evacuated by the organization shall be subject to the eligibility criteria specified hereunder, and shall be in accordance with the emoluments as set out in paragraph I.4.

- b) Staff members in receipt of base salary plus DSA in lieu of post adjustment at the time of evacuation shall receive net base salary plus DSA at the rate applicable to the duty station of temporary reassignment.

I.3. Eligibility criteria for payment of SEA

- a) Staff members are paid SEA when they are evacuated to the safe haven outside the country of duty station, to their home or a third country.
- b) Staff members who find themselves outside the duty station at the time of evacuation shall normally be paid SEA only as of the expected date of return of the duty station (i.e., upon expiration of any period of authorized home annual or sick leave or official mission).
- c) Payment of Evacuation Allowances for a staff member who did not join his/her family immediately following evacuation (e.g., was sent on mission en route to the home or third country) shall commence on the date of the staff member's actual arrival at the home or third country.
- d) For the purpose of determining eligibility for payment Evacuation Allowances and travel entitlements, recognized dependants shall be those family members of internationally-recruited United Nations system staff who:
- (i) travelled and/or were installed at the duty station at the organization's expense; and
 - (ii) (normally resided at the duty station with the staff member.
- e) When eligible family members are outside the duty station at the time of evacuation, Evacuation Allowances shall be payable in respect of them only:
- (i) as of the date they are joined by the staff member in the country of evacuation; or
 - (ii) if the staff member remains at the duty station as an essential staff member, as of their expected date of return to the duty station, whichever comes first.
- f) In the case of evacuation to a third country, the provisions of the schedule of Evacuation Allowances shall apply. Exceptional cases (e.g., where a staff member and/or dependants cannot return to the home country for political or similar reasons) should be handled on an ad hoc basis.
- g) In the case of a child studying at a location (other than the staff member's official duty station) from which dependants and non-essential staff have been evacuated, travel at the organization's expense shall normally be authorized on the basis of advance education

grant or home leave travel.

- h) Any claim for payment of reimbursement of travel of expenses, including Evacuation Allowance incurred by a staff member and/or spouse and recognized dependants, which does not conform to the provisions of the Security Handbook or which are in contravention of any instruction of the Designated Official may be rejected.

I.4. Level of SEA

- a) The staff member will receive US\$ 160 per day up to 30 continuous days and US\$ 120 from the second month until the date of return to the duty station, reassignment elsewhere, or through the end of the sixth month, whichever comes earlier. No additional supplement is payable to staff at levels D-1 and above. In cases where the staff member is evacuated more than once, each evacuation triggers a new first payment.
- b) Each family member normally residing at the duty station will receive US\$ 80 per day for up to 30 days and US\$ 60 per day from the second through the date of return to the duty station, reassignment of the staff member elsewhere, or through the end of the sixth month, whichever comes earlier.
- c) If the staff member returns to the duty station, and the family is unable to return, or if the staff member is sent on a temporary assignment (and receives there the relevant DSA), then the first family member is paid at the higher rate of DSA (US\$ 160 or US\$ 120, as appropriate).

I.5. Duration of evacuation allowance payments

DSS will not normally authorize the payment of evacuation allowance beyond a six-month period. In those cases where return to the duty station by family members is not authorized by DSS, the provisions for EMSEA apply.

I.6. Administration of home leave and other travel entitlements in conjunction with security evacuation

For staff and dependants evacuated from a location qualifying for 12-month home leave under the hardship scheme, the travel entitlements pertaining to the official duty station should normally be retained. Judgement may need to be applied in this regard in cases of prolonged evacuation.

I.7. Evacuation lump sum payable while travelling on evacuation

To facilitate a small shipment of personal effects from the duty station, the staff member will receive a lump sum of US\$ 500 at the time of evacuation, regardless of the number of family members. This lump sum includes any incidentals or terminal expenses for this travel.

I.8. Education Grant

- a) Concurrent payments of any type of evacuation allowance on behalf of a child and education grant should not normally be made;
- b) If a child has been relocated due to temporary relocation or evacuation of non-essential staff and dependants, and if it is not possible to obtain reimbursement of school fees

paid in advance for that portion of the school year in which a child did not attend school, the amount of the admissible expenses of the education grant shall be increased on the basis of the period of attendance at the second school. This exception shall, however, be granted only when the staff member concerned has made every effort to obtain reimbursement from the school and has submitted satisfactory evidence to that effect.

I.9. Relocation within the country

In case of relocation within the country the applicable DSA rate (or ad hoc DSA rate recommended by the Security Management Team and approved by headquarters of the lead agency) is payable.

B. Extended Monthly Services Evacuation Allowance (EMSEA)

I.10. Extended Monthly Security Evacuation Allowance fro non-family duty stations/areas

An extended monthly evacuation allowance (EMSEA) shall be payable in respect of eligible family members of staff members referred to in paragraph I.10., after the completion of the six-month period mentioned in paragraph I.5. above.

- a) in cases where the return of an evacuated staff member has been authorized, but where DSS has declared the duty station to be a non-family area;
- b) when a new staff member with spouse/recognized dependants is assigned to a duty station declared to be a “non-family area”, by DSS. In this case the EMSEA will be payable from the first day on duty.
- c) in cases where staff members have been reassigned to another duty station designated by DSS as a non-family area, and where the family consequently is not authorized to travel to the duty station;
- d) when both the staff member and his/her dependants have been on evacuation status for more than six months, and no other arrangements have been made to place the staff member.

I.11. The amount of EMSEA is determined by applying the rental threshold percentage of the salary (net salary plus post adjustment) of a single staff member at the P-4 step VI level. The post adjustment and relevant threshold percentage used shall be that of the duty station where the family is located. In no case shall the amount be higher than that applicable in the staff member’s country of home leave or for evacuated staff members of the previous duty station if the latter is maintained as actual family residence. The amount shall be set at one of two levels as follows:

- a) when paid on behalf of the spouse (who, for the purposes of EMSEA does not have to a dependant), the EMSEA will be the rental subsidy threshold amount at the single rate of the actual residence of the spouse, as defined above;
- b) when paid on behalf of a spouse plus one or more dependent children, the amount in a) above is increased by 30 per cent, regardless of the number of dependents. Dependent children in respect of whom an education grant is paid are not taken into account for the determination of EMSEA payments.

I.12 In the application of the EMSEA, no additional travel entitlements shall be payable. However, regular travel entitlements (such as home leave, family, visit travel, education grant travel), remain payable. Furthermore, there is no obligation for the organization to provide any additional financial, administrative or legal assistance towards those family members.

I.13. The EMSEA shall not apply to staff members on mission service, i.e., those in receipt of base salary, post adjustment and other elements of remuneration of the duty station of origin, plus DSA or MSA of the mission area.

Overview of Security Evaluation Allowances

Area of Evacuation	Applicable SEA rate/staff member alone	Eligible family members
Outside the duty station country (safe haven, home country, third country)	US\$ 160 per day for up to 30 days; thereafter US\$ 120 per day (from the second through the sixth month).	For family normally residing at the duty station: US\$ 80 per day, for up to 30 days. Thereafter US\$ 60 per day.
Shipping Entitlements and terminal expenses	A single lump-sum payment of US\$500 is made to the staff member when he/she, or his/her family, is evacuated (i.e., it is not necessary that the staff member himself/herself is actually evacuated). The amount is the same regardless of the number of dependants. Terminal expenses are included in the lump-sum payment.	
Relocation within country of duty station	DSA of location applies.	50% of applicable DSA per each eligible family member.
In case of return to the location of evacuation, but where the duty station is now a non-family duty station as defined by DSS, in case of assignment to such a non-family duty station, or, in exceptional cases, where both staff members and his/her dependants have been on evacuation status for more than six months.	EMSEA becomes payable. Amount of EMSEA is equivalent to the rental subsidy threshold of a P-4/VI salary at the single rate. The rental subsidy threshold percentage and post adjustment rate used in the calculation of EMSEA will be where the spouse/family is actually residing, which will be to either (a) the previous duty station or (b) a third country, provided the amount in the third country does not exceed the amount payable under (a). (Note: the post adjustment for the place of home leave or third country does not apply to the staff member's salary; the rate is used only to calculate the rental subsidy threshold for EMSEA purposes). If the staff member has, in addition to the spouse, one or more dependent children in respect of whom an education grant is not paid, the EMSEA is increased by 30 percent, regardless of the number of children. EMSEA is not payable for staff in receipt of MSA or another additional special operations payment.	

ANNEX J

CHECKLIST: FOLLOW-UP AFTER EVACUATION OF STAFF MEMBERS

NAME OF STAFF MEMBER: _____
TITLE: _____
ORGANIZATION: _____
PROJECT / OFFICE: _____

Personal effects/household goods
still remain at duty station? _____
packed or unpacked, and whereabouts _____
has staff member left packing instructions? _____
has staff member: _____
 specified destination and full shipping address? _____
 specified mode of shipment? _____
 supplied packing list? _____
 arranged insurance? _____
 obtained export permit? _____
 specified any items for disposal locally? _____
 indicated preferred prices? _____
 left instructions for transfer of any income from sales? _____
 left details of any items still in shipment to the duty station? _____

Private Vehicles
still at duty station? _____
make, type and plate/chassis number _____
whereabouts? _____
has staff member specified destination and full shipping address? _____
has staff member: _____
 specified mode of shipment? _____
 arranged insurance? _____
 obtained export permit? _____
 specified that vehicle be sold locally? _____
 indicated preferred price? _____
 left instructions for transfer of any income from sales? _____

Rental, etc
has staff member: _____
 surrendered his lease? _____
 left written instructions for settlement of outstanding rental
 payments or for recovery of deposits from landlord? _____
 left written instructions for payment/terminal payment of house
 servants? _____

left written instructions for payment of outstanding
utilities/recovery of deposits for:

gas?

electricity?

water?

left written instructions for payment of outstanding school fees?

Bank accounts

Has staff member:

Left bank accounts?

Local currency?

Other?

Left transfer instructions with bank?

Left transfer instructions with Designated Official's office together
with written authority for D.O. or his representative to handle
account?

ANNEX K

**INVENTORIES OF FURNITURE, HOUSEHOLD EFFECTS,
AUTOMOBILES AND VALUABLES¹**
(This form should be retained by parent organization of the staff member)

Name: _____ EOD U.N. _____
Functional Title: _____ Grade/Rank: _____
Address: _____ Date of Inventory: _____

Note: Please complete this form in the following order:

A. FURNITURE AND HOUSEHOLD EFFECTS IN:

- | | | |
|------------------|------------------|-----------------|
| 1. Living Room | 5. Bedroom No. 3 | 9. Laundry |
| 2. Dining Room | 6. Bedroom No. 4 | 10. Balcony |
| 3. Bedroom No. 1 | 7. Office | 11. Other Rooms |
| 4. Bedroom No. 2 | 8. Kitchen | 12. Garage |

B. AUTOMOBILE(S)

C. VALUABLES

D. CLOTHING

Description of Item	Place of Purchase	Date of Purchase	Purchase Cost ²		Estimated replacement cost
			Local Currency	US\$	

Description of Item	Place of Purchase	Date of Purchase	Purchase Cost ²		Estimated replacement cost
			Local Currency	US\$	

¹ It is the staff member's responsibility to advise the Designated Official of changes in the information given.

² State only in currency acquired.

ANNEX L

ACTIONS REQUIRED IN CASE OF DEATH OF STAFF MEMBERS UNDER SUSPICIOUS OR UNCLEAR CIRCUMSTANCES AND/OR ACCIDENTS

A. Introduction

L.1.1. Should it occur that a staff member or dependant dies under suspicious or unclear circumstances and/or in an accident, the senior United Nations official present or closest to the scene should personally take charge. In the absence of any close relatives, he/she may be asked to identify the deceased. Because several immediate actions must be taken nearly simultaneously, he/she should draw on available assistance from reliable associates. The following broad categories of action must be addressed:

- a) Treatment of injured survivors;
- b) Identification of remains;
- c) Securing of scene of incident;
- d) Official notification procedures;
- e) Documentation; and
- f) Disposition of remains

B. Treatment of Injured Survivors

L.2.1 If seriously injured United Nations staff are involved in an incident, the first priority must be given to saving lives. Ideally, there will be medical aid in proximity to the scene. However, where this is not a practical reality, staff should have medical kits available in their offices, homes and vehicles. In all cases, an assessment must be made as to the seriousness of the injury. The following issues should normally be considered and planned for in advance, particularly when travel is undertaken to remote locations; however, once an incident has occurred, an assessment must be made as to the seriousness of the injury and how best to assist the victim(s).

- (a) Where is the nearest capable hospital?
- (b) How can victim(s) be stabilized until/during transportation?
- (c) Will air movement be required? Are there accessible landing areas?
- (d) If so, are there flying ambulances available or small aircraft which can transport litters?
- (e) What road transportation facilities are available?
- (f) Can medical teams access the location of the injured party(ies)?

C. Identification of Remains

L.3.1 As already indicated, several of the items listed above will require almost concurrent action.

It is suggested that among these the requirement to identify the deceased party or parties should have priority. There will, no doubt, be circumstances where this can be accomplished relatively simply and quickly. There may, however, be occasions where it will be difficult and time-consuming. It is absolutely essential that positive identification be established as quickly as possible.

D. Actions at the Death Scene

- L.4.1 Circumstances permitting, it is critical that the scene of the crime be preserved to the extent possible to assist in investigation/reconstruction of the incident and, hopefully, apprehension and prosecution of those responsible. If there are government officials present who have competence in conducting the investigation, the United Nations official in charge will allow them to fulfil their obligations, but he/she will ask to be allowed to participate fully. In the absence of government officials, cooperation from any local authorities (e.g., village elders) at the scene should be sought immediately, since they may not understand or automatically agree with the official-looking actions described below. **At no time should the United Nations official expose him/herself to danger for the sake of preserving evidence.**
- a) If there are police, gendarmes, soldiers, etc. at the scene, their cooperation should be sought in securing the scene. A cordon should be established to keep the curious away. In particular, evidence such as weapons, shell casings or anything left by the perpetrators must be protected.
 - b) An accurate diagram of the scene should be developed as rapidly as possible, including positions of vehicles, landmarks, individuals, etc. Recording the scene with a camera is ideal, but may not always be possible. Photos taken of the scene, the immediate surroundings, the larger scene in which the event occurred and of the perspective from victim to attacker and vice versa are useful. Distances need to be carefully measured. Regardless of which medium is used, notes should be copious.
 - c) Witnesses need careful treatment. As soon as the United Nations official in charge has taken all possible action to preserve the scene, witnesses need to be identified and, if possible, interviewed separately. While this process will yield contradictions, ultimately a more reliable picture of the incident will emerge.
 - d) A decision will be needed concerning disposition of the physical evidence. If the authorities are on the scene, the United Nations official in charge should tactfully insist that the evidence be marked as to its role and placement at the scene. Plastic bags, if available, are useful for smaller items; boxes, canvas, carpets, etc. can be used for large items. If the police are not present, but the scene of the incident is a fixed place such as a building which can be locked or guarded, then it is best to leave the evidence in place until recording has been accomplished. If the site is remote or involves a vehicle, the physical evidence should be gathered after all recording has been accomplished and taken to the nearest United Nations office for safe-keeping.

E. Official Notification Procedures

- L.5.1 Once the news of the death has been received and identity confirmed, the senior United Nations official present should immediately inform the Designated Official, as well as the head of office of the deceased staff member in the country. The head of agency or Designated Official should contact the relatives of the deceased. In this context, it is important that all staff members provide up-to-date information (e.g., names, addresses and telephone numbers) of those persons who should be contacted in case of emergency. The Department of Safety and Security (DSS) in New York should also be notified immediately. In addition, contact should be made with the headquarters of the U.N. agency which employed the deceased staff member. If there is any embassy or consulate of the country of the deceased staff member, officials there should also be kept informed.
- L.5.2 The incident should not be discussed with those who are not directly related to the deceased or those who are not responsible for assisting in making the necessary arrangements. This is particularly important vis-à-vis the media. Any inquiries from the media should be addressed to a single person, usually the Designated Official or someone appointed by him/her, who could issue a brief, strictly factual statement avoiding any speculation as to the cause of death. **No names should be released to the media until it is certain that the next of kin have been informed.** Any release of information should be coordinated with the Department of Safety and Security (DSS).

F. Documentation

- L.6.1 A number of documents will be required. There are three which are indispensable:
- a) Death certificate;
 - b) Police report; and
 - c) Post mortem/autopsy report.
- L.6.2 The **death certificate** is the basic document which will be required by various authorities in the country of assignment, as well as by authorities in the staff member's country of origin, by the United Nations and by insurance companies. It should be signed by the attending physician and should include the date and the official stamp of the clinic or the hospital. The causes of death should be briefly described. It is a good idea to have a large number of original death certificates (photocopies with original signatures and stamps), as most authorities insist on original or notarised copies.
- L.6.3 In those countries/areas where there are police authorities, there will be a need for a **police report**. Again, this document will be required in numerous copies for local authorities, as well as for those authorities cited in paragraph 7. Police authorities usually do not agree to the removal of a body pending investigation. A statement to the effect that the remains of the deceased are no longer required by the police authorities will have to be issued prior to the removal of the body for burial.
- L.6.4 In most cases of violent death, there will be a request for a **post mortem/autopsy report**. This may be required to determine the exact causes of death or to assist in the investigation of a crime. It is extremely important that the agreement of the next of kin be obtained, preferably in writing, before such a procedure is undertaken. The availability of proper forensic expertise and facilities in the country to carry out an autopsy should also be borne in

mind. Again, a detailed post mortem report should be prepared in a proper format.

G. Disposition of Remains

- L.7.1 In all instances, the specific instructions of the family of the deceased should be observed as closely as possible. These will vary greatly depending on religious, national, cultural and ethnic customs, or personal preferences, and very often will be at variance with the customs of the country of assignment.
- L.7.2 It is very likely that the body of the deceased will need to be sent to his/her home country, almost always by air. Airlines have very strict regulations regarding the transportation of human remains, and they should be consulted immediately. You should also be able to get in touch with a shipping agent experienced in arranging the transportation of the remains. Some of the larger embassies may be able to assist you in recommending an agent they have dealt with in the past. In order to be prepared for any eventuality, it is recommended that a review be undertaken of existing mortuaries/funeral homes at the duty station before an incident occurs to determine what services are available.
- L.7.3 If the remains are transported, it is essential that there is no deterioration during transit. Not all hospitals have properly equipped mortuaries to stop such deterioration. Some kind of cooling mechanism or a refrigerated room may be needed. In addition, an airline may request a certificate of embalmment to accept the shipment. There are many parts of the world where the embalming of bodies is not a very common occurrence, and you may be required to prepare a special request to the authorities to arrange for this procedure.
- L.7.4 For transportation of human remains, airlines will accept only well-constructed coffins built to their strict specifications. Generally, such coffins should not only be sturdy but should also have a metal lining. Just prior to shipment, the coffin must be lead-sealed in the metal container to make it completely airtight. Most large embassies have a stock of coffins which meet the airline requirements, and they are usually able to make these available to the United Nations. In many cases, a representative of the embassy of the deceased will need to witness the sealing of the casket.
- L.7.5 A variety of documents may be required, depending on the country in which you are serving. Typically, a letter from the Foreign Ministry, a copy of the passport of the deceased, a customs clearance certificate and a certificate from a doctor stating that the deceased did not suffer from any communicable diseases may be needed by the airlines, in addition to copies of the death certificate, the police report and the embalmment certificate, if applicable.
- L.7.6 In most cases, airlines also require the name, address and telephone/fax number of the consignee at the receiving end, e.g., an undertaker, in order to verify that arrangements have been made in the home country of the deceased. It is important that a confirmation be received, without which the airlines will not accept the body for shipment.

H. Conclusion

- L.8.1 It should be well-understood that the above can serve only as very general guidelines, since situations will vary widely from country to country and from one case to another. It also cannot be overemphasized that any steps taken should be well-documented, and copies of all

documentation should be kept in a confidential file to avoid any problems later, since it is possible that questions will arise in respect of the procedures followed, whether from relatives, insurance companies, the government or United Nations authorities carrying out any investigations. It also cannot be overemphasized that all staff involved in making the various arrangements use their utmost discretion, tact and sensitivity, particularly when dealing with the family of the deceased.

- L.8.2 Designated Officials should also consider the effects that the death of a staff member will have on colleagues and on those closely involved in the incident. If necessary, assistance should be requested to provide immediate psychological support and stress management education to such staff and/or dependants.

ANNEX L - ATTACHMENT 1

Death of a Staff Member or Dependant: Preliminary Report

Location: _____

Date: _____

Name: _____ Organization: _____

Sex: _____ Duty station: _____

Exact location of occurrence: _____

Remains identified: _____ Yes _____ No

If yes, by whom:

Other staff/dependants involved: _____ Yes _____ No

If yes, names as follows:

1. _____

2. _____

3. _____

Injured parties treated: _____ Yes _____ No

If yes, where (at scene, at hospital, elsewhere): _____

If hospital or elsewhere, give details of location: _____

Extent of injuries: _____

Brief description of circumstances of fatality: _____

Accident/Incident scene secured for examination: _____ Yes _____ No

Physical evidence found and secured: _____ Yes _____ No

If yes, brief details: _____

Names of officials involved: _____

Head of Mission informed: _____ Yes _____ No

If yes, time: _____

Head of Agency informed: _____ Yes _____ No

If yes, time: _____

Next of kin informed: _____ Yes _____ No

If yes, time and by whom: _____

DSS New York informed:

If yes, time and by whom: _____

Local authorities informed:

If yes, time and by whom: _____

Further action to be taken:

- a) Death certificate to be obtained;
- b) Police report to be obtained;
- c) Post mortem/autopsy report to be obtained;
- d) Arrangements to dispose of remains as per family wishes; and
- e) Preparation and dispatch of final report.

ANNEX M

U.N. PROCEDURAL PREFERENCES FOR REPORTING CASES OF ARREST AND DETENTION

The Department of Safety and Security (DSS) sought the advice of organizations and specialized agencies on the arrangements for reporting on arrest and detention.

The responses from those canvassed are summarized below:

- FAO** Wishes to follow its own procedure; reports of arrest and detention to be made to the Director-General whether by an FAO official or a Designated Official who would automatically inform the Under-Secretary-General for Safety and Security.
- IAEA** Wishes to follow standing United Nations procedure.
- ICAO** Wishes to follow standing United Nations procedure.
- IFAD** Wishes to follow standing United Nations procedure.
- ILO** Wishes to follow its own procedure and to inform the Designated Official promptly.
- IMF** Wishes to follow standing United Nations procedure, but would also make independent contact with the Governor of the Fund for the member country (Finance Minister or Central Bank Governor).
- IMO** Wishes to follow standing United Nations procedure.
- ITU** Wishes cases to be dealt with by Designated Official in accordance with United Nations procedure. Concurrently, the Secretary-General of the ITU shall be informed immediately after the occurrence of any such case.
- UNCTAD** Wishes to follow standing United Nations procedure.
- UNDP** Wishes to follow standing United Nations procedure.
- UNEP** Wishes to follow standing United Nations procedure.
- UNESCO** Wishes to follow standing United Nations procedure.
- UNHCR** Wishes to follow standing United Nations procedure except where a UNHCR representative is stationed; the standing procedure should be applied in consultation and coordination with the said UNHCR representative.

- UNIDO** Wishes to follow standing United Nations procedure, except that the reporting of a case should be made by the Designated Official, simultaneously to the Under-Secretary-General for Safety and Security, as well as the Director-General of UNIDO.
- UNRWA** Wishes to follow its own existing procedures.
- UPU** Does not have its own arrangements and has no comment.
- World Bank** Wishes to follow its own procedures.
- WFP** Wishes to follow standing United Nations procedure. Reports of arrest and detention of WFP staff are made to the Executive Director/Director of Personnel and Administrative Services by WFP representative or Designated Official who would automatically inform the Under-Secretary-General for Safety and Security.
- WHO** Wishes to follow standing United Nations procedure with overall coordination by the office of Security Coordination at WHO Headquarters. Regional offices and WHO representatives will coordinate directly with Designated Officials at country level and report to Headquarters.
- WIPO** Wishes to follow standing United Nations procedure.
- WMO** Wishes to follow standing United Nations procedure.

ANNEX N

MEMORANDUM ON THE UNITED NATIONS LEGAL RIGHTS WHEN A STAFF MEMBER OR OTHER AGENT¹ OF THE UNITED NATIONS, OR A MEMBER OF THEIR FAMILY, IS ARRESTED OR DETAINED

- N.1.1 All United Nations officials and experts on mission for the United Nations² are immune from legal process in respect of words spoken or written and all acts performed by them in their official capacity. This immunity -- which is also known as functional immunity or immunity for official acts -- extends to all stages of civil and criminal judicial proceedings, such as subpoena to appear as defendant or as a witness, judgement or execution. It also covers administrative proceedings of a quasi-judicial nature and administrative enforcement measures as well as personal arrest or detention. Experts on mission for the United Nations also enjoy immunity from personal arrest or detention for non-official acts and, in this respect, their rights are similar to those of the highest-ranking United Nations officials -- Assistant Secretaries-General and above -- who have diplomatic status. Under certain conditions, the Secretary-General can waive the immunity of any of the persons referred to above, with the exception of his own immunity, which can be waived by the Security Council.
- N.1.2 The immunity provisions above are summarized from the pertinent provisions of the Charter of the United Nations (Article 105) and the Convention on the Privileges and Immunities of the United Nations (articles V and VI).³ These provisions do not stand alone, however, but must be construed in the context of other applicable principles and rules of the Charter and of international law. Based on such wider analysis, it is evident that when a governmental authority arrests or detains a United Nations staff member -- whether internationally or locally-recruited -- or other agent of the United Nations, the United Nations has the right:
- a) To visit the staff member or agent;
 - b) To converse with the staff member or agent;
 - c) To be apprised of the grounds for the arrest or detention, including the main facts and formal charges;

¹ The term "agent of the United Nations" includes but is not necessarily limited to United Nations officials (staff members) and experts on mission for the United Nations.

² By its resolution 76 (I), adopted 7 December 1946, the General Assembly approved that "all members of the staff of the United Nations, with the exception of those who are recruited locally and are assigned to hourly rates", should be included among the officials who are granted privileges and immunities under article V of the Convention. Accordingly, all staff employed under 100 and 200 series of the Staff Regulations and Rules are officials. Experts on missions for the United Nations are persons who are performing functions or assignments for the United Nations without being members of the staff. Examples of experts on mission for the United Nations are military observers on peace-keeping missions and persons serving in their individual capacity on certain subsidiary bodies of the United Nations without being either officials (staff members) or representatives of Member States; under certain conditions participants in United Nations seminars or symposia are considered experts on mission for the United Nations.

³ At certain duty stations, officials are also granted additional immunities, such as immunity from arrest or detention, in respect of non-official acts, in accordance with agreements with the host Governments concerned.

- d) To assist the staff member or agent in arranging legal counsel for his or her defence;
- e) To appear in legal proceedings to defend any United Nations interest affected by the arrest or detention.

The specific measures outlined above must be considered the minimum initial steps required in order for the United Nations to safeguard and maintain its interests and legal rights. This assertion is fully justified by the reasoning which follows.

- N.1.3 The distinction between acts performed in an official capacity and those performed in any private capacity is a question of fact, which depends on the circumstances of the particular case. In this connection, the position of the United Nations is that it is exclusively for the Secretary-General to determine the extent of the duties and functions of United Nations officials and of experts on mission for the United Nations. To allow authorities of national Governments to determine whether a given act was official, or not, would lead to conflicting decisions owing to the large number of countries in which the Organization operates, and, in many cases, it would be tantamount to denial of immunity.
- N.1.4 It is established by the Advisory Opinion of the International Court of Justice of 11 April 1949 on reparation for injuries suffered in the service of the United Nations (I.C.J. Reports, 1949, p.174) that in the event an agent of the United Nations in the performance of his duties should suffer injury in circumstances involving the responsibility of a State, the United Nations has the legal capacity to bring an international claim against the responsible State with a view to obtaining the reparation due in respect of the damage caused both to the United Nations and to the victim or persons entitled through him. The Court states that this is true whether the State is a Member State or not, and whether or not the State is that of the agent's (or staff member's) nationality. It was emphasized that any such claim brought by the United Nations must be based on a breach of obligations due to the Organization, and the claim thus is distinct from any rights that the agent's (or staff member's) national State may possess. It follows that the United Nations has a right of functional protection of those of its staff members or other agents in respect of whom a State possibly may have violated its international obligations.
- N.1.5 To enable the Secretary-General to make the determination whether an act was done in the course of official functions and, in the affirmative, to decide whether to waive the immunity of the official or expert on mission, as well as to enable the Organization to exercise its right of functional protection, there must be an adequate opportunity to learn the facts of the case. Where the staff member, agent or family member in question has been arrested, or is in detention or custody, the only such opportunity is through access to him or her, and it is the practice at Headquarters, and elsewhere as appropriate, that one or more representatives of the United Nations visit and converse with staff members or agents and, when required, family members who have been arrested or are otherwise kept in the custody of local authorities.
- N.1.6 During such visits and consultations the representatives of the United Nations must have the right to pursue any line of discussion which will clarify the questions both whether the arrest or detention is connected with the official status or function of the person involved and whether an injury may have occurred to the United Nations through a violation of any obligation of a State towards the United Nations and the person concerned. The mere fact that

there is no apparent connection between the reason for the arrest or detention given by the authorities of the State and the duties, functions and status of the official or expert on mission in question, or of members of their families, is insufficient to nullify the right of the United Nations to visit and converse with the person in custody. If that were so, the right would be made entirely dependent upon the reasons given by the authorities of the State, and that would make the right practically ineffective.

- N.1.7 The United Nations is not confined to the arrested or detained person as a source of information. Rather, in accordance with the fifth principle in Article 2 of the Charter that "all Members shall give the United Nations every assistance in any action it takes" it is incumbent on the State authorities to inform the United Nations of the main reasons and grounds for the step taken. In the event that formal charges are made, it is clear that the Organization has a right to be apprised thereof without delay.
- N.1.8 With respect to the assistance of legal counsel, the United Nations is entitled to provide or retain an attorney or lawyer and to appear and participate in any legal proceeding, in so far as an interest of the United Nations is affected. If only a private interest of the individual is affected, the right of protection of the State of the nationality of the individual concerned shall be given priority over that of the United Nations. However, the United Nations may in either case assist the arrested or detained individual to retain his or her own attorney or lawyer, when so requested by the individual concerned.

ANNEX O

USE OF ARMED GUARDS

A. General Policy

- O.1.1 The primary responsibility for the security and protection of staff members, their spouses and dependants and property and of the organizations' property against disturbances in the host country 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 and property, the government is considered to have a special responsibility under the Charter of the United Nations or the government's agreement with individual organizations.
- O.1.2 Should the host government be unable to provide the requisite security, under such rare and exceptional circumstances the organizations of the United Nations system may protect their offices, premises and personnel by employing security service companies providing armed guards.

B. Requirements

- O.2.1 Contracts¹ shall only be entered into with those security service companies which are entitled, pursuant to local law, to provide armed guards and which are fully insured and appropriately licensed, so that they can effectively indemnify the organization from claims. Provisions to this effect must be included in the contract with the security service company.
- O.2.2 The employment of security service companies providing armed guards requires the approval of the Under-Secretary-General for Safety and Security.
- O.2.3 Requests for authorization to employ a security service company providing armed guards shall be forwarded by the Designated Official to the Under-Secretary-General for Safety and Security and, as a minimum, must include:
- a) A detailed description of the security situation in the country and the threat to the offices, premises and personnel of the organization concerned, which justifies the use of a security service company providing armed guards;
 - b) Complete information regarding requests by the Designated Official for increased security from the host government and the response of the host government to those requests;
 - c) A description of the offices, premises or duties of personnel to be guarded, and the anticipated number of armed guards to be employed;

¹A copy of a contract, which may be useful as a reference when preparing a contract with the security service company, is attached for convenience.

- d) A statement by the Designated Official that the proposed armed security service company is licensed and entitled, pursuant to local law, to be armed and is fully insured; and
- e) In the case of the United Nations, its programmes and other subsidiary bodies, the draft contract should be attached for review by the United Nations Legal Office. For other organizations, the draft contract shall be reviewed by the legal office of the organization involved to ensure that the organization is protected to the extent possible from third party claims.

C Evaluation of Requests

- O.3.1 The Under-Secretary-General for Safety and Security will consider requests for authorization to employ security service companies providing armed guards, and the Designated Official will be notified accordingly. Once the Designated Official has received the approval of the Under-Secretary-General for Safety and Security, and the clearance of the respective legal office, the contract may be signed.

CONTRACT NO _____

BETWEEN

THE [NAME OF UNITED NATIONS ORGANIZATION]

AND

FOR THE PROVISION OF SECURITY SERVICES

FOR THE [NAME OF UNITED NATIONS ORGANIZATION] IN _____

This Contract is made between the [Name of United Nations Organization], [a subsidiary body of the United Nations], an international inter-governmental organization, having its headquarters in New York, N.Y. 10017, USA, and _____, a _____ corporation, having its corporate headquarters in _____ (the "Contractor"). [Name of United Nations Organization] and the Contractor are hereinafter collectively referred to as the "Parties".

WITNESSETH

WHEREAS, the [Name of United Nations Organization] wishes to engage the Contractor to provide security services for the [Name of United Nations Organization] Offices/Warehouses/Residences in _____;]

WHEREAS, the Contractor represents that it is qualified, willing and able to perform such work and services on the terms and conditions set forth in this Contract;

NOW THEREFORE, in consideration of the mutual promises contained herein, and intending to be legally bound hereby, the Parties agree as follows:

Section 1

TERM OF CONTRACT

This Contract shall be in force for a period of [twelve months] commencing on _____ . It shall remain in full force and effect until _____ , unless terminated earlier in accordance with Section 7 below. The [Name of United Nations Organization] may, at its option, decide to extend the term of this Contract for subsequent periods of up to _____. In such case, the [Name of United Nations Organization] shall provide the Contractor with at least thirty (30) days written notice of its intent to exercise this option.

Section 2

SERVICES TO BE PROVIDED BY THE CONTRACTOR

The Contractor shall provide security services and protection to the personnel and premises of the [Name of United Nations Organization] located at _____ , as follows:

- (a) A security force of [eight (8) guards] shall patrol the _____ and _____ .
- (b) The guards shall be properly trained and licensed, in accordance with local law, to perform security services, including but not limited to, the carrying of firearms.
- (c) The guards shall be uniformed and wear appropriate identification badges. The names of the guards shall be given to the [Name of United Nations Organization] for verification purposes well in advance of assignment to perform services under this Contract.
- (d) The guards shall have the following shifts: [four (4) guards at _____ from 0600 hrs. to 1800 hrs. and four (4) guards at _____ from 1800 hrs. to 0600 hrs.]
- (e) For the performance of the security services herein, the guards may be given keys to the [offices/main and rear entrance gates at the [Name of United Nations Organization] Offices/ Warehouse /Residences]. In such case, the Contractor shall issue a written receipt to the guards indicating that the keys have been handed over.
- (f) [In the event that patrol cars or other vehicles are required for the performance of security services under this Contract, the Contractor shall provide and maintain such vehicles. At the request of the Contractor, the [Name of United Nations Organization] will provide radio communication equipment for each vehicle. The [Name of United Nations Organization] agrees to maintain and repair the equipment as necessary.]

- (g) The Contractor shall communicate with its security guards on duty during the day shift by _____ and during the night shift by _____.
- (h) In the event of an emergency, the Contractor shall contact the [Name of United Nations Organization].

Section 3

CONTRACTOR'S PERSONNEL

- 3.1 The Contractor shall be fully responsible for all work and services performed by its security guards, and shall for this purpose employ qualified, competent and well-trained guards to perform the services under the Contract.
- 3.2 The Contractor shall take all reasonable measures to ensure that the Contractor's personnel conform to the highest standards of moral and ethical conduct. The [Name of United Nations Organization] may, at any time, request in writing the withdrawal or replacement of any personnel of the Contractor assigned to perform work or services under this Contract. The Contractor shall, at its own cost and expense, withdraw or replace such personnel forthwith. A request by the [Name of United Nations Organization] for withdrawal or replacement of the Contractor's personnel shall not be deemed a termination of this Contract.
- 3.3 The [Name of United Nations Organization] shall not be liable for any action, omission, negligence or misconduct of the Contractor's employees, agents, servants, or subcontractors nor for any insurance coverage which may be necessary or desirable for the purpose of this Contract, nor for any costs, expenses or claims associated with any illness, injury, death or disability of the Contractor's employees, agents, servants, or subcontractors performing work or services in connection with this Contract.
- 3.4 The Contractor shall provide, at its own cost and expense, upon the signature of this Contract, a fidelity bond for each of the [eight (8) guards] performing services under this Contract, in the form attached hereto as Annex 1. Each bond shall be valued at US \$ _____ per employee, and shall be held by such surety or sureties as shall be approved by the [Name of United Nations Organization].

Section 4

PAYMENT FOR CONTRACTOR'S SERVICES

- 4.1 For performance of the services herein, the [Name of United Nations Organization] shall pay the Contractor, [in local currency, the equivalent of US \$ ____ per month, which sum includes US \$ ____ per guard, or US \$ __ per day for each guard for periods less than a month.]

- 4.2 Full payment shall be made within thirty (30) days of receipt of the invoice, unless the [Name of United Nations Organization] disputes the invoice or a portion thereof. With respect to disputes regarding only a portion of the invoice, the [Name of United Nations Organization] shall pay the Contractor the amount of the undisputed portion within thirty (30) days. Once a dispute regarding an invoice or a portion thereof has been resolved, the [Name of United Nations Organization] shall pay the Contractor within thirty (30) days.

Section 5

INSURANCE AND LIABILITIES TO THIRD PARTIES

- 5.1 The Contractor shall provide and thereafter maintain all appropriate workmen's compensation and other liability insurance to cover its employees, agents, servants, and subcontractors performing work or services in connection with this Contract.
- 5.2 The Contractor shall provide and thereafter maintain third party liability insurance in an adequate amount for personal injury or death, or loss of, or damage to, property arising from the acts or omissions of the Contractor, its agents, servants, employees or subcontractors performing work or services in connection with this Contract, including the operation of any vehicles or other equipment, or the use of firearms.

Section 6

INDEMNIFICATION

The Contractor shall indemnify, hold and save harmless, and defend, at its own expense, the [Name of United Nations Organization], its officials, agents, servants and employees from and against all suits, claims, demands, and liability of any nature or kind, including their costs and expenses, arising out of acts or omissions of the Contractor, Contractor's employees or agents or sub-contractors in the performance of this Contract. This indemnification shall also extend to claims and liability in the nature of workmen's compensation claims.

Section 7

SERVICE OF NOTICES

Any notice required or permitted to be given or made under this Contract shall be in writing and in the English language. Such notice shall be deemed to be duly given or made when it shall have been delivered by hand, mail, facsimile, telex or cable to the party to which it is required to be given or made at such party's address specified below, or at such other address as the party shall have specified in writing to the party giving such notice or making such request.

For the [Name of United Nations Organization]

For the Contractor

Section 8

LEGAL STATUS

The Contractor shall be considered as having the legal status of an independent contractor *vis-à-vis* the [Name of United Nations Organization]. The Contractor's personnel and subcontractors shall not be considered in any respect as being the employees or agents of the [Name of United Nations Organization].

Section 9

SOURCE OF INSTRUCTIONS

The Contractor shall neither seek nor accept instructions from any authority external to the [Name of United Nations Organization] in connection with the performance of its services under this Contract. The Contractor shall refrain from any action which may adversely affect the [Name of United Nations Organization] and shall fulfil its commitments with the fullest regard to the interests of the [Name of United Nations Organization].

Section 10

ASSIGNMENT

Contractor shall not assign, transfer, pledge or make other disposition of this Contract or any part thereof, or any of the Contractor's rights, claims or obligations under this Contract except with the prior written consent of the [Name of United Nations Organization]

Section 11

SUBCONTRACTING

In the event the Contractor requires the services of subcontractors, the Contractor shall obtain the prior written approval and clearance of the [Name of United Nations Organization] for all subcontractors. The approval of the [Name of United Nations Organization] of a subcontractor shall not relieve the Contractor of any of its obligations under this Contract. The terms of any subcontract shall be subject to and conform with the provisions of this Contract.

Section 12

OFFICIALS NOT TO BENEFIT

The Contractor warrants that no official of the [Name of United Nations Organization] has received or will be offered by the Contractor any direct or indirect benefit arising from this Contract or the award thereof. The Contractor agrees that breach of this provision is a breach of an essential term of this Contract.

Section 13

OBSERVANCE OF THE LAW

The Contractor shall comply with all laws, ordinances, rules, and regulations bearing upon the performance of its obligations under the terms of this Contract.

Section 14

AUTHORITY TO MODIFY

No modification or change in this Contract shall be valid and enforceable against the [Name of United Nations Organization] unless provided by an amendment to this Contract signed by the Contractor and the authorized [Name of United Nations Organization] representative.

Section 15

USE OF NAME, EMBLEM OR OFFICIAL SEAL OF THE UNITED NATIONS

The Contractor shall not advertise or otherwise make public the fact that it is a Contractor with the [Name of United Nations Organization]. Also, the Contractor shall, in no other manner whatsoever use the name, emblem or official seal of the United Nations, or any abbreviation of the name of the United Nations in connection with its business or otherwise.

Section 16

TERMINATION

Either party may terminate this Contract with thirty (30) days prior written notice to the other party.

Section 17

SETTLEMENT OF DISPUTES

In the case of any dispute, controversy or claim arising out of, or in connection with, the validity, interpretation or implementation of this Contract, the Parties agree to promptly start consultations with a view to reaching settlement. If the matter cannot be settled within thirty (30) days after receipt by one party of the other party's written request for such consultations, either party may refer the matter to formal conciliation in accordance with the UNCITRAL Conciliation Rules then obtaining. If the matter remains unresolved within forty-five (45) days after one party has referred the matter to such conciliation, either party may submit the matter to arbitration in accordance with the UNCITRAL Arbitration Rules then obtaining. The Parties agree to be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such controversy, claim or dispute.

Section 18

PRIVILEGES AND IMMUNITIES

Nothing in or relating to this Contract shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations, including the [Name of United Nations Organization].

IN WITNESS WHEREOF, the duly authorized representatives of the Parties have affixed their signatures below:

For the [Name of United Nations Organization]:

For _____:

Name:

Name:

Title:

Title:

Date:

Date:

FORM OF FIDELITY BOND

Know all persons by these presents, that we, [security company], a company incorporated in and under the laws of _____, and _____, a corporation organized under the laws of _____, and duly authorized to transact business in _____ (hereinafter "Surety") are held and firmly bound unto the [Name of United Nations Organization], [a subsidiary body of the United Nations,] an international intergovernmental organization with its Headquarters in New York, New York, USA, in the sum of _____ (USD), to be paid to the [Name of United Nations Organization], for which payment, well and truly to be made, _____ and the Surety do bind themselves, their successors and assigns, jointly and severally, firmly by these presents.

Dated this _____ day of _____, 20__.

Whereas, [security company] has entered into a written contract with the [Name of United Nations Organization] dated the ___ day of ___, 200_ for the provision of security services for the [Name of United Nations Organization] personnel and premises in _____, said Contract being by reference made part hereof and hereinafter referred to as the "Contract".

Whereas, _____, employee of [security company], by contract of employment, bearing even date with this obligation, has been assigned by [security company] from _____ for a term of one year, unless terminated earlier in accordance with the Contract, to provide security services for [Name of United Nations Organization], in accordance with the Contract.

Now, the condition of this obligation is such that, if the said employee shall well and truly perform the services required under the Contract for the term of one year; and if the said employee shall not, during the said term, detain, convert, waste, embezzle, make away, or lend any goods and chattels of the said [Name of United Nations Organization], but shall honestly perform the services under the Contract, as a licensed and trained security guard ought to do, during the said term, then this obligation is to be void; otherwise, to remain in full force.

No right of action shall accrue on this Bond to or for the use of any person or corporation other than the [Name of United Nations Organization] named herein.

This Bond shall be enforceable without the need to have recourse to any of the dispute resolution procedures set forth in the Contract.

Nothing herein or related hereto shall be deemed a waiver, express or implied, of the privileges or immunities of the United Nations, including the [Name of United Nations Organization].

Signed on _____ Signed on _____

On behalf of _____ On behalf of _____

by _____ by _____

in the capacity of _____ in the capacity of _____

in the presence of _____ in the presence of _____

ANNEX P

INCLUSION OF INTERNATIONAL STAFF OF INTERGOVERNMENTAL AND NONGOVERNMENTAL ORGANIZATIONS IN UNITED NATIONS SECURITY ARRANGEMENTS

A. General Policy

- P.1.1 International staff of intergovernmental organizations (hereinafter IGOs) and nongovernmental organizations (hereinafter NGOs), which have the status of "implementing partners" pursuant to paragraph P.1.2, can be included in United Nations security arrangements at a particular duty station in accordance with the procedures and under the terms specified in the present Directive.
- P.1.2 For the purposes of this Directive and the model Memorandum of Understanding attached to it, an "implementing partner" is defined as an inter-governmental organization or a non-governmental organization which is not a member of the United Nations system but which has entered into a contractual or treaty arrangement with an organization of the United Nations system to implement a particular project or programme.
- P.1.3 The procedures outlined in the present Directive are promulgated to ensure that the United Nations shall not incur any financial liabilities through the inclusion of implementing partners in United Nations security arrangements at a particular duty station and that, to that end, an agreement will be reached in each case between the implementing partner, the United Nations and, where appropriate, the concerned organization of the United Nations system.

B. Submission of a Request

- P.2.1 An implementing partner interested in the inclusion of its international staff in United Nations security arrangements at a particular duty station should submit its request to this extent to the Designated Official at that duty station.

C. Actions by the Designated Official Upon Receipt of a Request

- P.3.1 Upon receipt of a request from an implementing partner, the Designated Official shall:
- a) Evaluate the request by determining whether the inclusion of international staff of the implementing partner in United Nations security arrangements would place an unacceptable burden on the security structure and, thus, hamper the effective implementation of existing security arrangements. Should the Designated Official determine that the request cannot be accommodated, this conclusion should be conveyed to the implementing partner and the Under-Secretary-General for Safety and Security.
 - b) Prepare a draft Memorandum of Understanding between the United Nations and the implementing partner regarding coordination of security arrangements, using the model Memorandum of Understanding attached to the present Directive.

- c) Determine the number of implementing partner international staff involved and the cost which will be incurred by including them in the security arrangements at the duty station, using the same cost-sharing mechanism as applicable to the organizations of the United Nations system and as explained in the model Memorandum of Understanding.
- d) Forward to the Under-Secretary-General for Safety and Security for review and approval the draft Memorandum of Understanding together with the information referred to in subparagraph P.3.1 (c), as well as any other information which may assist the Under-Secretary-General for Safety and Security in making a decision concerning the request.

D. Verification of a Request

- P.4.1 Upon receipt of a request from the Designated Official, the Under-Secretary-General for Safety and Security, prior to taking a decision concerning that request, may seek confirmation from the organization or organizations concerned that:
- a) The IGO/NGO concerned is an implementing partner within the meaning of paragraph P.1.2.
 - b) The descriptive information regarding the IGO/NGO concerned, as stated in the draft Memorandum of Understanding submitted by the Designated Official, correctly reflects its financial status and place of incorporation.
 - c) If there is any change in the status of the implementing partner, or if its contract is terminated, the Under-Secretary-General for Safety and Security will be notified.

E. Reimbursement of Costs

- P.5.1 In the event of non-compliance on the part of the implementing partner regarding reimbursement of costs incurred by the Department of Safety and Security (DSS), the latter may request that the organization or programme concerned reimburse such costs.

F. Authorization

- P.6.1 Upon receipt of the draft Memorandum of Understanding and other relevant information and having obtained, whenever necessary, the verification referred to in paragraph P.4.1, the Under-Secretary-General for Safety and Security will review this documentation and decide whether to approve the Memorandum of Understanding and authorize its signature by the Designated Official.

G. Implementation

- P.7.1 Upon receipt of authorization to sign the Memorandum of Understanding, the Designated Official shall request that the representative of the implementing partner:
- a) Present a Letter of Authorization from the IGO/NGO (implementing partner) authorizing the representative to sign the Memorandum of Understanding.
 - b) Make payment for the estimated costs for the predetermined period.

H. Notification

P.8.1 Following the signing of the Memorandum of Understanding, the Designated Official shall:

- a) Send one copy of the original of the Memorandum of Understanding and the original Letter of Authorization to the Under-Secretary-General for Safety and Security.
- b) Provide another copy of the original of the Memorandum of Understanding to the implementing partner.
- c) Maintain a copy of the Memorandum of Understanding and Letter of Authorization at the duty station.
- d) If the IGO or NGO concerned is an implementing partner of an organization of the United Nations system, the Under-Secretary-General for Safety and Security shall provide that organization with a copy of the Memorandum of Understanding and Letter of Authorization.

Memorandum of Understanding
between the United Nations and [title of IGO/NGO-implementing partner]
Regarding Coordination of Security Arrangements

Whereas the organizations of the United Nations system have agreed to pursue the policy of coordinated actions to ensure security and safety of their personnel at all duty stations;

Whereas the organizations of the United Nations system have decided to this end to establish for [name of the country/area] a security plan describing the various security arrangements in emergency situations, in particular the actions to be taken and the sequence to be followed to ensure security and safety of their personnel;

Whereas a senior United Nations official appointed by the Secretary-General as Designated Official for [name of the country/area] is the person who undertakes overall responsibility for the implementation of the security plan at that duty station;

Whereas [name of the IGO/NGO] (hereinafter referred to "implementing partner") is an organization which is not a member of the United Nations system but which has entered into a [contractual/treaty] arrangement with [name of the relevant organization of the United Nations system] to implement [name of the relevant project/programme];

Whereas [name of the IGO/NGO] is an organization incorporated under the laws of [name of the country] and established [on ... 20..] for the purpose of

Now, therefore, the United Nations and [name of the IGO/NGO] have agreed on the following security coordination procedures and arrangements.

Article 1

General responsibilities of the United Nations

The United Nations undertakes to:

- a) lend, to the extent possible, assistance for the protection of international staff of the implementing partner and extend to it in this regard the application of the security plan;
- b) include relevant information regarding international staff of the implementing partner in the security plan for the duty station;
- c) keep the implementing partner informed about the specific security measures being taken at the duty station;
- d) in case of emergency, provide travel assistance to the implementing partner on a reimbursable basis in accordance with the provisions of Article 4 of the present Memorandum;
- e) include the implementing partner in the security alert notification procedures;
- f) coordinate and consult with the implementing partner for the exchange of security related information;
- g) when possible and to the extent feasible, represent the security concerns of the implementing partner to the respective authorities of the host country.

Article 2

General responsibilities of the implementing partner

The implementing partner undertakes to:

- a) consult with and assist the Designated Official on all matters relating to security arrangements at the duty station;
- b) fully follow the instructions of the Designated Official regarding security matters;
- c) ensure that the Designated Official is provided on a regular basis with updated lists of names and addresses of international staff of the implementing partner;
- d) ensure that the Designated Official is at all times informed of the whereabouts and movements at the duty station of international staff of the implementing partner;
- e) report all incidents which have security implications to the Designated Official;
- f) coordinate and consult with the Designated Official for the exchange of security related information;
- g) maintain in strict confidentiality sensitive information regarding the security plan;
- h) in case of emergency evacuation or relocation for security reasons to another country, assume the responsibility for obtaining visas and other travel documents for its international staff;
- i) lend, when possible and to the extent feasible, on a reimbursable basis, travel assistance to personnel of the organizations of the United Nations system;
- j) assume all risks and liabilities related to the security of its staff and maintain the necessary insurance in this regard;
- k) deal with all claims as may be brought against the United Nations arising from the extension under the present Memorandum of the United Nations security arrangements to its international staff and hold the United Nations harmless in respect of such claims.

Article 3

Financial arrangements

The implementing partner undertakes to pay in advance the pro-rata cost of the Chief Security Advisor post and associated costs, which is determined by dividing the total cost by number of internationally-recruited staff of each agency and implementing partner at a duty station.

Article 4

Rendering of travel assistance in case of emergency

- 4.1 In case of emergency, the United Nations undertakes to render, to the extent possible, travel assistance to international staff of the implementing partner. Such assistance will be provided on a reimbursable basis.
- 4.2 The implementing partner undertakes to:

- a) reimburse the United Nations promptly and in any case no later than one month after receipt from the United Nations of the statement detailing the costs incurred by the United Nations in connection with such assistance;
- b) assume all risks and liabilities during travel of its international staff and to deal with such claims as may be brought against the United Nations arising from such travel and to hold the United Nations harmless in respect of such claims or liabilities;
- c) ensure that its employees, before boarding onto a United Nations chartered civilian aircraft, shall each sign the General Release form which is attached to this Annex.

Article 5

Status of the implementing partner

The implementing partner shall immediately inform the United Nations of any action proposed to be taken by, or against it, which may affect its status of financial credibility.

Article 6

Duration of the Memorandum

This Memorandum shall remain in force so long as [name of the IGO/NGO] retains the status of an implementing partner as defined in the present Memorandum, or until it is terminated by either Party to the Memorandum in accordance with the provisions of Article 7.

Article 7

Termination of the Memorandum

This Memorandum may be terminated at any time by a notice on the part of either Party to the Memorandum. The balance due under Articles 3 and 4 shall not be affected by the termination of the Memorandum.

Article 8

Entry into force

This Memorandum shall enter into force upon signature.

IN WITNESS WHEREOF the undersigned, being duly authorized thereto, have on behalf of the Parties signed this Memorandum of Understanding.

Done aton..... in duplicate in English [and]

 Name
 Title [Designated Official for ...]

 Name
 Title.....

ADDENDUM 1 TO ANNEX P

A. General Policy

The present procedures constitute an addendum to the procedures outlined in Annex P of the Field Security Handbook and cover the cases in which an intergovernmental organization (hereinafter IGO) or nongovernmental organization (hereinafter NGO), which has the status of “implementing partner”, wishes to enter into an agreement with the concerned organization or Programme of the United Nations system in order to have its international staff included in United Nations security arrangements at more than one duty station.

B. Submission of a Request

An implementing partner interested in the inclusion of its international staff in United Nations security arrangements at specific duty stations should submit a request to this effect to the concerned organization or Programme of the United Nations system.

C. Actions by the concerned Organization or Programme Upon Receipt of a Request

Upon receipt of such a request from an implementing partner, the concerned organization or Programme of the United Nations system will:

- a) Determine if the IGO or NGO has the status of “implementing partner” at each duty station indicated.
- b) Prepare a draft Memorandum of Understanding, using the model Memorandum of Understanding attached to the present addendum.
- c) List in the draft Memorandum of Understanding the duty stations designated for the purposes of the Memorandum.
- d) Forward to the Under-Secretary-General for review and approval of the original draft Memorandum of Understanding, together with any information that may assist the Under-Secretary-General in making a decision concerning the request.

D. Verification of a Request

Upon receipt of a request from the concerned organization or Programme, the Department of Safety and Security, prior to taking a decision regarding this matter, may seek confirmation from the organization or Programme that:

- a) The IGO/NGO is an implementing partner within the meaning Annex P of the Field Security Handbook,
- b) The descriptive information regarding the IGO/NGO, as stated in the draft Memorandum of Understanding, correctly reflects its financial status and place of incorporation.

E. Change of Status of an Implementing Partner

Should there be any change in the status of the implementing partner, the Under-Secretary-General shall be notified by the concerned organization or Programme of the United Nations system.

F. Reimbursement of Costs

In the event of non-compliance on the part of the implementing partner regarding reimbursement of costs incurred by the Department of Safety and Security, the latter may request that the organization or Programme concerned reimburse such costs.

G. Authorization

1. Upon receipt of the draft Memorandum of Understanding and other relevant information, and having obtained, whenever necessary, the verification referred to in Section D, the Under-Secretary-General will review this documentation and request the Designated Officials at each of the duty stations referred to in the draft Memorandum to provide him/her with the estimated costs which are expected to be incurred should the United Nations include international staff of the implementing partner concerned in the security arrangements at those duty stations.

2. The Designated Official at each of the duty stations referred in the draft Memorandum shall evaluate the request by determining whether the inclusion of international staff of the implementing partner in United Nations security arrangements would place an unacceptable burden on the security structure and, thus, hamper the effective implementation of existing security arrangements. Should the Designated Official determine that the request cannot be accommodated, this conclusion will be conveyed to the Under-Secretary-General.

3. Upon receipt of all necessary information, the Under-Secretary-General will decide whether to approve the Memorandum of Understanding and convey to the organization or Programme concerned his/her readiness to add his/her signature to that Memorandum on behalf of the United Nations.

4. Should the Under-Secretary-General approve the Memorandum of Understanding, and it is consequently signed by all parties concerned, a copy of that Memorandum will be forwarded to the Designated Official at each duty station referred to in the Memorandum.

H. Extension to Additional Duty Stations

The parties to a Memorandum of Understanding may extend by joint agreement the application of the provisions of the Memorandum to other duty stations. In such cases the procedures provided for in Sections B, C and D above will be followed. The agreement of the Parties concerning the inclusion of such additional duty stations will be reflected in an addendum to the Memorandum of Understanding.

Memorandum of Understanding
between the United Nations, represented by the Department of Safety and Security
and (.....) and [title of IGO/NGO-implementing partner]
Regarding Coordination of Security Arrangements

Whereas the organizations of the United Nations system have agreed to pursue the policy of coordinated actions to ensure security and safety of their personnel at all duty stations;

Whereas the organizations of the United Nations system have decided to this end to establish for each country or area where they undertake substantial activities [each duty station] a security plan describing the various security arrangements in emergency situations, in particular the actions to be taken and the sequence to be followed to ensure security and safety of their personnel;

Whereas a senior United Nations official appointed by the Secretary-General as Designated Official for each country or area, is the person who undertakes overall responsibility for the implementation of the security plan at that duty station;

Whereas [name of the IGO/NGO] (hereinafter referred to “implementing partner”) is an organization which is not a member of the United Nations system but which has entered into a [contractual/treaty] arrangement with [name of the relevant organization or Programme of the United Nations system] to implement [name of the relevant project/programme] applies for the inclusion in the United Nations security arrangements at the duty stations identified pursuant to this Memorandum;

Whereas [name of the IGO/NGO] is an organization incorporated under the laws of name of the country] and established [on ... 20..] for the purpose of

Now, therefore, the United Nations and [name of the IGO/NGO] have agreed on the following security coordination procedures and arrangements.

Article 1

Duty Stations at Which Implementing Partners
are Included in United Nations Security Arrangements

1.1 The provisions of the present Memorandum shall apply with regard to the following duty stations:.....

1.2 The Parties to the present Memorandum may extend by joint agreement the applications of the provisions of this Memorandum to other duty stations. The agreement of the Parties to include such additional duty stations shall be reflected in an addendum to the present Memorandum.

Article 2

General responsibilities of the United Nations

At each duty station designated pursuant to this Memorandum the United Nations undertakes to:

- a) lend, to the extent possible, assistance for the protection of international staff of the implementing partner and extend to it in this regard the application of the security plan;
- b) include relevant information regarding international staff of the implementing partner in the security plan for the duty station;
- c) keep the implementing partner informed about the specific security measures being taken at the duty station;
- d) in case of emergency, provide travel assistance to the implementing partner on a reimbursable basis in accordance with the provisions of Article 5 of the present Memorandum;
- e) include the implementing partner in the security alert notification procedures;
- f) coordinate and consult with the implementing partner for the exchange of security related information;
- g) when possible and to the extent feasible, represent the security concerns of the implementing partner to the respective authorities of the host country.

Article 3

General responsibilities of the implementing partner

At each duty station designated pursuant to this Memorandum the implementing partner undertakes to:

- a) consult with and assist the Designated Official on all matters relating to security arrangements at the duty station;
- b) fully follow the instructions of the Designated Official regarding security matters;
- c) ensure that the Designated Official is provided on a regular basis with updated lists of names and addresses of international staff of the implementing partner;
- d) ensure that the Designated Official is at all times informed of the whereabouts and movements at the duty station of international staff of the implementing partner;
- e) report all incidents which have security implications to the Designated Official;
- f) coordinate and consult with the Designated Official for the exchange of security related information;
- g) maintain in strict confidentiality sensitive information regarding the security plan;
- h) in case of emergency evacuation or relocation for security reasons to another country, assume the responsibility for obtaining visas and other travel documents for its international staff;

- i) lend, when possible and to the extent feasible, on a reimbursable basis, travel assistance to personnel of the organizations of the United Nations system;
- j) assume all risks and liabilities related to the security of its staff and maintain the necessary insurance in this regard;
- k) deal with all claims as may be brought against the United Nations arising from the extension under the present Memorandum of the United Nations security arrangements to its international staff and hold the United Nations harmless in respect of such claims.

Article 4

Financial arrangements

The implementing partner undertakes to pay in advance the pro-rata costs at each duty station designated pursuant to this Memorandum of Chief Security Advisor posts and associated costs, which are determined by dividing the total cost by number of internationally-recruited staff of each agency and implementing partner at a duty station. When a new duty station [is] designated pursuant to paragraph 2 Article 1 of this Memorandum the cost involved should be determined, to the extent possible, prior to such designation.

Article 5

Rendering of travel assistance in case of emergency

5.1 In case of emergency, the United Nations undertakes to render at each duty station designated pursuant to this Memorandum, to the extent possible, travel assistance to international staff of the implementing partner. Such assistance will be provided on a reimbursable basis.

5.2 The implementing partner undertakes to:

- a) reimburse the United Nations promptly and in any case no later than one month after receipt from the United Nations of the statement detailing the costs incurred by the United Nations in connection with such assistance;
- b) assume all risks and liabilities during travel of its international staff and to deal with such claims as may be brought against the United Nations arising from such travel and to hold the United Nations harmless in respect of such claims or liabilities;
- c) ensure that its employees, before boarding a United Nations chartered civilian aircraft, shall each sign the General Release form which is attached to the present Memorandum.

Article 6

Status of the implementing partner

The implementing partner shall immediately inform the United Nations of any action proposed to be taken by, or against it, which may affect its status of financial credibility.

Article 7

Duration of the Memorandum

This Memorandum shall remain in force so long as [name of the IGO/NGO] retains the status of an implementing partner as defined in the present Memorandum, or until it is terminated by either Party to the Memorandum in accordance with the provisions of Article 7.

Article 8

Termination of the Memorandum

This Memorandum may be terminated at any time by a notice on the part of either Party to the Memorandum. The balance due under Articles 3 and 4 shall not be affected by the termination of the Memorandum.

Article 9

Entry into force

This Memorandum shall enter into force upon signature by all Parties.

IN WITNESS WHEREOF the undersigned, being duly authorized thereto, have on behalf of the Parties signed this Memorandum of Understanding on the dates and at the places indicated below their respective signatures.

Done in triplicate in English [and]

Under-Secretary-General
Department of Safety and
Security

Organization or
Programme of the
United Nations

NGO/IGO

(signature)

(signature)

(signature)

(Title)

(Title)

(Title)

(date)

(date)

(date)

(place signed)

(place signed)

(place signed)

**ANNEX Q
REQUIRED REPORTS**

	No Phase	Phase I	Phase II	Phase III	Phase IV	Phase V	Phase Change	Notes
SMT Minutes	Quarterly	Monthly	Weekly	At least weekly	At least weekly	Daily		CSA is the Secretary. Sent to DSS within two days of SMT meeting.
FSO Evaluation	Annual	Annual	Annual	Annual	Annual	Annual		Forwarded to DSS
Departure and Return of DO	Immediately upon departure and return	Immediately upon departure and return	Immediately upon departure and return	Immediately upon departure and return	Immediately upon departure and return	Immediately upon departure and return		Indicate name and contact details for DOI
Quarterly Incident	Quarterly	Quarterly	Quarterly	Quarterly	Quarterly	Quarterly		
Serious Incident	Immediately	Immediately	Immediately	Immediately	Immediately	Immediately		Date, Place, Time, Staff Member, Summary. Report by phone to DSS duty officer of desk officer

Incident Summary	Quarterly	Monthly	Monthly	Weekly	Weekly	Daily		
Threat Analysis	No requirement	Every six months	Quarterly	Monthly	Weekly	Weekly	Yes	May lead to changes in MOSS
Update Security Plan	No requirement	Every Six Months	Every Six Months	As needed	As needed	As needed	Yes	

ANNEX R

**SECURITY MANAGEMENT TEAM
MEETING FORMAT**

All meetings of the Security Management Teams (SMT) or Area Security Management Teams (ASMTs) will be in the following format.

[Country/Area]

SECURITY MANAGEMENT TEAM MEETING

[date]

- R.1. **Attendance:** A table is to be prepared by the Secretary of the SMT (normally the CSA/CSFP) showing all members of the SMT (country level Heads of Agencies), their agency and their title. The Secretary will annotate who was present and who was unable to attend. Staff members replacing principals will be added to the bottom of the SMT list. Generally only country level Deputy Heads of Agencies or country level agency security focal points will replace SMT principals at SMT meetings.

Name	Agency	Title	Attendance

- R.2. **Minutes of Last SMT meeting:** This paragraph will include a discussion of the SMT minutes of the previous SMT meeting that were submitted in draft form. This is the opportunity for any agency to offer corrections or amendments to the minutes of the previous SMT meeting. The lack of any discussion reflected in the paragraph will be taken as concurrence, by the entire SMT, to the accuracy of the minutes. Those agencies, funds and programmes that can not attend ‘subsequent’ SMT meeting should make any reservations known to the CSA, in writing, within two working days of receipt of the minutes (i.e. within four working days of the SMT meeting).
- R.3. **Pending Issues:** This section will include any pending issues from previous meetings and provide an update on the status of those issues. If necessary, new ‘due dates’ will be indicated.
- a) Each issue will be reflected in a separate subparagraph and include a description of the

issue, the date it was first raised, and the current status.

- i). Discussion and comment by SMT members on this issue will be indicated in separate sub-subparagraphs and indicate, by agency, the source of the comment and the DO's/CSA's/CSFP's response. A verbatim transcript is not desired, merely a paraphrase of the gist of the discussion.

R.4. **Security Briefing:** As appropriate to the security situation the CSA/CSFP will provide a summary of any security incidents since the last SMT meeting.

- a) Each issue will be reflected in a separate subparagraph and include a description of the issue, the date it was raised, and the current status.
 - i). Discussion and comment by SMT members on this issue will be indicated in separate sub-subparagraphs and indicate, by agency, the source of the comment and the DO's/CSA's/CSFP's response. A verbatim transcript is not desired, merely a paraphrase of the gist of the discussion.

R.5. **Policy Discussions:** This section will include those issues that require decisions and/or recommendations from the SMT.

- a) Each separate issue will be in a subparagraph and reflect a presentation of the issue by whoever has proposed the issue for discussion.
 - i). Further sub subparagraphs will reflect discussions on the issue, clearly identifying which agency made what remarks.
 - ii). Action Assigned: will be indicated by a separate sub subparagraph identifying who was assigned an action, what that action was, and when that action was to be completed. Normally action will be assigned to collect supplementary information before a decision is made.
 - iii). Decisions Made: will also be reflected in a separate sub subparagraph, and include, in a table format, each agency's position. The Designated Official has the responsibility for making the decision and will be accountable for the results of those decisions. In making his/her decision the Designated Official should seek the advice of the SMT, but does not necessarily have to abide by the majority opinion.

Agency	Support	Oppose	Notes
DO's Decision:			

R.6. **Other business:** This section will include any other issues that may come before the SMT.

- a) Each item of other business will be discussed in a separate subparagraph.

R.7. Time, date, and location of next SMT meeting: This will be reflected in all SMT minutes.

ANNEX S

GLOSSARY OF TERMS

Area: As per the Field Security Handbook in relation to security planning. In general, the term ‘Area’ defines a geographic area within which an Area Security Coordinator (ASC) is appointed by the DO.

Area Security Coordinator (ASC): The Head of the largest UN agency in an area, (as determined by the SMT and defined below) who has similar duties and responsibilities for his/her area as the Designated Official has for his/her country.

Area Security Coordinator ad interim (ASC ai): The Deputy Area Security Coordinator who acts as the Area Security Coordinator in the latter’s absence.

Area Security Management Team (ASMT): A committee consisting of all the Area Heads of UN agencies, programmes and funds present in an area (as defined by the Security Management Team), as well as the Assistant Chief Security Advisor (if assigned), any International and Non Governmental Organizations that have signed a Memorandum of Understanding with DSS to cooperate on security issues, and other personnel as authorized by the Area Security Coordinator and listed in paragraphs 3.1 and 3.3 of the Field Security Handbook.

Assistant Chief Security Advisor (ACSA): An internationally recruited professional security officer who has been appointed by DSS to assist a Chief Security Advisor. Typically the ACSA will be assigned to an area, and have the same relationship with the Area Security Coordinator and Area Security Management Team as the CSA has with the Designated Official and the Security Management Team.

Chief Security Advisor (CSA): An internationally recruited professional security officer who has been appointed by the Under-Secretary-General for Safety and Security to act as the professional security advisor to the Designated Official and Security Management Team in a country. On a regional level, a CSA is an internationally recruited professional security officer who has been appointed by DSS to act as the professional security advisor to the Designated Officials and Security Management Teams in multiple countries.

Common-system: Used to indicate at least one such facility, equipment or capability is to be provided for the UN system in that country or specific Area within the country.

Concentration Point: A structure where staff can be concentrated in times of crisis. The structure should have adequate sleeping area, sanitation facilities and emergency supplies for the planned use.

Country Offices: Although various Agencies may use variant terms, the ‘Country Offices’ used in MOSS describes those country headquarters offices typically located in the Capital city of that country, e.g. The UNDP, UNFPA and IMF offices in Colombo, Sri Lanka.

Country Security Focal Point (CSFP): An internationally recruited staff member, who is not a professional security officer, but who has been appointed by the Designated Official to manage the day to day security issues in a country. A CSFP cannot be appointed in a country where a CSA is assigned.

Crisis Coordination Centre (CCC): An identified room equipped and fitted with appropriate equipment to allow for the convening of crisis management groups and to enable them to access appropriate documents, facilities and resources in a comfortable group working environment. This may be a designated conference room but should not be an operating office or storage area. It should be near to, or share some facilities of, the Radio Room. Consideration should be given to the site of the CCC so that access in times of crisis is possible. An identified alternate site should also be identified so that a rapid change can be instigated if necessary.

Critical Staff: Those essential staff that will remain in a Duty Station upon declaration of Phase III.

Critical Staff for Emergency Operations: Those critical staff that will remain in a Duty Station upon declaration of Phase IV.

Deputy Area Security Coordinator (DASC): One or more UN Area Heads of Agencies (typically referred to as Team Leaders, Heads of Sub Office, etc) may be appointed, in writing, by the Area Security Coordinator to act as Deputy Area Security Coordinator(s). The appointment of Deputy Area Security Coordinator(s) allows for a smooth and automatic transfer of authority and responsibility in the event the Area Security Coordinator is absent from his/her country of assignment.

Deputy Designated Official (DDO): One or more UN Country Representatives/Country Heads of Agencies may be appointed, in writing, by the Designated Official to act as Deputy Designated Official(s). The appointment of Deputy Designated Official(s) allows for a smooth and automatic transfer of authority and responsibility in the event the Designated Official is absent from his/her country of assignment.

Deputy Chief Security Advisor (DCSA): An internationally recruited professional security officer who has been appointed by DSS to act as the primary assistant to a Chief Security Advisor.

Designated Official (DO): The senior UN security official in any country. The Designated Official is appointed by the Under-Secretary-General for Safety and Security on behalf to the Secretary-General and is responsible for the safety and security of all UN staff, dependants and property in his/her country of assignment.

Designated Official ad interim (DO a.i.): The Deputy Designated Official who is currently acting as the Designated Official.

Evacuation: Movement of internationally recruited staff members and/or dependants outside the country of assignment during Phase V.

Field Security Coordination Assistant (FSCA): A locally-recruited staff member, who has been vetted by DSS, who assists the CSA or CSFP in the management of security issues.

Field Vehicles: Those vehicles appropriate for heavy duty in a crisis or high-risk environment. Typically high-quality, 4x4, four door utility type vehicles, fitted with appropriate communications and specialised equipment as appropriate.

High Level Committee on Management (HLCM): The High Level Committee on Management (HLCM) is the principal inter-agency body for coordination in the administration and management areas, particularly regarding financial and budgetary issues; human resources related issues; information and communications technology (ICT) issues; and staff security within the United Nations system. HLCM is composed of senior representatives with responsibilities in administration and management from member organizations and authorized to take decisions on behalf of their Executive Heads.

Independent radio network: The term ‘independent radio network’ (Phase One Telecommunications) indicates that the UN communications system, particularly radio networks, are to be owned and operated by the UN whenever possible. This implies that shared arrangements (e.g. co-use of the same VHF Repeater with an NGO, government body or commercial organisation, etc) should be avoided whenever possible.

Inter-Agency Security Management Network (IASMN): A network of all Senior Security Managers/Senior Security Focal Points who meet to propose, and discuss, security policy issues with DSS.

Mobile Satellite Telephone: As opposed to a static, embedded satellite telephone that would not be capable of rapid deployment to a Concentration Point, DO’s residence, or ECC, etc in time of crises.

Monitored: In relation to the ECS in No Phase declared situations, the term ‘monitored’ implies that all staff within the ECS are to be capable of calling an identified individual or call-sign/number through a reliable and un-interrupted means of communication, and be able to pass on relevant security information and to receive an appropriate response. The mechanism for this ‘monitoring’ is determined by the DO/SMT.

Offices Outside the Capital: Those offices considered to be sub-offices, or affiliated offices, to those Country Offices (above). They are typically located well outside the Capital city, and come under the responsibility of an ASC for security matters.

Radio Room: More accurately defined as a communications centre, the ‘radio room’ is to be equipped and fitted with those means of communications appropriate for the country security plan and may include, email, satellite telephone, facsimile, VHF/UHF radio base stations, HF base stations, landline telephone, Telex or other system. An identified alternate site should also be identified so that a rapid change can be instigated if necessary.

Relocation: Movements of staff members and/or dependants within the country of assignment or outside the country in Phases III and IV.

Security Channel: A separate frequency, perhaps through a separate VHF/UHF Repeater, that is dedicated as a security channel with limited access to the relevant security management personnel as directed by the DO.

Security Management Team (SMT): A committee consisting of all the Heads of UN agencies, programmes and funds present in a country, as well as the Chief Security Advisor, any International and Non Governmental Organization that have signed a Memorandum of Understanding with DSS to cooperate on security issues, and other personnel as authorized by the Designated Official and listed in the Field Security Handbook.

Senior Nationally Recruited Officer (SNRO): A locally-recruited staff member who is selected by the SMT to act as the Designated Official upon declaration of Phase V.

Senior Security Focal Point (SSFP): Another name for Senior Security Manager.

Senior Security Manager (SSM): An internationally recruited staff member at an agency, programme or fund Headquarters who is charged with the daily management of security issues for that agency, programme or fund. The Senior Security Manager will be the DSS primary point of contact for that agency, programme or fund.

Single Agency Security Officer: An internationally recruited professional Security Officer, who has been vetted by DSS who performs similar duties as a Chief Security Advisor for the hiring Agency.

Specialised Equipment: That protective equipment or facility utilised in high-risk environments where the threat of aerial bombardment, roadside attack or random anti-personnel landmines is considered to be significant. For the implementation of MOSS this includes; Body Armour, Ballistic Blankets for vehicles, Bunkers and Blast Protective Film for windows.

UN Country Team (UNCT): All UN Head of Agencies present in a country. The UNCT is a part of the SMT.

ANNEX T

POLICY WITH REGARD TO OPERATIONS IN A NUCLEAR, BIOLOGICAL OR CHEMICAL WARFARE ENVIRONMENT

- T.1.1 The primary responsibility for the security and protection of the organizations of the United Nations system, staff members, their spouses, dependants and property and of the organizations' property in a nuclear, biological or chemical (NBC) warfare environment or in NBC contaminated areas rests with the host government.
- T.1.2 With the exception of entities which are mandated to operate in an NBC environment or in NBC contaminated areas, including related organizations of the United Nations system, such as the International Atomic Energy Agency (IAEA), the Organization for the Prohibition of Chemical Weapons (OPCW), and United Nations subsidiary organs such as the United Nations Monitoring, Verification and Inspection Commission (UNMOVIC), the organizations of the United Nations system, their organs, programmes and funds will not undertake or continue operations in a NBC warfare environment or in NBC contaminated areas.
- T.1.3 Incidents involving NBC warfare or contamination will be managed in accordance with the measures described in the United Nations Field Security Handbook.
- T.1.4 The Under-Secretary-General for Safety and Security will, in coordination with Member States, maintain on a continuing basis an assessment of the extent to which United Nations system staff members and eligible family members and operations are exposed or vulnerable to actual or potential NBC emergencies.