Annex 4: Colombia: Decree 4065 (2011), Creation of the National Protection Unit – objective and structure established

1 [This] newer document outlining government policy for the protection of human rights defenders illustrates that the new approach is an improvement compared to previous policies - a result of the decision to accept some of the demands made by defenders’ organisations in Colombia. We have included this document as an annex because it was published while this book was undergoing final editing and it was too late to analyse it in the main text. For updates and comments go to http://focus.protectionline.org/-Focus-
ARTICLE 4. Functions. The National Protection Unit (NPU) shall have the following functions:

1. Organise, coordinate and implement protection services jointly with the relevant authorities at national and regional level.
2. In coordination with the relevant authorities, define opportune, effective, appropriate and differentiated protection measures sufficient to respond to the levels of risk identified.
3. Implement such protection programmes intended to protect the right to life, integrity, liberty and personal security as are ordered by the National Government and that fall under the responsibility of the Unit.
4. Monitor and evaluate the timeliness, appropriateness and efficiency of the protection programmes and measures implemented and the ways they are made use of by their beneficiaries, and propose such appropriate improvements as may be necessary.
5. Offer particular protection to population groups that face extraordinary or extreme risk as indicated by the National Government or identified by the risk assessments carried out by the Unit.
6. Carry out, in coordination with the competent bodies or entities, the risk assessments of persons who request protection from the programmes established by the National Government.
7. Carry out, in coordination with the competent bodies or entities, risk assessments of groups, communities and territories in order to establish protection measures.
8. Support and provide technical advice to the regional bodies responsible for protection in the design and implementation of strategies to protect the right to life, liberty, integrity and security of persons, groups and communities, especially those facing special, extraordinary or extreme risk.
9. Provide such information to the Ministry of the Interior’s Human Rights Unit as is necessary to establish general guidelines for the design and implementation of the prevention and protection policies for which it is responsible.
10. Support the Ministry of the Interior by providing human, technical, logistical and administrative support for the implementation of prevention activities intended to protect the right to life, liberty, integrity and security of persons, groups and communities subject to the jurisdiction of the Colombian State, in compliance with the relevant guidelines provided by the Ministry.
11. Administer the system for the protection of information.
12. Fulfil any other functions appropriate to the nature of the Unit that may be assigned it.

ARTICLE 5. Management and Administrative Bodies. The management and administration of the National Protection Unit (NPU) shall be the responsibility of a Management Board and Director General.

ARTICLE 6. Management Board, membership and meetings. The Management Board shall have five members, as follows:

1. The Minister of the Interior, or delegate, who shall act as chair.
2. The Minister of Defence, or delegate.
3. The Director General of the National Police, or delegate.
4. The Director of the Presidential Programme for the Protection and Supervision of Human Rights and International Humanitarian Law, or the person acting as such.
5. The Director of Human Rights at the Ministry of the Interior.

The Director General of the National Protection Unit, (NPU), shall attend the meetings of the Management Board with voice but no vote.

The Management Board shall establish the frequency and nature of its sessions in its regulations.
ARTICLE 7._ Functions of the Management Board. The Management Board shall have the following functions:

1. Formulate management and operational strategies consistent with the policies established by the Ministry of the Interior in representation of the National Government, with any international treaties and agreements in the fields of Human rights and International Humanitarian Law that may be adopted and with the binding decisions of international Human Rights tribunals and supervisory bodies.

2. Approve annual plans, programmes and projects for inclusion in sectorial plans that follow the norms and criteria governing the National Budget as indicated by the National Planning Department, the Ministry of Finance and Public Credit and the Ministry of the Interior.

3. Evaluate the overall functioning of the National Protection Unit (NPU) according to agreed policies and plans.

4. Agree results indicators in order to guarantee the effectiveness of the Unit in ensuring enjoyment of the right to life, integrity and security for the persons under the Unit’s protection.

5. Approve the body’s draft budget as well as any modifications made to them.

6. Present proposals to modify the organisational and staffing structure of the National Protection Unit (NPU) for approval.

7. Adopt its own internal regulations.

8. Any other tasks indicated by the Law.

ARTICLE 8._ Director General. Administration of the Unit shall be the responsibility of a Director General, who shall be a public employee whose appointment and removal is in the gift of the President of the Republic.

ARTICLE 9._ Assets of the Unit. The resources of the National Protection Unit (NPU) shall include:

1) The contributions assigned by the National Budget;

2) Such assets, rights and resources of any kind that it may acquire or that are transferred to it in any way by the Nation or the regional authorities or other services;

3) Resources obtained through national or international agreements;

4) Resources obtained from international technical cooperation.

SECTION II
ORGANISATIONAL STRUCTURE AND FUNCTIONS OF THE DEPENDENT STRUCTURES OF THE NATIONAL PROTECTION UNIT (NPU)

ARTICLE 10._ Structure. In order to exercise its functions the National Protection Unit (NPU) shall have the following structure:

1. Management Board

2. General Directorate
   2.1. Legal Advisory Office
   2.2. Advisory Office for Planning and Information
   2.3. Internal Supervision Office

3. General Secretariat

4. Risk Assessment Section

5. Protection Section

6. Human Talent Section

7. Advisory and Coordination Bodies
   7.1. Personnel Commission
   7.2. Internal Control Coordination Committee.

ARTICLE 11._ Functions of the General Directorate. The functions of the General Directorate are as follows:

1. Present the Unit’s overall policies of the Unit to the Management Board and, once it has been adopted, issue the administrative orders required for their implementation and ensure they are carried out.
2. Develop the Unit's Strategic Plan and the plans and programmes that are required to meet the objective of the National Protection Unit (NPU), presenting them to the Management Board, which shall discuss and approve them and ensure they are correctly implemented.

3. Coordinate the implementation of necessary preventive measures with the relevant authorities.

4. Lead the implementation of the risk assessment process for the protection programmes it is responsible for, identifying in an opportune manner, the risks levels faced by persons, groups and communities.

5. Jointly with the National Police and other bodies, design, formulate and implement measures and mechanisms for the protection of persons who face extraordinary or extreme risk and, at the request of the foreign Ministry, others for whom an international body has ordered protection measures.

6. Coordinate with the National Police concerning protection measures required by persons who face risk as a result of their official employment.

7. In cases of imminent and exceptional risk, without the need for a risk assessment and employing a differential approach, adopt provisional protection measures for the beneficiaries of the programme and inform the Committee for the Regulation and Evaluation of Risks (CRER) – or whoever acts as such – in order for it to recommend definitive measures should this be appropriate.

8. Adopt provisional protection measures for the displaced population in circumstances where the Constitutional Assumption of Risk is applicable.

9. Implement the orders contained in precautionary measures or legal rulings concerning the protection of persons, groups and communities, and inform the relevant authorities once they have been faithfully and effectively carried out.

10. Adopt, by way of administrative order, the protection recommendations ordered by the Committee for the Regulation and Evaluation of Risks (CRER) or whoever acts as such.

11. Present a proposal for internal regulation, and any modifications to the organisational and staffing structure that may be required, to the Management Board.

12. Assume responsibility for appointing the Unit’s staff, other than those whose appointment is the responsibility of other authorities.

13. Assign agents and representatives capable of representing the body in legal forums and other processes requiring litigation.

14. By administrative act, create such internal working groups and advisory and coordination bodies as are necessary to ensure the functioning of the National Protection Unit (NPU) so that it may implement the services, plans, programmes and projects it has approved.

15. Adopt the regulations, establish the terms of functional and procedural manuals setting out the roles and responsibilities of staff and other procedures required for the functioning of the Unit.

16. In compliance with the relevant organic and regulatory orders present the draft budget and financial reports to the Management Board for revision and approval.

17. Order payments, issue administrative acts, carry out necessary actions and celebrate such contracts, agreements and arrangements as might be required to ensure that the National Protection Unit (NPU) functions effectively and achieves its objectives according to current regulations.

18. Establish mechanisms to ensure that requests from citizens and officials of the National Protection Unit (NPU) are dealt with opportunely.

19. Ensure internal discipline according to the terms of Law 734 of 2002 or such regulations as may modify them.


21. Any other functions that may be assigned and are consistent with the nature of the body.

**ARTICLE 12._ Functions of the Legal Advisory Office.** The functions of the Legal Advisory Office are as follows:

1. Contribute to the formulation of strategies to strengthen the legal capacity of departments of the Unit in their areas of competence.

2. Analyse, design and endorse the administrative acts as indicated by the Director or Director's delegate where required by the Constitution or the Law.
3. Elaborate, examine and produce opinions on projected administrative acts, contracts and/or agreements that the body is requested to sign or emit as well as on other matters assigned it related to the nature of the Unit or its areas of competence.
4. Represent the body both legally and outside the legal sphere in cases and actions brought against it or that it initiates, either itself or by delegation, and supervise such processes.
5. Coordinate and process the resources, acts of revocation and, in general, all legal activities associated with the functions of the Unit that are not the responsibility of others of its departments.
6. Manage invoicing and payment of all sums owed to the Unit for whatever purpose, taking responsibility for ensuing legal action should it be required.
7. Respond to requests and enquiries falling under its area of responsibility within the Unit.
8. Contribute to the development and maintenance of the Integrated System of Institutional Management and the implementation of its recommendations in its areas of responsibility.
9. Any other functions that may be assigned and are inherent to the role of the department.

**ARTICLE 13. Functions of the Advisory Office for Planning and Information.** The functions of the Advisory Office for Planning and Information are as follows:

1. Design and coordinate the Unit’s planning process in its technical, economic and administrative process.
2. Define the guidelines, processes and instruments required for the formulation, monitoring and evaluation of the Unit’s strategic and operational planning and coordinate and provide advice to the Unit’s departments on formulating monitoring and evaluating their procedures for fulfilling the Strategic Plan and annual plans of action, according to the established procedures.
3. In coordination with the departments of the unit, and following the National Development Plan, the strategic and action plans, the Annual and Multi-annual Operational Plans and the Sectorial and Institutional Administrative Development Plans, and present them to the Director for approval.
4. Monitor the performance to budget of the Unit’s plans, programmes and projects.
5. Ensure that the plans, programmes and projects of the National Protection Unit (NPU) are carried out, and prepare monitoring reports and proposals for adjustment.
6. Develop and test process, outcome and impact indicators for the sector and carry out monitoring according to systems established by the Management Board.
7. Prepare and consolidate the draft budget and present it and the multi-annual budget plan to the Director for approval.
8. Support the Unit’s departments in preparing and ensuring the implementation of their investment plans whatever the source of income.
9. Organise and administer the NPU’s data base of projects, arranging for approved projects to be included in the National Data Base of Investment Projects and collaborate in the identification of appropriate resources.
10. Monitor budget implementation and negotiate adjustments to the Unit’s budget with the Ministry of Finance and Public Credit and the National Planning Department.
11. Ensure implementation of the Unit’s plans, programmes and projects, and prepare monitoring reports and proposals for adjustment.
12. Prepare and consolidate and present any reports required by state bodies and external agents.
13. Plan, maintain and oversee the management and procedures followed by the Unit.
14. Prepare economic and financial studies, proposals and research in order to improve the quality of services.
15. Give direction to and coordinate the implementation and development of the Integrated System of Institutional Management.
16. Design policies, strategies and standards to ensure that the body’s information systems are developed and implemented.
17. Formulate, revise, monitor and evaluate the Unit’s Information Technology Strategic Plan its Information Technology Management System.
18. Recommend changes to the organisational structure of the Unit that contribute to its modernisation.
19. Attend to requests and enquiries that fall under its area of competence.
20. Any other functions that may be assigned and are inherent to the role of the department.

**ARTICLE 14. Functions of the Internal Control Office.** The functions of the Internal Control Office are as follows:

1. Advise and support the Director General in the design, implementation and evaluation of the Internal Control System and ensure it functions correctly.
2. Develop tools and strategies to encourage a culture of internal supervision and quality control that contributes to a permanent improvement in the levels of services provided by the Unit.
3. Design such plans, methods, procedures and mechanisms as are required to monitor and evaluate the Internal Control System of the National Protection Unit (NPU).
4. Apply the management supervision system and interpret its results in order to present recommendations to the Director General, with emphasis on the process indicators designed and regularly reported on by the Advisory Office for Planning.
5. Ensure that the policies, guidelines, procedures, plans, programmes, projects and goals of the Unit are fulfilled, recommending adjustments as necessary and monitoring their implementation.
6. Advise departments on the identification and prevention of risks that might affect the achievement of their objectives.
7. Advise, accompany and support the Unit’s services in the development and improvement of the Internal Control System and keep the Director informed of its functioning.
8. Present activities reports to the Director and the Coordinating Committee of the Internal Control System.
9. Prepare and consolidate the Fiscal Performance Report that has to be presented annually to the National Comptroller’s Office at the start of each financial year.
10. Coordinate and consolidate responses to requests for information made by supervision and oversight bodies respecting the Unit’s self-administration.
11. Support the development, maintenance and continuing improvement of the Integrated System of Institutional Management, supervising its effectiveness and ensuring its recommendations are implemented.
12. Develop evaluative auditing procedures and formulate appropriate observations and recommendations.
13. Evaluate citizen participation mechanisms and ensure they are applied.
14. Ensure that requests, petitions and complaints are dealt with speedily and efficiently, and report on actions taken.
15. Ensure that the measures adopted by the National Government, including those to fight corruption, rationalise bureaucratic procedures and reduce spending are applied, in order to contribute to improvements in the administration of resources.
16. Accompany and advise the different departments of the National Protection Unit (NPU) in the implementation and development of risk supervision process and monitor and evaluate the process.
17. Evaluate and monitor the actions of the National Protection Unit (NPU) and encourage the relevant authorities to carry out such investigations as may be required.
18. Any other functions that may be assigned and are inherent to the role of the department.

**ARTICLE 15. Functions of the General Secretariat.** The functions of the General Secretariat are as follows:

1. Direct, coordinate and advance the implementation of the programmes and activities in matters relating to finance and accounting, recruitment, technical and computing support, administration and the management of documentation.
2. Jointly with the Planning and Information Office, coordinate fund-raising efforts to finance institutional plans, programmes and projects.
3. In coordination with the other departments, lead the preparation and implementation of the Unit’s annual purchasing plan.
4. In coordination with the Planning and Information Office prepare the Unit’s draft overall budget for presentation to the Director.
5. Plan, programme, oversee and supervise the procedures governing the storage, procurement, custody, distribution and disposal of such assets as are necessary to the efficient functioning of the Unit.
6. Elaborate the Unit’s Recruitment Manual and ensure its strict application.
7. Consolidate the Unit’s annual programme of monthly cash-flow supervision following to the plans presented by each department.
8. Ensure that budgets and accounting procedures are implemented correctly and tax, budgetary, accounting and cash-flow reports presented.
9. Make payments of the monies the Unit is obliged to pay under current legal rules.
10. Guarantee the sustainability of the Unit’s accounting system and its financial statements.
11. Monitor and oversee the Unit’s spending.
12. Apply and carry out the operation of the information systems required at the end of each financial year.
13. Coordinate the group responsible for disciplinary investigations that may be carried out into employees of the Unit and make initial decisions on cases.
14. Coordinate with the Planning and Information Office concerning the most suitable indicators for measuring the Secretariat’s performance.
15. Support the development and maintenance of the Integrated Institutional Management System and ensure that the recommendations it makes in its area of competence are followed.
16. Any other functions that may be assigned and are inherent to the role of the department.

ARTICLE 16. Functions of the Risk Assessment Section. The functions of the Risk Assessment Section are as follows:

1. Develop the risk assessment procedure in order to identify opportunely and with a differential focus the levels of risk faced by persons, groups and communities that form a part of the target population of the Unit.
2. Plan and develop methodologies and strategies to evaluate the levels of risk faced by persons who face extraordinary or extreme risk to life, integrity, liberty and personal security or those who face such risks as a result of their work.
3. Analyse and monitor reports produced by national and international governmental and non-governmental bodies and organisations on the situation of risk faced by persons, groups and communities that might provide useful inputs to the risk assessments.
4. Carry out actions to establish and maintain an open channel of communication with representatives of different groups or populations that are objects of protection or with any other body that might offer information useful to preparing risk assessments.
5. In fulfilment of its established responsibilities and in coordination with the competent authorities at regional level and with affected communities, support the Ministry of the Interior’s Human Rights Unit in carrying out focused risk analyses, planning for risk scenarios, defining prevention and contingency plans and implementing and monitoring any prevention measures that may be in existence.
6. Keep the system for the protection of information for which it is responsible up to date.
7. Once a year, or earlier if new facts occur that affect the level of risk, re-evaluate the levels of risk faced by the beneficiaries of the protection programme by updating their risk assessments.
8. Ensure that cases involving persons in situations of forced displacement whose circumstances are sufficiently grave and imminent for the Constitutional Presumption of Risk to be invoked are transferred immediately to the Protection Section.
9. Provide initial psycho-social support when required by persons who request protection measures.
10. Protect the information, data and computer systems that are the responsibility of the Section from all attempts to compromise the confidentiality, integrity or availability of said information.
11. Help to develop and maintain the Integrated System of Institutional Management and ensure that any recommendations relevant to its area of responsibility are fulfilled.
12. Respond to petitions and consultations related to its area of responsibility.
13. Present a plan covering its logistical and resource requirements to the General Secretariat to ensure that the department can function.
14. Any other functions that may be assigned and are inherent to the role of the department.
ARTICLE 17. Functions of the Protection Section. The functions of the Protection Section are as follows:

1. In coordination with the National Police and other relevant state bodies, design, formulate and implement measures and mechanisms to provide protection to persons who face extraordinary or extreme risk to life, integrity, liberty and personal security or those who face such risks as a result of their work.

2. Recommend to the Director of the Unit the adoption of initial or transitory protection measures for cases that fulfil the criteria of gravity or imminence.

3. Recommend to the Director of the Unit the adoption of protection measures for persons in a situation of forced displacement whose situation is sufficiently grave and imminent for the Constitutional Presumption of Risk to be invoked.

4. Implement the protection measures adopted on the basis recommendations made by the Committee for the Regulation and Evaluation of Risks (CRER), or whoever acts as such, to the Director of the Unit.

5. In coordination with the General Secretariat, oversee the logistical resources available to the Unit in order to ensure that the programme functions efficiently.

6. Monitor the implementation of protection measures for persons who, as a result of their official duties, are under the protection of the National Police, and provide such resources or logistical support as may be necessary, according to the responsibilities of the Unit.

7. Monitor the protection measures provided in terms of timeliness, appropriateness and effectiveness, and the use made of them by beneficiaries; when necessary, prepare an improvement plan in conjunction with other departments of the Unit, and participate in its implementation.

8. Present any reports that may be necessary given the responsibilities of the department.

9. Update the system for the protection of information in its areas of responsibility.

10. Maintain open channels of communication with the target populations of the protection programmes and respond to their concerns.

11. Support the development and maintenance of the Integrated System of Institutional Management and ensure that the recommendations falling under the department’s areas of responsibility are followed.

12. Protect the information, data and computer systems that are the responsibility of the Section from all attempts to compromise the confidentiality, integrity or availability of said information.

13. Respond to petitions and consultations related to its area of responsibility.

14. Present a plan covering the needs of the department to the General Secretariat.

15. Any other functions that may be assigned and are inherent to the role of the department.

ARTICLE 18. Functions of the Human Talent Section. The functions of the Human Talent Section are as follows:

1. Assist the General Directorate in formulating policies covering human resources management, applicable to the Unit’s different services.

2. Direct and coordinate the establishment of plans covering selection, administration, development, training, performance evaluation, welfare, occupational health, organisational culture, and stimuli and incentives for the public services offered by the National Protection Unit (NPU).

3. In coordination with the Planning and Information Office, elaborate such technical studies as are required if staffing structures and administrative structures are to be modified, and prepare and adjust the manual of staff functions and responsibilities, according to current guidelines.

4. Ensure that the policies, guidelines, procedures, plans and programmes governing Human Talent are applied correctly.

5. Prepare such administrative acts as are necessary for it to fulfil its functions.

6. In coordination with other departments, respond to the needs of the Unit’s Human Talent in order to ensure effective management.

7. Coordinate with the Planning and Information Office to ensure the adoption of the most appropriate indicators to measure the performance of the area.

8. Maintain and organise the personnel files of the entire Unit’s staff, ensuring they are up to date.

9. Contribute to the development and maintenance of the Integrated System of Institutional Management and the implementation of its recommendations in its areas of responsibility.
10. Respond to petitions and consultations related to its area of responsibility.
11. Any other functions that may be assigned and are inherent to the role of the department.

SECTION III

ADVISORY AND COORDINATION BODY

ARTICLE 19. Advisory and Coordination Bodies. The Personnel Commission, the Internal Control Coordination Committee and other advisory and coordination bodies that may be created shall function according to the terms of Law 909 of 2004, Law 87 of 1993 and the other current legal rules and regulation.

SECTION IV

FINAL PROVISIONS

ARTICLE 20. Staff Group. Responding to the structure established by this decree and in exercise of the faculties indicated in Article 189 of the Political Constitution and in Law 489 of 1998 the National Government shall proceed to recruit such staff as shall be necessary to ensure due and correct functioning of the National Protection Unit.

The employees of the Unit shall be contracted according to standard civil service terms and conditions covering the classification and administration of staff.

Transitory Paragraph. The certificate of budgetary availability required to fund the posts of Director General and Secretary General of the National Protection Unit shall be published by the Deputy Director of Administration and Finance at the Ministry of the Interior.

ARTICLE 21. Transfer of assets, rights and obligations. The ownership of fixed and moveable assets currently owned by the Administrative Department of Security (DAS), currently in liquidation, the Rotating Fund of the Administrative Department of Security (DAS) and the Ministry of the Interior that at the time when this decree comes into force are associated with the functioning of the National Protection Unit (NPU), and shall be given in free title to it. The determination of assets and the time limits and terms governing their handover shall be indicated in the Minutes signed by the Director of the DAS, currently in liquidation, the legal representative of the DAS Rotating Fund, the delegate of the Ministry of the Interior and the Director of the National Protection Unit (NPU), which shall be deposited in the relevant Registration Office when convenient.

ARTICLE 22. Current contracts and agreements. Current contracts and agreements, celebrated by the Ministry of the Interior and Justice – now the Ministry of the Interior – and whose object corresponds to functions and activities that fall under the responsibility of the National Protection Unit or the Protection Programme of the Human Rights Unit are understood to be passed to the National Protection Unit (NPU), which shall continue to execute them under the existing terms and conditions.

The documentation associated with these contracts and agreements should be passed to the General Secretariat of the Unit within the time limit established to this effect by the Ministry of the Interior’s Director of Human Rights and the General Secretary of the National Protection Unit (NPU).

Contracts that have been signed by the Ministry of the Interior and Justice – now the Ministry of the Interior – and which have involved or still involve activities coming under the responsibility of the National Protection Unit or the Protection Program of the Ministry of the Interior’s Human Rights Unit shall be liquidated by the National Protection Unit, for which purpose the Ministry of the Interior should provide all necessary documentation.

Where relevant, the Ministry of the Interior shall continue to execute the appropriations agreed by the Ministry of the Interior before the publication of this decree up to 31 December 2011.

ARTICLE 23. Handover of archives. The archives possessed at the point when this decree enters into force by the Ministry of the Interior’s Human Rights Unit and the Administrative Department of Security (DAS), currently in liquidation, and which are related to the responsibilities of the National Protection Unit, should be transferred to this body according to the terms indicated by the [respective] General Secretariats.

ARTICLE 24. Normative References. Any reference made in the current regulations to the Administrative Department of Security (DAS) and the Ministry of the Interior’s Protection Programme should be understood to refer to the National Protection Unit.
ARTICLE 25. Inter-institutional coordination. In development of the principle of inter-institutional coordination for the realisation of State policy, the different institutions of national and regional government, and the supervisory bodies shall, according to their areas of responsibility, support the programmes implemented by the National Protection Unit (NPU).

ARTICLE 26. Validity. The current Decree shall run from the date of its publication and supersede all measures provisions that are contrary to its terms.

BE IT PUBLISHED AND EXECUTED
Issued in Bogotá, D.C., on 31st October 2011.

The Minister Of The Interior
Germán Vargas Lleras

The Minister Of Finance And Public Credit
Juan Carlos Echeverry Garzón

The Director Of The Department
Of Public Administration,
Elizabeth Rodríguez Taylor