INTERNAL AUDIT DIVISION

RISK ASSESSMENT

Department of Field Support

14 October 2008
Assignment No. AP2008/615/03

United Nations Nations Unies

INTEROFFICE MEMORANDUM MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE

OFFICE OF INTERNAL OVERSIGHT SERVICES · BUREAU DES SERVICES DE CONTRÔLE INTERNE

TO: Ms. Susana Malcorra, Under-Secretary-General
A: for Field Support

DATE: 14 October 2008

REFERENCE: IAD: 08- 01835

FROM: Dagfinn Knutsen, Director
DE: Internal Audit Division, OIOS

SUBJECT: **Assignment No. AP2008/615/03 - Risk Assessment of the Department of Field Support**
OBJET:

1. I am pleased to present OIOS' risk assessment of the Department of Field Support, for your information. While we do not require a formal response to this report, you are welcome to discuss any of the issues raised further.

2. OIOS encourages the Department of Field Support to use the results of this risk assessment to put in place appropriate risk mitigation measures. OIOS will update the risk assessment periodically, based on subsequent audits or additional information obtained.

3. I take this opportunity to thank the management and staff involved in the risk assessment for the assistance and cooperation provided to the project team in connection with this assignment.

cc: Mr. Alain Le Roy, Under-Secretary-General for Peacekeeping Operations
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
Ms. Christina Post, Oversight Support Unit, Department of Management
Mr. Seth Adza, Operations Review Officer, DFS
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Byung-Kun Min, Programme Officer, OIOS

INTERNAL AUDIT DIVISION

FUNCTION

"The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates, ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies, undertake management audits, reviews and surveys to improve the structure of the Organization and its responsiveness to the requirements of programmes and legislative mandates, and monitor the effectiveness of the systems of internal control of the Organization" (General Assembly Resolution 48/218 B).

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PARTICIPANTS

The OIOS risk assessment team conducted workshops and interviews with the following staff members of the Department of Field Support, to gain an understanding of existing organizational relationships, risks, controls and process issues.

Table 1: List of participants

Focus Area	Name and Functional Title
Strategic Management and Governance	• Ms. Susana Malcorra, Under-Secretary-General, Department of Field Support • Ms. Jane Holl Lute, Assistant Secretary-General, Department of Field Support • Mr. Philip Cooper, Director, Office of the Under-Secretary-General
Financial Management	• Mr. Johannes Huisman, Officer-in-Charge, Budget & Performance Reporting Service, Field Budgeting and Finance Division • Ms. Haseena Yasin, Unit Chief, Budget & Performance Reporting Service, Field Budgeting and Finance Division • Mr. Mohammad Norshaini Jeram, Unit Chief, Budget & Performance Reporting Service, Field Budgeting and Finance Division • Ms. Victoria Le Crichia-Wenzel, Unit Chief, Budget & Performance Reporting Service, Field Budgeting and Finance Division • Mr. Wayne Whiteside, Unit Chief, Budget & Performance Reporting Service, Field Budget & Finance Division • Mr. Vijay Kapoor, Officer-in-Charge, MOU & Claims Management Section, Field Budget & Finance Division • Mr. Seth Adza, Operations Review Officer, Audit Focal Point, Office of the Under-Secretary-General • Mr. Andrei Zykov, Administrative Officer, Board of Inquiry, Office of the Under-Secretary-General
Human Resource Management	• Mr. Paul Johnson, Officer-in-Charge, Field Personnel Operations Service, Field Personnel Division • Ms. Mary Dellar, Acting Chief, Guidance and Organizational Design Section, Field Personnel

Focus Area	Name and Functional Title
	Division • Ms. Margarete Sobral-Kiefl, Chief, Recruitment, Outreach and Career Development Section, Field Personnel Division • Mr. Chaste Abimana, Chief, Quality Assurance and Information Management Section, Field Personnel Division • Ms. Catherine Rolland, Chief, Recruitment and Outreach Unit, Field Personnel Division • Ms. Ariel Morvan, Chief, Senior Leadership Appointments Section, Office of the Under-Secretary-General • Ms. Marie-Anne Martin, Acting Chief, Conduct & Discipline Unit, Office of the Under-Secretary-General • Mr. Brian Conroy, Officer, Quality Assurance Unit, Field Personnel Division • Ms. Hala Hasan, Associate Training Officer, SMART Resource Team
Procurement and Contract Administration Logistics Management Property and Facilities Management Safety and Security	• Mr. Maxwell Kerley, Acting Director, Logistics Support Division • Mr. Xavier Devaulx de Chambord, Acting Chief, Operational Support Service, Logistics Support Division • Mr. Girish Sinha, Chief, Transportation & Movement Service, Logistics Support Division • Mr. Maqbool Mohammad, Acting Chief, Logistics Operation Section, Operational Support Service, Logistics Support Division • Mr. Rakesh Malik, Chief, Surface Transport Section, Transportation & Movement Service, Logistics Support Division • Mr. James Smith, Chief, Movement Control Section, Transportation & Movement Service, Logistics Support Division • Mr. Jolly Abu, Medical Officer, Medical Support Section, Specialist Support Service, Logistics Support Division • Mr. Russ Doran, Officer-in-Charge, Engineering Section, Specialist Support Service, Logistics Support Division • Mr. Kyoung-Soo Eom, Chief, Cartographic Section, Specialist Support Service, Logistics Support Division

SUMMARY OF RISK RATINGS

The risk assessment identified the following areas as Higher, Moderate and Lower Risk. A summary of the identified risks is shown below. Full details of the identified risks are listed in the attached risk register.

The overall risks have been rated as "higher risk", "moderate risk", or "lower risk" based on OIOS' assessment of the likelihood and impact of the occurrence of events or actions that might adversely affect the Organization's ability to successfully achieve its objectives and execute its strategies, after taking into account the representations made by programme managers concerning actions they have taken to prevent or mitigate the identified risks.

Table 2: Summary of identified risks

Focus Area	Overall Risk
i. Strategic Management and Governance ii. Human Resource Management iii. Procurement and Contract Administration iv. Logistics Management v. Information Technology Management vi. Safety and Security	**Higher Risk**
vii. Financial Management viii. Property and Facilities Management	**Moderate Risk**

Risk Assessment of : Department of Field Support

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Peacekeeping mandates**			Possible	High	Higher Risk
	A(i) The Security Council may decide to deploy missions to places where the minimum conditions essential for a peacekeeping operation to succeed are not present. This situation may result in the Organization's failure to achieve mandates, decrease staff morale, and increase reputation risk to the Organization. A(ii) High expectations for peacekeeping operations by Member States, media and other stakeholders without fully considering a number of external constraints facing the Department of Field Support (DFS) may create disappointment and reputation risk when these expectations are not achieved.	The Results Based Budgeting (RBB) mechanism attempts to address this issue by linking mandates and resources. The RBB framework attempts to alert the Member States of what can be reasonably achieved and the external factors that could impact the likelihood of their achievement. Furthermore, the strategic assessment, which precedes the Integrated Mission Planning Process (IMPP), mitigates this risk by reporting the findings of the assessment to the Secretary-General's Policy Committee and the Security Council. DFS budget documents and the DFS Under-Secretary-General (USG) Compact with the Secretary-General specify these constraints and external factors.	Strategy	Possible	High	Higher Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
II	**Mission start-up planning**			Likely	High	Higher Risk
	A(i) Security Council resolutions finalized prior to Member States' pledges to provide the necessary troops and resources (non-implementation of a recommendation from the Brahimi report) may result in difficulties in fully implementing mandates of an ambitious and broad nature.		Strategy	Likely	High	Higher Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	B(i) Inadequate and untimely communication between the Department of Political Affairs (DPA) and DFS concerning plans to launch new political missions may result in inadequate preparedness and mission start-up. B(ii) Lack of systematic risk analysis before launching new missions may lead to inappropriate mission start-up plans. B(iii) Unsigned concepts of operations for new missions may diffuse accountability at all levels of decision making. B(iv) Total troop strength authorized by the Security Council may be too ambitious, as it may not take into consideration committed Troop Contributing Countries (TCC) capability, resulting in insufficient troop strength to achieve the mandates.	DFS engages in constant communication and coordination efforts with DPA. DFS conducted a comprehensive risk analysis for the United Nations African Union Mission in Darfur (UNAMID). The IMPP is established as the basis for planning of all new integrated missions, and existing integrated missions plans have been leveraged, for all UN departments, offices, agencies, funds and programmes.	Governance	Likely	High	Higher Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) Inadequate capacity to plan start-up missions may lead to delays or improper mission set-up.	Start-up strategy includes support mechanisms in areas of HR (staffing), finance/funding (e.g. pre-commitment authority), and logistics.	Operational	Likely	High	Higher Risk
	E(ii) Planning for new missions may be based on many unclear or frequently changing assumptions or on unrealistic goals, resulting in inappropriate strategic/operational plans and failure to acquire and deploy right capacities at the right time.	LSD/DFS constantly monitors the changing parameters and incorporates them into its planning.				
	E(iii) Inability to launch a comprehensive planning process for new missions until the Security Council resolutions, may not provide DFS with sufficient time to prepare for the launch of new missions.	Some limited informal planning begins when there is possibility of new missions. The Logistics Support Division also utilizes prior experience as much as possible to cope with short turn-around time imposed. Informal contact with Security Council Members may help to anticipate the start up phase of Missions.				
	E(iv) UN's capacity to deploy and maintain peacekeeping operations may be inadequate, resulting in staffing, logistical and administrative difficulties/constraints in deploying missions and in ineffective operations.	DFS budget documents and the DFS USG Compact with the Secretary-General specify these constraints and external factors.				

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Missions may be launched without proper assessments for resources resulting in insufficient number of staff and experienced leadership and managerial staff on board, which may hamper missions' ability to fulfil mandates.	DFS proposed the establishment of 2,500 civilian career peacekeepers who would be subject to rapid deployment to the General Assembly. DFS deploys RBB and Abacus teams to support start-up missions. DFS has put in place a Programme for an Advanced Compendium of Trainees (PACT) to overcome the high level of vacancies. Thus far a number of procurement, budget and human resources management staff have been utilised to address key vacancies. Use of Temporary Duty Assignments (TDY) deploying staff of other missions. Higher delegation of authority to the field. Effort to streamline Human Resource (HR) management processes. Other Field Personnel Division's internal initiatives and efforts. Streamlining of contracts, if approved by the General Assembly, which would remove limitation of service of a staff member to a specific mission and would allow DFS to move staff laterally from one mission to another without advertisement of a post. Harmonization of conditions of service in	Human Resources	Likely	High	Higher Risk
		the field to attract, recruit and retain staff for service in hardship locations. Adequate security and welfare arrangements.				

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	**Strategic management and performance monitoring**			Likely	Medium	Higher Risk
	A(i) Inadequate long-term strategic planning and monitoring may result in less effective strategic management and governance and crisis-driven constant "fire-fighting" management mode.	The Department of Peacekeeping Operations (DPKO)/DFS has launched the 2010 initiative to address needs to strengthen peacekeeping doctrine, guidance (standard operating procedures (SOPs) and policy directives) and other strategic management issues. Also, the Policy, Evaluation and Training Division/DPKO has been created.	Strategy	Likely	Medium	Higher Risk
	A(ii) Failure to set a strategic direction for DFS may result in failure to fulfil DFS responsibilities as inadequate implementation of results-oriented performance management framework including setting simple and quantifiable performance benchmarks may occur.	RBB performance indicator in place.				
	A(iii) Prevailing treatment of peacekeeping as a temporary intervention by the Member States (i.e. renewal of mandates every six months) may result in a lack of attention on long-term strategic planning.					

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	B(i) Key performance indicators specified in the DFS USG Compact with the Secretary-General may be unrealistic (e.g. vacancy rate under 5 per cent for DFS Headquarter (HQ) staff), resulting in their impracticality to serve as a meaningful performance target resulting in reputation and credibility risks for DFS. B(ii) Lack of incentive system for good performance may result in low productivity and uneven commitment by staff to be service- and results-oriented.	Human Resources Action Plans have been implemented in the field effective 1 July 2008 with realistic field-specific performance indicators that differ from those pertaining to Headquarters.	Governance	Likely	Medium	Higher Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	D(i) Current funding mechanism that does not allow capacity building until a mission is established may result in a lack of attention on long-term strategic planning.	DFS continues to request resources to plan, prepare and manage future operations in the Support Account.	Financial	Likely	Medium	Higher Risk
	F(i) Lack of attention in people management and team building skills may result a culture of working in "silos", without sufficient communication and cooperation, resulting in ineffective and inefficient organizational performance.	Establishment of Integrated Operational Teams (IOTs) and the existence of combined working groups and focal points within DPKO/DFS are mitigating measures for this risk.	Human Resources	Likely	Medium	Higher Risk
	G(i) Lack of reliable data/information on DFS and mission operations may result in inadequate IT capability in supporting sound business decisions.	A system-wide project to implement Enterprise resource planning (ERP) system has recently started. However, the ERP system will not be fully implemented until 2013. DFS will implement a talent management system effective January 2009. Furthermore, DPKO/DFS are launching a business process improvement exercise in this area, which will focus on improving and streamlining the recruitment processes.	Information Resources	Likely	Medium	Higher Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV	**Organisational Structure**			Possible	High	Higher Risk
	B(i) Unclear roles and responsibilities of DFS as a support entity after split from DPKO may not have been clearly established, resulting in confusion of Member States, staff and other stakeholders. B(ii) The level of DPKO/DFS integration may not be maintained or the new organizational structure and reporting relationships may not be effective, resulting in ineffective/inefficient operations and unclear accountability (e.g., challenges relating to chain of command and coordination, complicating the management of peacekeeping operations). B(iii) Lack of clarity on roles and responsibilities of the Integrated Operational Team (IOT) may result in inefficiency and ineffectiveness of IOT, ultimately hampering DPKO/DFS integration. B(iv) Inadequate delegation of certain authorities to field missions may result in perpetual reliance by missions on HQ resources and weak management capacity in the field.	DFS communicates with Member States, staff and other stakeholders for rationale, expected benefits and vision of recent establishment of DFS as much as possible. To ensure unity of command, direction and response events affecting peacekeeping operations, DPKO and DFS have put in place various joint management forums such as the Senior Management Team, the Expanded Senior Management Team and Directors' meetings. In addition, DFS USG reports to DPKO USG. IOT terms of reference are in draft. Recruitment for IOT staff is in progress. DFS meets with IOTs each week to discuss roles, responsibilities and expectations. Delegation of authority from the Controller to DFS has been recently reviewed for better clarification. DFS has launched the SMART (Senior Mission Administration and Resource Training) programme to address need for management capacity development.	Governance	Possible	High	Higher Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	B(v) Inadequate coordination between DPKO/DFS and DPA supporting special political missions may result in inefficiencies and ineffectiveness in support of peacekeeping and special political missions, respectively.	DFS engages in constant communication and coordination effort with DPA, Department of Management (DM) and Department of Safety and Security (DSS). Written agreement with DPA that clarifies logistical and administrative services provided by DFS and defines roles and responsibilities.				
	B(vi) Inadequate coordination with DM may result in inefficiencies, redundancies and ineffectiveness in administrative functions such as HR management, procurement, budgeting, finance, etc.	Priority is being given to clarifying the expanded delegations of human resources management authorities granted to DFS effective September 2007. The Office of Human Resources Management (OHRM)/DM and DFS have established a working group to discuss related roles, responsibilities and expectations.				
	B(vii) Inadequate coordination with DSS may undermine safety and security preparedness in the field, exposing mission personnel to safety risk.	Ongoing coordination with DSS.				
	B(viii) Inadequate coordination with the United Nations Development Programme (UNDP), the World Food Programme (WFP) and other UN agencies in the field may result in inefficiencies and waste of financial resources.	One-UN strategy, as well as the IMPP process, are in place.				
	B(ix) Proposals for addition or change of internal DFS structure may not be approved by Member States, resulting in difficulty to address changing business priorities.					

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	B(x) Unclear portfolio of responsibilities assigned to senior managers may result in delays in taking critical decisions as well as unclear accountability and lack of management oversight.	DFS/DPKO Senior Management Team meet frequently to ensure timely executive decisions.				
	E(i) An ineffective IOT as a "one-stop" communication channel for missions may cause confusion and difficulty for missions in seeking HQ guidance and assistance in fulfilling their mandates.	IOT terms of reference are being developed. DFS meets weekly with IOTs to discuss related roles, responsibilities and expectations.	Operational	Possible	High	Higher Risk
	F(i) Current high turn-over of senior managers in DFS may result in delays in taking critical decisions as well as unclear accountability and lack of management oversight. F(ii) The prolonged occupation of middle management positions by Officer-in-Charges (OICs) may negatively impact the decision-making process and long-term strategy-setting.	Senior Appointments Panel and Succession Planning Panel are in place to address this issue.	Human Resources	Possible	High	Higher Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
V	**Policies and procedures**			Possible	Medium	**Moderate Risk**
	B(i) Lack of DFS guidance on standard policy, processes and procedures (SOPs, manuals etc), coupled with a high number of inexperienced staff, may result in inconsistency, low quality or unprofessional performance of tasks, and non-compliance.	DFS holds training and guidance sessions for its new staff members and annual conferences for chiefs of section in such areas as human resources management, finance, procurement and budget.	Governance	Possible	Medium	**Moderate Risk**
	E(i) Stringent and complex UN regulations and rules on procurement, human resources, finance, etc. that are geared more for stable, regular operations (e.g., Offices away from Headquarters (OAHs), UNHQ) may not be suitable to the dynamic environments in which peacekeeping missions operate. This situation could result in inefficient operations, delayed deployment of missions, untimely response time to crises, and/or hinder effective support to and functioning of peacekeeping operations.	DFS has launched a number of department-wide projects to promulgate and/or update policy directives, SOPs and manuals.	Operational	Possible	Medium	**Moderate Risk**
	E(ii) Promulgation of manuals and SOPs may lack inter-office collaboration/verification, which may cause inadequate coverage for cross-cutting processes and issues.	DPKO/DFS has launched a standard procedure for promulgating and updating policy directives, SOPs and manuals, including the process for carrying out peer reviews of these documents.				

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
VI	**External oversight**			Remote	Medium	Lower Risk
	B(i) Governing bodies may request the same audits from three oversight bodies, Board of Auditors (BOA), Joint Inspection Unit (JIU) and Office of Internal Oversight Services (OIOS), leading to duplication in oversight coverage and excessive DFS staff time diverted assisting auditors and responding to them and their reports. B(ii) Excessive regulation of DFS activities by the governing bodies and over-emphasis on adherence to regulations and rules may result in a culture of risk aversion and inaction, which may hinder the spirit of innovation/initiative necessary to improve processes/operations.	BOA, JIU and Internal Audit Division (IAD) have a coordination mechanism in place.	Governance	Remote	Medium	Lower Risk

Risk Assessment of : Department of Field Support

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Budget performance & financial reporting**			Possible	Medium	**Moderate Risk**
	D(i) Low budget performance causing underutilization and cancellation of unobligated funds may undermine credibility of mission budgets and may result in Member States' reluctance to approve budgets requested. D(ii) Inadequate financial accounting standards may cause failure for current financial reporting to meet professional standards, resulting in a reputation risk.	International Public Sector Accounting Standards (IPSAS) implementation has started.	Financial	Possible	Medium	**Moderate Risk**
	G(i) Lack of integrated information system and interfaced database may cause errors and difficulty in summarizing and analyzing data.	The ERP project has recently started.	Information Resources	Likely	Medium	**Higher Risk**

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
II	**Budgeting process**			Likely	Medium	Higher Risk
	B(i) Inflexible budget mechanism may provide financial difficulty in and/or may not allow pooling of the budgets beyond mission boundary and one budget cycle, resulting in the inability of DFS to promulgate long-term global support strategy.	The Secretariat has mechanisms to raise additional funding to support the operations of missions, particularly during a phase of major expansion of a mission or when significant cost overruns are noted. The current system provides for long-term planning for multi-year projects, which are funded on an annual basis.	Governance	Likely	Medium	Higher Risk
	B(ii) Unclear delineation of roles and responsibilities between DFS Field Budget and Finance Division (FBFD) and the Controller/Office of Programme Planning, Budget and Accounts (OPPBA) may result in duplication of efforts, delays and other inefficiencies on the budgeting and financial reporting processes.	A clear distinction of roles was made between OPPBA and FBFD. FBFD has a clear mandate to support field missions and their lead departments (DPKO and DPA) in developing funding proposals, addressing emerging resourcing requirements, and preparing performance reports for the Controller's review prior to their submission to the legislative bodies.				
	B(iii) Late submission of mission budgets may result in limited review and deliberation by the Controller/OPPBA.	FBFD has recently implemented a number of initiatives to improve the submission timelines and quality of its budget proposals to the Controller. The Division deploys Abacus teams to assist missions in the development of their budget proposals. According to DFS, FBFD continues to work closely with OPPBA to further improve the budget process.				
	B(iv) Lack of timely coordination between a number of offices involved in budget process may cause delay in submission of mission budgets to the General Assembly, resulting in limited review and deliberation by the Controller/OPPBA and reputation risk to the Organization.	FBFD constantly reminds and coordinates budget centers of DFS, missions and other departments to cor				

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	D(i) Rigid and lengthy budget process (i.e. 6 months from submission of proposal by mission to DFS to the Controller to Advisory Committee on Administrative & Budgetary Questions (ACABQ) to Member States) may result in the approved final budgets failing to reflect significant subsequent changes in operational needs e.g. additional resource requirements emerging during the budget preparation and approval process (including new Security Council requirements), resulting in difficulties in supporting dynamic peace operations. D(ii) Delays in the submission and approval of new missions' budgets may result in the unavailability of funds during the critical start-up period, seriously undermining DFS' abilities to support mission operations. D(iii) DPA's inadequate staffing and management capacity in administrating field Special Political Missions (SPM) may result in inaccurate budget estimates, hampering SPM operations.	Up to $50 million, as the pre-mandate commitment authority, can be made available prior to formal approval of the start-up mission budgets by the Member States. Funding implications are one of the major issues being considered by DFS/DPKO to improve the planning guidance for new peacekeeping missions. FBFD/DFS works closely with DPA to ensure adequate flow of key information.	Financial	Likely	Medium	Higher Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) Current budget process may be cumbersome and inefficient, resulting in excessive administrative effort and turn-around time in budget preparation. E(ii) Requirement to submit detailed cost estimates before reasonably sufficient planning (to meet the 30-day deadline from the date of mandates issued by the Security Council), fluctuating planning assumptions due to dynamic environment and lack of knowledgeable staff may cause start-up mission budgets to lack accuracy and quality. This may result in inadequate mission set-up, unrealistic expectation from stakeholders, and credibility issue upon deviation.	Proper use of standard costing, i.e. Information Technology (IT) budget cost per person. Designation of focal point to coordinate with missions and FBFD. DFS utilizes prior experience. DFS and missions revise mission budgets as more information becomes available in the next annual cycle. Some limited informal planning begins when there is a possibility of new missions. The DFS USG Compact with the Secretary-General specifies these constraints and external factors.	Operational	Possible	High	Higher Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	**Reimbursement of COE and other claims**			Possible	Medium	Moderate Risk
	B(i) There are two sections within DFS that deal with COE matters: MOUs & Claims Management Section (MCMS) within FBFD and Contingent Owned Equipment & Property Management Support Section (COE & PMSS) within LSD. Lack of a single office dedicated to Contingent Owned Equipment (COE) matters may lead to inconsistent, inefficient and untimely handling of COE matters and use of resources.	There is close coordination between the two sections and decisions are taken in consultation and collaboration with each other. However, promulgation of governing policy and principles is up to Member States.	Governance	Possible	Medium	Moderate Risk
	D(i) The COE payment policy based on deployed quantity rather than the quality and actual usage of COE by the mission may lead to suboptimal use of financial resources.	TCCs are reimbursed based on the signed MOU and the confirmation received from the missions that COE deployed is maintained in a serviceable condition. According to DFS, there are no 'financial losses' as reimbursements are made in accordance with established COE policy.	Financial	Possible	Medium	Moderate Risk
	D(ii) Delays in finalizing memorandum of understanding (MOUs) may result in uncertainty on the reimbursement amount and/or delays in reimbursements to TCCs.	Most Permanent Representatives are now given the delegation of authority to sign MOUs, which would help expedite the finalization of MOUs.				

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) The COE policy/manual may be interpreted differently, resulting in inconsistencies and/or errors in the processing of reimbursements.	MCMS maintains SOPs which are followed when processing claims. The claims are subjected to a peer review process and are further reviewed by FBFD and LSD.	Operational	Possible	Medium	Moderate Risk
	E(ii) Verification for COE equipment in missions may be inadequate, resulting in unreliable information and incorrect and/or delayed processing of reimbursements by DFS to TCCs. This situation could result in complaints by Member States.	Missions COE units are deployed to verify arrival and condition of COEs. However, some missions lack adequate or appropriately skilled staff. All relevant missions have been provided with the necessary tools to facilitate the processing of verification reports, and missions now send verification reports to DFS electronically.				
	E(iii) Claims presented for reimbursement after the mission's closure may cause difficulties in substantiating and paying them.	FBFD has initiated the batch processing methodology, which has significantly reduced backlog. Expenditure in respect of valid TCC claims submitted after closure of a mission is either charged to the liquidation budget or fund balance. GA has established a 5-year filing limit.				
	E(iv) Delays in the Board of Inquiry (BOI) deliberations on death and disability cases may result in delayed processing of related claims.	The policy guidance and SOP on the conduct of BOI have been approved by DPKO/DFS management and circulated to all peacekeeping missions.				

Risk Assessment of : Department of Field Support

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Recruitment**			Likely	High	Higher Risk
	E(i) Stringent and complex UN regulations and rules on recruitment, such as the rule for 300 series non-career/limited to a specific mission appointments, may result in excessive turn-around time for recruitment and placement of staff and added administrative burden.	HR reform proposals are under the General Assembly consideration to change the General Assembly resolutions that currently require mission staff to be recruited on 300 series non-career appointments that are limited to service with a specific mission, by establishing 2,500 civilian career peacekeepers on continuing contracts who would be centrally managed by DFS and provided with professional and career development opportunities, including job assignments, to grow future leaders, managers and technical specialists for peacekeeping operations.	Operational	Likely	High	Higher Risk
	E(ii) Lengthy designation process exercised by DM for fiduciary positions may delay the recruitment process, cause duplication of effort between DFS and DM and adversely affect mission operations.	Working arrangements are made with DM/OHRM to expedite the establishment of the working group to explore the development of a certification process that will replace the existing designation process. DFS and OHRM serve on the SMART Advisory Committee to address issues of designation and certification of senior mission staff. Committee members include a senior OHRM official as well as Directors of FBFD, LSD and Field Personnel Division (FPD). Dialogue is also ongoing with OHRM at the working level to ensure SMART module content is linked to current designation and certification requirements.				

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(iii) Difficulties in recruiting qualified staff and slow recruitment and placement of staff in missions may result in missions' inability to handle the heavy workload during start-up/surge period and to achieve mandates. This may negatively affect the responsiveness to emerging situations on the ground, overstretching HQ staff resources to fill the gap.	The Deputy Secretary-General is leading HR task force in this regard to address this risk. DFS is also employing a number of measures to address this risk, such as a HR action plan and dispatching Tiger Teams. Recent upgrading of FPD from Service level to Division. The General Assembly is currently considering the Secretary General's human resources reform proposals to eliminate 300 series contract and harmonize conditions of service for staff in the field with those of the UN agencies, funds and programmes. DPKO/DFS is launching a business process improvement exercise which will focus on improving the recruitment process and shortening time-line for recruitment.				

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(iv) Current outreach activities for recruitment may not be proactive and robust enough, resulting in the inability to identify and attract sufficient number of suitable candidates.	To enhance outreach activities for recruitment, FPD/DFS recently reconfigured itself and created the Recruitment, Outreach and Career Development Program Section. In addition to posting vacancy announcements (VAs) in the Galaxy, DFS posts the same VAs and/or calls for applicants in approximately 35 targeted websites weekly. Interested candidates are requested to apply for vacant peacekeeping posts through the Galaxy. The link to the Galaxy is an integral part of the advertisement process. These targeted websites have been identified through Internet data mining, and their use, as a potential source of candidates, is determined in consultation with the various substantive offices, field missions and Member States. This measure is an initiative to address acute needs in critical occupational groups and its expansion would be subject to availability of resources.				

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(v) Candidates recommended by FPD may be rejected by programme managers asking unrealistic recruitment criteria for candidates (e.g. multiple competencies), resulting in delay and/or difficulty in filling posts. E(vi) Untimely clearance of technical qualifications for candidates by the programme managers at field missions and other departments (DPKO, DSS, DPA, Office for the Coordination of Humanitarian Affairs (OCHA) etc), due to their lack of awareness on shared responsibility in HR management, may cause operational delay.	Continuous training and effort to raise awareness of the missions. Written agreement with DPA that clarifies logistical and administrative services provided by DFS and clarifies roles and responsibilities is in place. SOPs on recruitment, selection, on boarding, staffing table and post management have been promulgated and are now available for other departments.				
	F(i) The level of authority delegated by DM to DFS on certain human resources activities may be inadequate, resulting in inefficiencies and delays in recruiting staff and managing HR.	DM has recently delegated higher authority in HR management, e.g. post classification, movement to the higher level of 100 series staff.	Human Resources	Likely	High	Higher Risk

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
II	**Staff retention**			Likely	High	Higher Risk
	F(i) Shortage of experienced staff (with 60 percent of mission staff having less than 2 years experience) and high staff turn-over (30 percent) in the field may undermine mission's ability to properly perform duties and result in the overstretching of HQ staff resources to fill the gap. F(ii) Unfavourable compensation and conditions of service for staff employed in peacekeeping, compared with those working in other UN agencies, may result in DFS losing staff to other UN agencies.	The Secretary General's reform initiatives include efforts to harmonize conditions of service and streamline contractual arrangements, thereby eliminating the 300 series contract. Training programmes (induction courses, Brindisi sessions, SMART programme etc) will contribute to retention of experienced field staff. PACT, etc. for new staff.	Human Resources	Likely	High	Higher Risk

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	**HR administration**			Possible	High	Higher Risk
	A(i) Field Personnel Division (FPD)'s activities leaning more heavily on addressing day-to-day requirements as opposed to strategic matters may result in ineffective HR strategic management and governance.	Restructuring of FPD that provides for a Field Specialist Services Section focused on the strategic and foundational elements to support HR operations.	Strategy	Possible	High	Higher Risk
	B(i) Belated decision, indecision and/or piecemeal support by the Member States on HR reform measures may result in inability to address long-standing HR issues.	The General Assembly is in the process of reviewing the SG's HR reform proposal.	Governance	Likely	High	Higher Risk
	C(i) Processing recruitment, promotion and entitlements may lack consistency and transparency, resulting in irregularities and perception of unfairness.	UN regulations and rules and OHRM mandated guidelines are strictly enforced.	Compliance	Possible	Medium	Moderate Risk
	E(i) Complex HR rules and procedures on entitlements may lead to difficulties in administering entitlements, especially due to multiple contract types/conditions of service, resulting in error, overpayment and excessive administrative workload.	HR reforms that streamline contracts and thereby limit the array of different entitlements to be administered are under review; change of staff rules; new ERP system.	Operational	Likely	Medium	Higher Risk

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Inadequate experience and training of FPD staff as well as staff in the civilian personnel section of field missions may result in the improper performance of HR functions. F(ii) The rise of short-term contracts in many DFS and mission appointments may be cumbersome to administer and may lead to low staff morale and productivity due to the insecure nature of short-term appointments. F(iii) Recruitments based on start-up mission budget and the Pre-Mandate Commitment Authority (PMCA) staffing budgets may cause FPD to downgrade post/grade/level of staff members recruited upon finalization of annual budget, resulting in low morale of the staff affected, credibility of HR function undermined and excessive workload.	Availability of the HR handbook and SOPs. FPD is planning to mobilize resources to develop a comprehensive training programme for Human Resources Officers in the field and in FPD to supplement recent initiatives such as the Hybrid Training Programme for Human Resources Officers and Assistants in FPD, the SMART people module, as well as the PACT programme for external HR candidates. A plan to address multiple conditions of service has been submitted to the Member States for consideration. To the extent possible, DFS keeps staff members informed about the future of their contracts.	Human Resources	Possible	High	Higher Risk

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV	**HR information systems**			Possible	High	Higher Risk
	G(i) Current IT tools used in HR management (e.g. filtering function of Galaxy, screening, etc.) may not adequately address current needs, resulting in excessive manual workload, inefficiency and ineffectiveness of using IT resources.	New talent management system will enable electronic screening of candidates. A reference-checking unit was established in United Nations Logistics Base (UNLB) to expedite the recruitment process. Generic vacancy announcements are being revised to simplify language and to be targeted towards attracting external candidates.	Information Resources	Possible	High	Higher Risk
	G(ii) Unreliability of HR data, due to poor recording and maintenance of HR data, may result in errors and overpayment of salaries or entitlements.	DFS constantly reviews data submitted by the field missions and provides guidelines and assistance for field HR officers.				
	G(iii) Lack of standard staffing table module in Integrated Management Information System (IMIS) may hamper the generation of reports for information and decision-making purposes.	Staffing table is generated by the Nucleus system.				

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
V	**Senior Mission Administration and Resource Training (SMART) Programme**			Possible	Medium	**Moderate Risk**
	B(i) Lack of support for the SMART programme within DFS may undermine its continuity, resulting that the need to strengthen management capacity may not be addressed.	The SMART programme is strongly supported by DFS senior management. The SMART Advisory Committee, comprised of DFS senior managers in the areas of personnel, procurement, logistics, and finance as well as the Directors of Mission Support/Chiefs of Mission Support, ensures a solid level of management, oversight and ownership of the programme. The pilot efforts to date have been strongly praised by participants, thus, building internal support and a growing demand for the rollout of the programme to missions. The pilot SMART programme has already been launched with the completion of two modules - the Foundational and People Modules.	Governance	Possible	High	**Higher Risk**

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	D(i) Lack of stable funding, especially for staffing of the SMART programme, may hamper the successful implementation and threaten continuity of the SMART programme, resulting in the need to strengthen management capacity.	Multi-year Member State contributions have been received and other donors are considering additional support. As an interim measure prior to a robust roll-out of the programme in 2009, two general temporary assistance posts (P4 and P3 levels) for the duration of 12 months were approved by the General Assembly for 2008/2009 financial period. Voluntary contributions and the Support Account for peacekeeping operations will fund other staff of the SMART Team. The SMART Team will continue to rely on existing mission staff, end of mission reports and emerging policy documents to update the materials of the programme.	Financial	Possible	Medium	**Moderate Risk**
	E(i) Shortage of experienced and trained field managers and staff may result in weak management capacity in missions, leading to the improper performance of tasks and continued over-reliance on HQ. E(ii) DM may not fully subscribe to DFS's SMART programme, resulting in the inability to reduce the turn-around time for DM to approve the appointment of staff to fiduciary posts.	DFS has created the SMART programme to address systemic management deficiencies in the areas of finance, procurement, personnel and contracts management. The pilot of this project is to be completed by December 2008, with two e-learning modules completed and reinforcing workshops already organized. Dialogue is ongoing at the senior and working levels within the Secretariat to ensure that the SMART module content is linked to current designation and certification requirements. The Director of Procurement Division and senior management of OHRM are members of the SMART Advisory Committee.	Operational	Possible	High	**Higher Risk**

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Leadership managerial field positions may be filled by personnel who do not have suitable qualifications or are not adequately trained, resulting in the improper management of staff and operations.	SMART will train staff at the section chief level and above to a pre-subscribed level of competencies in administrative support functions, which will facilitate the certification of staff to perform managerial and fiduciary responsibilities. Ongoing dialogue with the Department of Management will ensure that course content mirrors certification and/or designation criteria. Recent DFS restructuring created the Senior Leadership Appointments Section. Senior Mission Leaders Course. Senior Leadership Induction Programme.	Human Resources	Possible	High	Higher Risk
	G(i) Communications and IT capacity in the field may not be adequate, resulting in inability to support and sustain the on-line learning aspect of the SMART programme.	All SMART modules were developed to interface with mission information and communication technology (ICT) infrastructures and are user friendly. OHRM's development of a UN system-wide Learning Management System (LMS) would largely enhance DFS' ability to manage and monitor learners' progress. The LMS is expected to be operational in January 2009.	Information Resources	Remote	Medium	Lower Risk

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
VI	Training and career development programme			Possible	High	Higher Risk
	D(i) Member States may under-estimate training needs, leading to insufficient funding for training.		Financial	Possible	High	Higher Risk
	F(i) Lack of or inadequate training, coupled with a high number of inexperienced staff including the national staff, may result in the improper discharge of duties and poor quality performance. F(ii) Inadequate career development programme and opportunities may result in low motivation for staff, inabilities to retain high performance staff and unsuccessful DFS's professionalization effort.	DPKO/DFS provides some training programs at HQ, UNLB and missions. DPKO/DFS Integrated Training Service is in place. Ongoing career development effort by DFS through succession planning.	Human Resources	Likely	High	Higher Risk

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
VII	**Administration of Justice and other staff management issues**			Possible	Medium	**Moderate Risk**
	B(i) Delays in processes related to the administration of justice may result in a perception of inadequate due process, transparency and accountability, contributing to reputational risk. B(ii) Inadequate staff-management dialogue on staff issues, including relationship with Staff Union, may result in complaints from the Staff Union and adversely affect the Organization's reputation.	Some missions will have the Ombudsman deployed, which tends to result in quicker action. Proposal to the 5th Committee to grant Special Representatives of the Secretary General (SRSGs) for certain degree of discipline authority has been submitted. Established mechanisms for staff-management negotiations includes: the Joint Negotiation Committee for the Field, DFS Working Group on National Staff Issues, DPKO/DFS Working Group on People and Staff-Management Coordination Committee.	Governance	Possible	Medium	**Moderate Risk**
	F(i) Inadequate resources for staff welfare may result in low staff morale and productivity and may adversely affect mission misconduct prevention programmes.	DFS strongly encourages, and field missions employ, various staff welfare programs.	Human Resources	Possible	Medium	**Moderate Risk**

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
VIII	**Conduct and discipline**			Likely	High	Higher Risk
	B(i) Conduct and discipline issues, especially Sexual Exploitation and Abuse (SEA) if not addressed, may cause serious damage to the Organization's reputation, which could also result in strained relations with host governments and inability to achieve mandates.	"Zero tolerance" policy in place. Conduct and Discipline Units are established in DFS HQ and most field missions.	Governance	Likely	High	Higher Risk
	B(ii) The media's handling of misconduct cases may negatively affect public opinion of the missions, which could cause serious damage to the Organization's reputation.	Public information officers are deployed to most missions.				
	B(iii) False allegations, while not legitimate, may negatively affect public opinion of the missions, which could cause serious damage to the Organization's reputation.	Training and briefings are organized at local communities in the field.				
	B(iv) Unclear delineation of roles and responsibilities and/or lack of effective coordination among various entities dealing with conduct and discipline matters (CDU, BOI, Ombudsman, Panel of Grievance and Discrimination, OHRM, Administration of Justice, etc.) may result in (a) the under-reporting of allegations and (b) the ineffective and untimely handling of allegations.	Model CDU terms of reference are in place, which indicates the central role of CDU concerning misconduct cases.				

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	B(v) Unclear policy/guidelines on mission CDUs concerning their reporting line may result in the mission CDU's reporting to the Chief of Mission Support/DMS instead of reporting directly to the SRSG, whereby misconduct cases may not be addressed promptly and adequately by the most senior mission officials. B(vi) (a) Lack of mission BOI capacity and/or (b) lack of or outdated policy for the convening of BOIs may result in them not being convened properly and timely, resulting in failure to address accountabilities.	CDU/HQ reminds Head of Missions through official communications periodically. A new Policy Directive with Standard Operating Procedures on the BOI, that replaces the existing Chapter 16 of the Draft Field Administrative Manual, has been issued recently. The new SOP provides clear guidance on when BOIs must be convened, limiting considerably the range of occurrences subject to this type of inquiry. This will permit Missions to focus their resources and expedite convening of BOIs when required. Recent policy change granted an authority for Local Property Survey Board (LPSB) to process the cases with the value up to $25,000, relieving the burden on BOI.				
	C(i) Rights bestowed to TCCs to opt to conduct their own investigations without UN involvement may result in inaction or biased investigations and/or decisions.		Compliance	Likely	High	Higher Risk

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) Differing cultures, laws and commitment of TCCs, coupled with difficult field environment, may result in: (a) the under-reporting of allegations; (b) misconduct going undetected and perpetrators going unpunished; (c) the Conduct and Discipline Unit (CDU's) inability to effectively track and address allegations of misconduct, eventually leading to a reputational risk. E(ii) Unclear policy/guidelines on CDUs may result in inadequate procedures at the HQ level (between DPKO, DFS and IOTs), whereby misconduct cases may not be addressed promptly and adequately by HQ. E(iii) Delays between when an allegation is reported and when investigation starts, and lack of understanding by victims to preserve evidence may lead to deterioration of evidence or loss of witnesses. This may undermine due process and result in difficulties substantiating allegations. E(iv) Lack of standard policy/guidelines for mission CDUs in handling misconduct cases across missions may lead to inconsistencies, resulting in questions of fairness in addressing misconducts.	MOUs between TCCs and UN for conduct and discipline matters are in place. UN policy applicable to all missions is in place. Model CDU terms of reference is in place.	Operational	Likely	High	Higher Risk
	E(v) Lack of resources to implement the Victim Assistance Policy could damage the reputation of the UN.					

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Prevention policy and/or programmes, e.g., training and awareness programmes, may be inadequate, resulting in ineffective preventive measures. F(ii) Lack of a vetting mechanism may result in staff from other Organizations/missions with a history of misconduct being recruited again, increasing misconduct and reputation risks. The same risk applies to troops and police.	Prevention program is a requirement for UN SEA policy. In addition, the terms of reference (ToR) of mission CDUs specifies their duties in advising Head of Mission (HOM) concerning prevention policy and measures of the missions. Training on SEA and other misconduct is in place in most missions. A working group comprising of staff from DFS and OHRM is currently reviewing a draft vetting policy that would provide guidelines on recruitments/selections of staff/former staff members currently subject to investigations or who have been subject to disciplinary proceedings.	Human Resources	Possible	High	Higher Risk

3	Focus Area:	Human Resource Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IX	**Medical operation**			Possible	High	Higher Risk
	E(i) Lack of medical strategy and/or contingency plan for new emerging diseases and/or medical outbreaks may result in increased health and safety risks.		Operational	Possible	High	Higher Risk
	E(ii) Pre-deployment medical clearance of troops by TCCs may not meet international standards, resulting in their repatriation soon after deployment as they become sick.	DFS reminds TCCs of this requirement during MOU process.				
	E(iii) Current practice of purchasing medicine may not consider regional suppliers and generic brands effectively, resulting in missed opportunities to save on generic brands and freight.					
	E(iv) Medicine and blood supply may not be available on time, resulting in increased health and safety risks.	LSD and mission medical units monitor medicine stock level.				

Risk Assessment of : Department of Field Support

4	Focus Area:	Procurement and Contract Administration		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Procurement organizational structure**			Likely	High	Higher Risk
	B(i) DM and DFS procurement roles and responsibilities may not be well defined, delineated and coordinated, resulting in inadequate governance structure, long procurement turn-around time and unclear accountability between the two departments.	DFS will request Member States for the redesign and additional capacity of managing field procurement. Quarterly working group meetings between the Procurement Division (PD)/DM and DFS to review procurement policies, procedures and processes are in place.	Governance	Likely	High	Higher Risk
II	**Procurement policy and guideline**			Likely	High	Higher Risk
	E(i) The Procurement Manual (PM) may not be comprehensive and/or updated to address peacekeeping needs, resulting in inappropriate guidance on (a) DFS portfolio of acquisition responsibilities such as requisition, contract management and quality control and (b) field procurement. This situation could hamper compliance with the PM.	Quarterly working group meetings between PD/DM and DFS to review procurement policies, procedures and processes are in place. However, DM has the lead responsibility and DFS has limited influence.	Operational	Likely	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	HCC and Procurement Service of DM			Possible	High	Higher Risk
	E(i) Lack of guidance from the PD on pursuing procurement strategies that may be useful in addressing field operations (e.g., multiple stand-by contracts, regional market approach, etc.) may result in lost opportunities to improve the procurement process. E(ii) Slow response time by PD, Headquarters Committee on Contracts (HCC) and the Controller in approving procurement requests may cause excessive procurement lead time, resulting in the delayed procurement/delivery of goods. E(iii) NTE (not-to-exceed) approved by HCC/Controller may be too low, resulting in frequent new bidding processes. This may cause excessive administrative burden and disrupt mission operations.	Systems contacts are in place to reduce procurement lead time. Most self accounting units (SAU) appoint focal persons to monitor contract utilization/performance. DFS, in conjunction with DM, is reviewing the practices for establishing NTE amounts.	Operational	Possible	High	Higher Risk
	F(i) The PD staff may lack technical expertise for certain commodities, resulting in inadequate performance by the PD staff (e.g. incorporation of inadequate and/or incorrect Statements of Requirements and Statement of Works (SOWs) into requests for proposal and invitations to bid).		Human Resources	Possible	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV	**Acquisition/Procurement operation**			Possible	High	Higher Risk
	B(i) Corruption/fraud and other irregularities relating to peacekeeping procurement may cause serious reputation risk.	Compliance with the procurement manual is a requirement. Ethics and Integrity in Procurement training is in place.	Governance	Possible	High	Higher Risk
	C(i) 'Getting the job done' may be prioritized over compliance with the procurement manual, resulting in (a) a high number of non-compliance or ex post facto cases and (b) accusation of negligence or incompetence of staff. C(ii) Dynamic peacekeeping situations and/or limited market conditions may result in reduced ability or time to abide by normal procedures, resulting in bypassing and non-compliance with UN rules and/or 'ex post facto' cases.	Most of the self accounting units have established systems contracts. Competitive bidding is a strict requirement except for cases approved by the Controller.	Compliance	Possible	High	Higher Risk
	D(i) Inflexible annual budget mechanism may result in delayed funding for immediate procurement needs that emerged before the next budget cycle. D(ii) High fuel costs may increase logistic support costs, resulting in sub-optimal reallocation of approved budget.	Redeployment of budget items within the same group of expenditures is allowed.	Financial	Possible	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) Excessive procurement lead time due to inadequate coordination between DFS HQ and missions may disrupt mission operations. E(ii) LSD may not have adequate capacity to perform acquisition/procurement functions (e.g., ability to formulate adequate requisitions/statements of work, acquisition strategy), resulting in excessive procurement turn-around time and the procurement of incorrect kinds and/or quantities of goods and services. E(iii) Current procurement process may not be adequately streamlined from start to end encompassing all departments (i.e. DM to DFS to missions) leading to excessive procurement turn-around time, inefficiencies and inadequate support for field operations. E(iv) Unpredictable field environment and/or lack of planning capacity in LSD/DFS may result in poor forecasts and incorrect and/or untimely requisitions, eventually leading to delayed and ineffective procurement.	The Procurement Liaison Unit has been created within the DFS Office of the Under-Secretary-General. DFS acquisition/procurement capacity varies from one unit to another. Some units: - Better utilize, forecast and manage strategic deployment stocks in Brindisi. - Closely work with mission to forecast needs. - Designate focal point to work with Procurement Service. - Proactively engage in contract managements. - Consider product configuration aspect. - Follow up with market trend. Quarterly working group meetings between PD/DM and DFS to review procurement policy, procedures and process are in place. However, DM has the lead responsibility and DFS has limited influence.	Operational	Possible	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(v) Inadequate coordination between DFS and missions concerning the requisitioning process may result in the procurement of incorrect kinds/quantities of goods and services and/or financial loss. E(vi) Excessive lead time for legal review of certain procurement cases may delay procurement process and hence operations. E(vii) Local market conditions in war-torn countries may not provide missions with needed quality and quantity of goods and services necessary, resulting in reliance on expensive foreign market and transportation costs and criticisms that the UN is not assisting the local economy. E(viii) Small number of vendors and/or sole vendor bidding for UN contracts may result in lack of competition, resulting in the Organization's inability to obtain better quality goods and services at the best price and in perception of favouring a certain vendor.	DFS HQ leads and provides guidance to missions on the requisitioning process including formulating better Statement of Work (SOW)s. The Procurement Division issues invitations for a large pool of potential vendors to express their interest in bidding to enlarge the number of vendors participating in UN biddings.				
	F(i) Procurement staff in the field may be inexperienced and insufficient to perform high volume time-sensitive procurement, leading to the improper performance of duties. F(ii) Ineffective training on UN procurement procedures may lead to the improper performance of duties by the staff involved in the procurement process.	DFS HQ provides guidance and training. Other missions may also provide resource support via temporary duty assignment (TDY).	Human Resources	Possible	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
V	Contract management capacity			Likely	High	Higher Risk
	A(i) Lack of organizational focus on contract management (i.e., designation of unit responsible for contract management) may cause inefficiencies and financial loss.	DFS is in process of promulgating a policy directive to address needs for contract cycle management.	Strategy	Likely	High	Higher Risk
	E(i) DFS and missions may not have adequate contract management expertise resulting in unchecked/uncorrected vendor performance, cost and time overruns, financial waste, and ineffective field support operations. E(ii) Inability to attract a sufficient number of vendors may lead to heavy reliance on a small number of existing vendors, resulting in limited competitiveness and weak leverage in enforcing contract conditions on vendors. E(iii) Delays in payments to vendors may lead to complaints by vendors, difficulties in managing contracts, and vendors not participating in future UN bidding exercises. E(iv) Limited market condition may result in use of vendors whose performance are only marginally acceptable, leading to operational needs not being fully met and/or legal disputes. E(v) Lack of resources at HQ and/or in the field to monitor system contracts may result in the weak contract management function.	DFS is in process of promulgating a policy directive to address needs for the contract cycle management. Vendor performance evaluation mechanism is in place. PD posts expression of interests to identify and invite more vendors.	Operational	Likely	High	Higher Risk

Risk Assessment of : Department of Field Support

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Logistical planning**			Likely	High	Higher Risk
	A(i) As a result of untimely provision to Logistics Support Division (LSD) of the concepts of operations (by DPKO) and plans to establish new political missions (by DPA) and/or incomplete information, the production of incorrect logistical plans and budgets may negatively affect missions' operational readiness.	LSD/DFS works closely with DPKO and DPA to ensure adequate flow of key information. LSD mission logistic support plan takes into account a need for flexibility as much as possible.	Strategy	Likely	High	Higher Risk
	B(i) Lack of coordination between internal Logistics Operations Section (LOS) and the rest of LSD units (SAUs) may result in inadequate logistical support plan.	Constant coordination and communication between LOS and SAUs take place.	Governance	Possible	High	Higher Risk
	D(i) Member States' requirement to submit budget of the start-up missions within 30 days from approval by the Security Council of a resolution may be unrealistic, resulting in haphazardly prepared budgets.	DFS uses prior experience in formulating budget for start-up missions as much as possible to address this challenge. Technical Assessment Mission (TAM) supports the budget formulation.	Financial	Likely	Medium	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) Poor conditions of critical infrastructure in mission areas, e.g. road, airport landing strips, etc., may hamper the full functioning or operational readiness of new missions. E(ii) Insufficient pre-deployment technical assessment may result in inadequate mission logistical support plans. E(iii) The timing of troops and equipment deployment may not be properly planned (e.g., deploying time-sensitive/critical elements later and deploying less important ones first), hampering missions' operational readiness. E(iv) TCCs may not be ready to deploy troops on the dates confirmed at the agreed-upon strength, resulting in: (a) missions' ability for mandate implementation being hampered; (b) distorted sequence of deployment of troops; (c) disruption of LSD support preparedness; and (d) financial loss for procuring transport aircraft, ships or trucks.	TAM is deployed as early as possible before the mandate is approved by the Security Council. Additional resources for Operational Support Service (OSS)/LSD may be requested to USG DFS as deemed necessary. The Movement Control Section (MCS) is involved in the early stages of mission planning. LSD/DFS reaches out to TCCs to raise awareness as much as possible including frequent presentations to TCC Permanent Representatives. LSD also provides a publicly accessible COE website, which contains a wide range of information on the COE system. The Division will provide TCCs with access to a COE Training Programme, currently envisaged to comprise 12 training modules, two of which are in draft, with a further three draft modules expected to be completed by November 2008. The remaining seven modules will be developed during 2009.	Operational	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(v) TCCs' inability to deploy the agreed-upon number and quality of COE may lead to: (a) LSD initiating last minute procurement action resulting in delays; and (b) missions' operational readiness being hampered until remedial actions are completed. E(vi) Improper maintenance of COE by TCCs may hamper mission operations. E(vii) Missions may not be ready to receive TCCs and equipment on the planned dates, resulting in: (a) delays in deployment affecting operations; (b) distorted sequence of troop and equipment deployment; and (c) financial losses for procuring transport aircraft, ships or trucks. E(viii) Inability to set up suitable mission HQs and military unit camps early enough may result in serious impediment in operations. E(ix) Office/residential accommodation space and basic logistical support for incoming military troops and civilian staff may not be ready, delaying the actual deployment of personnel on the ground.	DFS conducts pre-deployment visits to TCCs. Mission COE units verify condition of COEs upon arrival and periodically. MOVCON confirms readiness of receiving staff/equipment with receiving missions. Receiving missions build in flexibility in their receiving plan. In its start-up phase planning, DFS prioritizes in addressing this risk, with the CISSs of missions in charge of this task.	Operational	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(x) Delay in Letter of Agreement (LOA)/MOU initiation and finalization may negatively affect missions' operational readiness. E(xi) Unsuccessful LOA/MOU finalization may lead to last minute initiation of commercial procurement process, resulting in delays in operational readiness and additional workload.	MCS/LSD provides training /education for TCCs/Police Contributing Countries (PCC) in the LOA process, and constantly follows up for timely information submission.				
	F(i) Lack of qualified personnel to operate equipment, particularly during start-up phase, may hamper operations and also result in financial losses due to idle or under-utilized equipment.	Chief Integrated Support Service (CISS) is on the ground in the mission area early, to provide clear guidance on what equipment is required and when.	Human Resources	Likely	Medium	Higher Risk
II	Strategic Deployment Stocks (SDS)			Possible	Medium	Moderate Risk
	E(i) Inventory control for Communications and Information Technology Service (CITS) SDS stocks may not be efficient and effective, resulting in financial losses and unpreparedness in supporting field operations. E(ii) Not replenishing Strategic Deployment Stocks upon use may hamper the effectiveness of future operations due to lack of stock.	SDS inventory tracking and reporting mechanism is in place. LSD maintains a detailed reporting system for SDS to take timely replenishment action.	Operational	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	**Movement control**			Possible	High	Higher Risk
	A(i) Insufficient involvement of MOVCON early in the deployment planning process may result in a deployment plan that may be unrealistic and impossible to implement.	MOVCON is involved in the early stages of mission planning.	Strategy	Possible	High	Higher Risk
	B(i) Host governments not signing or respecting Status of Mission Agreements/Status of Forces Agreements, e.g., requiring missions to obtain landing/customs clearance, visas, etc., may hamper missions' operation and adversely affect the relations with host governments.	DFS and missions engage in constant dialogue with the host country. Sometimes, UN addresses this issue through formal diplomatic channel.	Governance	Possible	High	Higher Risk
	C(i) TCCs' cargo may carry dangerous goods or banned substances, resulting in violations of international and/or host country regulations.	Commercial movement specialist advises TCC countries on packing/storage of dangerous cargo and monitors compliance.	Compliance	Possible	High	Higher Risk
	D(i) Demands for advance payments by inland transportation trucking companies may pose dilemma between operational needs and compliance with UN rules.		Financial	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) Use of airlift to deploy equipment instead of less costly methods and/or airlift without taking into consideration readiness of missions to receive the lift may cause extensive financial losses for the Organization. E(ii) Non-deployment of MOVCON personnel and instruments to start-up missions before arrival of troops and equipment may lead to delays in customs clearance, inland transportation and material handling. This may result in equipment being held at ports and not being ready to use, hampering operations. E(iii) Inland transportation of goods and equipment may be exposed to theft or accidents and may not reach end users, hampering operations. E(iv) TCCs may send cargo list in an unusable manner (e.g. cargo not itemized, etc.), resulting in delays.	LSD is aware of high cost associated with airlift (about $200 million per year) and approves airlift only when necessary. Receiving missions provide realistic dates and build in flexibility in their receiving plan. FPD coordinates with Movement Control Section (MCS)/LSD in getting the right personnel in the mission area in the right time. FPD places key procurement and finance personnel in the mission area to enable local contracting. MCS/LSD has a contract for commercial movements specialists to augment mission MOVCON staff. An electronic format is now available for listing cargo.	Operational	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV	**Logistics operations and supply chain management**			Possible	High	Higher Risk
	B(i) Governing regulations and rules imposed by Member States and DM affecting supply chain management (budget, procurement, HR, etc.) may not be appropriate for fast-paced field logistical operations, resulting in difficulty for DFS to carry out its support mandate effectively.	A number of proposals to reflect peacekeeping needs in UN regulations and rules, for example, the Secretary General's "Investing in the UN", have been submitted to the Member States for consideration.	Governance	Possible	High	Higher Risk
	D(i) Worsening security environment of peacekeeping missions increases the demand for expensive armoured vehicles.		Financial	Possible	Medium	Moderate Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) Lack of or inadequate guidance on logistics operations, coupled with a high number of inexperienced field staff, may result in the improper, inconsistent and/or non-compliant performance of logistics tasks/functions. E(ii) Cumbersome and compartmentalized processes, such as recruitment, budget, procurement etc., may hamper logistics operations. E(iii) DFS does not control the full supply chain cycle and the department is not able to set priorities and allocate resources to the entire cycle, which may lead to inefficient and ineffective logistics support operations. E(iv) Gap between immediate need for resources in response to surge period and reserve capacity until the next budget cycle may hamper logistics operations.	DFS has launched a number of projects to promulgate and/or update policy directives, SOPs and manuals. The Deputy-Secretary-General, DM and DFS have launched a number of measures to address HR process issues. Quarterly working group meetings between PD/DM and DFS to review procurement policy, procedures and processes are in place. SDS and systems contracts address this risk.	Operational	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(v) Over-emphasis on absolute quality and controls in supply chain management, due to low UN risk appetite, may result in significant and constant time and budget overruns.					
	E(vi) Inadequate NTE level and limited vendors for engineering and supply systems contracts (e.g., water plant, generator, fuel, rations, etc.) that function as logistical enabling components may hamper logistical operation.	There are a number of engineering and supply systems contracts in place and DFS constantly monitors systems contracts availability corresponding to their NTE level.				
	E(vii) Inadequate selection and maintenance of surface transport assets may result in inadequate mission preparedness and expose staff to safety risk, hindering mission operations.	Surface Transport Section (STS)/LSD carefully reviews fleet composition, maintenance aspect and safety requirement. STS provides maintenance program and training for the missions. STS maintains a level of stock to ensure that vehicles are off-road for a minimum period. At the same time, HQ monitors field missions to avoid over-stocking for "just in case" scenario.				

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(viii) Lack of maintenance skills and spare parts for vehicles and equipment could compromise operations and/or staff security. E(ix) Local market conditions in war-torn countries may not provide availability of quality and quantity of goods and services necessary, resulting in running of operations in suboptimal conditions. E(x) Limited LSD capacity in formulating Statement of Work (SOW) adequately and timely may hamper LSD logistical operations.	Some units employ template SOWs.				

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Lack of qualified staff and inadequate staff training to respond to modernization of surface transport assets may lead to sub-optimal performance of duties or use of surface transport. F(ii) LSD staffing level may not be commensurate/adequate to meet the demands of its growing clients, DPKO and missions, resulting in excessive workload that could compromise quality of service. F(iii) Lack of technical expertise or appropriate skill sets in carrying out transport supply, engineering and other logistical responsibilities may result in sub-optimal provision of logistics support to missions by staff.	Systematic efforts for training. Specialist training provided by manufactures. Training of trainers in Brindisi. 75% of national staff in the Transport Section have received mechanical training, to achieve the aim of augmenting 'host nation capacity'. Managerial training for unit chiefs. Safety related training. Support Account mechanism provides some opportunity to address staffing needs in proportion to growth of client activities.	Human Resources	Possible	High	Higher Risk
	G(i) The Galileo system, essentially an inventory management system, may not be addressing missions' requirements for vehicle fleet management and the management of other special equipment, resulting in inadequate information relating to vehicles and other special equipment.	STS has developed a program called Fleet Management System that will link CarLog with the Galileo.	Information Resources	Likely	Medium	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
V	Air operations			Possible	High	Higher Risk
	A(i) Inadequate overall aviation strategy covering key aviation components (such as global planning, acquisition, infrastructure preparedness, HR, risk management, training etc) may result in "fire-fighting" operation mode, ineffective and inefficient air operations. A(ii) Improper mission planning and unavailability of approved Concepts of Operations may lead to Aviation Concept of Operation relying on a number of assumptions, resulting in delay in support operations and inadequate performance due to last minute changes. A(iii) Inadequate acquisition strategy (concerning global and regional aircraft fleet composition, number and expertise of staff charged with procurement, air charter contract management, etc.) not corresponding to the size of aviation procurement ($1 billion in 2008) may result in ineffective and inefficient air operations and financial losses.	DFS has a number of initiatives to guide and support various components of aviation management capacity. For example, aviation standards have been promulgated. DFS is committed to meeting International Civil Aviation Organization (ICAO) standards. LSD/DFS works closely with DPKO and missions to ensure adequate flow of key information.	Strategy	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	B(i) Current aviation performance reporting mechanism to senior management may be inadequate (aircraft utilization, overall cost management, load factors, fuel cost, quality assurance on safety and contractor performance etc), resulting in ineffective strategic management and governance. B(ii) Lack of commitment by Member States to provide military aircraft may result in inadequate mission preparedness.		Governance	Possible	High	Higher Risk
	D(i) Due to lack of appreciation by stakeholders on the need for large investment in establishing and implementing in-house aviation standards meeting ICAO standards, DFS aviation management capacity may be inadequate and not fully meet ICAO standards, resulting in operational, reputation and safety risk. D(ii) Lack of investment in repairing and maintaining aviation infrastructure in the mission areas, i.e. airport runways, may result in safety risk and ineffective operations.	DFS is committed to meeting ICAO standards.	Financial	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) Inability for DFS to achieve efficiency level of commercial industry may result in safety issues, disappointment by stakeholders, reputation risk and low staff morale. E(ii) Inadequate monitoring of actual vs. present aircraft utilization targets and/or absence of such targets may result in low aircraft utilization and financial losses. E(iii) Inadequate fleet composition may result in low aircraft utilization and financial losses. E(iv) Lack of sharing aircraft fleet among missions within a region may result in low aircraft utilization and financial losses. E(v) Inadequate management of aviation fuel consumption ($200 million per year) may result in financial losses. E(vi) Inadequate aviation quality assurance to ensure qualification and performance of aviation vendors and to monitor their maintenance activities and crew management may result in the unavailability of air operation service, hampering mission operations.	DFS has implemented key initiatives to improve aircraft utilization such as the Strategic Air Operation Center and the East & West Africa Reserve Fleet concept. Built-in reporting mechanism for vendors to report maintenance and crew management is in place. Mission aviation section and aviation safety officers are tasked to monitor contractor performance in this regard. Air Transport Section has an active quality assurance program. RBB framework and the DFS USG Compact with the Secretary-General provide some performance benchmarks.	Operational	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Due to lack of staffing and other resources, DFS aviation management capacity may be inadequate and not fully meet ICAO standards, resulting in operational, reputation and safety risk.	DFS is committed to meeting International Civil Aviation Organization (ICAO) standards.	Human Resources	Possible	High	Higher Risk
	G(i) IT capacity in aviation management (e.g., flight planning, aircraft tracking, safety databases, air-ground communication, weather information, etc.) may be inadequate, resulting in insufficient use of modern aviation IT enablers. This may lead to inefficient and ineffective air operations and unsafe operations.	IT capacity for some functional areas such as safety database is in place.	Information Resources	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
VI	**Cartographic information**			Possible	Medium	**Moderate Risk**
	E(i) Outdated and/or inadequate maps and geographic information may result in the deployment of troops based on incorrect assumptions and/or delay the deployment of troops, thereby undermining proper implementation of mission mandate, hindering the decision-making process at various levels, and exposing mission personnel to safety and security risks (e.g. exposure to mine fields). E(ii) Absence of commercial sources and/or the reluctance of some Member States or institutions to provide the UN with geographical information may hinder the deployment of missions and hamper operations.	Many missions are equipped with Cartographic Section/unit.	Operational	Possible	Medium	**Moderate Risk**

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
VII	**Aviation safety**			Possible	High	Higher Risk
	E(i) Air operations in war-torn and/or under-developed countries, lacking aviation infrastructure, may result in inherently high safety risk for UN personnel and aviation assets.	DFS is committed to meet ICAO standards.	Operational	Possible	High	Higher Risk
	E(ii) Inadequate aviation quality assurance to ensure qualification and performance of aviation vendors and to monitor their maintenance activities and crew management may result in unsafe air operation service.	Built-in reporting mechanism for vendors to report maintenance and crew management is in place. The mission aviation section and aviation safety officers are tasked to monitor contractor performance in this regard. Air Transport Section has an active quality assurance program.				
	E(iii) Due to absence of mission aviation safety program, inadequate day-to-day execution of the program, lack of investment in safety equipment or inadequate reporting from missions to HQ, aviation safety hazards may not be adequately identified, recorded, reported and addressed, resulting in safety risks.					
	E(iv) Lack of systematic aviation risk/threat analysis for aviation activities may result in safety risk.	DFS aviation manual requires conducting a risk and threat analysis prior to commencement of each flight.				
	E(v) Inadequate search and rescue capacity may result in safety risk.	Search and rescue aviation assets are deployed to some missions.				

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Insufficient number of aviation safety officers may be deployed in the missions and/or they may lack adequate qualifications/experience, resulting in the improper performance of air safety functions increasing air safety risks.		Human Resources	Possible	High	Higher Risk

Risk Assessment of : Department of Field Support

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	IT governance, operations and security			Possible	High	Higher Risk
	A(i) Inadequate ICT disaster recovery plans, business continuity plans and strategy may result in loss of data and interruption of operation.	A daily back-up is made of all missions' servers at the Brindisi back-up center.	Strategy	Possible	High	Higher Risk
	E(i) Lack of standardization of field information and communication technology (ICT) systems, IT policies and operational procedures among missions may result in inefficient and ineffective operations and exposure to IT security risks (data confidentiality, integrity and availability).	The Information and Communication Technology Division (ICTD) complies with existing ICT governance as defined in ST/SGB/2003/17 and ST/AI/2005/10, and it is actively involved in managing ICT system standards in the field. ICTD also continues to develop and update the guidelines provided to field missions in areas such as telephone system & billing, various infrastructure such as network configuration.	Operational	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Delay in filling field vacancies with qualified ICT personnel may result in inadequate communication and IT services in the field, which may also negatively impact mission activities that rely heavily on ICTD e.g. Lotus Notes, intranet, finance, personnel and inventory systems etc. F(ii) Due to inadequate training, field CITS staff may lack required skill set, resulting in inefficiency and ineffectiveness of field CITS function.	Two DFS/ICTD staff are designated to work together with missions, FPD and OHRM to get the right people and expedite the process, e.g. help the missions with interviewing and selection. ICTD forecasts needs (e.g. anticipating the future set-up of missions) and proactively searches for candidates. Second and third party contracts are in place for technical staff in missions (e.g. Trigin, United Nations Office for Project Service (UNOPS) (approx. US$10m) and United Nations International Computing Centre (UNICC) (approx. US$9-10m)). United Nations Volunteers is used. "SWAT" teams are employed for difficult missions (works like Tiger team). ICT Rapid Deployment Capacity (IDART) team comprising 10 specialists. A comprehensive training program is in place.	Human Resources	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	G(i) Access privileges to field systems and the network, e.g. Lotus Notes, intranet, finance, personnel and inventory systems etc, may not be adequately restricted, exposing information systems and the network to unauthorized access which may result in reputational risk. G(ii) Inadequate control of internet access and usage in the field may result in abuse of internet usage, reputational risk and network/bandwidth capacity overload.	An overarching security framework is in place, as well as specific access control policies. These policies comply with ISO 27001. A policy for Internet usage is in place.	Information Resources	Possible	High	Higher Risk
II	ICT governance structure			Possible	High	Higher Risk
	B(i) Unclear delineation of roles and responsibilities between CITS/DFS and ITSD/DM may cause inadequate system integration (including IT security integration) and/or duplication of work. B(ii) The structure for CITS to report to Chief Information Technology Officer (CITO) over communications & information technology in the field may result in delays and/or inadequate operations due to CITO having different priorities than those in the field.	ICTD works in close collaboration with the Information Technology Services Division (ITSD). Both divisions work along programmatic lines providing services to their respective clients: ICTD to DPKO/DFS and field missions, and ITSD to UNHQ and offices away from Headquarters.	Governance	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	**ERP implementation**			**Possible**	**High**	**Higher Risk**
	A(i) High and/or unrealistic expectation for a system change spanning almost the entire range of peacekeeping activities may cause disappointment and confusion after ERP implementation. A(ii) The new ERP system implementation may not fully cover the business needs of DFS and field missions or may have other quality problems whereby weaknesses of legacy system are not addressed, e.g., lack of system integration, redundancies, data integrity issues and inefficiencies. A(iii) Scope of ERP system may not be clear and/or too expansive, resulting in difficulties in managing system implementation. i.e. Current ERP scope includes more than operations directly affecting financial ledger and supply chain, e.g. customer relation management and enterprise content management. A(iv) Demand by DFS and mission users for significant system customization of ERP system may hamper successful business process reengineering and ERP implementation.	ERP implementation strategy (Secretary-General's report on ERP A/62/510 Rev1) calls for strong change management structure and effort. User offices are involved in the process of identifying their business needs. ERP Management Group intends to mitigate this risk by incorporating integration and other quality issues into procurement process of the ERP system: • The UN requested the vendor to specify the extent of the customization deemed necessary during the bidding process. • ERP procurement will include selection of a third party integration vendor that has extensive experience in ERP implementation to oversee the quality issues. ERP Management Group has a comprehensive risk management template, structure and system for project management. SG publicly declared that there will be minimal customization. Also, the main purpose of using ERP system is to use the business processes embedded in the ERP, not for ERP to adopt the existing business processes.	Strategy	Possible	High	**Higher Risk**

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	A(v) Inadequate change management effort and capacity and/or lack of awareness and training may cause lack of buy-in by users and inadequate usage, hampering successful ERP system implementation in accordance with the strategic plan.	Although ERP implementation strategy calls for strong change management effort, some posts were not approved. Training and redefinition of tasks for staff take place. The phased implementation of the project, as well as the use of train-the-trainers (TTT) and subject-matter-experts (SME) would collectively mitigate this risk. Both SME and TTT participants would come from the various location and therefore serve as resident experts and trouble shooter.				
	B(i) Untimely decision-making by senior officials and/or inadequate level of delegation of authority may result in delays in key decision-making in ERP implementation as well as budget overrun.	Decision making structure and strategy are in place: Steering committee with high-level representation has been formed; According to Secretary-General's report on ERP A/62/510 Rev1, senior management is to commit to a time schedule including key milestones.	Governance	Possible	High	Higher Risk
	D(i) Inadequate funding for staff on the ERP team may result in deteriorating the quality of staff on the ERP team undermining successful ERP system implementation.	Secretary-General's report on ERP A/62/510 Rev1 specifying resources required has been submitted to the General Assembly for its approval.	Financial	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i) A lack of transparency in the vendor selection process may result in protests by other ERP vendors who are not selected, resulting in reputation risk to the UN and financial penalty if substantiated.	The Project has taken considerable actions to prevent any such occurrence including training project staff and other personnel involved in the procurement process on "Ethics and Integrity in Procurement", establishing the Software Evaluation Committee chaired by the CITO and with representatives from key internal stakeholders; the video and audio taping of scenario demonstrations by the vendors and the use of independent validation and verification services.	Operational	Possible	High	Higher Risk
	E(ii) UN contract management capacity may be inadequate, resulting in weaknesses in monitoring ERP vendor performance, cost and time monitoring and other contract management issues.	The Organization undertakes a thorough due diligence process, which includes obtaining sufficient legal advice regarding contractual arrangements. Secretary-General's report on ERP A/62/510 Rev1 is seeking to promulgate a contingency provision (in addition to the contingency funding, the project has made provision for the use of external legal expertise and IT consulting firms (Forrester, Cisco, and SRA International) to mitigate these risks.)				
	E(iii) UN ERP implementation process may not adequately address interface needs with complementary systems and key databases outside ERP coverage.	ERP procurement will include a third party integration vendor, who will ensure integration with the non-ERP systems and customized elements.				

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(iv) System failure during the transition phase from IMIS to ERP may result in impediment in operations, compromised data integrity and unexpected financial cost.	Actions to be taken by team to prevent it including provisioning for the running of IMIS during the ERP implementation.				
	E(v) ERP Implementation may be delayed and protracted, resulting in time and budget overruns.	ERP Management Group was created to manage ERP implementation. The Group has comprehensive risk management structure and system for project management in place. ERP implementation strategy by the Secretary-General (A/62/510 Rev1) identifies a number of associated risks and means to mitigate them.				
	E(vi) Implementation delay of the required ERP modules supporting IPSAS may result in the failure of the Secretariat to meet the timeline for IPSAS implementation.					

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i) Inadequate allocation of knowledgeable staff for business processes by user offices may cause failure in business process reengineering and thereby unsuccessful ERP implementation. F(ii) Job insecurity for staff on the ERP team may result in deteriorating the quality of staff on the ERP team undermining successful ERP system implementation. F(iii) User offices may need to direct their staff resources and attention on ERP implementation process, which may result in inadequate attention in day-to-day operations and work of staff involved.	Secretary-General's report on ERP A/62/510 Rev1 requests for user offices to provide experienced staff who are well versed in their business processes. The presence of business owners on the Steering Committee also helps to mitigate this risk. Secretary-General's report on ERP A/62/510 Rev1 calls for careful planning and management by user offices.	Human Resources	Possible	High	Higher Risk

Risk Assessment of : Department of Field Support

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Property & Inventory management**			Possible	Medium	**Moderate Risk**
	B(i) Delineation of roles and responsibilities between HQ and missions concerning property management may be unclear, resulting in delays in decision-making and unclear accountability. B(ii) Limited delegation of authority to the field regarding asset management may result in excessive delays in decision-making and excessive workload for HQ.	Related policies (ST/AI/374) which provides definitions of non-expendable and expendable property, were promulgated in 1992 and may need to be updated. DFS has requested from the Controller a greater delegation of authority for property management in the field.	Governance	Possible	Medium	**Moderate Risk**
	E(i) Disposal policy and procedures may be outdated, cumbersome and may not provide for adequate delegation of authority to the field, resulting in delays and inefficiencies. E(ii) Inadequate guidance on asset management in the field by HQ may lead to inefficiencies in the asset management process, waste, theft or fraud. E(iii) Incorrect and untimely advice from HQ to missions may lead to wrong operational decisions taken in the field, resulting in inadequate property management and financial losses.	Property management function is the responsibility of each mission. DFS constantly provides policy instructions to the missions in this regard.	Operational	Possible	Medium	**Moderate Risk**
	F(i) Low management priority given to asset management in logistical support cycle may cause difficulty attracting talented personnel in asset management areas.		Human Resources	Possible	Low	**Lower Risk**

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	G(i) The Galileo inventory system designed to support large peacekeeping missions may be too complex for small missions' use, leading to ineffective inventory management. G(ii) Lack of integration between the Galileo system and the requisition process may result in ineffective and inefficient asset management and use of information resources as Galileo system does not provide for the full integration with other field systems.	ERP would address requirements for small missions.	Information Resources	Possible	Medium	**Moderate Risk**
II	**Management of office premises and facilities**			Remote	Medium	Lower Risk
	E(i) Lack of physical co-location of relevant DPKO and DFS offices and personnel may result in inadequate coordination, resulting in inefficiencies.	Under the Capital Master Plan, DPKO and DFS will be co-located.	Operational	Remote	Medium	Lower Risk

Risk Assessment of : Department of Field Support

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Security of UN staff and installations**			Possible	High	Higher Risk
	B(i) Lack of coordination between DFS and DSS on policies and procedures may be inadequate, resulting in staff safety and security risk.	Ongoing coordination with DSS.	Governance	Possible	High	Higher Risk
	E(i) Inherently high security issues may increase operational challenges and may put UN personnel at risk. E(ii) Due to a lack of guidance from and standardization with DSS, safety kits/equipment for mission personnel may not be available on time, which may result in safety risks. E(iii) Outdated or inadequate geographical information, i.e. information on mine fields, may expose mission personnel to safety and security risk. E(iv) TCCs' cargo may carry dangerous goods or substances, resulting in a safety risk for mission personnel and present an environmental issue.	Ongoing coordination with DSS. Many missions are equipped with Cartographic Section/units. Commercial movement specialist advises TCC countries on packing/storage of dangerous cargo and monitors compliance.	Operational	Possible	High	Higher Risk

Focus Areas

Focus areas are the key standard processes that are typically found in United Nations operations. These are categories established by the risk assessment framework to facilitate understanding and communicating common processes or functions within the Organization (common language). They are based on a categorization of objectives, using a hierarchy that begins with high-level objectives and then cascades down to objectives relevant to organizational units, functions, or business processes. The IAD risk assessment framework has identified eleven focus areas as follows:

1. Strategic Management and Governance
2. Financial Management
3. Human Resources Management
4. Procurement and Contract Administration
5. Logistics Management
6. Information Technology Management
7. Programme and Project Management
8. Conference and Documents Management
9. Property and Facilities Management
10. Safety and Security
11. Other areas (for areas not included in 1 to 10)

Each focus area may be broken down into sub-focus areas. Examples of sub-focus areas are listed below.

No.	Focus Areas	Examples of Sub Focus areas relating to principal focus
1	Strategic Management and Governance	Strategic planning and monitoring, Mandate and mission, Organizational structure and functions, Start up planning, Liquidation planning, Risk management, Policies and procedures, Governing/Legislative bodies, High level committees, Top level offices.
2	Financial Management	Accounting and financial reporting, Results-based Budgeting, Cash management, Treasury, Contributions, Fund raising, Payroll
3	Human Resources Management	Recruitment, Training, Conduct and discipline, Entitlements and allowances, Performance appraisal system and Medical Services, Use of short term staff (consultants, gratis personnel etc
4	Procurement and Contract Administration	Procurement planning, Procurement process, Local contracts committee, Administration of major contracts such as for fuel, rations, airfield services, medical supplies etc.
5	Logistics Management	Travel services, Transport operations, Air operations, Movement control, Fleet Management and Maintenance
6	Information Technology Management	Management of ICT infrastructure, software development, Communications services, ICT operations, Business continuity and disaster recovery, IT Security
7	Programme and Project Management	Management of programmes such as Rule of Law, Human Rights, Child Protection, Public Information, Disarmament , Demobilization and Reintegration, Mine action, Protection of Civilians, Military and Civilian Police operations, and Logistics; Management of projects such as technical cooperation and quick impact projects
8	Conference and Documents Management	Records management, Publications, Editorial services, Conference management, Translation and interpretation services, Web sites
9	Property and Facilities Management	Management of office premises and facilities, Contingent-owned equipment, Expendable and non-expendable property, Building Services, Inventory management, Local Property Service Board
10	Safety and Security	Security of UN staff and installations, Contingency planning, Evacuation procedures and drills, Occupational safety
11	Other areas	This is for illustration purposes only and is not a comprehensive audit and is included for any other focus areas not specified in 1-10. This may include general office administration, executive offices and common services etc.

Risk Categories

Risk categories are common concerns or events, grouped together by the type of risk that will result. The seven (7) risks used in OIOS Risk Assessment methodology are as follows:

A. Strategy
B. Governance
C. Compliance
D. Financial
E. Operational
F. Human Resources
G. Information Resources

No.	Risk Category	Description
A	Strategy	Impact on mandate, operations or reputation arising from inadequate strategic planning, adverse business decisions, improper implementation of decisions, a lack of responsiveness to changes to the external environment, or exposure to economic or other considerations that affect the Organization's mandates and objectives.
B	Governance	Impact on mandate, operations or reputation as a result of failure to establish appropriate processes and structures to inform, direct, manage and monitor the activities of the Organization toward the achievement of its objectives. Includes attributes such as leadership, tone at the top, and promotion of an ethical culture in the Organization.
C	Compliance	Impact on mandate, operations or reputation from violations or non-conformance with, or inability to comply with laws, rules, regulations, prescribed practices, policies and procedures, or ethical standards.
D	Financial	Impact on mandate, operations or reputation resulting from: failure to obtain sufficient funding, funds being inappropriately used, financial performance being not managed according to expectations, or financial results being inappropriately reported or disclosed.
E	Operational	Impact on mandate, operations or reputation resulting from inadequate, inefficient or failed internal processes that do not allow operations to be carried out economically, efficiently or effectively.
F	Human Resources	Impact on mandate, operations or reputation resulting from a failure to develop and implement appropriate human resources policies, procedures and practices to meet the Organization's needs.
G	Information Resources	Impact on mandate, operations or reputation resulting from failure to establish appropriate information and communication systems and infrastructure so as to efficiently and effectively carry out the Organization's operations..

Risk Assessment Ratings

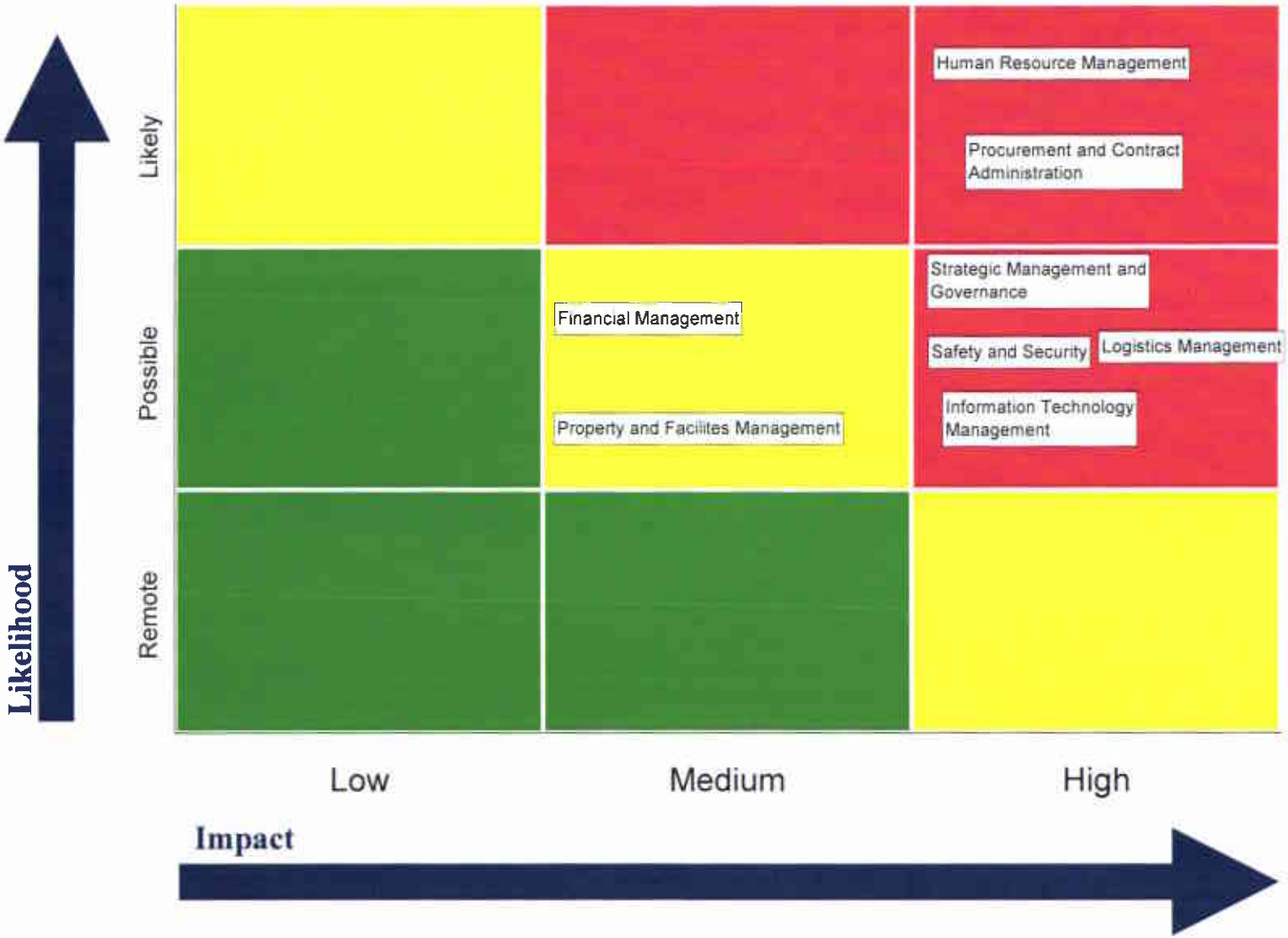
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used are shown below:

	Risk Likelihood
Likely	Conditions within our environment indicate that an event is expected to occur in most circumstances
Possible	Conditions within our environment indicate that an event will probably occur in many circumstances
Remote	Conditions within our environment indicate that an event may occur at some time

	Risk Impact
High	Serious impact on operations, reputation, or funding status
Medium	Significant impact on operations, reputation, or funding status
Low	Less significant impact on operations, reputation, or funding status

	Overall Risk Combinations Impact and Likelihood
Higher Risk	The identified issue represents the following likelihood and impact combinations: • Likely and high • Likely and medium • Possible and high
Moderate Risk	The identified issue represents the following likelihood and impact combinations • Likely and low • Possible and medium • Remote and high
Lower Risk	The identified issue represents the following likelihood and impact combinations • Possible and low • Remote and low • Remote and medium

RISK SUMMARY PROFILE (Focus Area)



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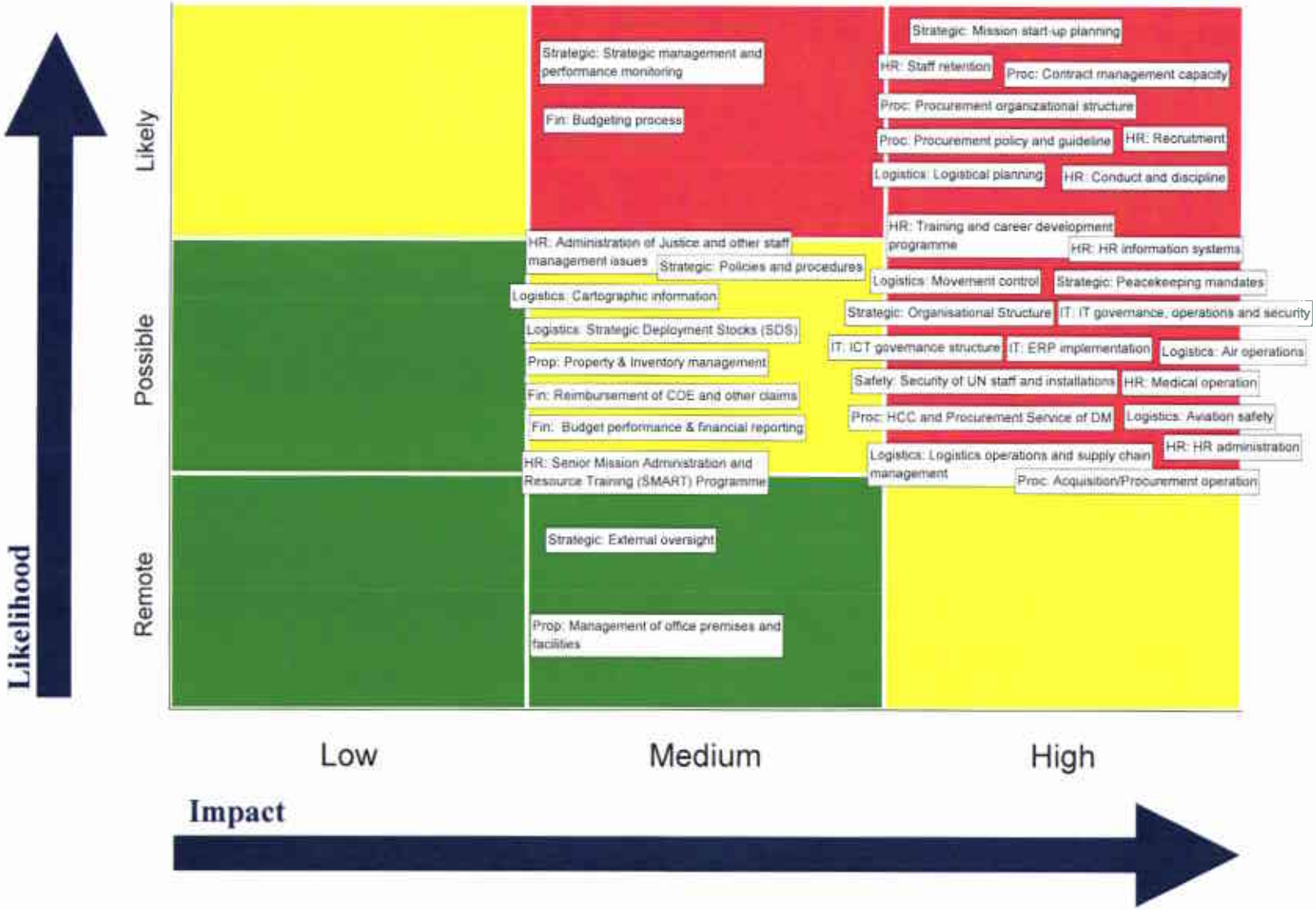
RISK SUMMARY PROFILE (Sub Focus Area)



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