OPERATIONAL INSTRUCTION REF. OI.SECURITY.2018.01

SAFETY AND SECURITY MANAGEMENT

1. Authority

1.1. This Operational Instruction (OI) is promulgated by the Chief of Security on the basis of a delegation of authority from the Executive Director under OD.ED.2017.01 – Safety and Security of 13 June 2017.

2. Purpose

2.1. The purpose of this OI is to clarify the roles and responsibilities on Safety and Security Management as outlined in OD.ED.2017.01 and in UN Security Management System Policies. This OI also clarifies some key processes.

3. Effective Date

3.1. This OI shall become effective **immediately**.

4. Consequential Changes

4.1. This OI shall supersede and replace AI/EO/2009/02 (revision 1) Safety and Security Management.

[signature redacted]

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UNOPS

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SAFETY AND SECURITY MANAGEMENT

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1. Introduction

1.1. This OI details roles and responsibilities on Safety and Security Management within UNOPS.

1.2. The objective is to ensure that all UNOPS programme/project implementation and operations are managed in the best possible way and within the requirements outlined in UNOPS OD.ED.2017.01 - Safety and Security, and UN Security and Safety Policies preventing unnecessary risks to personnel and assets.

1.3. For all UNOPS and UN policies, processes, standards and templates referred to in this OI and for additional UN security policies, please refer to the HQ Security Team's intranet or contact the Security Team directly.

2. Safety and security roles and responsibilities within UNOPS

Executive Director

2.1. The Executive Director is responsible and accountable to the Secretary-General for ensuring that the goal of the UN Security Management System (UNSMS) is met within UNOPS, that the organisation implements the "no programme without security, no security without resources" strategy in all programmes and that safety and security are core components of all programmes and activities.

Chief of Security

2.2. Pursuant to article 3.2 of OD.ED.2017.01 - Safety and Security, the Executive Director will appoint a Chief of Security (CoS) who will be the UNOPS Global Security Focal Point. The CoS is primarily responsible for coordinating the organization's response to safety and security and providing the Executive Head and all the relevant actors with advice, guidance and technical assistance. The UNOPS CoS shall further encourage, monitor and report compliance within UNOPS on behalf of Executive Director, in respect of the UNSMS including all relevant UN safety and security policies and procedures as well UNOPS safety and security ODs and OIs.

2.3. The CoS will operate within the framework of the UNSMS, work closely with UNDSS and in support of the Under-Secretary-General for Safety and Security (UNDSS USG). He/she will represent UNOPS at the Inter Agency Security Management Network (IASMN).

2.4. In support of the UN Security Management System (UNSMS), the CoS shall review safety and security arrangements for all locations (regional/country/project level, etc.) where UNOPS operates and maintain copies of all relevant instructions. This should include but not be limited to Security Risk Assessments (SRAs), Security Plans, Cost Shared Security Budgets and Minimum Operating Security Standards (MOSS).

2.5. The CoS shall monitor all safety and security issues as well as UNOPS compliance in all locations where UNOPS personnel operate and work to ensure that they are provided with the necessary training, equipment, guidance and support. This includes that all personnel of the organization and their recognized dependents are aware of security training requirements and the provision of security training and briefings.

2.6. The CoS, in collaboration with the respective recruiting office, shall ensure that UNOPS professional security personnel (Field Security Advisors) are screened and meet the necessary technical requirements.

Security Focal Points

2.7. Pursuant to article 3.7 of OD.ED.2017.01 - Safety and Security, the most senior UNOPS personnel in each country shall act as the UNOPS Security Focal Point (SFP). The Security Focal Points must play an active role and represent UNOPS and the security and safety of its personnel in the UNSMT, this responsibility may not be delegated except temporarily due to authorised absence. In such cases, these duties must be delegated to their appointed deputies/officers in charge/ad interim (a.i.).

2.8. The SFP shall apprise themselves of all applicable safety and security policies, procedures, and guidelines. The SFPs are accountable on all security matters to the Executive Director through the UNOPS Chief of Security. SFPs must implement appropriate action to provide for the safety and security of their respective personnel and their recognized dependents at the duty station and ensure that safety and security is a core component of their respective programmes in the country and that appropriate funding is provided;

2.9. The SFPs, in their capacity as members of the SMT will assist the DO in developing and implementing security mitigation measures in their respective countries. The UNOPS Chief of Security will publish updated safety and security standards issued by UNDSS on the intranet and promulgate appropriately via tools such as email, intranet, etc.

2.10. SFPs, assisted where applicable by UNOPS Field Security Advisors (FSA), must also participate actively in the preparation of Country Security Plans ensuring that these adequately address the security needs of UNOPS personnel and assets. They must also ensure that all UNOPS personnel at the duty station are made aware of relevant contents and provisions of the aforementioned plans, policies and procedures. To this end, SFPs must make themselves familiar with the UNOPS and UN Security Policies that provides additional details on individual and collective responsibility as regards members of the SMT.

2.11. SFPs must ensure that UNOPS activities in their area of responsibility of their organization are conducted in a way that manages the risks to personnel, premises and assets; ensures full compliance by their personnel and their recognized dependents with all security-related instructions and take action on instances of non-compliance of security policies, practices and procedures.

2.12. Advises the Designated Official, UNDSS Security Adviser and the UNOPS Chief of Security on the particular concerns of their organization regarding security and reports to the Designated Official and the UNOPS Chief of Security all security-related incidents.

2.13. Security Focal Points shall participate in the mandatory security training for SMT members. Participation in the SMT requires that SFPs and eventual SFP a.i. will undertake such mandatory training as offered by UNDSS. SFPs must ensure that the Chief of Security at HQ receives the records of attendance. SFPs are also responsible to ensure that their respective personnel attend appropriate security awareness training and briefings, that personnel are equipped with required safety and security equipment as specified in the mandatory security mitigation measures and are trained in their use;

2.14. SFPs are responsible and accountable for all UNOPS personnel falling within the security responsibility of the organisation in the country/area of responsibility even when the personnel work for other UNOPS offices or projects.

2.15. UNOPS SFPs must ensure that budgetary planning and resource allocation for UNOPS projects and operations make provision for mainstreaming of safety and security-related measures as required. Budgetary planning and resource allocation for safety and security costs must also include planning for an eventual increase in these costs due to a changed threat environment during the project implementation period.

Regional Directors

2.16. Pursuant to article 3.10 of OD.ED.2017.01 - Safety and Security, the Regional Directors (RD) are responsible for overseeing the safety and security of UNOPS personnel and assets within their respective regions.

2.17. Pursuant to article 3.11 of OD.ED.2017.01 - Safety and Security, the Regional Directors (RD) if appointed the Security Focal Point (SFP) for the country of the duty station will have the same responsibilities and duties on security as per paragraphs 2.7 – 2.15. above. If the RD has delegated the SFP role as per article 3.11 of OD.ED.2017.01 - Safety and Security, the RD will remain accountable for the safety and security of UNOPS personnel and assets in the country.

2.18. Regional Directors will ensure that budgetary planning and resource allocation for UNOPS projects and operations at regional level make provision for the mainstreaming of safety and security-related measures as required. Regional Directors should assist the Security Focal Points in ensuring that there are sufficient funding for the required security measures within the respective regions.

Operational Hub Directors

2.19. Pursuant to article 3.12 of OD.ED.2017.01 - Safety and Security, the Operational Hub Directors (OHD) are responsible for overseeing the safety and security of UNOPS personnel and assets within the countries forming their geographical areas of responsibility. Pursuant to article 3.13 of OD.ED.2017.01 - Safety and Security the Operational Hub Director if appointed the Security Focal Point (SFP) for the country of the duty station will have the same responsibilities and duties on security as per paragraphs 2.7 – 2.16. above.

2.20. Operational Hub Directors will work to ensure that budgetary planning and resource allocation for UNOPS projects and operations within the countries forming their geographical areas of responsibility make provision for the mainstreaming of safety and security-related measures as required. Operational Hub Directors should assist the Security Focal Points in ensuring that there is sufficient funding for the required security measures within their geographical area of responsibility.

Operation Centre Director and Project Centre Managers

2.21. Pursuant to article 3.14 of OD.ED.2017.01 - Safety and Security, Operations Centre (OC) Directors (OCD) and Project Centre Mangers (PCM) when appointed Security Focal Points (SFP) for the country of the duty station will have the same responsibilities and duties on security as per paragraphs 2.7 – 2.15. above.

2.22. Operations Centre (OC) Directors (OCD) and Project Centre Managers (PCM) will work to ensure that budgetary planning and resource allocation for UNOPS projects and operations in their area of responsibility make provision for the mainstreaming of safety and security-related measures as required.

Project Managers

2.23. Pursuant to article 3.15 of OD.ED.2017.01 - Safety and Security, Project Managers (PM) when appointed Security Focal Points (SFP) for the country of the duty station will have the same responsibilities and duties on security as per paragraphs 2.7 – 2.15. above.

2.24. Project Managers (PCM) will work to ensure that budgetary planning and resource allocation for UNOPS projects and operations in their area of responsibility make provision for the mainstreaming of safety and security-related measures as required.

Managers of Global Programs

2.25. Pursuant to articles 3.16 and 3.17 of OD.ED.2017.01 - Safety and Security. Managers of Global Programs are responsible for coordinating the safety and security of the UNOPS personnel and assets within their program and for ensuring that the UNOPS Security Focal Points are aware of the presence of the personnel in the SFPs area of responsibility, that the personnel operate within the guidance of the UNSMS and reports to the UNOPS Security Focal Point on safety and security matters.

2.26. Managers of Global Programs will work to ensure that budgetary planning and resource allocation for their projects and operations make provision for the mainstreaming of safety and security-related measures as required.

Field Security Advisors

2.27. Advises and assists the UNOPS Security Focal Point on his/her security responsibilities and all security matters including information regarding compliance with United Nations security policies, practices and procedures.

2.28. Participates actively in the UN Security Management System and supports the UN Designated Official and the UN security cell, develops security risk assessments outlining potential risks and recommended mitigation strategies for project implementation taking into consideration relevant and existing assessments.

2.29. Where a Field Security Advisor (FSA) is recruited for a specific project managed by someone other than the UNOPS Security Focal Point, the primary reporting line is to the Project Manager but with advice and support provided to the Security Focal Point if needed.

2.30. The UNDSS administered Security Certification Programme (SCP) is to be successfully undertaken by all internationally recruited FSA's whose primary role is safety and security as outlined in their job description, and their contracts are not less than one (1) year in duration.

2.31. In cooperation with HR and the respective recruiting office, all proposed recruitment of UNOPS FSAs and other security related positions (such as personal protection officers) must ensure that the job description and VA as well as the short list is technically cleared by the Chief of Security.

All UNOPS Personnel

2.32. Pursuant to article 3.19 of OD.ED.2017.01, all personnel shall be responsible and accountable to comply with the safety and security policies, procedures and practices of the UNSMS and UNOPS.

2.33. All UNOPS personnel must familiarize themselves with information provided to them regarding the United Nations security management system at their location; obtain security clearance prior to travelling; attend security briefings, complete mandatory security training, report all security incidents and comply with all United Nations system security regulations and procedures at the duty station.

2.34. It is recognized that there will be situations where personnel in the performance of their duties may be exposed to an element of risk therefore all steps must be taken in compliance with the mitigation measures outlined by the UNSMS including MOSS to reduce these risks to an acceptable minimum level. This is incumbent both for the supervisor and for individual personnel, who must exercise sound judgement with full regard to the security situation in the prevailing operational environment. UNOPS personnel should never knowingly expose themselves, or permit others to expose themselves, to unnecessary risk.

2.35. Any UNOPS personnel who do not comply with the safety and security instructions as highlighted in this OI shall be required to explain in writing their non-compliance through their chain of command, SFP, CoS, and to the Executive Director.

2.36. Serious cases of neglect or wilful disregard of UN policies, procedures and instructions, and/or UNOPS ODs and OIs, may result in disciplinary proceedings as appropriate in accordance with the gravity of the case, including appropriate disciplinary sanctions ranging from written censure up to and including summary dismissal. It may also negate the benefits under the provisions within the Malicious Acts Insurance Policy (MAIP).

Wardens

2.37. UNOPS personnel could be appointed wardens on behalf of UNOPS or on behalf of the UN Security Management System. Wardens will receive a country specific briefing on their duties and could have, but not be limited to, the following duties:

2.38. Functioning as a channel of communication between the Designated Official and/or UNDSS and personnel of the organizations of the United Nations system and their recognized dependents in his/her zone.

2.39. Together with personnel performing designated security duties, wardens will ensure that the personnel in the designated warden area are regularly informed concerning security arrangements and the security measures in effect.

2.40. Assist UN security in ensuring that UN personnel in their designated zone, including United Nations system visitors residing temporarily at residences or hotels within the warden's zone, are accounted for when needed.

2.41. Carrying out other security-related duties as assigned by the Designated Official and the UN Security Management System.

3. Security Risk Management

3.1. Security Risk Management (SRM) is an integral part of day-to day operations resulting in the application of security mitigation strategies in order to enhance safety and security of UN personnel and assets. Therefore, the SRM process must be understood and incorporated within UNOPS operations at engagement acceptance, implementation and post implementation phases.

3.2. The SRM process is an approved UN policy document that assists to enables managers to determine if activities can be undertaken in a given location through the identification of various factors.

3.3. Within this SRM process, in each country the UN Designated Official (DO) UN SMT approves the SRM for a designated area. This document provides information on programme assessments; the prevailing security situation; identifies the primary threats associated to UN personnel and assets; vulnerabilities and weaknesses within the country security arrangements; risk analysis identifying the level of risk for UN personnel and assets and a list of mitigation measures recommended for implementation to reduce the overall level of risk.

3.4. The SRM is also used to determine the content of the Country Security Plan (CSP), Minimum Operating Security Standards (MOSS) the Residential Security Measures (RSM).

Safety and security review

3.5. Subject to the provisions set out in the SRM process and applicable CSP/MOSS/RSM documents, Security Focal Points must ensure necessary attention is given to security threats and risks associated to a project at the engagement acceptance, implementation and post-implementation phases. The primary safety and security documents Security Focal Points will review in consultation with the in-country UNDSS office and UNOPS Chief of Security are, but not limited to:

3.5.1   Security Risk Management process – country and/or area level

a. Provides latest information on the current security environment

b. Identification of threats, risks and vulnerabilities

c. Provides mitigation strategies

3.5.2   Country Security Plan (CSP)

a. Provides the options and measures available to the UN to respond to respective threats and incidents

b. Evacuation plan – part of the CSP providing information of options available and actions to be taken in the event an evacuation is imminent

3.5.3   MOSS/RSM

a. Provides information on the minimum standards regarding safety and security within the respective country and residential security measures.

3.6. After the safety and security review, some higher risk projects may necessitate the provision of a specific project-based SRM in order to determine threats and risks associated to the individual project as opposed to the more generic SRM for a given location which may not address specific issues within the operation.

3.7. The project-based SRM would draw on the information available from the area SMR, host country and other interlocutors and follow the same methodology used within the designated SRM for this specific geographical area. In this connection, given the detail and subject content of an SRA, in-country FSAs where present, are to take the lead in drafting project-based SRAs in close coordination with the UNOPS Security Focal Point and UNDSS.

4. Safety and security information coordination/incident reporting

Information coordination

4.1. The Executive Director and Deputy Executive Director coordinate high-level safety and security matters with relevant interlocutors as appropriate such as with the Secretary General; Executive Board; Executive Group on Security; High Level Committee on Management, etc.

4.2. The Executive Director and Deputy Executive Director shall through the Chief of Security stay fully appraised of all aspects regarding safety and security. RDs, OHDs and SFPs shall ensure that all relevant information pertaining to safety and security within their respective area of operation is made available to the Chief of Security in a timely manner through applicable coordination. This may include concerns regarding the local security situation, all UNDSS reports on UNOPS at the local level such as MOSS compliance, security situation reports, SMT minutes or discrepancies that may necessitate assistance/guidance by the CoS.

4.3. RDs, OHDs and SFO shall ensure effective safety and security coordination is undertaken with the respective in-country safety and security apparatus i.e., with the Designated Official; Security Management Team; UNDSS; UN Security Cell, etc.

Incident reporting

4.4. All UNOPS reported safety and/or security incidents regardless of severity must be submitted to the Chief of Security in a timely manner via a security incident report.

4.5. Safety and/or security incidents must be reported immediately to the respective supervisor in line with the locally established procedures developed by the Designated Official and the Security Management Team, in particular, in line with the UNDSS guidance.

4.6. The following incidents require an immediate report:

4.6.1 Death or injury of personnel due to malicious acts

4.6.2 Arrest or detention of personnel

4.6.3 Civil unrest in the country; and

4.6.4 Any developments that might have a bearing on personnel safety and security.

4.7. The Security Focal Points must provide the Chief of Security with an initial summary via phone (in an emergency) or email, followed by an incident report by the next business day. The information of the incident should at a minimum include – Who, Where, What, When, Why and How?

4.8. The Chief of Security will follow-up on the report promptly and as appropriate and inform the Executive Director on a case-by case basis, as required.

5. Security clearance and security briefings

Security clearance

5.1. All UNOPS personnel on Official Duty Travel regardless of destination must obtain security clearance from the respective Designated Official for security prior to travel in accordance with UN security management system policy. Security clearance is a

requirement to ensure accurate account of personnel in a given area in addition to validation/coverage under the Malicious Acts Insurance Policy (MAIP).

5.2. Travel Request Information Process (TRIP) system allows personnel to process security clearances. Links to TRIP can be found on the UNOPS Security intranet site and on the UNDSS website.

Security briefing

5.3. UNOPS SFPs will be responsible for ensuring that all UNOPS personnel are provided with security briefings and country information packages upon arrival at respective duty stations.

5.4. The UNOPS Chief of Security may provide information to any personnel travelling from/to the field upon request and prior to departure.

6. Security training

6.1. Mandatory on-line training courses are required as part of the UN Security Management System (UNSMS).

6.2. Successful completion of the Basic Security in the Field II (BSITF-II) course is a pre-requisite for employment with UNOPS for all personnel at the international, local and contractor level regardless if travel is undertaken.

6.3. Advanced Security in the Field (ASITF) is the follow up to the BSITF-II and is also mandatory for all UNOPS personnel undertaking official travel. Official travel is subject to successful completion of the course and obtaining prior official security clearance through TRIP from the UN Designated Official for Security in the country of destination.

6.4. The Security Focal Point will be responsible for tracking attendance of security training and will pass records on to the respective HR office.