INTERNAL AUDIT DIVISION

RISK ASSESSMENT

MINURCAT

13 October 2008
Assignment No. AP2008/636/01

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: Mr.Victor Da Silva Angelo
A: Special Representative of the Secretary-General
MINURCAT

DATE: 13 October 2008

REFERENCE: IAD: 08-018 15

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

SUBJECT: **Assignment No. AP2008/636/01 - OIOS risk assessment of MINURCAT**
OBJET:

1. I am pleased to present OIOS' risk assessment of MINURCAT 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 MINURCAT 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. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
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, Department of Field Support
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).

CONTACT INFORMATION

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PARTICIPANTS

The OIOS risk assessment team conducted workshops and interviews with the following staff members of MINURCAT and the European Force Commander 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	Mr. Victor Da Silva Angelo, Special Representative of the Secretary-General Ms. Rima Salah, Deputy Special Representative of the Secretary-General Mr. Elike Segbor, Chief of Staff Mr. Bernard Lee, Chief Mission Support
Financial Management	Ms. Kaltouma N'Guessan, Chief Finance Section Mr. Adityavikram Pachisia, Chief Budget Unit
Human Resources Management	Mr. El-Masri Anwar, OIC Chief Civilian Personnel Officer Ms. Colette Houssinou, Chief Medical Officer Ms. Iram Batool, United Nations Volunteers (UNV) Programme Coordinator Mr. Jean Wabo, Chief of Integrated Mission Training
Procurement and Contract Administration	Mr. Moges Alemu, Chief Procurement Section Mr. Rajiv Chawla , Chief Supply Section
Logistics Management	Mr. Aboukakrine Dieye, Chief Integrated Support Services

Focus Area	Name and Functional Title
	Mr. Klaus Zillner, Chief of Movement Control Section Ms Stephanie Lassieur, OIC Geographic Information Section Mr. Daniel Thiebaut, Chief of Aviation Mr. Laith Haddadin Wadee, Chief of Engineering Mr. Masse Diouf, OIC Joint Logistic Operation Centre Mr. Peter Hopfgartner, OIC Transport Section
Information Technology Management	Mr. Sydney Lawrence, Chief Communication and Information Technology Section
Programme and Project Management	Ms. Dominique Eliares-Wouters, Chief of Judicial Services Ms. Patience Sai, Correction Adviser Ms Maria Rosa Hermandez, Chief HIV/AIDS Unit Ms. Aine Joyce, Humanitarian Liaison Unit Ms Despina Saraliotou, Civil Affairs in Abeche Ms. Eliana Rueda, Civil Affairs in Abeche Mr. Georges Bakala, Political Affairs Officer Mr. Adewusi Gbadegesin, Civil Affairs Officer Col. François N'Diaye, Chief of Military Liaison

Focus Area	Name and Functional Title
	Lt. Col. Bahtiar Jarashev, OIC Chief of Military Liaison Mr. David Rosset, OIC Office of the Police Commissioner Mr. Innocent Balemba Zahinda , Chief of Human Rights Section Mr. Michel Bonardeau, Special Adviser to the SRSG Mr. Julius Chuma, OIC Public Information Mr. Alessandro De Zienzo, Political Affairs in Abeche
Property and Facilities Management	Mr. Alexis Abdulhak, Chief of Property Management Section
Safety and Security	Mr. Bertrand Bourgain, Chief Security Advisor Maj.-Gen. Jean-Phillipe Ganascia, Force Commander European Force (EUFOR)

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

Risk Assessment of : MINURCAT

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	**Mandate**			Possible	High	**Higher Risk**
	A (i) The current mandate (without executive policing authority, provision for facilitating the political process, etc.) may not be effective or may not address the insecurity in the Mission's area of operations. A (ii) There may be a gap between the Mission's mandate (i.e., to help create secure humanitarian space to facilitate the voluntary return of refugees and displaced persons) and the local population's expectations of the Mission, particularly those that are outside the Mission's mandate, resulting in public frustration with the Mission. A (iii) The conflict in Darfur spilling over to Chad may increase the Mission's challenges in implementing its mandate. A (iv) Inadequate planning and preparation for the departure of the European Union Force in Chad (EUFOR) after the expiration of its one-year deployment period on 14 March 2009 may seriously impact the capability of the Mission in achieving its mandate.	The MINURCAT Special Representative of the Secretary-General (SRSG), through the Department of Peacekeeping Operations (DPKO) and the Secretary-General (SG), reports quarterly to the Security Council on the progress and challenges in implementing the Mission's mandate.	Strategy	Possible	High	**Higher Risk**

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	**Focus Area:**	**Strategic Management and Governance**		**Possible**	**High**	**Higher Risk**
	B (i) Lack of formal mechanisms for coordination between the Mission and relevant agencies may result in ineffective and inefficient operations. B (ii) The restructuring of DPKO, with the creation of the Department of Field Support (DFS), may further slow down processes, such as procurement, recruitment and political advice/analysis, that require consultation with or approval by UNHQ.	The Mission senior management holds regular meetings with the relevant UN agencies.	Governance	Possible	High	**Higher Risk**
II	**Control environment**			Possible	High	**Higher Risk**
	B (i) Lack of a proper control environment in the Mission could result in weak governance, lack of accountability and weak ethical environment.	The UN code of conduct and the UN Charter require UN staff to commit themselves to the highest standards of efficiency, competence and integrity. The SG has issued several bulletins and administrative instructions regarding accountability and ethics, but a comprehensive enterprise risk management framework that includes governance and accountability mechanism has yet to be put in place in the Secretariat.	Governance	Possible	High	**Higher Risk**

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2	Focus Area:	Financial Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Financing of substantive operations**			Possible	Medium	Moderate Risk
	E (i) Funds, coming from other international donors, necessary to train and support government counterparts for strengthening state institutions (e.g., in the judicial and corrections areas) may not be adequate.		Financial	Possible	Medium	Moderate Risk
II	**Processing of financial transactions**			Possible	High	Higher Risk
	C (i) Financial transactions during start-up, where Finance Section staff may be inexperienced or unsupervised due to difficulties in attracting staff, may not be processed in accordance with regulations and rules, resulting in unreliable financial statements, financial losses or increased fraud risks.	Controls on the commitment of funds and processing of payments are in place.	Compliance	Possible	High	Higher Risk
	D (i) The use of cash to pay vendors or defray other expenses during start-up may be abused, resulting in financial losses and increased fraud risks.	The field finance procedures guidelines are being implemented. Payments to vendors are being made by cheque or bank transfers or through other agencies with more established presence in the country.	Financial	Possible	Medium	Moderate Risk
	G (i) The inappropriate granting of access rights to financial systems may result in the unreliability of transaction processing and fraud risks. G (ii) Lack of interface between stand-alone finance applications (Sun System, Progen, Chase payment system) may lead to inefficiencies and inaccuracies in processing financial transactions.	Access to financial systems is granted on a business-need basis only.	Information Resources	Possible	High	Higher Risk

2	Focus Area:	Financial Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	**Budget formulation**			Remote	Medium	Lower Risk
	D (i) The budgeting process may be inflexible, resulting in the Mission's inability to channel resources to changes in its core operations and/or mandates.	The budget is established using the results-based budgeting (RBB) framework, which aligns the Mission's resources with priorities.	Financial	Remote	Medium	Lower Risk

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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**
	C (i) Administrative procedures, such as for the check-in and check-out process may be inefficient and cumbersome, resulting in non-compliance with such administrative rules.		Compliance	Possible	Medium	**Moderate Risk**
	E (i) High staff turnover due to the appointment of staff on temporary duty (TDY) may negatively affect the performance of duties (e.g., loss of institutional memory, high learning curve, inconsistent/incoherent policies between one manager and another).		Operational	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
	F (i) There may be delays in filling posts as a result of the recruitment process being complicated, protracted or inflexible. Also, for national staff, the recruitment rules and/or requirements may not be applicable to the labour market in the east of Chad (e.g., requiring high school diploma for cement mixer). This situation can negatively affect the performance of duties. F (ii) Lack of or inadequate skills or insufficient female candidates in the local labour market may increase the Mission's challenges in recruiting national staff, resulting in non-compliance with UN regulations and rules. F (iii) Increased challenges in attracting/recruiting and retaining qualified international staff may result from the unattractive recruitment conditions (adverse conditions in the MINURCAT area of operations, competition with other missions with less adverse conditions or with higher mission subsistence allowance) and the requirement for French (and/or Arabic) language skills for certain positions.	DFS established an ad hoc recruitment Tiger Team to expedite the recruitment of MINURCAT 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	**Medical services**			Possible	High	Higher Risk
	E (i) Underdeveloped medical infrastructure, particularly in the regions, may increase staff safety and health risks. E (ii) Incorrect diagnosis may occur due to language problems as the Mission is heavily reliant on medical doctors and staff who are not fluent in English and rely on interpreters. E (iii) UN personnel may be exposed to tropical diseases (e.g., malaria) and other diseases (e.g., water-borne or those caused by unsanitary conditions or the improper handling of food), resulting in increased health risks and could negatively affect their ability to perform their functions.		Operational	Possible	High	Higher Risk
	F (i) Lack of or inadequate medical facilities and capacities within (UN clinics and medical evacuation capacity) and outside the UN (local hospitals, nurses and laboratory technicians for recruitment in field offices), resulting in increased staff health and safety risks. F (ii) Delays in the signing of the MOU between MINURCAT and EUFOR may result in MINURCAT not being able to rely on EUFOR for Level II medical support.		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
III	**Staff welfare**			Possible	Medium	**Moderate Risk**
	F (i) Psychological health challenges may arise as a result of inadequate attention/priority given to the establishment of recreational facilities, counselling services, availability of affordable flights out of the mission area, etc. to reduce the stress levels of staff members, particularly in regional offices.	A staff welfare committee has been formed in order to coordinate welfare activities within MINURCAT.	Human Resources	Possible	Medium	**Moderate Risk**

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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 process**			Likely	High	Higher Risk
	C (i) Procurement activities during start-up, where requirements may be needed on an urgent basis, may not be performed in accordance with regulations and rules, resulting in financial losses or increased fraud risks. C (ii) The undeveloped commercial market in Chad results in limited competition, which may limit the Mission's ability to comply with procurement rules and result in financial losses and increased fraud risks to the Mission. C (iii) Flagging of a large number of requisitions as immediate operational requirements (IOR) may compromise the integrity and transparency of the procurement process. C (iv) Vendor responses to requests for offers for goods/services may not be handled properly by the Mission, compromising the integrity, the transparency and the lead time of the procurement process.		Compliance	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
	E (i) Lack of an acquisition plan may result in the ineffective, inefficient and costly procurement of goods and services. E (ii) The procurement process may be complicated, protracted or may not be applicable to the local market conditions (e.g., lack of or limited competition) resulting in the delayed procurement of goods/services. This situation can hamper the Mission's operations. E (iii) Local contractors for critical services/supplies, such as security, electricity, construction materials, etc., may not have the capacity to meet MINURCAT's requirements (both in terms of quality and quantity), resulting in the disruption of the Mission's operations.	The Mission is now extending its pool of vendors to neighbouring countries.	Operational	Possible	High	Higher Risk

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5	Focus Area:	Logistics Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Provision of logistics support**			Likely	High	Higher Risk
	E (i) Planning for logistical requirements may be based on many unclear or frequently changing assumptions or on unrealistic goals, resulting in inappropriate operational plans and in failure to acquire and deploy the right capacities at the right time. E (ii) Inherently high security constraints in the east of Chad (e.g., requirement to co-locate Mission offices within EUFOR facilities, etc.) may delay the deployment of personnel and equipment in the region. E (iii) Delays in concluding agreements, e.g., MOU with MINURCAT and Chad on the local police operations in and around camps for refugees and internally-displaced persons (called Détachement Integré de Sécurité or DIS), technical MOU between MINURCAT and EUFOR-Tchad/CAR, the multi-logistics agreement with a private contractor, may result in difficulties in providing logistical support covered under these arrangements (e.g., fuel, construction of accommodation and office spaces, medical support, etc.).		Operational	Likely	High	Higher Risk
	E (iv) The Mission's reliance on EUFOR for the supply of fuel in the regions, aggravated by the current ad hoc arrangement (as discussed above), may expose it to interrupted logistics operations.					

5	Focus Area:	Logistics Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
II	**Movement control**			Likely	High	Higher Risk
	E (i) Delays in concluding agreements with Cameroon and other ports of entry with regard to tax and duty exemptions on goods and equipment may result in difficulties/delays in clearing goods. E (ii) Lack of proper port facilities/equipment in the Douala port may cause damages and delay delivery of goods/equipment to the Mission. E (iii) Difficult supply routes due to Chad being landlocked and inadequate road infrastructure may result in delays in the delivery of procured supplies and equipment (such as vehicles, spare parts, IT equipment, etc.) into the Mission and their onward delivery to the regions, resulting in difficulties in logistical operations.		Operational	Likely	High	Higher Risk
III	**Air operations**			Possible	High	Higher Risk
	C (i) The aviation safety standards may not be complied with, resulting in increased air safety risks.		Compliance	Possible	High	Higher Risk
	E (i) Lack of cargo plane may delay the delivery of goods and equipment to the regions.		Operational	Possible	High	Higher Risk
IV	**Ground transport operations**			Possible	Medium	Moderate Risk
	D (i) Non-availability of local vehicle mechanics may result in the inefficient and ineffective delivery of transport services, including the repair and maintenance of vehicles.		Financial	Possible	Medium	Moderate Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
6	**Focus Area:**	**Information Technology Management**		**Possible**	**Medium**	**Moderate Risk**
I	**Information systems**			Possible	Medium	**Moderate Risk**
	E (i) Unauthorized access to the Mission's ICT resources may compromise data integrity. E (ii) The lack of appropriate physical security for IT systems may jeopardize the Mission's operations. E (iii) ICT networks may not be consistently available especially during security crisis, endangering lives of UN personnel. E (iv) Certain ICT installations may be subject to sabotage, resulting in disruptions in operations.	General IT controls are in place, including the limited use of encryption functions/technology. The Mission is in the process of finalizing security arrangements for the server area.	Operational	Possible	Medium	**Moderate Risk**
II	**ICT disaster recovery & business continuity planning**			Possible	High	**Higher Risk**
	E (i) MINURCAT may suffer major ICT systems failure which could halt its operations. E (ii) Lack of a properly documented and tested business continuity plan may result in disruptions in operations.		Operational	Possible	High	**Higher Risk**

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7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Military liaison activities**			Possible	High	Higher Risk
	E (i) Lack of an enforceable information-sharing mechanism in the form of a signed technical memorandum of understanding (MOU) with EUFOR and MINURCAT may result in an inconsistent level of information-sharing with EUFOR and the military liaison officers (MLOs), resulting in their inability to provide Mission management with information needed to make decisions. E (ii) MLOs may not have the equipment (e.g., radio, computer) necessary to perform their duties, resulting in their inability to provide Mission management with information needed to make decisions. E (iii) Lack of qualification standards for uniform application for the recruitment of MLOs, coupled with the varying degrees of military operations and standards in different countries where MLOs are recruited, may result in the improper performance of duties.	MINURCAT holds regular weekly meetings with EUFOR.	Operational	Possible	High	Higher Risk

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7	**Focus Area:**	**Programme and Project Management**		**Possible**	**High**	**Higher Risk**
II	**UN Police**			Possible	High	**Higher Risk**
	E (i) Delays in the submission by Chad of candidates for the Détachement Integré de Sécurité (DIS) programme may delay the deployment of DIS teams in the east of Chad.	UN Police management holds regular meetings with the concerned Chadian administration officials to ensure the timely submission of local police candidates for hiring as DIS team members.	Operational	Possible	High	**Higher Risk**
	F (i) Requirements for French (and Arabic) speaking UN police officers may limit the pool of candidates for recruitment and deployment to MINURCAT. F (ii) Difficulties in recruiting local women police officers may affect the gender-balance initiative/objective.		Human Resources	Possible	High	**Higher Risk**
III	**Public information programme**			**Possible**	**Medium**	**Moderate Risk**
	A (i) Ineffective public information strategy may result in the Mission not being able to address the local population's frustration with and/or misconception of the Mission.	The public information strategy is being elaborated and adapted to new Mission mandate.	Strategy	Possible	High	**Higher Risk**
	B (i) There may be difficulties in measuring and monitoring the progress of the public information programme due to the intangible nature of the programme, which might negatively affect the ability of the Public Information Office (PIO) to achieve the objectives set.		Governance	Possible	Medium	**Moderate Risk**

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7	**Focus Area:**	**Programme and Project Management**		**Possible**	**High**	**Higher Risk**
	D (i) Funds may not be allocated for certain media equipment/supplies (e.g., visual materials), impeding the delivery of the public information programme. D (ii) PIO budget may be cut in succeeding budget years due to the non-/under-utilization of funds, impeding the delivery of the public information programme.		Financial	Possible	Low	**Lower Risk**
	E (i) Language barrier (with many local languages in the Mission's area of operations besides Al Wahalia Arabic) might hinder communicating the Mission's messages to the public. E (ii) PIO staff may be exposed to security risks while in "hot zones" performing their duties.		Operational	Possible	High	**Higher Risk**
IV	**Political and civil affairs programme**			Likely	High	**Higher Risk**
	B (i) The Mission may be perceived to intervene with Chad's internal/political affairs, resulting in non-cooperation by the Government with the Mission in achieving its mandates.		Governance	Likely	High	**Higher Risk**

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
V	**Judicial advisory programme**			Possible	Medium	**Moderate Risk**
	A (i) The Mission may not give adequate focus/priority on the judicial advisory programme, resulting in a less effective programme delivery.		Strategy	Possible	Medium	**Moderate Risk**
	E (i) Failure to balance the provision of judicial advisory support to the Chadian Government with the local customs/practices may result in ineffective programme delivery. E (ii) Local judicial system/infrastructure may be weak, resulting in increased challenges in providing judicial support services to the Chadian Government.		Operational	Possible	Medium	**Moderate Risk**

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7	**Focus Area:**	**Programme and Project Management**		**Possible**	**High**	**Higher Risk**
VI	**Corrections advisory programme**			Possible	High	**Higher Risk**
	D (i) Funding for the improvement of correctional facilities may not be adequate, negatively affecting the delivery of the corrections programme.		Financial	Possible	High	**Higher Risk**
	E (i) Local corrections infrastructure may be lacking or inadequate, resulting in increased challenges in providing corrections advisory support services to the Chadian Government, particularly when the DIS is fully deployed and functioning.		Operational	Likely	High	**Higher Risk**
VII	**Human rights programme**			Possible	High	**Higher Risk**
	E (i) Access to human rights victims may be restricted, hindering the Human Rights Section from performing its duties.		Operational	Possible	High	**Higher Risk**
VIII	**Quick impact projects**			Possible	High	**Higher Risk**
	C (i) QIPs may not be within the guidelines established for their selection (e.g., where each project should meet the following, inter alia, main criteria: (a) highly visible projects which would enhance the relationship between MINURCAT and the community, and have a potential for improving the overall image of the Mission; (b) projects should benefit the community in which they are executed and should avoid the perception of benefiting individuals; (c) reliable and experienced implementing partners should be available to implement the project on the ground), resulting in the ineffective use of funds.		Compliance	Possible	High	**Higher Risk**
	D (i) Quick impact project (QIP) funds may be misused or misappropriated, resulting in financial losses.		Financial	Possible	High	**Higher Risk**

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9	Focus Area:	Property and Facilities Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Properties**			Possible	High	Higher Risk
	E (i) The multiple locations of MINURCAT premises in N'Djamena may pose difficulties in securing properties. E (ii) Harsh environmental conditions and poor physical infrastructure in the country may cause properties to deteriorate faster than normal. E (iii) The Mission may not be able to accommodate the arrival of ordered equipment, resulting in increased challenges in securing them and potentially exposing them to the elements if they are not properly stored. E (iv) Controls over UN-owned properties provided to DIS may not be adequate, resulting in financial losses.		Operational	Possible	High	Higher Risk
II	**Office premises and facilities**			Possible	High	Higher Risk
	E (i) Facilities may not be constructed on time or may not be sufficient to accommodate hired staff. E (ii) Co-location of Mission and EUFOR premises may not be working properly/equitably or as planned, further delaying the deployment of staff in the regions, ultimately delaying the full function of the Mission where it is needed.		Operational	Possible	High	Higher Risk

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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 premises**			Possible	High	Higher Risk
	B (i) There may be gaps between what EUFOR agreed to provide, in terms of security, and what MINURCAT expects it to provide to protect Mission personnel and properties, resulting in confusion as regards responsibility over certain security functions and/or jurisdiction.	The Security Management Team conducts regular weekly meetings. Also, senior management holds meetings with EUFOR regularly to discuss, among others, security issues.	Governance	Possible	High	Higher Risk
	C (i) Staff complacency regarding their own safety and security and non-compliance with security regulations may result in increased safety and security risks.		Compliance	Possible	High	Higher Risk
	E (i) Inherently high security risk may increase operational challenges and may put UN personnel at risk. E (ii) MINURCAT security needs may not be given priority by EUFOR, endangering the lives of UN personnel.		Operational	Possible	High	Higher Risk

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
10	**Focus Area:**	**Safety and Security**		**Possible**	**High**	**Higher Risk**
II	**Contingency planning**			Possible	High	**Higher Risk**
	E (i) The Mission may not have an approved and tested contingency plan, resulting in increased staff safety and security risks. E (ii) The Mission may not have sufficient food, water and fuel reserves in case of prolonged emergencies, endangering the lives of UN personnel. E (iii) Lack of backup communication during emergencies may compromise staff security.		Operational	Possible	High	**Higher Risk**
III	**Occupational safety**			**Possible**	**Medium**	**Moderate Risk**
	F (i) The Mission may not give adequate attention/priority to occupational safety and health issues (e.g., use of helmets, bullet proof vests, first aid kits, etc), increasing staff safety risks.		Operational	Possible	Medium	**Moderate Risk**

Focus Areas

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)

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

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 mandate 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

Risk assessment ratings

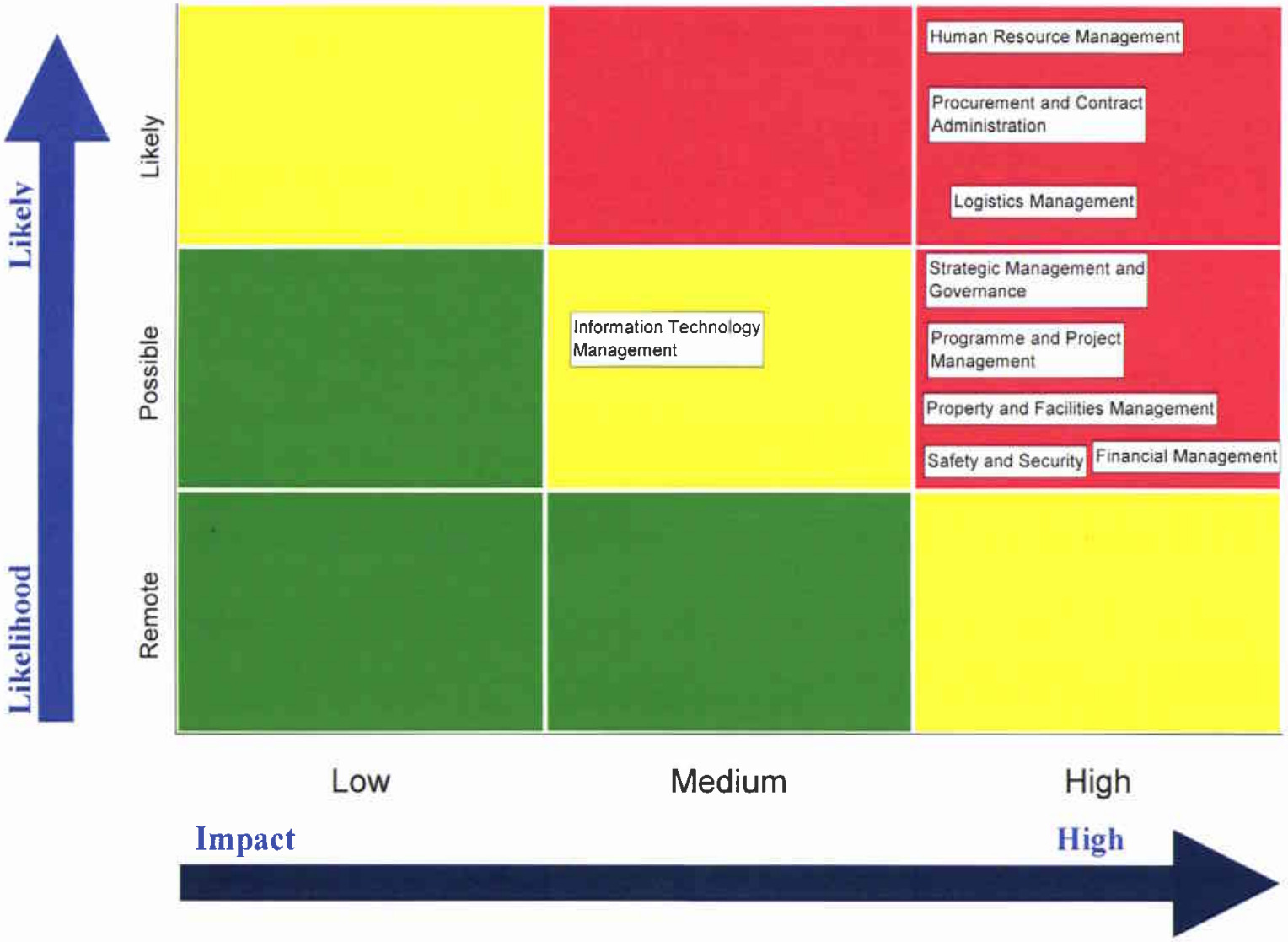
The OIOS risk assessment framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors, an overall risk rating is derived indicating whether the risk of a focus area is high, moderate or low. The ratings used are shown below:

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 operation, 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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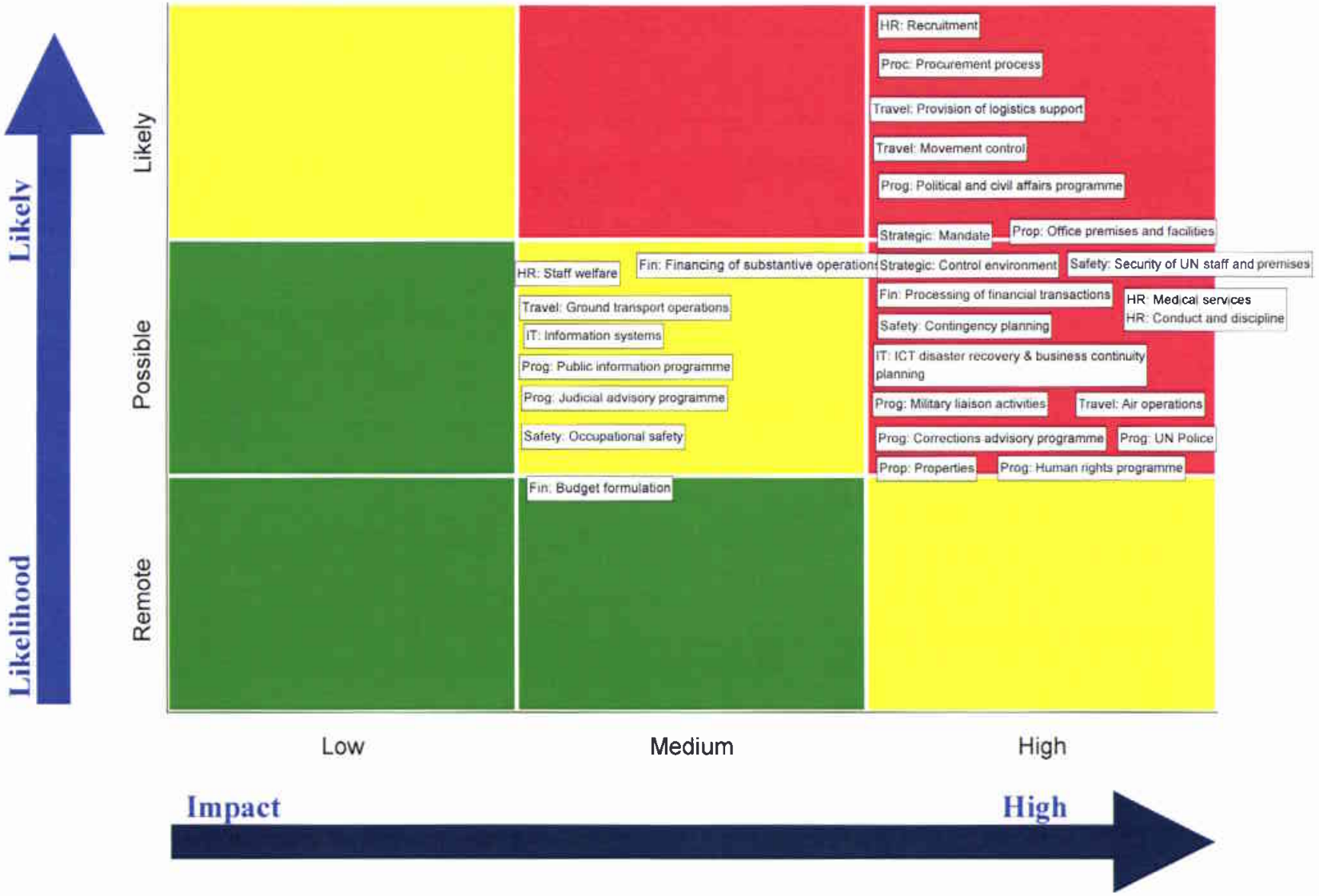
RISK SUMMARY PROFILE (Sub Focus Area)



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