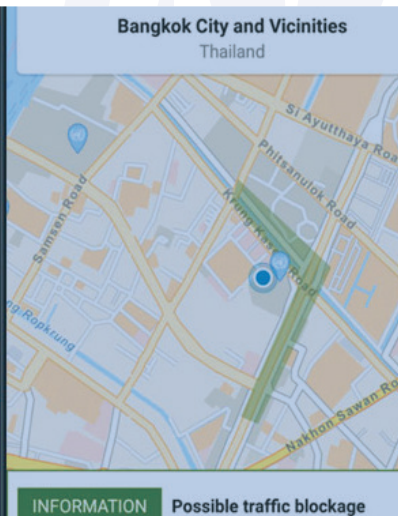


## CHAPTER V

# Compliance with Security Policies and Procedures



## Section A

### SECURITY CLEARANCE AND TRIP

Promulgation Date: 8 April 2011  
Technical Review: 1 May 2017

## A. Introduction

1. In accordance with the Framework of Accountability for the United Nations Security Management System (UNSMS), the Secretary-General delegates to the Designated Official (DO), through the Under-Secretary-General for Safety and Security, the requisite authority to take security-related decisions. Based on the DO's authority and responsibility for the security and safety of all United Nations system personnel and their eligible family members at a duty station, it is mandatory that DOs manage security clearance procedures for their area of responsibility and issue security clearances for external and internal travel. To assist with this responsibility, the Department of Safety and Security (UNDSS) supports a web-based system called "Travel Request Information Process" (TRIP).
2. Security clearance procedures are required so that the DO and other officials of the UNSMS in-country can:
  - (a) Effectively monitor the location and number of United Nations system personnel and eligible family members and include them in the country security plan;
  - (b) Provide important security information to United Nations system personnel and eligible family members on official travel, including locating all registered individuals in the event of a crisis or emergency, and;
  - (c) Control the number of United Nations system personnel and eligible family members where the security plan requires it.

## B. Purpose

3. The purpose of this policy is to ensure that all United Nations system personnel and related individuals (as explained in Section C below) on official travel on behalf of the Organization obtain security clearance before travelling and to outline the relevant roles and responsibilities regarding security clearances.

## C. Application/Scope

4. The policy is applicable to all individuals covered by the UNSMS, as defined in Chapter III of the *Security Policy Manual* (SPM) ("Applicability of United Nations Security Management System"), who are on official travel for the Organization. Individuals covered by the provisions of this policy are herein referred to as "personnel" and "traveller" interchangeably.

## D. Security Clearance – Official Travel

5. It is mandatory for United Nations system personnel and eligible family members to obtain security clearance for all official travel, regardless of location, and they cannot commence official travel without obtaining it (except as laid out in Section G below). The TRIP web-based system provides for "automatic" clearance response when the Security Plan allows (See Section E, paragraph 17 below). Other technological refinements that will facilitate requests for security clearance are supported and encouraged.
6. Organizations of the UNSMS shall make all necessary effort so that their personnel (and eligible family members) receive security clearance prior to all official travel. Organizations

must also make all necessary effort so that all their travellers are well acquainted with existing or potential security problems in the areas that they intend to visit.

7. It is critical that all travellers understand their responsibility for their security while on official travel, such as obtaining a security clearance prior to all official travel, obtaining destination-specific security information and advice prior to travelling and obtaining a security briefing from the appropriate security official upon arrival at their destination.
8. For the purpose of this policy, official travel includes official home leave or other entitlement travel where the cost of travel is borne by organizations of the United Nations system. This applies regardless of whether official travel is undertaken by air, sea, land or any combination thereof.
9. Based on the Security Risk Management (SRM) process, security clearance authority for the SRM areas in which security risk level is unacceptable is not delegated and will be granted only by the Under-Secretary-General for Safety and Security on behalf of the Secretary-General.
10. The DO is responsible and accountable for his/her decision when providing security clearance for official travel to, through and within his/her area of responsibility, including when security clearances are issued automatically (see Section E below).
11. The DO has the authority to grant, deny or ask for more information on a security clearance request where delegation exists.
12. The DO may further delegate his/her authority to grant security clearance on his/her behalf. This delegation must be in writing and the DO remains ultimately accountable for all security clearances provided. For this purpose, authority may be delegated to:
  - (a) The most senior security professional directly supporting the DO<sup>1</sup>;
  - (b) An Area Security Coordinator, who is responsible and accountable for security within his/her area of responsibility as designated by the DO, in consultation with the Security Management Team.

## **E. Security Clearance Procedures**

13. This procedure applies to all personnel and eligible family members who are required to travel on official business to any location. The individual must submit a security clearance request in TRIP to the DO at the duty station to be visited. If the mission consists of more than one person, it is the responsibility of the mission team leader to request security clearance. For all official travel with his/her eligible family members, a staff member is considered the “mission team leader”. Organizations may request security clearance on behalf of an individual, including consultants, experts on mission or other related personnel or eligible family members.

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<sup>1</sup> This is usually the Chief Security Adviser or other Security Adviser, including their officer-in-charge *ad interim*. Where a Chief Security Adviser or Security Adviser is not present, this term is equivalent to the titles of Chief Security Officer, Chief of Security and Safety Services, Country Security Focal Point (CSFP) or Local Security Assistant (if necessary) in countries where no international professional security adviser has been assigned or is present.

14. The request for security clearance made in TRIP will include, at a minimum, the following information:
- (a) Name<sup>2</sup>
  - (b) Nationality;
  - (c) United Nations Laissez-Passer (UNLP) or national passport number, issue and expiry date;
  - (d) Agency/organization;
  - (e) Mission/travel purpose;
  - (f) Specific dates of the mission;
  - (g) Where the individual is staying while at the duty station.
15. A prerequisite for official travel by United Nations system personnel, with the exception of appointment travel, is successful completion of all required training, including “Basic Security in the Field” (BSITF) training for all official travel and “Advanced Security in the Field” (ASITF) for official travel to any field location.<sup>2</sup> Organizations of the UNSMS shall ensure that their personnel have completed these training courses as required. BSITF and ASITF certificates are valid for three years, at which point staff members must recertify.
16. Official travel within countries or other areas of responsibility also requires security clearance. TRIP ensures that internal security clearance requests are transmitted to the relevant person responsible (for example, the Area Security Coordinator), who processes the security clearance in accordance with his/her delegated authority in paragraph 12(b) above. DOs may create an “operational radius” whereby one security clearance applies to all official travel (see Section F below).
17. If the security plan for a certain location requires security clearance solely to track traveller numbers and movement, DOs have the option of setting “automatic” clearances in TRIP. When set to automatic, TRIP provides an immediate security clearance response when travellers create a TRIP entry for proposed official travel.
18. When the security plan requires control over the number of personnel or eligible family members in a specific location, DOs can set the TRIP system so that all official travel into a specific area has to be cleared manually. Manual security clearance procedures can be established at any location regardless of the security risk level, if the DO requires it, and it is highly recommended that all areas with high or very high residual security risk have manual security clearance procedures.
19. For official travel to areas requiring manual security clearance, TRIP entries must be submitted seven days before the start of travel to ensure sufficient time for the traveller to receive official approval. Locations requiring manual security clearance will be listed in the Travel Advisory issued by the UNDSS.

## **F. Security Clearances and Operational Radius**

20. DOs can designate an Operational Radius, in which personnel routinely reside and operate and in which they can travel without obtaining further security clearance. Personnel moving

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<sup>2</sup> For the purpose of this policy, “field location” is any location not designated as an “H” duty station under the mobility and hardship scheme established by the International Civil Service Commission (ICSC).

throughout this Operational Radius must be able to communicate with the United Nations radio room, communications centre or other source of assistance.

21. A cross-border Operational Radius may also be established. In this situation, the Under-Secretary-General for Safety and Security grants to one DO the authority, accountability and responsibility for an area on the other side of the border of that DO's country.<sup>3</sup>
22. An SRM process, in line with the SRM policy and manual<sup>4</sup>, must justify the establishment of an Operational Radius as a security risk management measure. There must be clear justification showing that the area designated as the Operational Radius (including cross-border) contains similar threats and risks, as well as the requirement of one common set of security measures.

### **G. Exceptional Measures**

23. In exceptional and compelling cases where insufficient time is available to comply with this policy, such as immediate medical evacuation or other life-threatening situations, the traveller must inform the DO or delegate, by the fastest means available, and complete the TRIP clearance process as soon as possible.
24. For the purposes of a “no notice” inspection or investigation by an agency or organization of the United Nations system, the Under-Secretary-General for Safety and Security may grant security clearances that are not submitted through TRIP in advance. The Department of Safety and Security will normally inform the DO and other concerned individuals of such official travel and, upon arrival in the country, the TRIP clearance will be processed.
25. If the security situation worsens, the DO must advise, through TRIP, all individuals with security clearance (and their employing organization via the Security Focal Point) whether the security clearance will be rescinded or if travel can take place as initially authorized.

### **H. Personal Travel**

26. Personal travel, including for annual leave, is not official travel and does not require security clearance. However, all United Nations system personnel and/or eligible family members going on personal travel are strongly encouraged to register personal travel in TRIP, designating travel as such. Travellers completing a TRIP entry for personal travel will receive an acknowledgement along with essential security information. In the event of a crisis or emergency, it may also be possible for the local UNSMS to provide security support to United Nations system personnel and eligible family members who have registered personal travel in TRIP. Any such assistance is subject to the capacity of the UNSMS to provide such support at the time of the crisis or emergency.

### **I. Compliance with Security-Related Decisions**

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<sup>3</sup> A cross-border operational radius may be required when staff are residing in one country and traveling to work in a neighboring country on a daily basis.

<sup>4</sup> Please refer to *Security Policy Manual* Chapter IV, Section A on “Security Risk Management” which entered into force on 18 April 2016.

27. Personnel who refuse to comply with the security-related instructions of the DO may be informed by the DO, in writing and with a copy provided to the Security Focal Point at the headquarters of their employing organization, that their security clearance has been revoked.
28. The DO will provide to the Department of Safety and Security, with a copy to the Security Focal Point at the Headquarters of the employing organization, the information and names of personnel refusing to comply with security clearance procedures and instructions.

#### **J. Final Provisions**

29. Chapter VI, Section A and Section B paragraph 6.2 of the Field Security Handbook (2006) and its Annex H are hereby abolished.