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Comprehensive report on the United Nations Department of Safety and Security

Report of the Secretary-General

Summary

The General Assembly, by its resolution 65/259, requested the Secretary-General to conduct a comprehensive review of the existing security and safety programmes at Headquarters and the duty stations. For past years, the Secretary-General has undertaken continuous reviews and reported on progress on issues highlighted by the General Assembly. Previous reports provided updates on the United Nations security and safety policy framework, threat and risk assessment, cooperation with host countries, cost-sharing arrangements and operations of the Department of Safety and Security in enabling United Nations-mandated activities, programmes and operations worldwide.

The United Nations has transformed its mindset from “when to leave” to “how to stay” in order to enable the delivery of its programmes worldwide. The present report provides a comprehensive review of the Department of Safety and Security, highlighting (a) the outcome of the efforts of the Organization made from June 2007 to June 2012 in enhancing a unified and strengthened United Nations security management system through the development of a comprehensive overarching policy framework for security management; (b) the specific operational and policy achievements made by the Department of Safety and Security and its partners in the United Nations security management system; and (c) the challenges to, as well as opportunities for, further enhancing the United Nations security management system



to meet unprecedented and increasing demands for United Nations operations across a growing number of volatile duty stations. The report underlines the strides made by the Organization in achieving its strategic vision of building a modern, effective and enabling security management system to protect United Nations personnel, their eligible family members, premises and assets, with the aim of enabling United Nations mandates, programmes, operations and activities.

I. Introduction

1. In its resolution 65/259, the General Assembly requested the Secretary-General to conduct a comprehensive review of the existing security and safety programmes at Headquarters and the duty stations, and to report on the United Nations security policy framework. The General Assembly emphasized the need for a comprehensive policy framework, particularly in the areas of threat and risk assessment, cooperation with host countries, cost-sharing arrangements and operations of the Department of Safety and Security, including the effectiveness of the security level system.

2. The Secretary-General has continuously conducted comprehensive policy and operational reviews of the United Nations security management system¹ and, for past years, reported regularly to the General Assembly on the progress made in relevant reports of the Secretary-General to the General Assembly. These included reports on cost-sharing measures (A/62/641), the strengthened and unified security management system (A/63/605), the revised security management framework and revised estimates relating to the programme budget for the biennium 2010-2011 (A/65/320) and programme criticality (A/66/680).

3. The present report provides the comprehensive review of the Organization of the United Nations security management system and progress made by the Department of Safety and Security and its partners in the United Nations security management system since 2007 in establishing a modern and effective security management system for the protection and coordination of safety and security arrangements for over 150,000 United Nations personnel and their eligible family members, assets and operations in more than 180 countries, approximately 2,000 duty stations and over 5,000 United Nations premises, comprising all categories of physical structures. The work of the Department is integral to the work of the Organization and the United Nations system programmes in enabling United Nations operations worldwide, even in high-risk areas. The report highlights current and future challenges based on the present global security landscape and experience gained so far. While the report covers the period from 1 June 2007 to 30 June 2012, and while it is not intended to be a historical document, it is intended to capture the progress achieved in strengthening and enhancing a unified United Nations security management system.

Department of Safety and Security and its development

4. By its resolution 59/276 (sect. XI), in 2004 the General Assembly approved the establishment of the structure for the United Nations Department of Safety and Security with the aim of strengthening and unifying the United Nations security management system. The Department of Safety and Security was established in 2005. Since then, through a number of initiatives that are highlighted in this report,

¹ The United Nations security management system is applicable to and includes all United Nations system organizations and a small number of non-United Nations entities, which have a memorandum of understanding with the United Nations on security management. The goal of the United Nations security management system is to enable the conduct of United Nations activities while ensuring the safety, security and well-being of personnel and the security of United Nations premises and assets.

it has increasingly worked towards its strategic aim to enable the safest and most efficient conduct of mandated programmes and activities of the United Nations system worldwide.

5. As envisaged by the General Assembly, the Department provides policy, operational and oversight support for the United Nations security management system. In cooperation with all actors in the United Nations security management system, the Department undertakes efforts within its purview to facilitate, coordinate and continuously review the United Nations security management system to ensure that it is responsive to an evolving global security environment and can deliver effective safety and security measures to protect United Nations operations, its personnel, premises and assets.

6. Within a comprehensive policy framework, the Department, under the leadership of the Under-Secretary-General for Safety and Security, maintains a strategic focus on:

(a) Support and facilitation of the effective conduct of United Nations activities by ensuring a coherent, effective and timely response to all security-related events and emergencies;

(b) Implementing effective risk mitigation through a United Nations system-wide coordinated security risk assessment mechanism;

(c) Developing high-quality, best-practice security policies, guidelines, standards and operational procedures across the United Nations security management system;

(d) Enhancing compliance with established policies, standards and operational procedures;

(e) Applying the most cost-effective use of security personnel through centrally directed recruitment, selection, training, deployment and career development of its personnel, while striving to strengthen efforts to enhance geographical and gender balance.

II. Strategic vision, mission and objectives

A. Enabling United Nations operations: balancing security with programmes

7. Faced with an unprecedented level of threats and, at the same time, increasing demands for United Nations operations and presence, particularly in high-risk environments, the Department has, since 2007, comprehensively reviewed its security management policy framework and approach to ensure that it can meet these security challenges.

8. In 2009, the United Nations system, through its Chief Executives Board for Coordination (CEB), adopted a new strategic vision and policy shift in security

management from a “when to leave” to a “how to stay” approach² to support the delivery of United Nations system-mandated programmes and activities, even in highly challenging security situations. At the same time, CEB also adopted the principles of “no programme without security” and “no security without resources”. This new strategic vision and policy shift called for a review of the tools and architecture of the United Nations security management system to balance security with programme requirements. Accordingly, the Department made and continues to make concerted efforts to build a modern, information-based, decentralized, cost-effective and efficient United Nations security management system, anchored on responsive and sophisticated security risk management tools, among other operational and policy tools. With the development of enabling security management tools, the Department can continue to support and serve clients in the United Nations security management system, host Governments, Member States and other non-United Nations partners.³

9. Accordingly, since 2009, the Department worked, in tandem with its partners in the United Nations security management system, through the Inter-Agency Security Management Network (see para. 19) to:

- (a) Address any policy and operational deficiencies in the security management system;
- (b) Design a new, stronger, more dynamic and proactive security and risk management architecture;
- (c) Undertake efforts to mainstream safety and security at all levels of United Nations system activities, including ensuring that the safety and security of United Nations personnel is an integral part of programme planning at all levels;
- (d) Promote security management as an enabler of United Nations system programmes and activities.

10. A comprehensive policy and operational review resulted, inter alia, in the establishment of a number of new initiatives, including:

- (a) The development of a security risk management model and guidelines for determining acceptable risk (2009);⁴

² At its April 2009 session, CEB stated in a joint statement: “Thousands of women and men working for the United Nations system around the world regularly face violence and threats from armed conflict, terrorism, kidnapping, banditry, harassment and intimidation. Given the increasingly difficult and dangerous conditions faced by staff, the United Nations is at a critical juncture. Urgent and dramatic action is needed to strengthen a United Nations security framework that seeks to protect staff and allow operations to continue in insecure and unstable environments. We need to adopt a shift in culture and mindset from a ‘when to leave’ to a ‘how to stay’ approach to security management.” (CEB/2009/HLCM/18, annex A).

³ These include non-governmental organizations accredited with the United Nations and other international organizations and regional organizations that are implementing partners of United Nations programmes and activities.

⁴ The policy became effective in 2009; see A/65/320.

(b) The establishment of the Executive Group on Security, under the leadership of the Under-Secretary-General of the Department of Safety and Security (2009);⁵

(c) The revision of the framework of accountability for the United Nations security management system (2010);⁶

(d) The abolishment of the United Nations security phase system (2010);⁷

(e) The introduction of the security level system (2011);⁷

(f) The development of a policy to strengthen cooperation with host Governments (2012).

11. Recognizing that there are financial costs associated with providing adequate security, the Department continues to promote and refine its efforts to ensure, from the outset, the mainstreaming of security costs within programmes and activities.

B. Decentralization: overview of support to security operations in the field at all levels

12. The Department recognizes that, in many security situations, those on the ground in the field have the best vantage point from which to exercise judgement in assessing and handling security issues. To support the decentralization of decision-making on security matters, concerted efforts have been taken at the Headquarters level to support both designated officials for security,⁸ who lead United Nations activities, programmes and mandates worldwide in their respective areas of assignment, and security professionals in carrying out their security management responsibilities in line with the framework of accountability for the United Nations security management system.

⁵ When requested by the Under-Secretary-General for Safety and Security, or at the request of any member of the Executive Group on Security, the Executive Group on Security advises the Under-Secretary-General for Safety and Security in situations where a rapid decision is required to avoid loss of life or to resolve an impasse at the security management team level; see A/65/320.

⁶ The first framework of accountability for the United Nations security management system was created in 2002. It was one of the first truly formalized accountability frameworks in the Organization, applicable across the United Nations system. Following CEB approval of a revised framework of accountability in 2009 that more clearly delineated the roles and responsibilities of actors in the United Nations security management system, at all levels, the framework was presented to the General Assembly in 2010, as had been the case with previous versions of the framework. The General Assembly took note of the report of the Secretary-General in its resolution 65/259, including the revised framework of accountability. The revised framework was subsequently promulgated throughout the United Nations security management system in 2011; see A/65/320, annex I.

⁷ See A/65/320.

⁸ In each country or designated area where the United Nations is present, the designated officials are normally the most senior United Nations official appointed in writing by the Secretary-General as the designated official for security, and accredited to the host Government as such. He/she is accountable to the Secretary-General, through the Under-Secretary-General for Safety and Security, and is responsible for the security of United Nations personnel, their eligible family members, premises and assets throughout the country or designated area.

13. Since 2007, the Department has frequently reviewed the global deployment of its security professionals and those of United Nations security management system partner organizations. Department of Safety and Security field security personnel are deployed to 113 out of some 180 countries where the United Nations system is present. From 2007 to date, the Department has assigned about 35 per cent, or 255, of its international and locally recruited security personnel, out of a total of 711 field security personnel, to field duty stations and missions in 12 countries and areas with elevated security risks and/or highly complex United Nations programmes and operations in the context of enabling the United Nations system to carry out its mandated activities.

14. Despite additional posts proposed and approved in 2009 by the General Assembly for field security operations, the existing security capacity still remains insufficient to place security officers in all countries where the United Nations is present. As such, the services of Department of Safety and Security security officers deployed in other countries, with a low-threat environment and/or light United Nations system footprint, used to support the United Nations security management system by assuming additional regional responsibilities.

15. Currently, the internationally recruited field security officers of the Department comprise 26 chief security advisers who are deployed in highly complex United Nations duty stations and integrated peacekeeping missions led by the Department of Peacekeeping Operations, 87 security advisers in duty stations with moderately complex security situations, 46 deputy security advisers, 110 field security coordination officers, 25 security operations officers and security analysts in the security and information operations centres, and 9 stand-alone security information analysts. The creation of additional analytical capacity in the field has enhanced the security situational awareness of threats affecting the United Nations system in order to minimize risks to enable programme delivery, particularly in areas with heightened and serious security risks.

16. In addition to the global deployment of its security professionals, the Department support to designated officials, which also extends to security professionals, also includes the provision of improved analytical capacity, security training, access to more comprehensive information, better information sharing and the provision of critical incident stress management to be provided to United Nations personnel, when needed. These individual elements are addressed separately in this report.

C. Establishment of the United Nations Department of Safety and Security

17. The Department, from its establishment in 2005, merged into one department three former security structures of the United Nations: the Office of the United Nations Security Coordinator, the civilian security component of the Department of Peacekeeping Operations and the Division of Headquarters Security and Safety Services, in order to build a unified and strengthened United Nations security management system. Operationally, the integration achieved to date has resulted in greater and effective coordination and support for security and safety arrangements for field and headquarter locations and United Nations peacekeeping operations under the strategic guidance and combined resource of one Department.

18. In promoting the mainstreaming of security management considerations in all activities and programmes of the United Nations, the Department provides strategic and operational input into interdepartmental efforts that consider programme planning, policy and operational issues that have security implications. Continuous coordination on a regular basis is maintained with the Department of Peacekeeping Operations, the Department of Political Affairs and the Office for the Coordination of Humanitarian Affairs in the planning, the implementation and the review of safety and security programmes. The Department also plays a key role in the provision of advice and recommendations to the International Civil Service Commission with respect to security-related allowances and entitlements applicable across the United Nations common system.

19. The Inter-Agency Security Management Network, a network of the CEB High-level Committee on Management, is the mechanism through which the Department executes its oversight and coordination responsibilities for the United Nations security management system. The Network comprises all members of the United Nations security management system and is chaired by the Under-Secretary-General for Safety and Security. It considers, reviews and approves United Nations security management system policies,⁹ practices and procedures, administrative issues and resource parameters, and monitors their implementation. It holds regular and steering group sessions four times per year. Throughout the year, key members participate in weekly teleconferences to troubleshoot urgent issues and ensure coherence and coordination on a range of topical security issues.

D. Modern and information-based security management

20. Information analysis capacity is critical in enabling United Nations operations at Headquarters and in the field, especially in high-risk areas. Information analysis is imperative in understanding and framing the context in which the United Nations operates and the specific local security conditions that impact directly on the United Nations. Timely and effective information analysis increases security awareness among all United Nations personnel, and serves as an effective mechanism in times of crisis. The Department has taken continuous efforts over the past years to improve its information management and analysis capacity. This continues to require additional investments in the development of information management systems to broaden the scope and the capacity for analysis. There are currently 5,000 United Nations system personnel with security or security-related responsibilities within the United Nations security management system who have access to the United Nations security managers' information network website. This site consolidates all security-related information and provides access to an office location database, the premises vulnerability questionnaire, the compliance information management system, the significant security incident management system, the security level system, the locally cost-shared budget tool, the travel request information process, travel advisories and access to the Department of Safety and Security document management system, which contains all official security-related documents, including security policies and guidelines, all agency communiqués, security plans and security risk assessments, among others.

⁹ Policy decisions are referred to the High-level Committee on Management for a decision or further consideration of CEB.

E. Cooperation with host Governments

21. As the primary responsibility for the safety and security of United Nations personnel, their eligible family members, assets and premises rests with the host Government, the Department maintains close cooperation with host Government authorities of Member States of the United Nations on security issues. In cooperation with its United Nations security management system partners, the Department provides reports to United Nations intergovernmental bodies on issues related to the United Nations security management system, and engages in bilateral discussions on specific host country issues. In addition, the Department actively engages with Member States and provides training, in the field and at Headquarters, on security-related tools used by the United Nations security management system, including the security level system (see paras. 44 to 46 of the present report).

22. Furthermore, the Department established a common policy on relations with the host country on security issues for the United Nations security management system¹⁰ in 2012 and continues to mainstream collaboration with host Governments on security matters in all policies and guidelines applicable to all United Nations system organizations.

F. Efforts beyond the recommendations of the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide

23. From 2007 to date, the Department and its United Nations security management partners have made significant progress in carrying out policy and operational measures under their purview. Many of those measures are in line with the recommendations of the Independent Panel and include, inter alia:

(a) Significant improvement in the functioning of the Inter-Agency Security Management Network through improved leadership and the promotion of greater inclusiveness among members;

(b) Revision of the framework of accountability for the United Nations security management system that clearly defines the roles and the responsibilities of the Department of Safety and Security and actors in the United Nations security management system;

(c) Undertaking a comprehensive management review of the Department in August 2009;¹¹

(d) Devising better security system methodologies and tools;

¹⁰ The policy on relations with the host country on security issues focuses on key areas of cooperation, including liaison with host Government authorities, information sharing and strategic communication and security risk management measures.

¹¹ The Organization completed the conduct of the management review of the Department of Safety and Security (A/63/605) in August 2009 in line with General Assembly resolution 61/263 and the CEB recommendation of March 2009, following the report of the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide issued on 9 June 2008.

(e) Improving the human resources management, in particular, of United Nations security professionals in the field through continuous reviews and assessments.

24. The Department and its United Nations security management system partners also took measures within their remit that went beyond the key recommendations¹² of the report of the Independent Panel of 9 June 2008 and the 2009 management review of the Department to maximize the enabling of United Nations system mandates in the face of increased security challenges and threats against the United Nations system. Policy and operational advice to the field increased through improved communications. Designated officials and security professionals were further empowered through more focused training efforts. While undertaking its efforts, largely on behalf of most of its personnel based in the field, the Department managed to maintain a lean, transparent and efficient Headquarters capacity.

III. Main programmes and activities

Current structure of the Department of Safety and Security

25. The Department of Safety and Security is headed by the Under-Secretary-General, who is assisted by the Assistant Secretary-General. The Office of the Under-Secretary-General is supported by the Policy, Planning and Coordination Unit and the Compliance, Evaluation and Monitoring Section, which are responsible, respectively, for the development of United Nations security management system policies and guidelines, in tandem with the Inter-Agency Security Management Network, and for providing worldwide evaluation and monitoring of compliance with security policy and procedures. The Executive Office of the Department is responsible for all financial, personnel, logistics and general administrative matters concerning the Department, as delegated by the Under-Secretary-General for Management.

26. For operational and technical security management support and services to United Nations operations and programmes worldwide at field and Headquarters locations, the Department has three main components: the Division of Regional Operations; the Division of Headquarters Security and Safety Services; and the Field Support Services.

Division of Regional Operations

27. The Division of Regional Operations is responsible for the coordination and management of safety and security field operations and serves as the safety and security focal point for field duty stations, providing primary operational and technical support and guidance to security professionals and managers worldwide. The Division ensures security coordination with designated officials for security and security management teams at United Nations system duty stations globally, including developing, reviewing and endorsing security risk assessments and security plans and ongoing reviews of security levels for areas where there are United Nations operations; and providing security support and assistance to

¹² See the report of the Independent Panel on Safety and Security of United Nations Personnel and Premises Worldwide (9 June 2008).

implementing partners of the United Nations system organizations under the “Saving Lives Together” framework.¹³

28. Of about 778 personnel of the Division, 67 are based at United Nations Headquarters, while some 711 are in field duty stations. The Division field security personnel include 303 internationally recruited security officers and about 408 local security assistants.¹⁴ The Division of Regional Operations headquarters security personnel work in four regional sections (Africa, Asia and Pacific, Europe and Americas, Middle East and North Africa) and in the Peacekeeping Operations Support Section, which provide daily technical security coordination to designated officials and security management teams and technical support and assistance to field security officers. From January 2009 to date, the regional sections and Peacekeeping Operations Support Section has conducted over 250 security assistance missions to the field.

29. In addition, the Division houses the threat and risk assessment unit, which serves as an early warning mechanism on threats directed at the United Nations, providing analytical support to the Department and organizations of the United Nations security management system. The unit develops the unified analytical methodology, processes and procedures in support of security information analysts in the field and conducts strategic security threat and risk assessment missions to the field, including in peacekeeping missions led by the Department of Peacekeeping Operations.

30. There is also a communications centre operating 24 hours per day, 7 days per week that is responsible for maintaining situational awareness concerning all aspects of security in the field, ensuring continuous and secure communications with United Nations duty stations. It serves as the primary support facility for the Crisis Coordination Centre of the Department, when activated, to coordinate crisis management operations to support United Nations field duty stations. With the establishment of the new United Nations Operations and Crisis Centre, the coordination of a single and consolidated United Nations response to crisis situations will be further streamlined, capitalizing on synergies within the Organization.

Field Support Services

31. The Field Support Services of the Department, comprising the Training and Development Section, the Critical Incident Stress Management Unit, the Crisis Management Information Support Section, the Registry Unit and the Aviation Risk Management Office, provides security training, critical incident stress counselling, information management support and aviation risk management support to United Nations system organizations worldwide.

¹³ “Saving Lives Together” is an initiative that was developed by the Department, in tandem with Secretariat departments and the Inter-Agency Security Management Network, to establish a framework for security management cooperation between the United Nations and United Nations-accredited non-governmental organizations and humanitarian partners.

¹⁴ Local security assistants provide support to international security officers in the conduct of field security operations. They help develop and maintain timely updated personnel lists, operate field security communications systems, assist in the establishment of the warden systems and perform other security-related functions, as appropriate.

32. Since 2009, the Training and Development Section has focused on a new vision and reviewed and put into place a modern learning system for United Nations security management in line with a global best practice standard. This competency-based learning system, which establishes a valued standard for all security personnel, has a direct link to the career management of security professionals. The Training and Development Section envisages establishing exam and certification centres, which will test the knowledge and practical competencies of security professionals through training programmes at established centres (such as in Nairobi) and at other regional training hubs. The establishment of such centres would ensure the maintenance of rigorously controlled professional standards for United Nations security personnel and managers with security responsibilities throughout the United Nations security management system. The compliance and effective implementation of security management policies and procedures depends on the effective and well-resourced training capacity of the Organization to ensure system-wide awareness and understanding of these policies.

33. The Critical Incident Stress Management Unit serves as the focal point for providing emergency psychosocial support to United Nations personnel worldwide. It also coordinates and carries out the United Nations global stress management training programme as part of the ongoing efforts of the Organization to support survivors and associated family members following crisis events. Following the meeting of the Policy Committee of the Secretary-General on 9 April 2012, the Department has been involved, through active collaboration with the Unit, in efforts to strengthen aspects of preparedness and support for survivors injured in the line of duty, and affected families.

34. The Critical Incident Stress Management Unit has instituted an intensive counsellor certification training programme to enhance the critical incident counselling aspect of United Nations crisis response preparedness. This provides harmonized, readily accessible quality psychosocial services to United Nations system personnel using professional resources at the country level. The Unit also advocates for the creation of critical incident intervention cells in high-risk duty stations to promote access to sustainable counselling services. The Unit also promotes United Nations inter-agency and interdepartmental collaboration through the Inter-Agency Security Management Network Working Group on Critical Incident Stress, a multi-disciplinary group composed of 20 representatives of the United Nations system organizations (counsellors, security, medical doctors, human resource officers), who are nominated by their respective security focal point.

35. The Crisis Management Information Support Section manages the United Nations security managers' information network website, which allows United Nations personnel with security management responsibilities access to the Department website that contains relevant security information including the travel advisory, United Nations security management system policy documents and online security training (Basic Security in the Field and Advanced Security in the Field). Through its travel request information process system, approximately 5,500 security clearance requests are processed daily. From January 2012 to date, the Department has processed over 2 million security clearance requests through its travel request information process system. The information collected through the use of the Crisis Management Information Support Section-developed systems is of crucial importance in supporting field offices, particularly during crisis events.

36. In May 2011, the Department established the Aviation Risk Management Office, which was fully staffed earlier this year. The Office is charged with providing advice to the United Nations security management system on the relative safety of air travel, taking into account the travel habits and destinations of United Nations personnel. The Office has established working relationships with all United Nations organizations to advance its work.

Security and Safety Services

37. Fully integrated within the Department, the Division of Headquarters Security and Safety Services is responsible for overseeing all the Security and Safety Services/Sections by providing direction, operational guidance, technical supervision and standardized security services to 28,000 personnel and approximately 1.7 million visitors each year to United Nations Headquarters, other headquarter duty stations and the Tribunals.¹⁵ Initially established in 1948 as the United Nations Guard, the Division of Headquarters Security and Safety Services is the oldest component of the Department. Now, comprising 1,600 United Nations uniformed security personnel, the Division is responsible for providing a secure and safe environment for delegates, personnel and visitors at United Nations Headquarters, offices away from Headquarters and the regional commissions, as well as the Tribunals. It provides security coordination and service delivery at annually recurring high-profile security events, such as the General Assembly at Headquarters, specific major summits/conferences, and various United Nations-sponsored events and conferences outside the headquarter locations and Tribunals.

38. The Division's Protection Coordination Unit, created in 2005, manages the growing number of requests for protective services for senior officials and dignitaries by coordinating the needs assessment for protective services and the deployment of suitable officers when required. Since its creation, the Unit has carried out approximately 2,356 close protection operations. The Unit has also developed robust systems and processes that have led to comprehensive implementation of personal security risk assessments and other enabling mechanisms for senior United Nations officials.

39. As the global threats against the Organization have increased and many United Nations locations have become an attractive target owing to their iconic nature and large numbers of personnel and visitors, the Security and Safety Services focused on strengthening physical security and access control through better design, technologically driven solutions and their robust implementation, targeted recruitment, and enhanced specialized training, as well as crisis management preparedness.

¹⁵ These include the United Nations Office at Nairobi, the United Nations Office at Geneva, the United Nations Office at Vienna, the regional commissions, namely, the Economic and Social Commission for Western Asia, the Economic and Social Commission for Asia and the Pacific, the Economic Commission for Latin America and the Caribbean and the Economic Commission for Africa, as well as the International Criminal Tribunal for Rwanda, the International Tribunal for the Former Yugoslavia, United Nations Assistance to the Khmer Rouge Trials and the United Nations International Residual Mechanism for Criminal Tribunals.

IV. Milestone achievements since June 2007

A. Progress of work in the United Nations security management system and the Inter-Agency Security Management Network

40. Since 2007, there has been a marked improvement in the functioning of the Inter-Agency Security Management Network, chaired by the Under-Secretary-General for Safety and Security. Greater collaboration and inclusiveness have been promoted among Network members. The Department supports Network members and the functioning of the United Nations security management system by:

(a) Developing security and security-related management policies and operational guidelines for its consideration and subsequent consideration by the United Nations High-level Committee on Management and CEB;

(b) Coordinating Inter-Agency Security Management Network Steering Group and regular sessions;

(c) Providing strategic interventions and timely support to agencies, funds and programmes through host Governments, when required, in order to address security management issues;

(d) Providing United Nations system-wide compliance and evaluation of security management structures, at Headquarters and field locations;

(e) Providing field support services, including standardized security and safety training, the provision of critical incident stress management counselling, security management information technology, and crisis management support during security-related crises;¹⁶

(f) Providing day-to-day security management operational support¹⁷ and technical advice to United Nations system security professionals¹⁸ in the field, designated officials and security management teams in geographical areas where the United Nations is present;

(g) Providing the coordinated management of close protection for the United Nations system organizations, as required, and the management of the safety and security of United Nations premises in headquarter locations;¹⁹

¹⁶ This may include field support services in specific areas such as handling hostage-taking incidents, among others.

¹⁷ This includes maintaining the function of a communications channel 24 hours per day/7 days per week (through its communication centre) between field locations and the United Nations Secretariat to receive and transmit information on security-related incidents or events with effects on the safety and security of United Nations personnel and to transmit "all agency communiqués" throughout the United Nations security management system on security-related recommendations, actions and decisions, including relocations and evacuations.

¹⁸ These include security professionals deployed by the Department and the United Nations system organizations.

¹⁹ These locations include United Nations Headquarters and headquarter locations in Nairobi, Vienna, Geneva, Addis Ababa, Beirut, Santiago and Bangkok, and international Tribunal locations where the Security and Safety Services of the Department of Safety and Security has deployed its personnel.

(h) Providing administrative support on resource requirements and activity levels in the field, and on personnel issues that are within the purview of the Department;

(i) Strengthening cooperation with the United Nations system's implementing partners (e.g., non-governmental organizations) on security issues and the protection of United Nations and humanitarian personnel through the "Saving Lives Together" initiative.

B. Key achievements in policy development and implementation

41. The Department, in tandem with the Inter-Agency Security Management Network, achieved key milestones in developing a comprehensive safety and security policy framework. It has established concrete security management policies in the areas for which there had previously been none. As cited in paragraph 8 above, the "how to stay" concept brought with it the need for the Department to develop and revise security management policies, as well as address policy gaps to support the application of this new culture. Overarching policies such as those on relations with the host country, close protection operations, use of force, arrest and detention, hostage incident management and road and fire safety were either newly developed or updated. The Department, together with the Inter-Agency Security Management Network, continues to develop new security management policies, operating guidelines and tools and to formalize policies and procedures that had previously existed in an ad hoc form.

42. With the successful launch of the Department's United Nations security managers' information network website, all revised and new policies and guidelines, contained in the United Nations security management system Security Policy Manual, and the existing Field Security Handbook, are accessible 24 hours per day, 7 days per week to United Nations security managers globally. All United Nations personnel have access to policies and guidelines through the Department website, which is regularly updated. The Policy, Planning and Coordination Unit of the Department provides policy advice and clarifications regarding the interpretation of all existing security and safety policies to ensure their common interpretation and implementation across the system. With the greater dissemination of information and increased efforts at communicating this information across a broader spectrum, there is an improved awareness across the United Nations system of the Department's efforts to enable United Nations system mandates and programmes by finding ways to stay and operate.

C. Security risk management process and tools

43. From 2007, the Department has enhanced its ability to identify, analyse and understand security threats against the United Nations by developing and refining a security risk management architecture to maximize the ability of the United Nations system to operate in high-risk environments. One of the tools that challenged the full promulgation of the new security risk management architecture was the security phase system, which had increasingly proved over time to be an oversimplified and blunt instrument by which to make security-related decisions. For example, when phase 5 (the highest phase level) was declared, all operations ceased. Security

management for the United Nations system was therefore equated with risk aversion. Furthermore, the security phase system was inextricably linked with actions that triggered certain security-related entitlements; i.e., a certain phase level would automatically trigger the evacuation or relocation of United Nations personnel and/or their eligible family members according to an oversimplified prescribed set of criteria. It often did not allow for the possibility of continuing United Nations operations especially at critical moments and in high-risk locations.

44. With the introduction in 2009 of the overarching “how to stay” approach, it was clear that the security phase system was no longer a viable tool. The United Nations abolished the security phase system on 31 December 2010, under the auspices of the High-level Committee on Management Steering Committee on Safety and Security, which had been established to oversee the implementation of the recommendations of the Independent Panel, one of which was to abolish the security phase system. Subsequently, security professionals came together to develop the security level system, which aims to offer an objective manner in which to assess threats within a security risk management model.

45. The security risk management model encompasses a range of policies, tools and guidelines for use in the United Nations security management system. It begins with identifying and assessing threats (distinctly different from risks), then considering that information in a holistic security risk assessment to determine the level of risk after putting in place risk mitigation measures. Once the level of risk is determined, another examination is made to see what else the United Nations system can do to lower the risk in order to determine the resulting level of residual risk. The level of residual risk is instrumental in determining whether United Nations system operations can continue or should continue, for example, with a smaller presence or by establishing a remote presence. The security level system therefore feeds the first part of this process by providing a means by which threats may be identified and assessed. Therefore, the security level system in itself does not trigger specific actions, such as evacuation or relocation.

46. The United Nations security management system promulgated the security level system as at 1 January 2011, thus providing security professionals with an additional tool for security risk management. Department of Safety and Security security personnel in the field have been encouraged to share and work through this tool with respective host country authorities. In addition, at the Department of Safety and Security headquarters, the tool and training on the use of the tool with Member States was and continues to be made available when requested.

47. Although a great deal of work has been done over the last few years in developing the security risk management model currently used, further review and adjustments are ongoing. There is a need for further efforts to increase the understanding of security managers and professionals on the application of the security risk management model and its tools. In this context, the Department is examining how to improve the process and format of security risk assessments, including the development of a web-based tool to assist in this process.

D. Key achievements in operational support

48. The Department made further strides in supporting operations in the field with additional measures put in place to strengthen threat and risk assessment, including

efforts to promote greater synergy and cooperation with host country authorities, the creation of additional analyst positions and security information operation centres in high-risk areas, and the development of a comprehensive and rigorous training programme for security analysts.

49. The Department's additional operational support enabled the implementation of critical humanitarian, human rights, development, peacekeeping, peacebuilding and disaster recovery mandates of United Nations system organizations while ensuring the safety and security of United Nations personnel. Effective operational security support enables the full range of United Nations mandates, programmes and activities, especially in areas with elevated threats of armed conflict, extremism, criminality and civil unrest or areas of complex emergencies affecting the local population.

50. To support United Nations programmes and missions in highly volatile areas with often unpredictable threat environments, the Division of Regional Operations of the Department focused on contingency planning and crisis preparedness in the field. The Department has qualified cadres of experienced crisis managers, both in the field and at Headquarters, including specialists in the management of hostage incidents. From January 2009 to date, personnel of the Division of Regional Operations managed 49 hostage incidents involving 71 United Nations system personnel and family members, with all but one hostage released safely.²⁰

51. From January 2009 to date, the Division conducted 185 "surge" missions, deploying its security personnel and security assets to United Nations system duty stations and missions affected by crisis situations to assist designated officials and security management teams in the field in enabling complex operations or rehabilitation and recovery activities following natural disasters.

E. Key achievements in field support services

52. The Department progressed in putting into place structured security training programmes, further developed its capacity for critical incident stress counselling for United Nations system personnel, made great strides in information management and, more recently, advanced efforts in aviation risk management, in order to provide improved services to programme activities in the field.

53. In 2007, the Department established the Department of Safety and Security helpdesk (dsshelp@un.org), as well as a secure Inter-Agency Security Management Network website with document access for all Network members. In 2008, the Department created the United Nations security managers' information network database, which eventually replaced the Network website, to provide security professionals within the United Nations security management system and those with security responsibilities access to security-related information.

54. A milestone achievement in 2010 was the establishment of the United Nations travel request information process system, which replaced the integrated security clearance system, and provided for a more comprehensive travel advisory and compliance information system. The Department launched a web-based questionnaire

²⁰ The only hostage not released safely was a United Nations personnel family member who died from natural causes.

to accurately determine the number of United Nations premises worldwide. To date, information on some 6,000 United Nations locations worldwide has been collected. Other information management systems that the Department has established over the past year include those that support security training and certification programmes. Currently, 1,000 United Nations personnel complete the online Basic Security in the Field training daily. A Geographic Information System capacity, created in 2008, included the first interactive maps to be made available on the United Nations security managers' information network website. In 2012, the Department launched the significant security incident reporting system globally, to allow for systematic information gathering on significant security incidents from United Nations system duty stations worldwide. Information collected through the use of the systems developed by the Department's Crisis Management Information Support Section provides critical support to field offices, particularly during crisis events.

55. By June 2012, the Department had thoroughly reviewed its core learning programmes and restructured these to include more efficient use of online, web-based learning platforms and distance learning with greater focus on multidimensional security training. The transition from training to learning began in 2010 and was based on sound academic theory and competency-based learning best practices. All Department of Safety and Security training programmes were subsequently reviewed through a competency-based learning filter, amended to meet newer, more rigorous standards and restructured to include a more efficient use of online, web-based learning platforms and distance learning, with a stronger emphasis on "soft-skills" training. All other Department of Safety and Security learning programmes, including safety (driver, aviation and fire), and specialist training programmes (i.e., hostage incident management, close protection and emergency medical training) are being reviewed through the competency-based learning filter with a view to redesigning these to meet the current security management needs of the United Nations system.

56. Key achievements in providing critical incident stress counselling included the establishment and the revision of standard operating procedures to improve the coordination between the United Nations system counselling network, the United Nations Medical Emergency Team and the Emergency Preparedness and Support Team of the Office of Human Resources Management. Globally, 235 mental health professionals, including United Nations counsellors covering 93 countries, have received training and certification. The support provided by the Critical Incident Stress Management Unit led to the hiring and deployment of 20 local counsellors on a cost-shared basis.

57. From 2007 to December 2011, the Critical Incident Stress Management Unit was involved in the management of 49 major critical incidents, including natural disasters, extremist attacks, plane crashes, evacuations, political unrest and hostage incidents involving United Nations system personnel. That resulted in the provision of counselling services to 60,726 United Nations system personnel. In addition, the Unit has provided training on stress management and related topics for some 33,155 United Nations system personnel serving in high-risk duty stations, in order to build their capacities and resiliency in carrying out their mandates in difficult environments. The Unit's counselling services during crises has significantly increased, reaching 23,806 United Nations system personnel. Moreover, local counsellors progressively engaged in the provision of welfare activities, reaching

3,087 personnel. In instituting an intensive counsellor certification training programme using professional resources at the country level, which is aimed at providing harmonized, readily accessible and quality psychosocial services to United Nations personnel, the unit has enhanced crisis response preparedness for the United Nations system. To date, 235 mental health professionals, including United Nations counsellors covering 93 countries have been trained and certified through this programme.

58. From 2007 to 2011, through the building of local critical incident intervention cells in high-risk duty stations supported by 751 peer helpers, the Critical Incident Stress Management Unit was able to cost effectively delegate training and the management of crises of limited magnitude to field counsellors and local mental health professionals who so far have provided welfare activities to some 3,087 personnel.

59. Earlier this year, the Department, in cooperation with other United Nations security management system partners, successfully launched a road safety campaign targeting United Nations system personnel globally, including with a video, developed by the Training and Development Section, which was made available on the Department of Safety and Security website and on other United Nations system organization websites, that focuses on the risks associated with speeding, distraction and driving under the influence of alcohol. The campaign aims to promote awareness on road safety and the prevention of road accidents. Road hazards were the primary cause of death and injury to United Nations system personnel during 2010-2011.²¹

F. Achievements in administrative support

60. To date, the Department has overcome the initial challenges it faced in establishing a new departmental structure that is based on multiple sources of integrated funding requiring the administration and oversight of over \$400 million biennially. Through efforts made at the Departmental level, United Nations security management system partners are increasingly provided with clear, transparent information on jointly financed activities, on a regular basis.

61. The Department made significant progress regarding the urgent recruitment and deployment of over 700 field security personnel, the equipping of field offices and personnel in over 180 countries, the implementation of a managed reassignment programme for field personnel and the facilitation of 185 “surge” missions to crisis situations, through the timely deployment of security personnel, vehicles and equipment.

62. In addition, the Department adopted a multifaceted approach to administrative support that includes an agreement with the United Nations Development Programme for the administration of Department of Safety and Security field officers globally. In order to achieve maximum cost-effectiveness and the correct level of oversight, the management of logistical support to the field was centralized, including with respect to procurement, asset management and supply. Through the United Nations security managers’ information network website, United Nations

²¹ Of the safety-related incidents in 2010, road traffic accidents caused 84 per cent of the deaths and 90 per cent of the injuries of United Nations staff members (see A/66/345).

security management system partners are provided with access to comprehensive information on locally cost-shared field budgets, to increase transparency with respect to the use of security funding.

63. Furthermore, the Department successfully launched large-scale recruitment campaigns to identify qualified and experienced security professionals (with a strong emphasis on geographical and gender diversity) for its increased field operations.

G. Key achievements in security and safety services for headquarter locations

64. The Division of Headquarters Security and Safety Services of the Department took concerted measures to deter intrusions and attacks against the 12 United Nations headquarters, offices away from Headquarters and Tribunals where it deploys United Nations uniformed security services and is responsible for ensuring premises security and access control. Preventive and deterrent measures of physical security, access control measures and contingency planning, among other measures, as well as effective cooperation with host Governments, were enacted with respect to United Nations Headquarters, offices away from Headquarters and Tribunal locations. The protection of those locations required the design of efficient security programmes that are flexible enough to meet the programmatic and operational needs of both United Nations personnel and visitors.

65. Since 2007, the Department has considerably strengthened access control systems at those locations and the implementation of the Project Access Control. The main goal achieved by the project was the implementation of a comprehensive, fully integrated and standardized global access control system of personnel and vehicles entering United Nations premises. The project helped strengthen perimeter protection and led to greater physical security systems' integration, including providing appropriate responses to incidents. Current measures of the project will be completed by the end of 2012. Other key security enhancement elements and efficiencies established towards better securing those locations include the strategic initiatives taken by the United Nations Security and Safety Services Network, chaired by the Director of the Division of Headquarters Security and Safety and comprised of all Safety and Security Services security chiefs to streamline and standardize services and develop and deliver effective and modern global security and safety services.

66. Most recently, the Division of Headquarters Security and Safety led the security arrangements for the United Nations Conference on Sustainable Development in Rio de Janeiro in June 2012, the largest event of its kind, with more than 45,000 participants. For the first time, the Division deployed United Nations uniformed security personnel globally from all of its locations and, together with the host country authorities, provided safety and security for some 130 Heads of State and Government representatives attending the event, enabling the Conference to take place without a single security incident.

V. Key current and future challenges

67. In a rapidly evolving global security environment, the United Nations system faces a broader scope and a consistently growing array of threats associated with armed conflict, violence, extremism, crime and civil unrest, including in conflict zones where Member States increasingly expect the United Nations to deliver its mandated programmes. Current trends point to increasing and more localized specific and targeted attacks on United Nations personnel and premises by violent extremist actors.

68. At the same time, in stark contrast to the past, respect for United Nations system personnel, including those carrying out humanitarian mandates, has eroded among opportunistic groups, rival militias and violent extremist entities. As illustrated by the attack on the United Nations House in Abuja on 26 August 2011, violent extremist actors, with links to extremist groups, targeted the United Nations system in an area that had not been considered as having an elevated security threat. The United Nations security management system needs to respond to these challenges to continue to enable United Nations system-mandated activities and operations. In order to do so, and to meet the demands that arise in the wake of increased security challenges, the Department will continue to work together with its United Nations security management system partners within the resources available.

69. The increasing need for emergency surge requirements and the need to be able to respond to those requirements rapidly within limited means poses additional challenges for the Department and the United Nations security management system. For the past two years, the Organization managed to meet the needs of emergency surge requirements within available means, which was only possible through the reprioritization of its activities and redeployment of existing resources. This entailed taking human and financial resources from other duty stations and missions, which also require resources to mitigate security risks in their respective duty stations. As an example, the Department deployed personnel from the uniformed Security and Safety Services from duty stations in the 12 locations under the responsibility of the Division of Headquarters Security and Safety, to assist in fulfilling surge requirements. It was only through that action and the deployment of other security professionals from their normal assigned duty stations that the Department was able to provide integrated and location-specific support and services to a wide range of clients, including United Nations agencies, funds and programmes in a wide range of locations and scenarios, including in peacekeeping and special political missions and in support of multifaceted United Nations-mandated activities. As the need to fulfil surge requirements is likely to continue, if not increase, a more sustainable means of addressing these needs to be found.

70. With respect to the efforts taken to date to build a truly modern information-based security management system, the Department faces the challenge of funding investments in information-based systems. Currently, the core resources of the Information Management Section of the Department are only sufficient to maintain existing systems and infrastructures. As such, the Department has had to put on hold the development of additional information management systems to serve the United Nations security management system.

VI. Conclusions and recommendations

71. As a relatively young department within the Secretariat and a unique one in its composition and funding, the Department of Safety and Security has taken and continues to take positive steps to provide safety and security support services for clients that span the entire United Nations system. Beyond its clients, it aims to serve Member States and the local populations who are the beneficiaries of United Nations system operations and activities.

72. The change in culture and mindset from “when to leave” to “how to stay”, which requires the Department to enable United Nations personnel to carry out their mandated activities, places strenuous demands on the United Nations security management system. The Department continually evaluates its available resources to maximize the delivery of its mandated services. Acknowledging the dynamic nature of the security environment, it continually assesses and reviews its deployments to respond to evolving situations. It will continue to do so. However, this may not be enough to meet all the challenges it faces. The maintenance of the United Nations security management system can only continue with appropriate levels of funding that are sustainable, reliable and predictable.

73. An effective unified and strengthened United Nations security management system also requires actions beyond the purview of the Department, the Organization and its United Nations security management system partners. It requires the Member States, the Organization and other United Nations system partners to assume collective responsibility to ensure that security considerations are included in the earliest stages of programme and budgetary planning that determines the presence, roles and mandates of the United Nations system.

VII. Actions to be taken by the General Assembly

74. **The General Assembly is requested to take note of the present report.**
