



DEPUTY MANAGING DIRECTOR

INTERNATIONAL MONETARY FUND
WASHINGTON, D.C. 20431

CABLE ADDRESS
INTERFUND

September 1, 2005

To: Members of the Staff

Revised Security Clearance Procedures for Fund Missions

In December 2003, management approved new procedures designed to strengthen the clearance process for missions to countries under a United Nations security phase designation. Experience with these procedures has been positive and careful attention has been paid by management and the traveling departments to ensuring that missions to risky locations are undertaken only after careful consideration of all options, and only when security conditions allow such missions. As management has emphasized on a number of occasions, all staff have the right to refuse to travel or to be assigned to locations that they believe may expose them to an unacceptable level of personal risk, without fear of retribution or adverse action.

The attached Staff Bulletin replaces and updates those mission clearance procedures. The changes have been discussed and endorsed by the Security Policy Group, and they underscore management's continued commitment to protect the safety of the staff in carrying out the essential work of the Fund, whether at headquarters or in the field.

The December 2003 procedures have worked well and, for the most part, they remain unchanged. The main features of the revised procedures are as follows:

- A standardized Security Annex prepared by the Security Services Division (TGSSE) must now be attached to mission briefs (and memoranda sent to management by technical assistance departments) for all missions to UN Phase III and IV locations. Management will still convene meetings with interested departments (and the SAC as an observer) before missions to Phase IV locations will be authorized. For missions to Phase I and II locations, a section on security matters, prepared in consultation with TGSSE, will still need to be included in all mission briefs.
- The provisions for mission security clearance for technical assistance (TA) missions have been clarified. Although TA mission briefs are not usually cleared by management, security input must nevertheless be requested from

TGSSE for all missions to UN phase designated locations. TA departments also must inform management of all planned missions to UN Phase III and Phase IV destinations, attaching the standardized Security Annex. As has been the practice with area department missions to Phase IV locations, management will convene a meeting of relevant departments to discuss the need for a TA mission to a Phase IV location, the availability of suitable alternatives, and security issues.

- Detailed security assessments are still required before missions can be sent to Phase III or IV locations. These assessments will usually be prepared through site visits by Fund security staff or consultants. When it is not possible to carry out an onsite security assessment at these destinations, the Fund may engage a reputable security vendor firm with strong experience in the location to assess security conditions, or, in exceptional circumstances, may ask the UN security management system to provide such an assessment.

I urge all of you, and especially mission chiefs, to familiarize yourselves with these revised procedures. I will also ask all department heads to ensure that their traveling staff and mission chiefs are aware of their responsibilities under these procedures, and to ensure that they are being followed carefully. By working together, we can all ensure that the essential work of the Fund is accomplished in ways that protect the safety and security of the staff.



Takatoshi Kato

Attachment

UNDOC/05/59

Subject: PLANNING AND CLEARANCE PROCEDURES FOR MISSIONS TO LOCATIONS UNDER A UNITED NATIONS SECURITY PHASE DESIGNATION

No. 05/12

Date: September 1, 2005

This Staff Bulletin sets out revised procedures to be followed by traveling departments in planning missions to sites where security conditions have warranted a UN security phase designation.¹ **The revised procedures, which have been endorsed by the Security Policy Group, underscore Fund management's continued commitment to ensuring the safety of the staff in carrying out the essential work of the Fund.**

The revised procedures retain most of the procedures initially set out under Staff Bulletin 03/26. The main new features of the revised procedures are as follows:

- **A standardized Security Annex prepared by the Security Services Division (TGSSE) must now be attached to mission briefs (and memoranda sent to management by technical assistance departments) for all missions to UN Phase III and IV locations.** For missions to Phase I and II locations, a section on security matters, prepared in consultation with TGSSE, will still need to be included in all mission briefs.
- **The provisions for mission security clearance for technical assistance (TA) missions have been clarified.** Although TA mission briefs are not usually cleared by management, security input must nevertheless be requested from TGSSE for all missions to UN phase designated locations. TA departments also must inform management of all planned missions to UN Phase III and Phase IV destinations, attaching the standardized Security Annex. As has been the practice with area department missions to Phase IV locations, management will convene a meeting of relevant departments to discuss the need for a TA mission to a Phase IV location, the availability of suitable alternatives, and security issues.
- **Detailed supplementary security assessments are still required before missions can be sent to Phase III or IV locations.** These assessments will usually be prepared through site visits by Fund security staff or consultants. When it is not feasible to carry out an onsite security assessment at these destinations, the Fund may engage a

¹This Staff Bulletin supersedes Staff Bulletin 03/26, December 4, 2003, "Enhanced Planning and Clearance Procedures for Missions to Countries Under a United Nations Security Phase Designation." It supplements and strengthens the broader field security policies and procedures set out in Staff Bulletin 01/08, May 11, 2001, which remains in effect.

reputable security firm with strong experience in the location to assess security conditions, or, in exceptional circumstances, may ask the UN security management system to provide such an assessment.

Mission Planning

In planning missions, departments should carefully consider from the outset of the mission planning process the timing and need for a mission to countries with a serious security situation. Departments should consult directly with TGSSE whenever questions arise about the safety of a particular mission location, even if it is not a UN phase-designated location.

Early attention to the security aspects of a mission will allow consideration, for example, of whether the purposes of the mission could be served by holding discussions in another location or through videoconferencing, or whether the size of the mission should be limited or its duration shortened. Early planning will also allow staff adequate time to voice any concerns they may have about traveling to the particular location, without feeling that they might jeopardize the viability of the mission, although staff can choose not to participate at any time if they have particular concerns about security. Management has directed that all staff have the right to refuse to travel or be assigned to a location that they believe may expose them to an unacceptable level of personal risk. All Fund personnel should feel free to seek information about security issues from the Security Services Division (TGSSE) and to express their concerns about security risks to their supervisors without fear of retribution or adverse action.

Mission Clearance Procedures

All mission briefs submitted to management for travel to UN phase designated locations must contain a section on the security status of the mission site, following the criteria set out below.² In addition, security status sections must be included for missions to those sites which do not have a phase designation, but for which TGSSE believes the security situation requires special attention. **It is the responsibility of the mission chief from the traveling department to request TGSSE's input for the security section and to ensure that security issues are appropriately covered in the mission brief. Briefing papers for TA missions are also expected to include descriptions of security conditions** and the heads of those missions should also contact TGSSE at an early stage for its input.

² The system of UN security phase designations is described in Attachment I. A current list of locations with UN phase designations can be found in the [Security Travel Advisory](#) section of the TGSSE website. The Security Travel Advisories are updated when UN phase designations change, and mission travelers are expected to consult the website whenever missions are being planned.

The mission brief should indicate what steps are being followed to address any identified security issues and affirm that all mission members have had the opportunity to read any security analyses provided by TGSSE and discuss their concerns with TGSSE if so desired. For Phase III and Phase IV locations, the mission brief should also specifically address the suitability of an alternative location (or the use of videoconferencing) or indicate why that option is not appropriate, so that management will be in a position to evaluate all options.

The degree of detail devoted to security in the mission brief should be tied to the UN phase level for the particular location:

- For **Phase I locations and non-Phase locations highlighted by TGSSE**, the security description should be relatively straightforward, indicating the existence of the phase designation and whether any special measures were warranted with respect to Fund mission travel. For those cases where, notwithstanding the relatively low security risk, TGSSE was of the view that particular issues need to be addressed with respect to Fund travel to the country, this should be noted.
- For **Phase II sites**, the section should describe, in somewhat greater detail than for Phase I sites, the security issues and concerns, and indicate any special measures that TGSSE is recommending to be implemented.
- For **Phase III and Phase IV sites**, a standardized Security Annex will be prepared by TGSSE and must be requested and used by all departments proposing missions to such locations. The template for such a Security Annex, outlining the areas it would cover, is attached (Attachment II).³ Area departments should attach the Security Annex to their briefing memoranda. Although TA departments do not routinely send their mission briefs to management for clearance, **TA departments must inform management of their intention to send a TA mission to a UN Phase III or Phase IV destination**, attaching the Security Annex to their memoranda.
- For **Phase IV sites**, mission travel is expected to be highly exceptional. For all missions, in addition to the required site review and Security Annex, management will convene a meeting of relevant departments to discuss the need for the mission,

³ Normally, the Annex would be no more than two pages in length and, in addition to providing security risk assessment information, would incorporate information on the practices of the World Bank and other relevant comparator organizations. Specific security requirements and recommendations for mission travel and key contact information would be provided under separate cover directly to the mission chief. The use of this template would not preclude a more extended discussion of security issues in the body of the brief, if a particular situation warranted.

the availability of suitable alternatives, and security issues.⁴ A minute of the interdepartmental meeting will be written and retained by TGS.

- **As in the past, missions to Phase V designated locations will not be approved under any circumstances.**

Security Assessments for Phase III and IV Locations

Mission travel to Phase III and IV locations should not normally take place unless there has been a recent Fund-sponsored security assessment. Usually, these assessments will be prepared following a site visit by Fund security staff or a security consultant. However, when circumstances prevent such a site visit (such as when urgent missions are proposed on short notice), a decision to proceed could be based on an assessment by a security consultant with a good understanding of Fund travel practices, recent experience at the mission location, and a strong base of customers engaged in business at the location. As a further alternative, in exceptional cases, a decision to proceed with a mission could be based on a detailed review by TGSSE of the recommendations of the local United Nations Designated Official and Field Security Coordination Officer. TGSSE would choose the most effective available option.

The written assessment report will be made available to the traveling departments and given to all staff members going on the mission, and the main findings of the report will be incorporated into the Security Annex prepared by TGSSE. The assessment will:

- Reflect whether Fund missions can safely conduct business, including the ability to move about at the mission site, to communicate locally and internationally in an emergency, and to remove staff from harm's way, should conditions require such action;
- Identify any particular security, safety, and health risks for which precautions should be taken;
- Incorporate the results of consultations with appropriate local security resources (such as contacts with host government authorities, the UN, the World Bank Group, embassies, and security consultants), as well as the Fund's resident representative, where applicable;
- Examine the reliability and effectiveness of host government and UN security elements in the country; and

⁴ In most cases, in addition to including management, the relevant traveling area and functional department(s) and TGS, this meeting could involve other departments, including HRD, LEG, PDR, and possibly EXR, as needed. A member of the SAC will be invited to such meetings as an observer.

- Identify focal points of contact for security and logistical support during the course of the proposed mission.

For practical reasons, the security report will cover a period into the future encompassing several missions. The shelf-life of each such security assessment will need to be judged according to the particular circumstances of the country, and a working guideline will be 6 to 12 months. However, TGSSE, in consultation with the relevant area department (including, where applicable, the resident representative) may recommend an updated review if security conditions are judged to be changing rapidly.

A handwritten signature in blue ink that reads "Brian C. Stuart".

Brian C. Stuart
Director
Technology and General Services Department

Attachments (2)

United Nations Security Phase Designations

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

- Phase I Precautionary
- Phase II Restricted Movement
- Phase III Relocation
- Phase IV Emergency Operations
- Phase V Evacuation

The local UN Designated Official can implement measures under Phases I and II at his/her own discretion, following consultation with the Security Management Team, and notify the Secretary-General through the Under-Secretary-General for Safety and Security. Phases III, IV, and V 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 III to V, and reporting such action to the Secretary-General, through the Under-Secretary-General for Safety and Security, immediately thereafter.

The Phases may be implemented in sequential order, or as the situation dictates (e.g., in a quickly developing situation, Phase II—Restricted Movement— may be the initial phase ordered). 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 I and II following consultation with the Security Management Team. If Phases III or IV 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 V 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.

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; this is secured at the Fund through the Security Services Division. Travel to Phase V areas requires clearance from the Department of Safety and Security 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.

Phase I—Precautionary

The Designated Official may declare Phase I—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 be prepared to take action as outlined for subsequent phases.

Phase II—Restricted Movement

Phase II—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.

Phase III—Relocation

The authorization by the Secretary-General for the declaration of Phase III—Relocation— 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 spouse 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 spouse 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.

Phase IV—Emergency Operations

The authorization by the Secretary-General to declare Phase IV—Emergency Operations— 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 program activities will be relocated at this time.

Phase V—Evacuation

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

Resumption of United Nations Operations at a Phase V location

Prior to the resumption of United Nations operations at a location where Phase V 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 de-mining experts can be included in the assessment at the discretion of the Senior Security Officer. Inclusion of other staff members will require Department of Safety and Security approval. They will submit a report to the Department of Safety and Security 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 Department of Safety and Security.

**Security Annex Template
Technology and General Services Department
Security Services Division (TGSSE)**

**MISSION RISK ASSESSMENT FOR [CAPITAL CITY A], [COUNTRY B] (UN PHASE III)
[DATE]**

I. Mission Summary

Based on contact with the traveling department, Security Services (SE) will summarize the particulars of the mission in Part I: Destination, UN Phase, Mission Dates, and the names of the Mission Chief and accompanying staff members.

SE will state its conclusions about the advisability of the mission proceeding, from the security perspective, broadly along the following lines: “This mission can proceed in the suggested time frame without undue exposure to risk. This position is corroborated by the views of the UN Designated Official in the country, the World Bank Country Director, other IFIs in the country (if applicable) and the views of an external security risk consulting firm, (if one was engaged to collaborate in the security assessment).”

II. Risk Overview and Comparator Organization Practices

A. Current UN Position on Mission Travel:	No Restrictions <input type="checkbox"/>	Essential Only <input type="checkbox"/>	Travel Suspension <input type="checkbox"/>	
B. Current World Bank Position on Mission Travel:	No Restrictions <input type="checkbox"/>	Essential Only <input type="checkbox"/>	Travel Suspension <input type="checkbox"/>	N/A <input type="checkbox"/>
C. Current (Name of IFI) Position on Mission Travel:	No Restrictions <input type="checkbox"/>	Essential Only <input type="checkbox"/>	Travel Suspension <input type="checkbox"/>	N/A <input type="checkbox"/>
D. Security Consultant Position on Mission Travel (if applicable):	No Restrictions <input type="checkbox"/>	Essential Only <input type="checkbox"/>	Travel Suspension <input type="checkbox"/>	N/A <input type="checkbox"/>
E. SE Risk Evaluation:	Low Risk <input type="checkbox"/>	Medium Risk <input type="checkbox"/>	High Risk <input type="checkbox"/>	

III. Current Threat Situation

Security Services will concisely summarize the current threat situation in Part III of the Annex. Specific security requirements and recommendations for mission travel to the destination (including possibly limiting travel to within the capital city and special precautions staff should take) and key contact information will be provided under separate cover to the Mission Chief.