



OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

RISK ASSESSMENT

**United Nations Mission in the
Democratic Republic of Congo
(MONUC)**

29 May 2009

Assignment No. AP2008/620/09

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: Alan Doss, Special Representative of the Secretary General
A: MONUC

DATE: 29 May 2009

REFERENCE: IAD: 09- 02513

FROM: Fatoumata Ndiaye, Acting Director
DE: Internal Audit Division, OIOS



SUBJECT: **Assignment No. AP2008/620/09 - Risk assessment of MONUC**
OBJET:

1. I am pleased to present OIOS' risk assessment of MONUC, which was carried out by the OIOS Resident Audit Office in July 2008 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 MONUC 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. Ross Mountain, Deputy Special Representative of the Secretary General, MONUC
Mr. Hany Abdel-Aziz, Director of Mission Support, MONUC
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
Mr. Moses Bamuwanye, Chief, Oversight Support Unit, Department of Management
Mr. Seth Adza, Audit Response Team, Depart of Field Support
Mr. Byung-Kun Min, Programme Officer, OIOS
Ms. Eleanor T. Burns, Chief, Peacekeeping Audit Service, 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 MONUC, 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	<ul style="list-style-type: none"> • Ross Mountain Deputy Special Representative of the Secretary General • Lt General Babacar Gaye Force Commander • Sudesh Kumar Police Commissioner • John Almstrom Chief of Staff • Hany Abdel-Aziz Director of Mission Support • Gilles Briere Chief, Integrated Support Services • Amadu Kamara Chief Administrative Services
Program and Project Management	<ul style="list-style-type: none"> • Lt General (Ret) Marc Caron SSR Coordinator • Harriet Solloway Director, Rule of Law • Nizar Sghaier Judicial Affairs Officer • Youssoupha Ndiaye Corrections Officer • Florianne De Sadeleer Senior Legal Adviser • Laurent Guepin OIC Civil Affairs Section • Gordon Wardley OIC, Conduct and Discipline Unit • Asseta Ouedraogo Chief, Gender Affairs Section • Frederic Cave Gender Officer • Anne-Murambi OIC HIV/AIDS Section • Christian R. Manahl OIC Political Affairs Division • Harouna Ouedraogo Director, Mine Action • Mario Zamorano Director, Public Information

Focus Area	Name and Functional Title
	<p>Division</p> <ul style="list-style-type: none"> • Carlos Valenzuela Director, Electoral Division • Charles Fotso DDR/RR Officer • Siria Maniam QIPS Program Manager • Sandra Reis Best Practices • Michele F. Alzouma Chief, Protocol Unit • Peter Mundala Protocol Officer • Omer K. Kalameu Human Rights Officer • Yvan Timnev Head of Office, Kisangani • Hamadi Diallo Coordinator, Electoral Section, Kisangani • Idrissa BA OIC, Civil Affairs Section, Kisangani • Catharina Goldschmidt Political Affairs Assistant, Kisangani • Marie Plamadiala OIC Human Rights, Kisangani
Safety and Security	<ul style="list-style-type: none"> • Brig. General Ishmael B. Quartey Commander, Western Brigade • Colonel Harzi Mohsen Deputy Commander, Western Brigade • Lt. Colonel Muller Oscar COS – Western Brigade • Maj. Charles Agyemang-Prempeh Assistant to Western Brigade Commander • Colonel Mukarram Staff Officer, DCOS Ops SP • Palguim Sambare Deputy Police Commissioner • Kouakou Koffi Serge Coordinator - FPU • Roger Arsenault Chief Security Advisor • Mamadou Diene Diouf Deputy Security Advisor

Focus Area	Name and Functional Title
	<ul style="list-style-type: none"> • Tekle-Tsadik Badjeba Administrative Assistant • Lt. Colonel Khan Muhammad Chief JOC • Maj. Noel O'Grady Staff Officer, JOC • Sebastian Fasanello Information Analyst • Lt. Colonel Mario Carrasco COS Sector 2, Kisangani • Franklin Owoo Regional Security Advisor, Kisangani • Danomah Antoine Chef de Secteur de la Police, Kisangani
Human Resource Management	<ul style="list-style-type: none"> • Susan Asomaning OIC Human Resource Section • Conira Koroma Human Resource Assistant • Bantar Tawe Medical Doctor • Marc Spurling UNV Programme Manager • Reisi Penagos UNV Administrative Officer • Dominique-Eve Weil Senior Staff Counsellor • Maria Grant Human Resource Assistant, Kisangani
Financial Management	<ul style="list-style-type: none"> • Walton David Deputy Chief Finance Officer • Mohamed W. Jalloh Budget Assistant • Paul Hawkins-Mensah OIC Finance, Kisangani
Logistics Management	<ul style="list-style-type: none"> • John Fox Chief Mission Support Center • Bruce McCaron Chief Engineering Officer • Mark Gibbons Deputy Chief Engineering Officer • Raymond Costello OIC MOVCON Section • Lawson Atkins OIC Transport Section • Marco Lopez

Focus Area	Name and Functional Title
	<p>OIC Aviation Safety</p> <ul style="list-style-type: none"> • Tomislav Ristov OIC Aviation • Abdoulaye Taher OIC Receiving and Inspection • Annissa Lebdjed Administrative Assistant, Field Office Management, Sector West • Claude Guillemette Field Office Manager, Kisangani • Marcel Djoumessi OIC Stores/Transport, Kisangani • Michael B. Kemokai OIC Logistical Operations, Mission Support Center, Kisangani • Irakli Zarandia Movcon Assistant, Kisangani • M. Farooq Sabir OIC Engineering, Kisangani • Ambo Abdul-Rashid Logistics, Kisangani • Narender Singh Property Disposal Assistant
Procurement and Contract Management	<ul style="list-style-type: none"> • Anatoli Ryaboi Chief, Contracts Management Section • Sebastien Billon Chief Supply Officer • Moisia Conteh Supply Assistant • Alpha Kallon Procurement Officer • Marius Gatta OUYABAKA OIC Supply, Kisangani
Information Technology Management	<ul style="list-style-type: none"> • Lawrence Minguell Chief Communications • Jorge Gregorio Chief Information Technology
Property Management	<ul style="list-style-type: none"> • John Elswick Chief, Property Management Section • Daniel Biart Chief, Internal Review Boards • Jane Louis Associate Report Writing Officer, Internal Review Boards • Joanne Malette PCIU Assistant

Focus Area	Name and Functional Title
	<ul style="list-style-type: none"><li data-bbox="971 233 1450 302">• Cristina Gavazzo OIC COE Unit

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. Strategic Management and Governance iii. Logistics Management iv. Programme and Project Management v. Property and Facilities management vi. Procurement and Contracts Management vii. Safety and Security	Higher Risk
i. Financial Management ii. Information Technology	Moderate Risk

Risk Assessment of : MONUC

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
I	Strategic Management			Possible	High	Higher Risk
	<p>A(i) The large size of the Democratic Republic of the Congo (DRC) in comparison to the military strength available, compounded with the difficult terrain, bad weather, and lack of road infrastructure, makes it difficult to effectively implement mandated tasks.</p> <p>A(ii) Inadequate analysis may result in a Security Council (SC) mandate not providing for the establishment of appropriate capacity to implement the necessary tasks including the increased demands to provide support to the Government of the Democratic Republic of the Congo (GoDRC) and the Forces Armées de la Republic Démocratique du Congo (FARDC) which may result in the inability to achieve mandated tasks and objectives.</p> <p>A(iii) MONUC may be blamed for failures of the FARDC to use force which the mandate allows against perceived government enemies. This may result in non-cooperation of the GoDRC.</p>	<p>Different levels of analysis and reviews of the SC mandate in place to ensure fair and accurate assessment of situation on the ground. Periodic updates, through the Secretary General's reports, provide assessment of situation on the ground.</p> <p>Regular dialogue with the Government of DRC and systematic involvement of national counterparts in decision making.</p>	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	Likely-hood	Impact	Overall Risk
	<p>A(iv) Lack of advocacy by responsible parties, high cost of the mission and lack of political will by the GoDRC may lead to failure to achieve the mandate.</p> <p>A(v) The inability of the GoDRC to build capacity such as police and judiciary and establish state authority in some key areas of the country may result in warring parties filling the void.</p> <p>A(vi) Inability to properly consider operations when dividing the Mission into eastern and western regions may result in inadequate support to activities especially substantive and military operations.</p> <p>D(i) Lack of coherence between the given mandate objectives/tasks and the situational means and resources to implement the mandate may result in the inability to effectively implement the mandate.</p> <p>B(i) Lack of confidence of MONUC' neutrality and perception of wrong doing by troops and personnel may result in the GoDRC asking MONUC to leave the country.</p> <p>B(iii) Lack of a clear framework on the integration of the UN country team where MONUC is required to provide support to agencies, may result in budgetary constraints on the Mission since many activities are not known at the</p>	<p>Periodic reports of the Secretary General (SG) given to the Security Council to provide an update on the progress made and difficulties encountered with proposed solutions.</p> <p>Peace initiatives and agreements signed e.g. Goma peace agreement, Nairobi Communiqué, etc</p> <p>Use of public information resources such as Radio Okapi and weekly press briefing to promulgate and clarify MONUC mandate and activities.</p> <p>Multilateral and bilateral assistance being sought through programs such as Country Assistance Framework (CAF), Poverty Reduction Strategy Program (PRSP), etc</p>	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	Likely-hood	Impact	Overall Risk
	<p>B(ii) Unwillingness of the GoDRC and armed groups to cooperate and the lack of coordination by all parties concerned compounded by lack of funds and resources may lead to failure of the DDR/RR program which may result in renewal of conflict and recruitment of demobilised ex-combatants.</p> <p>B(iii) Lack of a clear framework on the integration of the UN country team where MONUC is required to provide support to agencies, may result in budgetary constraints on the Mission since many activities are not known at the time of budget preparation which may negatively affect implementation of activities.</p>	<p>Stabilisation plan (UNSSSS) that facilitate the implementation of mandated activities.</p> <p>Strategic Planning Group (SPG) in place to review mandate activities.</p> <p>MONUC training initiatives in place to build capacity of the national army (FARDC).</p> <p>SPG and SMG (please state both in full) in place to align mandated objectives with approved budget.</p>	Governance	Possible	High	Higher Risk
	<p>B(iv) The GoDRC may ask MONUC to leave DRC due to internal government politics, political convenience and national electoral ploy to get foreigners out of the country.</p> <p>B(v) Lack of capacity of FARDC to establish state authority may result in the continued presence of the UN in DRC which may lead to high costs to the UN and the Mission being blamed for failure to bring peace to the DRC.</p>		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	Likely-hood	Impact	Overall Risk
	<p>B(vi) Lack of capacity and resources may hinder the GoDRC from building military capacity.</p> <p>B(vii) Lack of agreement on implementation steps among the parties to the Nairobi and Goma peace processes compounded with the lack of military capacity of the GoDRC may lead to failure to achieve peace and a resumption of conflict.</p>	<p>Different levels of analysis and reviews of the SC mandate in place to ensure fair and accurate assessment of situation on the ground.</p> <p>Periodic updates through the Secretary General's reports provide assessment of situation on the ground.</p> <p>SC mandate is in place which is passed by unanimous resolution.</p>	Governance	Possible	High	Higher Risk
	<p>E(i) Inability to adapt existing memoranda of understanding for contingents to changes in concept of operation may result in financial constraints on the Mission.</p> <p>E(ii) Continued presence of militias in some provinces especially the Kivus may cause disruption to the elections.</p> <p>E(iii) Failure to update the contingent MOU at the mission may lead to the inability of the Mission to maintain full command of all troops from various countries resulting in difficulties in moving troops to where they are required.</p>	<p>Stabilisation plan that facilitate the implementation of mandated activities is in place.</p> <p>SPG in place to review mandate activities.</p> <p>MONUC training initiatives in place to build capacity of the FARDC.</p> <p>SPG in place to align mandated objectives with approved budget.</p>	Operational	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	Likelihood	Impact	Overall Risk
	<p>E(iv) The expectations that MONUC should deal with armed groups using limited resources, may result in inability to achieve peace leading to criticism for the Mission.</p> <p>E(v) Lack of training, equipment and food for the FARDC may result in desertions and exacerbate the problems in east DRC and neighboring countries being drawn in the conflict.</p>		Operational	Possible	High	Higher Risk
II	Governance and Mission management			Possible	High	Higher Risk
	<p>B(i) Lack of coordination among sections compounded by staffing constraints, communication problems, insecurity in some locations etc, may result in failure to effectively achieve the mission's objectives.</p> <p>B(iii) Ineffective communication among senior management may result in misunderstanding, misconception and negatively impact on operations.</p> <p>B(iv) Inadequate integration among the various programmes of the mission may lead to gaps and failure to effectively implement mandated activities.</p> <p>B(v) Inadequate collective thinking of all management players to understand what is needed to accomplish MONUC objectives may hinder the decision making process.</p> <p>B(vi) Inadequate coordination among Military, UN Police and Security, may result in delayed or inappropriate reaction, casualties, etc</p>	<p>Management and working groups (SMT, SMG, SPG, POG, SSR, etc) in place to coordinate and harmonise planned activities and take necessary decisions.</p> <p>Mission Support Division has established structures and procedures to ensure effective coordination between sections for delivery of support</p>	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	Likely-hood	Impact	Overall Risk
	<p>F(i) The high cost of the military force coupled with pressures to downsize may lead to budgetary cuts for the mission resulting in failure to implement some mandated tasks and achieve peace in the DRC.</p> <p>E(i) Breakdown of peace in the east due to insufficient progress by peacekeepers and by insufficient troops may result in resumption of violence leading to failure to achieve peace initiatives in the country.</p>	<p>Multilateral and bilateral assistance being sought through programs such as Country Assistance Framework (CAF), Poverty Reduction Strategy Program (PRSP), etc</p> <p>Peace initiatives and agreements signed, e.g. Goma peace agreement, Nairobi Communiqué, etc.</p> <p>Stabilisation plan (UNSSSS) that facilitate the implementation of mandated activities.</p>	Human Resources	Likely	High	Higher Risk

Risk Assessment of : MONUC

2	Focus Area: Financial Management		Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
1	Budgeting		Possible	Medium	Moderate Risk	
	<p>D(i) Use of standard costs for budget preparation may result in shortfalls as costs change, which may adversely impact operations.</p> <p>D(ii) There may be errors in budget forecasting which may result in shortfalls and excesses in resources requested for</p> <p>D(iii) The rising cost of conducting operations for example fuel costs and exchange rate fluctuations may result in budget deficit and over runs.</p> <p>D(iv) Redeployment of funds from budgeted activities to meet unforeseen activities or unexpected cost increases may result in failure to effectively implement planned activities.</p>	<p>Budget preparation based on Controller's instructions require use of standard costs.</p> <p>The Director of Mission Support (DMS) instructions issued to Sections on budget preparation.</p> <p>Process in place where Budget Office reviews submissions by Sections before finalisation.</p> <p>Monthly monitoring reports are prepared.</p>	Financial	Possible	Medium	Moderate Risk
	D(v) Unforeseen costs which Member States may be unwilling to fund may arise as a result of operational changes such as the focus on the eastern region of the Democratic Republic of Congo (DRC).	DMS instructions sent to all Sections to obligate funds before end of financial period.	Financial	Possible	Medium	Moderate Risk
	<p>E(i) Failure to identify high spending areas that require strengthened financial controls and monitoring may result in the inability to make comparative analysis due to annual changes in budgetary components.</p> <p>E(ii) The inability to adequately budget for dynamic operational needs may lead to failure to effectively respond to critical mission needs.</p>	Annual performance and RBB reports produced and used for reviewing performance.	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	Likely-hood	Impact	Overall Risk
II	Finance			Possible	High	Higher Risk
	B(i) Lack of clarity in the delegation of authority for Regional Administrative Officers and Field Office Managers may result in failure to adhere to financial rules and regulations which may negatively affect financial reporting.		Governance	Possible	High	Higher Risk
	F(i) Delays in processing payroll for casual daily workers (CDWs) may result in threat to international staff, civil disobedience and strikes which may lead to a negative image for the Mission.	Process is in place where CDWs are paid by the 5th or latest 6th day following the month they worked, and the system seems to be working well so far.	Human Resources	Possible	High	Higher Risk
	<p>E(i) Lack of segregation of duties of certifying officers and bank signatories due to insufficient staffing in some offices away from the mission's Headquarters may lead to lapses in internal controls which may result in collusion and fraudulent activities</p> <p>E(ii) Lack of banking facilities in some locations may result in cash being picked up from airports and taken to offices by staff, exposing staff to robberies and fraudulent activities.</p> <p>E(iii) Inadequate physical security in some locations may result in losses due to robberies and thefts.</p>	<p>Instructions/guidelines have been issued to Field Offices where banking facilities are available.</p> <p>Cash delivery to MONUC at the airport is outsourced to the bank. From the airport, cash is escorted by either MONUC armed contingent troops or by security staff in armed vehicles.</p> <p>Insurance cover for cash is in place.</p> <p>All cash offices are securely protected by solid walls and bars. Alarms have also been installed in most offices. Requisitions have been raised for cameras and alarms for those offices in the Sectors which are not yet equipped by these features. All offices where contingents are located, have a member of the contingent guarding the premises where the cash office is located.</p>	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	Likelihood	Impact	Overall Risk
	<p>D(v) Inadequate knowledge and readiness for International Public Sector Accounting Standards (IPSAS) implementation may result in delayed and inaccurate financial statements.</p> <p>D(ii) The lack of clear guidelines and controls on the use of petty cash in the payment of personnel employed to sensitize combatants for the DDR process may result in fraudulent payments and financial losses to the Mission.</p> <p>D(iii) Lack of guidelines and controls on the funding and management of quick impact project funds may result in financial losses.</p>	<p>The CFO has attended annual meeting and briefings on the implementation of IPSAS in NY HQ. The HQ plans to conduct organized training courses before the implementation of IPSAS by year 2011, with the coordination of the CFO who has received adequate briefing on the subject.</p> <p>Petty cash guidelines are in place. Briefing provided to the custodians of the advances to be made to a DDRRR staff on personal accountability and personal financial responsibility of the use of funds. The staff recipients of these funds for DDRRR are aware of the requirements to report on monthly basis to the Finance Section on the use of the funds.</p> <p>Quick impact project (QIP) guidelines are in place. Process is in place where monthly meetings are held with the QIPs Manager on the status of financial reports expected from the implementing agencies and no subsequent advances are released on QIPs unless the previous advances have been accounted for.</p>	Financial	Possible	High	Higher Risk
	<p>D(iv) Long outstanding advance payments made on behalf of agencies may be written off as agencies dispute the amounts, which may result in the Mission financing other agencies activities at the expense of the planned Mission operations.</p> <p>D(v) Misstatements of the financial statements for the Mission may result in misguided decisions making.</p>	<p>Quick impact guidelines in place.</p> <p>Obligations are raised before advances are processed.</p> <p>Arrangements have been put in place requiring advance deposit by Agencies before services are delivered.</p>	Financial	Possible	High	Higher Risk

2	Focus Area: Financial Management		Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>G(i) Lack of Sun Accounting System in some field office locations in the Mission may result in errors, duplicate payments; delays in processing information due to use of manual systems, inability to timely detect and correct errors which may lead to inaccurate financial reporting.</p> <p>G(ii) Lack of interfaces between the Sun Accounting system and other systems such as Mercury and Progen may result in errors, omissions and delays in processing payments.</p> <p>G(iii) Failure to adequately archive and safeguard financial records may impede accountability and tarnish the reputation of the UN.</p> <p>G(iv) Lack of system in place to check the names of staff who have left the Mission against the payroll may result in fraudulent and double payments.</p> <p>G(ii) Misstatements of the financial statements for the Mission may result in provision of inaccurate information for decision making and loss of credibility of finance staff.</p>	<p>Most of the locations have Sun System. Offices with no Sun System are required to submit their daily activities on the same day by scanning documents to their regional offices where data is recorded in Sun System the next day.</p> <p>All invoices from vendors arrive in Finance after the purchase orders are already in Sun System and payments are made immediately. No delays or complaints have been reported and the system works well for the benefit of vendors and financial reporting.</p> <p>Financial records are archived on a daily basis.</p> <p>Measures currently in place in the Payroll Unit require verification of payroll list from Personnel Section against the previous month's payroll to reconcile the payroll list against the existing data base in Finance. A payroll verification exercise is also undertaken to mitigate the risk of duplication</p>	Information Resources	Possible	High	Higher Risk

2	Focus Area: Financial Management		Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
III	Finance - Field Office		Possible	Medium	Moderate Risk	
	<p>F(i) Inadequate international staff in Finance Section may lead lack of segregation of duties which may result in errors and irregularities.</p> <p>F(iii) Lack of training in the Sun System by staff may result in errors not being detected which may lead to inaccurate information for reporting and decision making.</p>		Human Resources	Likely	Medium	Higher Risk
	<p>E(i) Lack of coordination with regional offices may result in delays in bank replenishments may negatively impacts payments and operations of the field office.</p> <p>E(ii) Lack of certifying officers and bank signatories due to staff movement within and outside the mission compounded with delays in approving proposed replacements may result in delays in processing payments as documents have to be sent to Goma or Kinshasa for certification before payment and inability to make payments above threshold for cheque payments.</p>	<p>The Chief Cashier in Kinshasa monitors daily cash balances of all bank accounts in the mission and initiate appropriate bank replenishments.</p> <p>Other certifying officers are called upon to support the office in question.</p> <p>Movement of certifying officers and bank signatories are closely monitored and requests sent for addition or deletion to panels.</p>	Operational	Possible	Medium	Moderate Risk

Risk Assessment of : MONUC

3	Focus Area: Human Resource Management		Likely	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely hood	Impact	Overall Risk
1	Human Resource Management			Likely	High	Higher Risk
	A(i) Slow policy formulation by DPKO in areas such as promotion of Field Service (FS) posts may lead to difficulties in human resource management resulting in staff dissatisfaction.		Strategy	Likely	High	Higher Risk
	<p>F(i) Failure to harmonise conditions of service may result in dissatisfaction among staff leading to high turnover.</p> <p>F(ii) Senior staff may leave the Mission and seek stable and family duty stations as a result of the designation as non-family duty station.</p> <p>F(iii) Lack of career development and poor work-life balance may result in high staff turnover in the Mission.</p>		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	Likely hood	Impact	Overall Risk
	<p>F(iv) Promotion rules for the FS category may constrain FS staff from being promoted resulting in dissatisfaction and high staff turnover.</p> <p>F(v) High vacancy rate may result in existing staff being overburdened with work leading to stress which may negatively affect their performance and output.</p> <p>F(vi) Biased ratings and favoritism in the e-PAS system may lead to dissatisfaction among staff and negatively impact productivity.</p> <p>F(vii) Insufficient capacity within the Personnel Section may lead to delays in filling posts and in administering benefits</p> <p>F(viii) The current 8-week ORB cycle exacerbates the staffing constraints for the Mission in that only half the staffing strength is available at any given time which has a negative effect on the operations of the Mission.</p> <p>F(ix) Insufficient staff especially at managerial and supervisory levels may negatively impact mission operations.</p>	<p>Staff requested from other offices and missions on TDY.</p> <p>ORB cycle in place to provide rest to the staff.</p> <p>Rebuttal process is in place.</p>	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	Likely hood	Impact	Overall Risk
	<p>F(x) The lengthy justice system in the UN may result in delays in finalizing disciplinary proceedings against staff members which may lead to perception of impunity for wrong doings.</p> <p>F(xi) Poor conditions of service for staff may impede the ability of the Mission to attract candidates to the Mission or achieve gender balance and diversity.</p> <p>F(xii) A high turnover among senior staff in the Mission may result in loss of institutional memory and lack of effective management of planned activities.</p> <p>F(xiii) Inadequate staff in substantive sections compounded with insecurity in the DRC may result in the inability to achieve the planned mandated activities.</p> <p>F(xiv) Inability to amicably resolve the grievances of national staff including casual daily workers (CDWs) may result in strikes and impede the operations of the Mission.</p> <p>F(xv) The recruitment process in the UN is lengthy, leading to high vacancies in the Mission which has a negative impact on implementation of planned work.</p>		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	Likely hood	Impact	Overall Risk
	<p>G(i) The unavailability of the IMIS and Matrix systems in the field offices may negatively affect the decentralization of functions to the field since documents have to be sent to Kinshasa for processing resulting in duplication of work, delays and inefficiencies.</p> <p>G(ii) The inaccessibility of IMIS until evening due to time differences with UNHQ may result in delays in processing information and staff working very late in the night to meet targets.</p>	Documents are sent to Mission Headquarters for data input in electronic systems.	Information Resources	Possible	High	Higher Risk
	<p>E(i) Requirement for French speaking staff for positions at P5 and above may limit the pool of potential candidates and departure of existing staff who may not meet the requirement.</p> <p>E(ii) The lengthy recruitment process may result in high vacancy rate for the Mission, which may in turn impede programmes delivery.</p> <p>E(iii) Lengthy justice system in the UN may result in delays in finalizing disciplinary proceedings against staff members which may lead to perception of impunity for wrong doings.</p>		Operational	Likely	High	Higher Risk
II	National Staff and Casual Daily Workers (CDW)			Likely	High	Higher Risk
	F(i) Inability to verify the credentials of national staff due to lack of resources and the lengthy process involved may lead to recruitment of unqualified and inexperienced staff. This may negatively impact on programmes.	<p>Participation of national staff on salary surveys to determine appropriate levels of remuneration package.</p> <p>Dialogue and consultations including UNHQ involvement to resolve grievances with national staff and CDWs is in place.</p>	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	Likely hood	Impact	Overall Risk
	<p>E(i) Retaining the CDW services may be unsustainable as CDWs regard themselves as UN staff members and may demand privileges and benefits which if not met may result in strikes/violence and tarnished UN image.</p> <p>E(ii) Inability to include CDWs in conduct and discipline training as they are not classified as UN staff result in misconduct for CDWs which may lead to financial and reputation loss to the mission.</p>	Proposals in place to outsource the services of CDWs.	Operational	Likely	High	Higher Risk
	C(i) Use of CDW for extended periods of time may result in noncompliance with local laws.	A competitive interview process is in place and e-pas corrects future performance problems.	Compliance	Likely	High	Higher Risk
	<p>E(ii) Labour unrest may occur if outsourcing the services of CDW does not guarantee that contractors employ the present CDWs and pay them the wages paid by the UN.</p> <p>E(iii) Use of CDW for essential services such as security, fuel management, water purification and air passenger handling may result in disruption in operations resulting from strikes or other unrest.</p>		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	Likely hood	Impact	Overall Risk
III	Human Resources - Field Office			Possible	High	Higher Risk
	B(i) Lack of oversight of regional offices by the Mission Support Management may result in poor performance, which may lead to non-achievement of objectives of decentralization.	Regular visits by Section Chiefs and senior management to regional offices to monitor operations. Periodic meetings of Heads of Offices and Field Office Managers are in place.	Governance	Possible	Medium	Moderate Risk
	F(i) Use of national staff to carry out key tasks in substantive sections such as Political Affairs may lead to pressure and threats on the staff, the mandate not being clearly articulated and inability to obtain information from the government on the implementation of activities as the national staff may not be taken seriously by local authorities. F(ii) Lack of promotion and other benefits may lead to high staff turnover, which may negatively impact the implementation of planned activities. F(iii) Lack of promotion and training opportunities for national staff, leads to dissatisfaction, low morale and strikes which may negatively impact the quality and quantity of work performed.	Post classification and salary review have been completed. New management techniques including expansion of opportunities to serve on TDY, as UNVs and international staff being explored.	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	Likely hood	Impact	Overall Risk
	<p>F(iv) CDWs may be paid when there is no work for them to do, which may result in financial loss to the Organisation.</p> <p>F(v) High vacancy rates compounded by the 8 week ORB cycle where half the staff are out of the Mission area may result in staff who are not technically qualified to administer functions in other sections which may negatively impact the performance of the sections.</p> <p>F(vi) Lack of transparency in the promotion process which is dependent on staff relations with the supervisor, compounded with the perception that the interview process is a window dressing exercise may result in frustration and dissatisfaction among staff.</p> <p>F(vii) Inadequate staffing in Personnel Section may negatively impact maintenance of personnel records such as leave cards, contract renewal and administration of entitlements which may result in erroneous payments being made.</p>		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	Likely hood	Impact	Overall Risk
	<p>G(i) Lack of information on assignments of limited duration (ALD) posts for conversion may result in failure to timely and effectively implement necessary procedural steps such as pre-selection tests which may lead to delays in recruitment and dissatisfaction among staff.</p> <p>G(ii) Lack of IMIS system in the regions compounded by the availability of internet facility for a few hours in the evenings may result in the inability to update time and attendance sheets and delays as information has to be physically sent to Kinshasa for updating records.</p>		Information Resources	Likely	Medium	Higher Risk
	E(i) There may be delays in processing payroll related documents physically sent to Kinshasa from the regions which may lead to omissions in the payroll and consequently disappointment on the part of staff.	Payroll functions are being increasingly decentralized to address this problem.	Operational	Possible	Medium	Moderate Risk
IV	United Nations Volunteers			Possible	Medium	Moderate Risk
	<p>F(i) Failure by UNV staff to adequately perform their duties may negatively affect MONUC operations especially in some key areas such as medical, aviation and water treatment.</p> <p>F(ii) Failure to recruit qualified UNVs in a timely manner may negatively affect MONUC operations.</p> <p>F(iii) Low morale of UNVs who expect to secure international posts with the UN, especially those who have served MONUC for many years, may negatively affect their performance.</p>	<p>Screening process in place to recruit qualified staff.</p> <p>Performance appraisal system is in place.</p> <p>Some of the long serving UNV staff are recruited as international staff.</p>	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	Likely hood	Impact	Overall Risk
V	Staff Counselor			Possible	Medium	Moderate Risk
	<p>F(i) Inadequate staffing in the Staff Counseling Unit may result in inability to provide adequate and effective counseling services to mission personnel.</p> <p>F(ii) Staff Counselors services may be abused and used for unethical practices where chiefs want to use the Staff Counselor to get rid of staff members who are considered to be problematic.</p>	<p>Credibility of counselors is maintained through professionalism.</p> <p>All staff counselor are fully briefed on possible manipulation. When they face difficulties e.g. in conflict resolution cases they can call on their supervisor and CAS.</p>	Human Resources	Possible	High	Higher Risk
	<p>E(i) Lack of understanding of the services of the Staff Counselors may result in staff not using the services.</p> <p>E(ii) Inability to maintain confidentiality by Staff counselors may result in the staff avoiding the use of the counselors.</p>	<p>Information disseminated to staff including use of intranet and pamphlets. Induction and regular trainings given by the Staff Counselor explains the role of the Staff Counselors.</p> <p>Reliance is placed on staff members to request for counseling services.</p> <p>Staff records safeguarded to maintain confidentiality.</p> <p>Information is shared among Staff Counselors only when needed for better psychological support</p>	Operational	Possible	Medium	Moderate Risk
	<p>B(i) Lack of coordination with Security Section may result in failure to provide counseling services to staff at the time of incidents and accidents leading to non-assessment of staff members/victims on timely basis.</p> <p>B(ii) Lack of coordination between the Medical Section and Staff Counselor may result in staff not being adequately treated.</p>	<p>Staff Counselor also participates in crisis management meetings.</p> <p>Procedures to facilitate referral of cases to both Medical and Staff Counselor is in place. Staff Counselor also visits UN hospitals to provide support to hospitalized personnel.</p>	Governance	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	Likely hood	Impact	Overall Risk
VI	Medical Services			Possible	Medium	Moderate Risk
	<p>A(i) Inadequate medical personnel to attend to patients may result in long queues at medical clinics leading to dissatisfaction among staff and loss of productivity.</p> <p>A(ii) Limited language skills of medical personnel may result in ineffective communication with patients which may result in incorrect diagnosis and treatment. This could result in damage to the UN reputation.</p>	<p>Galaxy system used for recruiting personnel.</p> <p>Practice in place where nurses called to assist with communication.</p>	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	Likely hood	Impact	Overall Risk
	<p>E(i) Inadequate management of the pharmacy may result in expiry of drugs leading to wastage of resources as well as putting the life of staff members at risk.</p> <p>E(ii) Medicines may not be adapted to common diseases in the country resulting in ineffective treatment and endangering the lives of personnel.</p> <p>E(iii) Inadequate controls may result in medicines being stolen from the pharmacies resulting in shortages and financial loss to the mission.</p> <p>E(iv) Non-availability of laboratory and test kits may result in delay in diagnosis and treatment of patients.</p> <p>E(v) Specimens may be mixed and erroneously exchanged leading to incorrect diagnosis resulting in wrong treatment and endangering the lives of personnel.</p> <p>E(vi) Medical staff may be infected while attending to patients or careless handling infectious specimens which may lead to spread of diseases.</p>	<p>A record of expiry dates is maintained in weekly inventory counts.</p> <p>Pharmacist and procurement section coordinate for proper request of medications.</p> <p>Warehouse facilities used and premises are protected by MONUC Security. Access to warehouse limited to authorized personnel only. Exit of medications from the warehouse must be accompanied by an authorized voucher.</p> <p>Referrals are made to private laboratory facilities. Procurement process is used for acquisition of test kits.</p> <p>Procedures are in place that require labelling specimens for identification purposes.</p> <p>Procedures in place requiring medical personnel to be professional and use protective gear at all times.</p> <p>A system of double checking specimens and results put in place at the laboratory to avoid mistakes.</p> <p>Professionalism of medical personnel, and system of referral and counter referral for better diagnosis and management is in place.</p>	Operational	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	Likely hood	Impact	Overall Risk
	<p>E(vii) Incorrect laboratory results may lead to incorrect diagnosis and treatment and psychological impact on personnel. This may negatively impact the reputation of the UN.</p> <p>E(viii) Inaccurate diagnosis and treatment may result in patients not recovering, loss of life and litigation.</p> <p>E(ix) Delays in evacuating patients to level three hospitals may lead to medical complications and loss of lives.</p> <p>E(x) Allergic reaction to vaccinations and medicines may lead to complications and endanger the lives of personnel.</p> <p>E(xi) Lack of appropriate standards in contracted local clinics in locations where there is no UNOE or COE clinics may result in inadequate treatment and exposure to infectious diseases.</p> <p>E(xii) Emerging diseases may not be adequately treated due to lack of information and preparedness resulting in loss of lives.</p>	<p>Proactive nature and professionalism of doctors in the field.</p> <p>Special flights are arranged for serious medical cases. Procedures for evacuating staff to level 3 hospital in place.</p> <p>Procedures in place to attend to such emergencies.</p> <p>Contracted hospitals meet UN standards. Regular updates on new medical information.</p> <p>Training and recycling of medical personnel in place.</p>	Operational	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	Likely hood	Impact	Overall Risk
	<p>E(xiii) Outbreaks of epidemic diseases and area specific diseases such as Ebola may adversely affect the mission operations.</p> <p>E(xiv) Inadequate medical facilities in the country may result in the population demanding access to MONUC medical facilities which may lead to criticism and violence if not provided.</p> <p>E(xv) Some doctors may lack adequate exposure to tropical and country specific diseases which may result in incorrect diagnosis and treatment leading to ineffective treatment and possible loss of lives.</p>		Operational	Possible	High	Higher Risk
	G(i) Unauthorized access to confidential patient information may result in breach of confidentiality and loss of integrity in UN medical service.	<p>Use of passwords to restrict access to information is in place.</p> <p>Only authorised medical staff are allowed to handle medical files. No file leaves the medical archives unit without the prior signature of the Chief Medical Officer.</p>	Information Resources	Possible	Medium	Moderate Risk
	A(i) Joint operations with the FARDC in combat zones may result in increase in medical and case evacuations which may expose UN personnel and air assets to security threats.		Strategy	Possible	High	Higher Risk

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4	Focus Area:	Procurement and Contract Administration		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
1	Procurement			Possible	High	Higher Risk
	D(i) The mission may procure goods at higher prices as a result of price fixing among suppliers, resulting in failure to achieve best value for money.	International and local competitive bidding is conducted to mitigate price fixing by suppliers.	Financial	Possible	High	Higher Risk
	B(i) Misconduct of procurement staff by taking kickbacks, bribes and benefits in kind may result in loss of credibility, negative publicity and undermine the procurement process. B(ii) Procurement staff deployed for too long in a mission may result in favouritism and leakage of confidential information to help vendors win bids as they become too familiar with vendors.	Zero tolerance is enforced on kickbacks, bribes and undue benefits for all procurement staff. Rotation of staff within the Procurement Section. Ethics training provided to procurement staff. Financial disclosure required of all procurement staff.	Governance	Possible	High	Higher Risk

4	Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) Differences in what constitutes priorities between UN Headquarters and MONUC may result in delays in procurement of essential goods and services which may negatively impact operations in the Mission.</p> <p>E(ii) Lack of flexibility in UN systems contracts to adapt specifications of assets such as motor vehicles to the local conditions of the DRC compounded by the need to comply with UN asset replacement policy may result in frequent replacements which may lead to high cost to the Mission.</p> <p>E(iii) Failure to follow up purchase orders may result in delays in delivery of required goods and services which may negatively affect the implementation of planned activities.</p> <p>E(iv) Procurement by MONUC of large quantities of food items in the local market may result in food price increases which may have a negative impact on the local economy.</p>	<p>The Mission has delegated authority to procure core and special requirements up to US\$1.0M and US\$0.5M respectively. Procuring via UNHQ system contracts reduces lead times, and secures economies of scale. Local Procurement authority is granted for urgent requirements available in mission area. Forward planning by Requisitioners reduces lead time.</p> <p>The Procurement processing and administrative Unit expedites all purchase orders issued, and efforts are being made to strengthen this unit.</p>	Operational	Possible	High	Higher Risk

4	Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(v) The lack of adequate manufacturers and contractors in the local market where vendors mostly operate as middle men of goods sourced internationally leads to prolonged lead times in the procurement process resulting in delays in the supply of goods.</p> <p>E(vi) Lack of penalties in procurement contracts or the unwillingness of the Mission to penalize vendors for not complying with contracts may result in vendors delaying the delivery of goods and services. This may negatively impact on programme delivery.</p> <p>E(vii) Procurement of goods and services may be delayed because of failure to identify appropriate vendors resulting in shortages of goods and delays in implementing planned programs.</p> <p>E(viii) Award of contracts for supply of goods and services to vendors based in or having relations with countries that were involved in conflicts with the DRC may result in operational problems for the Mission due to denial of appropriate permits.</p>	Procurement Section simultaneously invites both local and international vendors in bidding processes to minimize the use of middlemen.	Operational	Possible	High	Higher Risk

4	Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i) High vacancy rate in Procurement Section results in failure to implement critical activities such as updating vendor database, holding supplier conferences, following up purchase orders which negatively affect the procurement process.</p> <p>F(ii) Inability to rotate local staff working in Procurement Section compounded with the high vacancy rate of 45% may result in enhanced possibilities of fraudulent activities taking place which may negatively impact procurement activities.</p> <p>C(i) Payments may be made to suppliers without requisitioners certifying the transactions in Mercury which may result in payment for goods not received.</p> <p>C(ii) Procurement staff may manipulate the list of vendors who actually receive solicitation documents for procurements resulting in compromise to the procurement process and fraud.</p> <p>C(iii) Failure to properly prepare requisitions and evaluate bids may lead to delays in the procurement process.</p>	<p>Galaxy system used for recruitment.</p> <p>Tiger team used when appropriate and need arises.</p> <p>Efforts are ongoing to implement rotation of national staff in Procurement at the earliest.</p> <p>Invoice processing is now managed by Finance Section which ensures payments are made only for services/goods received.</p> <p>The vendor list generated by a Buyer is reviewed by the Unit Chief. Internal checks are conducted as per UN Procurement Manual before authorizing the list.</p> <p>Requisitioners are required to submit requisitions, and conduct timely technical evaluation.</p>	Human Resources	Possible	High	Higher Risk
	<p>G(i) Failure of requisitioners to enter all required information in the Mercury System may result in incomplete data on procurement action and lead to difficulties in tracking procurement processes.</p>	<p>Requisitioners are required to submit requisitions, and conduct timely technical evaluation.</p>	Information Resources	Possible	High	Higher Risk

4	Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	Receiving and Inspection		Possible	High	Higher Risk	Higher Risk
	<p>C(i) Failure to ensure that rejected imported goods are sent back to the Supplier or that duties are paid before being sold in the local market may result in violation of the Status of Forces Agreement (SOFA), litigation and negative publicity for the Mission.</p> <p>C(ii) Preparation of R&I reports without physical verification of goods such as fuel and water may lead to fraudulent certification and payments resulting in losses to the UN.</p>	<p>Suppliers are required to produce proof of customs duty clearance before collection of goods.</p> <p>Use of DHL which has a tracking system to verify return of goods to supplier.</p>	Compliance	Possible	High	Higher Risk
	<p>E(i) Inability of staff to provide technical information on acceptability of goods procured may result in delays and have a negative impact on operations.</p> <p>E(ii) Nonconforming goods may be accepted from vendors. This may delay the implementation of planned activities.</p> <p>E(iii) Inadequate warehouse facility for storing rejected goods may lead to damages and losses of good which may result in financial liability to the Mission.</p> <p>E(iv) Lack of equipment such as forklifts may result in delays in inspection of goods which may negatively affect operations due to unavailability of required goods.</p>	<p>Reliance is placed on certifying officers for receipt of goods.</p> <p>System is in place for communicating dates and times for verification and inspection of goods.</p> <p>Assistance sought from Self Accounting Units (SAUs) to verify compliance with technical specifications.</p> <p>The R&I unit maintains records of unsolicited and rejected products for Procurement to clear with the vendors.</p> <p>Equipment is borrowed from other sections such as MovCon or Supply.</p>	Operational	Possible	High	Higher Risk

4	Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(v) Lack of clear guidelines on activities such as claims may result in gaps and confusion on whether Procurement Section or the requisitioner takes the lead in processing claims, which may lead to losses to the UN.</p> <p>E(vii) Inadequate controls may result in thefts and pilferage while goods are in the custody of R&I which may result in losses to the UN.</p> <p>E(viii) Use of some terms such as FOB and FCA may result in discrepancies such as damaged or short deliveries not being recovered from the Suppliers which may result in losses to the UN.</p>	<p>Purchase orders and contracts used compare specifications.</p> <p>System is in place to communicate with Procurement Section on returned goods.</p> <p>Restricted access to authorised personnel only.</p> <p>MONUC Security guards premises.</p>	Operational	Possible	High	Higher Risk
	B(i) Lack of coordination with Movcon and SAUs for receiving and inspection of goods may result in delays, waste of time and negative impact on operations due to unavailability of required goods.	Advance delivery notice procedures in place to inform all concerned which mitigates delays.	Governance	Possible	Medium	Moderate Risk

4	Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
III	Supply Section		Possible	High	Higher Risk	Higher Risk
	<p>E(i) Lack of strategic fuel reserves compounded by disruptions in the supply chain leading to shortages and the Mission finding alternatives and costly routes including airlifting fuel imports may result in increased financial burden on the mission.</p> <p>E(ii) Differences in interpretation of contract provisions may result in contractors refusing to sign the contract leading to shortage of fuel.</p> <p>E(iii) Thefts may occur especially for attractive goods such as fuel that may result in losses to the UN.</p> <p>E(iv) Long lead times in supply of goods and services may cause inordinate delays in procurement which may adversely affect the support services provided by the Supply Section.</p> <p>E(v) Duplications in the verification and certification of invoices which involves many Sections may result in procedural inefficiencies, loss of discounts and delays in processing payments to vendors.</p> <p>E(vi) Thefts and sale of rations on the local markets may r</p> <p>E(vii) Failure by contractor to supply and meet critical stock</p>	<p>Alternative routes being used for supply of fuel albeit costly. More cost-effective options such as rail delivery are increasingly used. The new rations contract effective 11 March 2009 includes detailed requirements for reserve stock holdings and punitive stipulations in case of failure by the contractor.</p> <p>Contract negotiation process with vendors in place.</p> <p>Military and security used to guard fuel fields. Use of car log system to capture vehicle refuelling information is in place. Use of MEFAS to monitor fuel.</p> <p>Regular briefings after rotations, during bi-annual food conferences and periodical reminders are done to sensitize all involved in the matter. Use of UNHQ systems contracts and both UNHQ and local vendor databases for identification of vendors.</p> <p>The process has been streamlined whereby the SAU confirms satisfactory receipt of goods and services requested and CMS certifies for payment</p>	Operational	Possible	High	Higher Risk

4	Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>D(i) Delays in payments to vendors may result in vendors refusing to supply the Mission with fuel which could lead to disruptions in planned activities.</p> <p>D(ii) Inflation and fluctuations in exchange rates may reduce budgeted cost for supplies such as fuel, resulting in decrease in the quantities purchased from the approved amounts which may negatively impact operations.</p>	<p>Procedure is in place for Finance Section to make payment in accordance with the terms and conditions of the contract after certification of appropriate invoices by relevant Units/Sections.</p> <p>Redeployment of funds to meet unexpected cost increases with the approval of the Controller.</p>	Financial	Possible	High	Higher Risk

4	Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IV	Contracts Management Section		Possible	High	Higher Risk	
	<p>E(i) Lack of clearly defined mechanism for fuel pricing in the use of Platt's index may result in the Mission procuring fuel at higher prices than budgeted.</p> <p>E(ii) Lack of clear guidelines on responsibilities over management of air charters between Aviation and CMS may result in failure to ensure compliance with administrative terms and conditions.</p> <p>E(iii) Untimely response in addressing issues for UNHQ contracts such as Aerodrome contracts may result in disputes not being resolved with contractors.</p> <p>E(iv) Lack of support and guidance from DPKO/LSD/OLA on major contractual issues such as insurance legitimacy may result in weakened local UN position and exposure for certifying officers.</p>	<p>As interim measures, an average Platt's Index Quotation for preceding delivery month is used for FINA Congo Contract (including Total Uganda Ltd) as approved by Procurement.</p> <p>Database of bill of laden maintained which is used for comparison with vendor invoice submissions.</p> <p>Information requested on long-term Air Charters is shared between CMS and Aviation to reduce CMS oversight of administrative and non-technical aspects pertaining to said agreements.</p> <p>Procedures approved by the Controller and in DPKO/DFS manual are in place to be adhered to.</p> <p>Surveillance activities, including process compliance and performance of aviation contractor are managed by UNHQ as part of the Quality Assurance programme.</p>	Operational	Possible	High	Higher Risk
	D(i) Lack of understanding of financial regulations between UN organisations in the same funding basket may lead to payment of exempted charges such as administrative fees.		Financial	Possible	Low	Lower Risk

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5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
I	Mission Support			Possible	Medium	Moderate Risk
	<p>E(i) Inadequate assessment of support capabilities available may result in setting unrealistic time frames for support providers.</p> <p>E(ii) Failure by the military to understand limitations in providing logistical support to them may lead to unrealistic demands resulting in negative impact on operations.</p> <p>E(iii) Deployment to other locations requiring logistical support may be delayed as a result of insufficient resources such as materials resulting in delayed implementation of planned activities.</p> <p>E(iv) Lack of road infrastructure compounded with the fragmentation of the military contingents results in air lifting fuel, water and other support logistics at high cost to the Mission which is uneconomical.</p>	<p>Management groups such as SMG, SPG and POG formed to coordinate decision making.</p> <p>Integrated planning and monitoring in place to maximise use of available resources.</p>	Operational	Possible	Medium	Moderate Risk
	G(i) Lack of adequate and timely provision of information required for proper planning of operations especially for military personnel may lead to casualties and inability to provide the requisite support.	Management groups such as SMG, SPG and POG formed to coordinate decision making.	Information Resources	Possible	Medium	Moderate Risk
	F(i) Inadequate human resources may negatively affect implementation of planned activities as deployment to other locations may require logistical support that the centre may not be able to provide.	Integrated planning and monitoring in place to maximise use of available resources.	Human 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	Likely-hood	Impact	Overall Risk
II	Movement Control		Possible	High	Higher Risk	
	<p>A(i) Lack of an operational plan to facilitate logistical support planning may result in ad hoc logistical support which may be cost prohibitive.</p> <p>A(ii) Lack of UN-wide strategy to guide MovCon operations may result in inconsistencies in practices and inadequate guidance for operations especially for areas such as handling dangerous goods.</p> <p>A(iii) Lack of knowledge of logistics requirements may result in memoranda of understanding being signed with Police/Troop Contributing Countries (P/TCCs) without commensurate logistic resources.</p>	<p>Stabilisation plan and individual section plans being used.</p> <p>Management groups such as SMG, SPG and POG formed to coordinate decision making.</p> <p>SOPs formulated in the Mission that guide staff in the performance of work.</p> <p>Redeployment of funds to meet unexpected cost increases with the approval of the Controller.</p>	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	Likely-hood	Impact	Overall Risk
	<p>E(i) High number of unserviceable contingent owned equipment results in additional costs to the Mission in support of contingents.</p> <p>E(ii) Inappropriate rules and regulations for procurement that were designed for headquarters result in frustration as immediate requirements take a minimum of six months to procure which negatively impact dynamic peacekeeping operations.</p> <p>E(iii) Unauthorized persons may use MONUC flights for personal reasons which may lead to misuse of MONUC air resources and legitimate users being denied opportunity.</p> <p>E(iv) Inability to coordinate the timely movement of personnel and cargo may result in delays in deployments and provision of support.</p>	<p>Reimbursement amount for particular unserviceable equipment withheld from TCC reimbursements.</p> <p>Dialogue between DFS/DPKO and Permanent Missions at UNHQ urging servicing of equipment.</p> <p>Procurement rules and regulations in place and being followed. Delegation of authority to procure core requirements provides some needed flexibility.</p> <p>Electronic movement of personnel (e-MOP) and identification cards used to monitor passengers.</p> <p>Electronic movement of personnel (e-MOP) and electronic cargo movement (e-CMR) systems in place to streamline movement of personnel and cargo.</p>	Operational	Possible	High	Higher Risk
	<p>F(i) Shortage of staff may force current workforce to work for extended periods without taking leave which may result in high stress and consequently adverse effects on operations.</p> <p>F(ii) Lack of clearly defined qualifications and skills for staff working in Movement Control (MovCon) compounded with absence of specific logistics courses and inadequate budgetary provision for training may result in difficulties in recruiting appropriate staff.</p>	<p>Work is assigned to available staff.</p> <p>On-the-job training provided to staff.</p>	Human 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	Likely-hood	Impact	Overall Risk
	B(i) Poor air safety records for the DRC commercial air carriers may result in increased demand by non-MONUC staff for UN air assets which may negatively impact MONUC air operations for MONUC staff.	Procedures in place where SRSG should approve external party requests to use UN air assets. A review of the priority of non-MONUC passengers is ongoing.	Governance	Possible	High	Higher Risk
III	Aviation and safety			Possible	High	Higher Risk
	<p>E(i) Inability to access remote locations by surface transportation increases the reliance on air assets which if not adequate could result in inadequate delivery of supplies and movement of personnel.</p> <p>E(ii) Inadequate aerodrome layout especially taxiway routing compounded with the high congestion of the main airports and apron areas, mixture of fixed and rotary wing aircrafts, building and structure design that limits the line of sight, etc may result in airport incursion and accidents.</p> <p>E(iii) Inadequate visual aids such as signs marking and lighting, compounded with lack of adherence to established procedures especially at uncontrolled airports may result in accidents leading to loss of life and damage to air assets.</p>	<p>Management groups such as SMG, SPG and POG formed to coordinate decision making.</p> <p>MONUC ground handling services in place to guide planes.</p> <p>Reliance placed on pilot experience and expertise.</p> <p>Flights not undertaken when weather conditions are not conducive.</p>	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	Likely-hood	Impact	Overall Risk
	<p>E(v) Absence of formal safety programs in the GoDRC compounded with inadequate regulatory functions such as licensing and surveillance, inadequate resources and capacity in the national civil aviation authority results in lack of regulatory safety audits, unregulated and non-scheduled flight operations, and no proper air traffic control at airports. This may lead to accidents.</p> <p>E(vi) Use of some aircrafts such as jets in some locations such as Goma with limited runway compounded by the lack of proper air traffic control and inadequate visual aids may results in accidents leading to loss of lives and damage to aircraft.</p> <p>E(vii) Failure by the GoDRC to enforce air regulations compounded by inadequate maintenance of airports may result in accidents and loss of lives</p> <p>E(viii) Inadequate rescue and fire fighting equipment may lead to inability to put out fire and carry out other rescue operations in case of accidents.</p>	<p>Training on safety programs being arranged by MONUC.</p> <p>Mobile fire extinguishers being used.</p> <p>Fire Unit (under Aviation Section) is planning to acquire mobile fire trailers for secondary airfields.</p> <p>Periodic reminders being sent to GoDRC on need to implement security and safety measures.</p> <p>Regular briefings by Aviation Section and Aviation Safety to crew members to make them aware of the risks.</p> <p>Use of x-ray and physical inspection of cargo and baggage in place.</p>	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	Likely-hood	Impact	Overall Risk
	<p>E(ix) Runway incursions by local populations due to absence of airport perimeter fencing may endanger the lives of passengers and increase the probability of accidents.</p> <p>E(x) Possibility exists that unauthorised and dangerous goods may be brought on-board UN flights which may endanger the lives of passengers and impede the safety of aircrafts.</p> <p>E(x) Inadequate scrutiny of NGOs and UN agencies requests to use MONUC air assets may lead to the use of air assets for activities that are not in support of MONUC's mandate and denial of service to legitimate users.</p> <p>E(xi) Lack of feedback to NGOs and UN agencies staff on changes in flight bookings and cancellations may lead to frustration and dissatisfaction resulting in non-implementation of planned activities and a tarnished image of MONUC</p>		Operational	Possible	High	Higher Risk
	F(i) Inadequate staffing of the Aviation Section and the lengthy recruitment process may result in work overload on the existing staff, long working hours and high stress levels, and the inability for staff to take leave when due.	Work is assigned to available staff.	Human 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	Likely-hood	Impact	Overall Risk
	<p>G(i) Inadequate civil aviation infrastructure and systems such as communication aids for DRC's airports results in MONUC's Aviation Section using the Mission's communication facilities to coordinate aircraft movement. This may negatively impact operations if not available.</p> <p>G(iv) Absence of radar to detect illegal planes compounded with the lack of system for sharing information among control towers endangers the safety of aircraft and passengers.</p>		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	Likely-hood	Impact	Overall Risk
IV	Transport Section		Possible	High	Higher Risk	
	<p>E(i) Vehicles may be very old resulting in frequent breakdowns, increase in maintenance cost which may negatively affect the operations.</p> <p>E(ii) Petroleum, Oil and Lubricants (POL) and spare parts which are essential and financially attractive commodities, especially in regions where local markets face shortages, may be targeted for thefts and pilferage.</p> <p>E(iii) Accidents of UN vehicles may result in other road users, including pedestrians, considering and expecting high insurance benefits and may take chances that expose them which may result in negative publicity for the Mission and financial losses.</p> <p>E(iv) The tendency for the local population to target the UN, especially vehicles for vandalism, whenever it is aggrieved by the state policy and actions may result in damage to UN assets and injuries to staff.</p>	<p>Annual program for replacement of old vehicles is in place.</p> <p>Warehousing facilities in place where spares are kept with access limited to authorised personnel.</p> <p>Carlog system is used for monitoring fuel consumption in vehicles.</p> <p>Use of Radio Okapi to for advocacy and other public relations initiatives for MONUC to create goodwill with the local population.</p> <p>UNDSS security advisory process in place where staff are informed about demonstrations, etc.</p> <p>Guidelines for safe driving which include speed limits have been disseminated to all MONUC personnel.</p> <p>Mission vehicles are covered with 'anti-blast film' to reduce risk of passenger injury if vehicles are attacked.</p>	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	Likely-hood	Impact	Overall Risk
	<p>B(i) Failure of MONUC to meet the expectation of the local government and the general population for their daily transport needs, occasioned by the lack of reliable transport system may result in loss of goodwill towards MONUC including violent reactions.</p> <p>B(ii) Staff in Transport Section, especially drivers, may be targeted and assaulted by the local population if they do not meet their demands such as frequent monetary demands.</p>		Governance	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
V	Transport - Field Office			Possible	High	Higher Risk
	E(i) Procurement of spare parts locally may result in excessive cost to the mission due to the lack of a competitive market. E(ii) Poor quality of spare parts compounded with insufficient quantities in the local market negatively affects provision of spares for transport assets which may result in accidents. E(iii) Staff especially those working in workshops and handling hazardous materials may be injured. This may lead to criticism of supervisors and litigation as a result of lack of safety gears such as heavy duty gloves and goggles.	Vehicles are grounded when spare parts are not available Vehicles are grounded when spare parts are not available Workshop staff is given personal protection equipment, and are instructed to use them.	Operational	Possible	High	Higher Risk
	E(iv) Inadequate vehicles and lack of spare parts such as tires may lead to the inability to effectively implement planned activities.		Operational	Possible	High	Higher Risk
	G(i) Lack of information for planned activities for which support is required may result in inadequate provision of vehicles leading to criticism and dissatisfaction among staff.	Clients are required to send advance information on their requirements, and to confirm that their plans can be supported before committing to projects.	Information Resources	Possible	Medium	Moderate Risk

5	Focus Area: Logistics Management			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
VI	Logistics Management - Field Office			Possible	High	Higher Risk
	B(i) Lack of clear instructions in the provision of services from FOM/HOO and Section Chiefs based in Kinshasa may result in confusion and inability to perform functions effectively.	Requirements for field support are coordinated through Regional Administrative Officers and the Field Support Coordinator in the Office of the DMS, which provide a streamlined and effective channel for communication between FOMs and Service and Section Chiefs.	Governance	Possible	High	Higher Risk
	<p>E(i) Lack of clear policy guidance from Mission Headquarters in Kinshasa may result in delays in resolving problems in the field which may negatively impact operations.</p> <p>E(ii) Failure to disseminate new policy documents and guidelines may result in procedural inefficiencies and performance inconsistencies which may negatively impact provision of services.</p> <p>E(iii) Inadequate controls over the preparation of cargo movement reports (CMR), where staff in Kinshasa without detailed knowledge of goods being transported approve the CMR, may result in irregularities and fraud.</p>	<p>Revisions to policy are disseminated as a matter or routine, and access is provided on electronic boards.</p> <p>MSC conferences would help to discuss new policies and how it affects specific locations.</p> <p>The new e-CMR system allows electronic monitoring of all cargo before shipment, thus, each location can see goods due for shipment and in transit. An e-CMR focal point has been assigned to constantly monitor the system to detect any irregularities and attempted fraud. Plan to conduct conference twice yearly was recommended at the last MSC conference Present E-CMR system has limited number of personnel and as such has greatly reduced irregularities and the possibility of fraud.</p>	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	Likely-hood	Impact	Overall Risk
	<p>E(iv) Delays in deliveries of fuel to Kisangani, which has strategic airport location to support military and substantive operations, may lead to shortages for MONUC and the town which may result in all operations in the area grinding to a halt as there is no other source of fuel in town.</p> <p>E(v) Lack of contract to supply fuel compounded by the lack of fuel reserves may lead to low and erratic supplies to MONUC</p> <p>E(vi) MONUC flight cancellations may result in stranded passengers at airports leading to dissatisfaction among personnel and disruption of planned activities.</p> <p>E(vii) Inefficient logistic management may lead to lack of materials such as cement and paint compounded with lengthy procurement process may negatively affect construction and other engineering work resulting in delays and disruption of operations and programs.</p>	<p>Efforts to extend existing contracts underway.</p> <p>Monthly fuel deliveries are made by barge. MONUC is seeking alternate delivery means and augmentation of storage capacity.</p> <p>In case of shortages, fuel is airlifted to the Field Office albeit at high cost.</p> <p>MAOC must have alternate plans to replace last minute cancellations of aircrafts.</p> <p>A minimum stock level must be maintained by AMU.</p>	Operational	Possible	High	Higher Risk
	<p>F(i) Inadequate staff and use of de-motivated CDWs may result in delays in the provision of services which may negatively impact operations.</p> <p>F(ii) Lack of training in the use of Galileo system compounded with slow processing speed may result in errors and inaccuracies in the data input into the system and consequently unreliable information.</p>	<p>DMS/CAS are working on a strategy for CDWs.</p> <p>Harmonization of pay grade is in process to motivate local staff.</p>	Human Resources	Possible	High	Higher Risk

Risk Assessment of : MONUC

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
1	Information Technology			Possible	High	Higher Risk
	A(i) Lack of mission-wide disaster recovery and business continuity plan may result in failure to recover business critical systems and services timely which may have a negative impact on operations.	<p>CITS DRBC policy and guidelines for MONUC data in place.</p> <p>Periodic random checks made on staff bills.</p> <p>Management groups such as SMG, SPG and POG formed to coordinate decision making.</p>	Strategy	Possible	High	Higher Risk

6	Focus Area: Information Technology Management		Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>E(i) Unwillingness of staff to identify personal calls made may result in high telephone bills being absorbed by the Mission.</p> <p>E(ii) Sudden changes in operational plans may negatively impact planning and operations of Communication and Information Technology Section (CITS) especially in the provision of communication equipment for staff.</p> <p>E(iii) Equipment kept in stores over 6 months to be put up as surplus equipment without considering the size of the mission may negatively impact MONUC which requires large numbers to be kept in stock.</p> <p>E(iv) Lack of spares parts for critical communications equipment may lead to inability to repair equipment which may result in communication outage.</p> <p>E(v) Insufficient technical communications equipment surveys carried out by contingents compounded by incorrect requirements for communications equipments indicated in memoranda of understanding may result in the Mission providing contingents with communication equipment. This may lead to budgetary constraints to the Mission.</p>	<p>Procurement processes in place followed for acquisition of spares.</p> <p>Redundancies built in systems to mitigate system failure</p> <p>Technical surveys carried out by TCCs and PCCs.</p> <p>Mission provides contingents with communication equipment</p>	Operational	Possible	Medium	Moderate Risk
	<p>E(vi) Lack of policies and guidelines on ownership of data, systems and network for Entebbe which is being set up as a regional disaster recovery and backup site may result in confusion, gaps and inability to adequately secure the data</p>	<p>MONUC is the lead mission for the Regional DRBC which includes five other missions. An MOU is prepared which will also define reporting lines and staffing. Data ownership will remain with the respective missions. The ICT infrastructure at Entebbe is the responsibility of all missions but the lead mission is MONUC.</p>	Operational	Possible	High	Higher Risk

6	Focus Area: Information Technology Management		Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>F(i) Budgetary resource constraints may result in insufficient training as staff may not keep abreast with new technology which is rolled out every 3 to 6 months which may result in inability to provide the most efficient solutions to the users.</p> <p>F(ii) Insufficient staff to cover specialised activities such as manning satellites may result in disruption to communications in the Mission.</p>	<p>On-line training provided to staff.</p> <p>Pamphlets and literature review used to update staff knowledge.</p> <p>Galaxy system used for recruitment of staff.</p> <p>Repairs undertaken when disruptions occur.</p>	Human Resources	Possible	High	Higher Risk
	<p>G(i) Access to sensitive information by unauthorized persons, loss of information and disruption of information & communication system may occur as a result of inadequate protection from virus attacks and security breaches compounded with lack of intrusion detection system.</p> <p>G(ii) Slowness of access to applications such as Galileo, Mercury and IMIS may result in failure to conduct the work on time. This may be as a result of the limited bandwidth.</p>	<p>An intrusion detection system is operational, as well as an antivirus which is automatically updated. Cisco MARS was recently installed and will be fully operational by mid 2009, which will help to correlate security threats and abnormal events.</p> <p>Use of passwords required to access systems and applications.</p> <p>Redundancies built in systems to mitigate system failure.</p> <p>Mission critical applications are given priority.</p>	Information Resources	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>G(iii) Security vulnerabilities to the system as a result of lack of encryption of the VHF network which is accessed by UN agencies and embassies may result in unauthorized access to sensitive information jeopardizing the mission operations, safety and security of mission personnel.</p> <p>G(iv) Security compromise to the systems due to virus may occur with access to the communication systems by the military contingents.</p> <p>D(i) Lack of clear rules and guidelines to charge UN agencies for access to MONUC communication network may result in financial losses.</p>	<p>The mission is upgrading the VHF network with encryption.</p> <p>This is being reviewed and bills that are incurred by the UN Agencies are sent to them and MONUC Finance to raise inter-office voucher</p>	Information Resources	Possible	Medium	Moderate Risk
	<p>B(vi) Failure to involve CITS in the development of programs, databases and systems may result in lack of support and/or integration with the ERP system which may negatively affect operations.</p> <p>B(vii) Failure to clarify the Mission requirements for the new ERP may result in their needs not being met, which could lead to the development of other systems to meet these needs.</p>		Governance	Possible	High	Higher Risk

Risk Assessment of : MONUC

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	Political Affairs			Possible	High	Higher Risk
	<p>A(i) Mismanagement of the crisis in the east may result in non-establishment of state authority, insecurity, influx of internally displaced people and deterioration of relations with the neighbouring countries leading to non-achievement of peace and stability in the region and continued presence of MONUC in DRC.</p> <p>A(ii) Incongruence of the requirements for the decentralization law and the actual situation on the ground where some provinces have more resources and better infrastructure than others coupled with lack of laws for actual decentralization may lead to conflicts between the central and provincial government and emergence of separatist movements.</p> <p>A(iii) Inability to effectively manage the decentralization process may lead to renewed conflict and failure to consolidate peace in the country.</p> <p>A(iv) Inability to effectively implement the SSR program may result in failure to maintain law and order, leading to continued human right violations.</p>	<p>Regular dialogues with the parties involved in the peace agreements.</p> <p>Stabilization plan for the East is in place.</p>	Strategy	Possible	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	Likelihood	Impact	Overall Risk
	A(v) The extensive human right violations committed by the GoDRC security forces may adversely affect the consolidation of democracy in the country. A(vi) Inability of the GoDRC to fight corruption may impede the establishment of good governance and consolidation of democracy.	Regular dialogue with the Government of DRC, provision of judicious advice and understanding of context of problems in the country.	Strategy	Possible	High	Higher Risk
	B(i) Lack of understanding of political issues in the field by MONUC may result in inaccurate assessment, inappropriate decisions and insufficient resources being allocated to the field office.	Regular visits of Political Affairs Division (PAD) Director to the Field Office.	Governance	Possible	High	Higher Risk
	F(i) High vacancies in PAD may result in lack of adequate coverage in some provinces leading to failure to implement planned activities.	Galaxy System is used for recruitment of staff. Temporary assistance requested from other offices and missions through TDY.	Human Resources	Possible	High	Higher Risk
II	Security Sector Reform			Possible	High	Higher Risk
	A(i) Lack of clarity in the mandate, and lack of UN-wide framework on Security Sector Reform (SSR) and lack of mandate implementation plan within the Mission may hamper the achievement of the SSR objectives. A(ii) Lack of political will of GoDRC to implement SSR program may result in failure to implement planned activities which may lead to continued insecurity in the country.	Mandate in place and Stabilisation plan being used. SSR working group in place which has commenced holding weekly meetings. Dialogue and systematic involvement of national counterparts in decision making.	Strategy	Possible	High	Higher Risk
	A(iii) Lack of management capacity at the ministerial and civil service level in the key ministries involved in the SSR may result in failure to sustain the efforts being made in the implementation of planned activities.	UN Agencies and donors requested to provide training and capacity building resources through the Country Assistance Framework (CAF), Poverty Reduction Strategy Program (PRSP), etc.	Strategy	Possible	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	Likelihood	Impact	Overall Risk
	<p>B(i) Inability to integrate all Sections in the Mission that are involved in security sector reform may lead to lack of coordination of effort and resources which may result in procedural inefficiencies and gaps.</p> <p>B(ii) Lack of a coherent plan by the United Nations Country Team (UNCT) on the implementation of SSR may lead to inability to identify funding and support gaps and duplication of effort which may negatively affect the achievement of SSR objectives.</p>	SSR working group in place which has commenced holding weekly meetings.	Governance	Possible	High	Higher Risk
	E(i) Failure to involve national counterparts who should take ownership of the SSR program may result in rejection of advice and planned activities which lead to failure of the program.	Dialogue and systematic involvement of national counterparts in decision making.	Operational	Possible	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	Likelihood	Impact	Overall Risk
III	Electoral		Possible	High	Higher Risk	Higher Risk
	<p>A(i) Security situation in the east may negatively affect local elections in those locations as schedules may be disrupted.</p> <p>A(ii) Lack of resources for the GoDRC to support voter registration and provide election materials may delay elections.</p> <p>A(iii) The continued shifting of the date for local elections may result in delays and the inability of MONUC to adequately plan support for the elections.</p>	<p>Regular dialogues with the Government of DRC</p> <p>Peace agreements (Nairobi, Goma, etc) are in place.</p>	Strategy	Possible	High	Higher Risk
	<p>E(i) Competing priorities in the mission including the focus of the mandate to the east may result in less resources being allocated to support elections leading to delays in implementing the election mandate.</p> <p>E(ii) The inability of MONUC to provide substantial support through logistics and technical advice to the government and electoral authorities as a result of the size of the DRC and the lack of surface transportation may result in the inability for the government to conduct the elections.</p> <p>E(iii) Insecurity and conflict in some locations may result in inability to conduct local elections in the DRC.</p> <p>E(iv) Lack of funds for sensitisation may result in failure to sensitise the voters on the importance of local elections in the provinces.</p>	<p>Donor and international community assistance sought through CAF, PRSP, etc.</p> <p>GoDRC has pledged funds for elections.</p> <p>The international community has shown great interest in supporting elections, and has contributed fully to updating voter registration.</p>	Operational	Possible	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	Likelihood	Impact	Overall Risk
	F(i) High vacancy rate in the Electoral Division coupled with delays in the recruitment process may result in delays in implementing key activities such as civic education leading to low voter turnout.	Galaxy system is used for recruitment of staff. Temporary assistance requested from other offices and missions through TDY.	Human Resources	Possible	High	Higher Risk
	D(i) Lack of legal framework for elections may affect donor confidence and support to the process resulting in insufficient funds to hold elections. D(ii) Insufficient donor funding may result in lack of adequate financial resources to conduct the elections effectively.	Donor and international community assistance sought through CAF, PRSP, etc. Government of DRC has pledged funds for elections. The necessary legal framework has been completed.	Financial	Possible	High	Higher Risk
IV	Field Offices			Possible	High	Higher Risk
	A(i) Lack of voter sensitisation may result in failure to educate the voters about the importance of local elections in the provinces. A(ii) Lack of security due to continued presence of armed groups such as the Lord Resistance Army (LRA) in the area may negatively impact the conduct of elections. A(iii) Inability of the IEC to arrange secure facilities may result in unauthorized access to the polling stations and failure to safeguard the integrity of the ballots and election results in the field.	Sensitization programs have been planned to take place before elections. Peace agreements signed (Nairobi, Goma, etc) and are being implemented. Donor and international community assistance being sought through CAF, PRSP, etc. Government of DRC has pledged funds for elections.	Strategy	Possible	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	Likelihood	Impact	Overall Risk
	<p>E(i) Non-settlement of unpaid claims by IEC may lead to suppliers/service providers taking away equipment meant for elections as compensation which may adversely affect the ability of IEC to effectively conduct elections.</p> <p>E(ii) Lack of road infrastructure to reach remote areas compounded with the vast size of the DRC may lead to the inability by the IEC to reach all locations.</p> <p>E(iii) The IEC may not have adequate equipment such as electoral kits for elections (due to thefts or pilferage). This may negatively impact the ability of the the IEC to conduct elections.</p> <p>E(iv) Failure by the GoDRC to repair or replace vehicles and motor cycles used by the IEC may negatively affect the distribution of election materials to different centres and locations.</p>	<p>Government of DRC has pledged to settle debts. MONUC air assets will be used to provide logistical support for delivery of election materials.</p> <p>Donor and international community assistance being sought through CAF, PRSP, etc.</p>	Operational	Possible	High	Higher Risk
	<p>A(i) Inability to adequately consider operations when dividing the Mission into eastern and western regions may result in inadequate support for substantive and military operations which may negatively affect implementation of planned activities.</p> <p>A(ii) High expectations of the population for MONUC to provide services such as transport, medical evacuation, repairs to roads and bridges, etc may result in negative reaction when demands are not met.</p>	<p>Use of Public Information resources such as Radio Okapi and weekly press briefing to promulgate and clarify MONUC mandate and activities.</p> <p>Regular dialogue with provincial and local authorities and NGO leaders to clarify MONUC mandate.</p>	Strategy	Possible	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	Likelihood	Impact	Overall Risk
	F(i) Lack of adequate resources to solve the problem of armed groups may lead to re-insurgence of violence in the provinces which may result in destabilization of the electoral process.		Human Resources	Possible	High	Higher Risk
V	Civil Affairs			Possible	High	Higher Risk
	<p>A(ii) The presence of armed groups in the East may hamper the deployment of state authorities resulting in instability and displacement of the population.</p> <p>A(ii) Inadequate deployment of MONUC troops in support of the national army, coupled with population's negative perception of the military may lead to displacement of population resulting in increased humanitarian crisis.</p> <p>A(iii) Lack of capacity of local NGOs and civil society to advocate for development plans and lack of budgetary resources by the provincial and elected bodies to provide peace dividends in infrastructure and social benefits such as roads, education which may lead to dissatisfaction and unrest.</p>	<p>Stabilisation plan being used for guidance.</p> <p>Peace agreements signed (Nairobi, Goma, etc) Stabilisation plan being implemented.</p> <p>Management groups such as SMG, SPG, etc are in place to coordinate decision making and review possible implications.</p> <p>Development programs and donor assistance being arranged through UNDP, CAF, PRSP, etc.</p>	Strategy	Possible	High	Higher Risk
	E(i) Access to vulnerable populations may be hampered by the presence of armed groups resulting in delays in providing assistance to internally displaced persons (IDPs).	Clearance is obtained from armed groups to gain access to vulnerable populations.	Operational	Possible	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	Likelihood	Impact	Overall Risk
	<p>E(ii) Inadequate scrutiny of NGOs and UN agencies requests to use MONUC air assets may lead to use of facilities for activities that are not in support of MONUC' mandate and denial of service to legitimate users.</p> <p>E(iii) Lack of feedback to NGOs and agency staff on changes in flight bookings and cancellations may lead to frustration and dissatisfaction resulting in non-implementation of planned activities and a tarnished image of MONUC.</p>	<p>Requests to use MONUC air assets are reviewed to ensure that the purpose for travel is in line with MONUC mandate.</p>	Operational	Possible	Medium	Moderate Risk
	<p>E(iv) Lack of regular meetings to discuss work plans, share knowledge and lessons learnt and conduct performance evaluations may result in inefficiencies as staff re-invent the wheels and adopt inconsistent practices across the Mission.</p>	<p>Regular meetings with the OIC of Civil Affairs Section for sharing experience and for coordination.</p>	Operational	Possible	Medium	Moderate Risk
	<p>F(i) Lack of adequate posts may negatively affect the implementation of planned activities of Civil Affairs Unit.</p>	<p>Galaxy systems used for recruitment of staff and temporary assistance is requested from other duty stations.</p> <p>The budgetary process is used for establishing resource requirements of the mission. Programme managers participate in the budgetary process.</p>	Human Resources	Possible	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	Likelihood	Impact	Overall Risk
	<p>B(i) Lack of clarity of post election responsibilities for Civil Affairs may lead to management demanding more than what is stipulated in the mandate.</p> <p>B(ii) Inability to timely resolve systemic problems highlighted while working with partners may result in failure to develop capacities of local agencies in Field Office.</p> <p>B(iii) Lack of presence of agencies and international NGOs in the sectors to carry out development work may lead to failure to attain objectives of providing support to NGOs and agencies which places more demands on the Section to meet the populations' expectations.</p>	<p>The budgetary process in place requires review and oversight by UNHQ and the GA.</p>	Governance	Possible	High	Higher Risk
	<p>D(i) Lack of funds for outreach programs to educate the population on MONUC's mandate may lead to high expectations and demands from MONUC which if not met may result in dissatisfaction and violent reaction.</p>	<p>Radio Okapi and weekly press briefing used to promulgate information on MONUC' mandate and activities.</p> <p>The budgetary process is used for establishing resource requirements of the mission. Programme managers participate in the budgetary process.</p>	Financial	Possible	High	Higher Risk
VI	Rule of Law			Possible	High	Higher Risk
	<p>A(i) Lack of proper segregation of the functions in the GoDRC may lead to the Executive Branch interfering in the implementation of justice.</p> <p>A(ii) Lack of legislative reform plan approved by the executive branch of the Parliament may lead to failure to prioritise and implement pieces of legislation and avoid conflicting provisions in the law.</p>	<p>Regular dialogues with the GoDRC.</p> <p>GoDRC legislative reform process is in progress.</p>	Strategy	Possible	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	Likelihood	Impact	Overall Risk
	E(i) The prevailing culture of corruption in the DRC may lead to failure to implement rule of law reforms in the justice sector which may impact the implementation of the mandate. E(ii) Frequent rotation of UN Police detention advisers may negatively affect the implementation of prison reform program due to lack of continuity and loss of institutional memory.	Regular dialogues are held with the GoDRC.	Operational	Possible	High	Higher Risk
	D(i) Lack of adequate budgetary provision for food for prisons and prison reforms may result in human rights violations, prison breaks and escapes. D(ii) Inability of donors to link prison reform to stability of the country but view it as a social program results in failure to attract funding to justice and prison reform programs which may lead to failure to implement planned activities.	Donor assistance sought by churches, GoDRC, local NGOs, etc. Dialogue and consultation with donors is on-going. The budgetary process is used for establishing resource requirements of the mission. Programme managers participate in the budgetary process.	Financial	Possible	High	Higher Risk
	F(i) High vacancy rate may lead to inability to effectively implement planned activities.	Galaxy system is used for recruitment of staff. Temporary assistance requested from other offices and missions through TDY.	Human Resources	Possible	High	Higher Risk
VII	Human Rights			Possible	High	Higher Risk
	A(i) Inability of the GoDRC to take action on human rights violations despite the available supporting evidence may result in continued impunity and failure to achieve rule of law in the country.	Mandate is in place to provide guidance. Radio Okapi and weekly press briefing used to promulgate information on MONUC mandate and activities.	Strategy	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) Increased security threats to staff may result in inability to perform their duties effectively and efficiently.</p> <p>E(ii) MONUC staff acting like human rights activists may lead to negative reaction from local authorities resulting in strained relations and lack of cooperation by the GoDRC with MONUC.</p>	<p>Radio Okapi and weekly press briefing used to promulgate information on MONUC mandate and activities.</p> <p>Regular dialogue with the GoDRC, provision of judicious advice and understanding of context of problems in the country.</p> <p>Training programs in place to harmonise approach and enhance professionalism.</p>	Operational	Possible	High	Higher Risk
	G(i) Unauthorised distribution of reports and leakages of confidential information may result in breach of confidentiality and compromise investigative processes leading to strained relations with the host government, negative publicity for the UN and endangering the lives of staff.	Approval process in place for official release of reports.	Information Resources	Possible	Medium	Moderate Risk
	F(i) Inadequate staff for the field offices of the Human Rights Section, compounded with the large area of operation and assignment of staff in the Eastern sectors may lead to inability to achieve planned objectives.	Galaxy system is used for recruitment of staff.	Human Resources	Possible	High	Higher Risk
	B(i) Revelation of human rights violations may result in lack of cooperation by GoDRC resulting in the failure of MONUC to achieve objectives and improve the human rights records.		Governance	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
VIII	Public Information			Possible	High	Higher Risk
	A(i) Lack of an exit strategy for MONUC may result in lack of continuity of Okapi radio operations which provides 85 per cent coverage in the nation. This may result in discontinuation of independent electronic media in the DRC.		Strategy	Possible	Medium	Moderate Risk
	<p>E(i) Radio Okapi journalists may be subject to harassment, threats and physical assault which may negatively impact their performance.</p> <p>E(ii) Lack of adequate security for Radio Okapi may result in discontinuation of broadcasting leading to inability to inform and educate the public about the work of MONUC.</p> <p>E(iii) Deep political divide between the in the DRC may increase security threat for journalists who may be accused of being biased in their coverage.</p> <p>E(iv) Lack of investigative and research resources may hamper PIO's ability to rebut reports from other media resulting in failure to defend the image of the UN.</p>	<p>Radio and weekly press briefing held to clarify MONUC mandate and position</p> <p>Press statements prepared on topical issues.</p> <p>UNDSS security advisories disseminated to staff.</p> <p>Reliance is placed on UN investigative units to provide information to rebut other media reports.</p>	Operational	Possible	High	Higher Risk
	<p>G(i) Lack of information on action taken in cases such as SEA and exploitation of natural resources by peacekeepers may result in failure to provide accurate information to the public which may lead to loss of reputation and credibility of the UN.</p> <p>G(ii) Lack of information about military operations especially in the East may lead to inability of PIO to adequately respond to questions and provide clarifications to the public.</p>	<p>Reliance is placed on information provided by Permanent Missions to the UN.</p> <p>Radio and weekly press briefing held to clarify MONUC mandate and position.</p> <p>Press statements prepared on topical issues.</p>	Information Resources	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	F(i) Approved posts loaned to other sections may result in insufficient staff in the Public Information Office (PIO) leading to inefficient and effective implementation of planned work.		Human Resources	Likely	Medium	Higher Risk
IX	Legal Advisor			Possible	High	Higher Risk
	A(i) Lack of a work plan may result in inability of the Legal Advisor to timely provide legal services to critical activities. A(ii) Differences in interpretation of the Status of Force Agreement (SOFA) between the UN and the GoDRC may result in operational difficulties of the Mission.	Mandate is used to prepare the work plan for the Legal Office.	Strategy	Possible	Low	Lower Risk
	B(i) Lack of understanding of the role of the Legal Office may lead to the office being bypassed in decision making resulting in legal exposure for the Mission.	SMT and ad hoc meetings held with SRSG are used to clarify the role of the Legal Office.	Governance	Possible	High	Higher Risk
	C(i) Non-compliance of some Sections with legal advice may result in the Legal Office devoting time and effort to resolving situations that could have been avoided in the first place.		Compliance	Possible	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	Likelihood	Impact	Overall Risk
X	Conduct and Discipline		Possible	High	Higher Risk	
	A(i) Lack of clear a policy and adequate resources for the victims assistance programme may lead to an increase in false allegations. This may delay investigations.	ECHA/ECPS Technical-level Meetings to further develop implementing policy	Strategy	Possible	High	Higher Risk
	<p>B(i) Inadequate support from senior management may lead to an inability to effectively enforce appropriate standards of conduct and discipline in the Mission which may undermine zero tolerance policy for SEA cases.</p> <p>B(ii) Failure of senior managers to lead by example may result in personnel not complying with appropriate standards of conduct and discipline which may undermine the zero tolerance policy.</p> <p>B(iii) Lack of UN-wide misconduct database may result in recruiting staff who were previously reprimended for misconduct. This may lead to loss of credibility for the organization and compromise the zero tolerance policy.</p> <p>B(iv) Lengthy disciplinary process for civilians and lack of any significant information on disciplinary actions taken agaisnt military personnel by Troop Contributing Countries/Police Contributing Countries (TCC/PCCs) may lead to the perception of impunity.</p>	<p>Senior Management Advisory Committee chaired by the SRSG has been formed to oversee conduct and discipline in the Mission.</p> <p>New DFS/DPKO Misconduct Tracking System implemented in July 2008</p>	Governance	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	B(v) Proposed centralisation of the investigative capacity of the Investigations Division of OIOS in Nairobi, Geneva and New York and the closing of mission resident investigation offices may adversely affect the investigation capacity of category I allegations leading to delays in processing cases resulting in perception of impunity.		Governance	Possible	High	Higher Risk
	E(i) Lack of understanding of CDU objectives and functions by staff may result in expectations for the Unit to resolve management and performance issues. E(ii) Inadequate investigative capacity may lead to delays in the thorough investigation of cases which may result in perception of impunity and loss of credibility for the Mission.	Mandatory training provided to UN personnel where objectives and functions are explained. OIOS Investigation, UN Police Audit and Investigations Unit and UNDSS (Security Investigation Unit) in place to carry out investigations of cases.	Operational	Possible	High	Higher Risk
	E(iii) Failure to make the outcomes of investigation of misconduct cases available to the CDU may lead to the CDU not providing feedback to victims / complainants. This may result in a perception of impunity. E(iv) Failure of staff to report allegations may undermine the zero tolerance policy.	Outreach programs carried out in conjunction with other Sections such as HIV/AIDS, UN Programmes and Agencies, NGO's	Operational	Possible	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	Likelihood	Impact	Overall Risk
	<p>F(i) Insufficient staff and lack of permanent CDU representation in the field, coupled with frequent rotation of the military and police component may lead to activities not being efficiently and effectively carried out especially in training.</p> <p>F(ii) High vacancy rate due to lack of qualified CDU officers in the market may result in inability of CDU to recruit, which may negatively affect the planned activities.</p> <p>F(iii) Lack of integrated training cell in the Mission may result in insufficient support and pressure on the limited trainers in CDU to perform all conduct and discipline training activities.</p>	<p>Use of focal points and Training of Trainers (TOTs) to perform CDU functions and training.</p> <p>Galaxy system being used to recruit staff.</p>	Human Resources	Possible	High	Higher Risk
XI	HIV/AIDS			Possible	High	Higher Risk
	<p>A(i) Lack of government commitment and laws to protect the population from HIV/AIDS may result in increased HIV infections and demand on MONUC for assistance.</p> <p>A(ii) Lack of understanding of MONUC' mandate may lead to expectations such as provision of ARVs and increased requests for Quick Impact Projects (QIPs).</p>	<p>Government of DRC used basic Human Rights laws.</p> <p>International laws used by WHO.</p> <p>Radio Okapi and weekly press briefing used to promulgate information on MONUC mandate and activities.</p> <p>Regular dialogue with partners and directing people to the right agencies for assistance.</p>	Strategy	Possible	Medium	Moderate Risk

7	Focus Area: Programme and Project Management		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) Lack of testing kits may result in failure to implement planned activities.</p> <p>E(ii) Ineffective communication with troops on conduct and discipline issues may result in widespread conduct violations and indulgence in prostitution leading to increase in HIV/AIDS cases.</p> <p>E(iii) The availability of condoms at MONUC health facilities may be misinterpreted as negating the zero tolerance policy for sexual misconduct. This may result in noncompliance of staff with the zero tolerance policy.</p>	<p>Procurement process in place is followed.</p> <p>Interpreters used when needed.</p> <p>Training provided to UN personnel and guidelines included in pamphlets.</p>	Operational	Possible	High	Higher Risk
XII	Gender Affairs			Possible	High	Higher Risk
	<p>A(i) Failure by the GoDRC to enforce laws relating to gender issues may result in non-amelioration of gender conditions in the population.</p> <p>A(ii) Divergent views and rivalry between the Ministry of Gender Affairs and civil society may result in inability to promote gender programs in the country.</p> <p>A(iii) Lack of trust in the FARDC and PNC who are accused of committing atrocities against women may adversely impact the implementation of gender activities.</p>	<p>Radio Okapi and weekly press briefing used to promulgate information on MONUC activities.</p> <p>Regular dialogue with the Government of DRC and partners including provision of judicious advice and understanding of context of problems in the country.</p>	Strategy	Possible	High	Higher Risk
	<p>B(i) Lack of coordination and appropriate reporting lines between Gender Section and UNMOs may result in failure to obtain information about gender based violence in the field especially the East.</p>		Governance	Possible	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	Likelihood	Impact	Overall Risk
	E(i) Inability of gender focal points in the mission to influence decisions due to their low positions may result in failure to integrate gender activities in the work plans of the sections.	Directive given by SRSG to incorporate gender in the recruitment process.	Operational	Possible	High	Higher Risk
	F(i) Inadequate staff in the Section may affect the implementation of planned activities especially in training where there is only one training officer which may result in inability to effectively implement planned activities.	Use of focal points in various sections and field offices.	Human Resources	Possible	High	Higher Risk
	D(i) Lack of adequate budget to implement planned activities may result in inability to achieve intended objectives.	RBB used for sourcing funds for planned activities.	Financial	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
XIII	Mine Action			Possible	High	Higher Risk
	A(i) Lack of a legal framework and commitment of the GoDRC which is expected to take a lead role may result in failure of the de-mining programme.	Regular diplomatic dialogue with the Government of DRC.	Strategy	Possible	High	Higher Risk
	E(i) Incomplete and inadequate assessment of mine threat due to shortage of resources coupled with the size of the country may lead to failure to effectively implement the mine action program. E(ii) Incomplete de-mining of areas may result in loss of limbs and lives. E(iii) Eruption of new conflicts may lead to laying new mines in the country which may increase the scope of the problem and endanger the lives of people.	Quality control process is in place to ensure completeness in de-mining. Peace agreements (Nairobi, Goma, etc) are available. The budgetary process assure allocation of appropriate resources to programmes.	Operational	Possible	High	Higher Risk
	D(i) Lack of funding may negatively affect the de-mining program resulting in delays in implementing the planned tasks leading to injuries and loss of lives.	Donor assistance sought to support de-mining activities.	Financial	Possible	High	Higher Risk
XIV	Disarmament, Demobilization and Reinsertion/Repatriation and Resettlement (DDR/RR)			Possible	High	Higher Risk
	G(i) Lack of information on what are the GoDRC agreements with its neighbors may affect the DDR/RR programme. G(ii) Lack of accurate data on the number of ex-combatants may impede the mobilization of resources for DDR/RR programme.	Regular diplomatic dialogue with the Government of DRC.	Information Resources	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>C(i) Lack of funds to implement the DDR/RR program may negatively affect the implementation of planned activities.</p> <p>D(ii) Lack of political and economic progress coupled with insufficient resources for respective national and foreign programs may result in ex-combatants again taking up arms and starting the cycle of violence again.</p>	<p>Donor assistance sought to support DDR/RR programs.</p> <p>Multilateral and bilateral assistance being sought through programs such as Country Assistance Framework (CAF), Poverty Reduction Strategy Program (PRSP), etc</p>	Financial	Possible	High	Higher Risk
XV	Best Practices			Possible	Low	Lower Risk
	<p>E(ii) Inability to gather best practices in the mission may result in reinventing the wheels, which may be inefficient.</p> <p>E(ii) Lack of translation of documents in other UN official languages may lead to non-dissemination of best practices for the guidance of mission staff resulting in procedural inefficiencies and waste of time.</p> <p>E(iii) Implementation of the practices of other missions without considering the local operating environment may lead to inefficiencies and wastage of resources.</p>	<p>Documents gathered on best practices are posted on the intranet.</p> <p>Best practice documents from other missions are posted on the DPKO site.</p>	Operational	Possible	Low	Lower Risk
	B(i) Lack of understanding of best practices concept by mission staff may lead to lack of cooperation in the provision of information resulting in inability to gather and archive best practices of the mission.		Governance	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
XVI	Quick Impact Projects			Possible	Medium	Moderate Risk
	<p>E(ii) Inadequate monitoring of projects by concerned programmes may result in delays in the implementation of QIPs.</p> <p>E(iii) Lack of understanding of criteria for QIPs projects may lead to unrelated projects such as community outreach and development projects being funded as QIPs.</p> <p>E(iv) Eruption of conflicts may result in failure or delays in implementing projects.</p>	<p>Guidelines in place requiring advances to be liquidated.</p> <p>Guidelines in place requiring QIPs projects to be implemented within three months.</p> <p>Hosting sections are required to monitor the implementation process.</p> <p>Criteria and areas for use of QIPs funds specified at the beginning of the year.</p>	Operational	Possible	High	Higher Risk
	<p>C(i) Lack of understanding of QIPs concept by the substantive programmes, military contingents and UNPOL may lead to preparation of projects which do not comply with QIPS policies and guidelines.</p> <p>C(i) Lack of capacity and knowledge by implementing partners may result in inability to comply with the three months implementation period and failure to timely liquidate advances.</p>	<p>DPKO/DFS policy on QIPS is widely disseminated amongst the relevant sections.</p> <p>Participation of military in QIPs program as implementing partners.</p>	Compliance	Possible	Medium	Moderate Risk
	D(i) The rising cost of inputs may lead to an increase in project costs which may result in failure to successfully implement the projects.		Financial	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
XVII	Protocol			Possible	Medium	Moderate Risk
	F(i) Staff may not proceed on leave and work overtime without compensation due to inadequate staff coupled with the ceiling on overtime hours per month which may result in dissatisfaction, stress and high staff turnover.		Human Resources	Possible	High	Higher Risk
	B(i) Security personnel who lack understanding of the role of Protocol when receiving high ranking officials may lead to confusion and embarrassing situations. B(ii) Lack of coordination between Security and Protocol offices may lead to official visitors not being properly received and escorted which may result in embarrassment, tarnished image of the UN and reciprocal treatment from counterparts.	Coordination meetings prior to VIPs visits are held with Security Section to clarify roles and responsibilities. Daily official visit schedule is shared with Security Section. Coordination meetings prior to VIPs visits are held with Security Section to clarify roles and responsibilities.	Governance	Possible	Medium	Moderate Risk
	G(i) Differences in the diplomatic channels for official communication in the government ministries may lead to delays in communicating information which may result in embarrassing diplomatic incidents and scheduling problems	Official communication is addressed to the minister of Foreign Affairs and a copy sent to the concerned/intended dignitary.	Information Resources	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	Likely-hood	Impact	Overall Risk
I	Engineering			Possible	High	Higher Risk
	<p>A(i) Inadequate consideration given to location preferences by contingent for camp sites as against free land offered by the GoDRC may result in waste of resources if MONUC decides to lease.</p> <p>A(ii) Failure to consider environmental expert advice in locations prone to natural disasters such as volcanic activities in Goma or earthquakes in Bukavu may expose UN personnel and assets to unnecessary hazardous situations.</p> <p>A(iii) Engineering may be tasked to carry out projects which are outside the mandate of the Mission and for which there are no budgetary resources resulting in non-implementation of mandated activities.</p> <p>A(iv) Ad hoc planning by DRRR where camps are constructed at high cost and used for short periods may result in waste of resources and inefficiencies.</p> <p>A(v) Inability to provide ad hoc military requirements such as tentage, helipads, water, ablution units due to lack of resources for such requirements may negatively impact the operations.</p>	<p>Engineering work plan and RBB used for monitoring planned activities.</p> <p>Joint teams of Military, Procurement, Engineering and other Mission Support elements formed to acquire premises.</p> <p>MONUC Environmental Unit recommendation is obtained before construction of any camp in possible affected areas.</p> <p>Possible budgetary constrains are discussed prior to such tasks.</p> <p>Such projects are planned on the basis of MSC decision considering options for possible future exploitation of such camps.</p> <p>Engineering holds some operational reserve of relevant materials to reduce possible negative impact on the Mission operations.</p>	Strategy	Possible	High	Higher Risk
	A(vi) Poor planning by various sections in the mission may lead to frequent changes in approved designs, at execution stage, which may result in delays in completion of projects and increased costs.		Strategy	Possible	High	Higher Risk

9	Focus Area:	Property and Facilities Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>E(i) Unfavourable UN terms and conditions of contracts may result in delays in completion of construction projects as a result of unavailability of construction materials.</p> <p>E(ii) Lack of qualified local contractors may result in delays in implementing some planned projects.</p> <p>E(iii) Un-serviceability of COE equipment especially water treatment equipment adds pressure on the Engineering Section to supply water to military contingents which results in diverting resources from planned and budgeted activities</p>	<p>Engineering systems contract for spare parts is in place.</p> <p>Some procurement activities have now been decentralised to Entebbe.</p> <p>COE and operational readiness inspections carried out periodically to determine state of COE equipment.</p> <p>COE reimbursement is not paid for unserviceable equipment.</p>	Operational	Possible	High	Higher Risk
	<p>Ei(v) Lack of the replacement plan for water purification plants due to focus on liquidation of the Mission may result in inability of the Engineering section to supply water needs to the Mission.</p> <p>E(v) Failure by the military to obtain proper authorisation before occupying land and premises may lead to abuse, waste of resources and litigation.</p> <p>E(vi) Inappropriate ammunition storage facilities for military contingents transiting through Entebbe poses a security threat to the personnel and may lead to legal problems with the Government of Uganda.</p> <p>E(vii) The location of ammunition storage facilities in populated areas coupled with lack of a quality assurance program for ammunition storage and expertise to deal with explosives may endanger the UN personnel and the local population.</p>	<p>Procurement plan in place.</p> <p>COE and operational readiness inspections carried out periodically to determine state of COE equipment.</p> <p>Engineering Section is responsible for construction of storage facilities.</p> <p>Contingents are required to maintain minimal ammunition while the rest is kept in safe locations.</p> <p>Monthly reports on generator fuel consumption used for monitoring fuel.</p>	Operational	Possible	High	Higher Risk

9	Focus Area: Property and Facilities Management		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>E(viii) Storage space in Entebbe Support Base may not be sufficient as other missions are now using the Base for storage which could lead to shortage of support materials when required.</p> <p>E(ix) Lack of controls over fuel may result in theft of fuel from generators resulting in losses to the Mission.</p> <p>E(x) Lengthy procurement lead times results in delays in procurement of water purification chemicals and capsules leading to delays in the provision of services.</p>		Operational	Possible	High	Higher Risk
	<p>G(i) Lack of timely communication to the Engineering Section of new military operational sites may result in delayed and inefficient provision of Engineering services.</p> <p>G(ii) Unauthorised access, disclosure or use of sensitive information such as sites for precious minerals may result in negative publicity for MONUC, loss of credibility for the UN and violation of the SOFA leading to expulsion from the country.</p>	<p>Regular meetings in Mission Support Center to plan and monitor engineering activities in place.</p> <p>Engineering Operations and all military components maintain close contact to coordinate all activities/services.</p> <p>Restricted access and use of passwords in place to secure sensitive data and information. GIS personnel are not allowed to disclose or use sensitive geographic information without authorization of the Unit Chief.</p>	Information Resources	Possible	Medium	Moderate Risk
	<p>C(i) Failure to adhere to DPKO policy regarding command and control of military engineers may result in lack of coordination, ineffective use of engineering resources and delays in completion of projects.</p>		Compliance	Possible	High	Higher Risk

9	Focus Area:	Property and Facilities Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>F(i) Unrest by national staff and CDWs who threaten to use violence, results in security threats for international staff and damage to UN property.</p> <p>F(ii) Unresolved grievances of staff may result in continued employment of CDWs even when there are no on-going projects resulting in financial loss to the Mission</p>	<p>Dialogue and consultations including UNHQ involvement to resolve grievances with national staff and CDWs is in place.</p> <p>Proposal for service contracts to replace CDW functions in relevant areas is being processed.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>F(i) Unrest by national staff and CDWs who threaten to use violence results in security threats for international staff and damage to UN property.</p> <p>F(ii) Unresolved grievances of staff may result in continued employment of CDWs even when there are no on-going projects.</p>		Human Resources	Possible	Medium	Moderate Risk
II	Property Control and Information			Possible	High	Higher Risk
	A(i) Stock losses may occur leading to un-reconciled differences in the physical assets and recorded assets	Reconciliation process is undertaken after conducting physical verification of assets.	Operational	Possible	High	Higher Risk

9	Focus Area: Property and Facilities Management			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>G(i) Assets such as expendable inventories may not be adequately accounted for due to inadequate controls in the Galileo System.</p> <p>G(ii) Inaccurate information produced by the Galileo system may lead to erroneous management decisions.</p> <p>G(iii) Failure to identify assets not handed over by staff leaving the mission may lead to financial losses.</p> <p>G(iv) Inadequate information from UNHQ on the requirements of the ERP system may result in asset managers not being prepared for the transition to the new system which may lead to disruption to work processes in the Mission.</p>	<p>SAUs maintain records of expendable inventories under their custody.</p> <p>Manual records maintained that are used for verification purposes. Review of Galileo IMS updates and corrective actions ensure data accuracy.</p> <p>Manual clearance during check out process. PCIU sends reports on repatriated users to all concerned parties on a monthly basis and follows up closely on progress, by ensuring that hand-over documents are signed and Galileo IMS updated to reflect the current user.</p>	Information Resources	Possible	High	Higher Risk
	<p>C(i) Security concerns in some locations of the mission may restrict movement of personnel in the mission which may result in failure to inspect and verify assets.</p> <p>C(ii) Failure to track all assets in the Mission and update the Galileo System regarding their locations may result in lost assets remaining undetected and inability to recover associated costs from responsible staff.</p> <p>C(iii) Missing assets may remain undetected as a result of unwillingness by some staff to report any losses due to fear of financial repercussions.</p>	<p>Security clearance required before staff visit high risk areas.</p> <p>Physical verifications of assets conducted on semi annual basis. Multi-user assets are verified at least four times a year.</p> <p>Induction training for new arrivals includes PCIU presentation where personnel are advised on procedure for reporting losses. During physical verification, PCIU inspectors advise users to submit incident reports as soon as losses are discovered</p>	Compliance	Possible	High	Higher Risk

9	Focus Area: Property and Facilities Management		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
III	Contingent Owned Equipment		Possible	High	Higher Risk	
	<p>B(i) Delays in establishing a COE and MOU Management Board to manage the MOU/COE program in the mission may result in ineffective management of COE.</p> <p>B(ii) Lack of clarity on reporting lines in the newly formed Property Management Section where functions being performed are not taken into consideration may lead to misunderstanding.</p>		Governance	Possible	High	Higher Risk
	<p>E(i) Refusal by some Contingent Commanders to sign COE inspection reports leads to lengthy dispute resolution process.</p> <p>E(ii) Failure to inspect COE may lead to delays in reimbursing police and troop contributing countries (P/TCC) or payments being made to P/TCCs for unserviceable or missing assets.</p> <p>E(iii) Safety and security concerns for staff in some locations may prevent inspections from being carried out resulting in delays in reimbursing P/TCCs.</p>	<p>Dispute resolution process in place.</p> <p>Quarterly inspection plan in place including arrival and repatriation inspections.</p> <p>Security clearance required before staff visit high risk areas.</p>	Operational	Possible	High	Higher Risk

9	Focus Area: Property and Facilities Management			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
IV	Internal Review Boards			Possible	Medium	Moderate Risk
	<p>E(i) Poor quality of investigation reports compounded with lack of standardisation of reporting format may necessitate additional work resulting in delays in processing cases.</p> <p>E(ii) Delays in processing and settling insurance claims due to absence of insurance representatives may result in inefficiencies in the claims and settlement process.</p> <p>E(iii) The increased responsibilities of processing third party claims exceeding \$5,000 which have been assigned to the Section under the new BOI Policy/SOP effective 01 June 2008 without additional resources to perform the work may result in delays and inefficiencies in processing claims.</p>	<p>Procedures in place for follow-up and request for outstanding or supplementary information.</p> <p>Staff members follow-up with insurers to ensure timely settlement of claims.</p>	Operational	Possible	Medium	Moderate Risk
	<p>G(i) Delays in receiving the required information to process cases may result in difficulties in verifying facts in some cases.</p> <p>G(ii) Breach of confidential information especially in cases where there is a potential assessment for Property Survey Board and Board of Inquiry may lead to loss of credibility and undermine the processes.</p>	<p>Procedures in place for follow-up and request for outstanding information.</p> <p>Restricted access and use of passwords in place to secure sensitive data and information.</p> <p>Independence of functions required to ensure full objectivity of the process.</p> <p>Use of sealed envelopes for delivery of documents to other Sections/Offices.</p>	Information Resources	Possible	High	Higher Risk

9	Focus Area:	Property and Facilities Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>C(i) High vacancy rate in the Section results in delays in processing cases and implementing planned activities.</p> <p>C(ii) Allegations of staff in the Section pocketing insurance settlements may result in a tarnished image which negatively affects the morale of staff.</p>	<p>Galaxy system being used to recruit staff.</p> <p>Segregation of duties between IRB staff processing claims cases and Finances staff effecting payment.</p> <p>Staff members document all communications with third party claimants and organization's insurer, with copy to IRB Secretariat.</p>	Human Resources	Possible	High	Higher Risk
V	Property Management			Possible	High	Higher Risk
	<p>B(i) Lack of clear guidelines on what property management should do compounded by differences in opinion among managers on how properties should be managed may lead to gaps and inefficiencies in the management of property.</p> <p>B(ii) Organisation of property management into different services, splits responsibilities which may result in difficulties in establishing controls.</p> <p>B(iii) Decentralisation may violate leadership norms and create confusion in terms of reporting lines which may lead to manipulation of staff.</p>	<p>Proposal establishing Property Management Section with requisite subordinate section and processes submitted for approval.</p> <p>Decentralization is designed to ensure prime service where needed, and some functions are maintained centrally.</p>	Governance	Possible	Medium	Moderate Risk
	C(i) Failure to implement DPKO doctrine on property management may lead to piecemeal management of property when constituent units are split and report to three different sections in the Mission.	Pilot DPKO and DFS guidance / doctrine regarding property management and reporting chain, provided in the Mission Start-up Field Guide, version 1.0,	Compliance	Possible	High	Higher Risk
	E(i) Inflexible rules and lengthy process for disposal of expendable assets such as computers, drugs and food items may lead to the UN being accused of ignoring the humanitarian issues in the DRC where such items are needed which may results in criticism and negative publicity for the Mission.		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	Likely-hood	Impact	Overall Risk
I	UN Police			Possible	High	Higher Risk
	(i) Delays in rehabilitating access roads and buildings and the lack of communication equipment and furniture for the Congolese police and military may result in delayed peace stability in the country and obtaining state authority through the Congolese police or military	Donor assistance being requested Funding secured through UNOPS for road rehabilitation	Strategy	Possible	High	Higher Risk
	E(i) Lack of control over UN police uniforms may result in unauthorized persons using the uniforms to access MONUC premises. This may result in damage to UN assets, injuries and loss of lives. E(ii) Mission management requesting UN Police to undertake tasks for which they lack capacity or are not adequately trained may result in criticism and being blamed if intended objectives are not achieved. E(iii) Failure by the Mission Support Sections to provide support facilities such as suitable office space to the UN Police in the regions may adversely affect their morale and policing activities	Entrance to MONUC premises is allowed only to the authorized persons holding valid MONUC ID cards. Rules of engagement for UN Police and military contingents are clearly defined. Military contingents are called for help when situation worsens or gets out of control. Engineering Section provides suitable space to various sections in consultation with the Police Commissioner and the Office Space Allocation Committee.	Operational	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>C(i) Inadequate screening of UN police officers on joining the mission may result in the recruitment of corrupt police officers. This may lead to misconduct of UN Police, resulting in negative publicity for the UN.</p> <p>C(ii) Lack of professionalism and the inability of the Congolese National Police (CNP) to effectively perform their assigned duties during joint operations with UN Police may damage the image of MONUC.</p> <p>C(iii) Failure of the police to abide by the UN code of conduct may lead to misconduct, which may result in negative publicity and a tarnished image for the UN.</p> <p>C(iv) Redeployment of UN Police who previously served in the Mission may lead to nepotism and favouritism and pursuing national agendas which may result in a negative impact on UN Police operations</p>	<p>UN criteria for selection of police officers are provided to Troop Contributing Countries. Test required for selection of police officers prior to deployment to peacekeeping missions.</p> <p>Joint missions are led by the UN Police command.</p> <p>Dialogue and political maneuvers are preferred over use of force in the host country</p> <p>Identification of out of bounds areas and implementation of curfew hours.</p> <p>Frequent field visits by the Police Commissioner and other supervisory staff.</p> <p>Extensions in tenure are linked to good conduct.</p> <p>Zero tolerance policy for SEA is in place.</p> <p>Deployment limited to two years and no further extensions or re-deployments.</p>	Compliance	Possible	High	Higher Risk
	F(i) Inadequate staffing in UN Police may result in inefficient performance leading to non achievement of goals and objectives.	The Security Council has authorised the police strength for the Mission. Actual numbers of police depend on the contributions by the Police Contributing Countries.	Human Resources	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>G(i) Lack of accurate, reliable and timely information may lead to delays and inappropriate response to emergencies and crises situations which may result in damage to UN properties and loss lives.</p> <p>G(ii) Lack of a central control room in UN Police for information gathering and processing may result in failure to adequately coordinate its several units especially during emergencies.</p>	UN Police interacts with DSS and military for information sharing besides relying on its own information sources.	Information Resources	Possible	Medium	Moderate Risk
	D(ii) Inadequate funds may lead to failure by UN Police to carry out training activities for Congolese National Police (CNP) which may result in failure to build capacity for the CNP.	Training funds are donated by the international community and bilateral partners.	Financial	Possible	High	Higher Risk
II	Formed Police			Possible	High	Higher Risk
	B(i) Lack of cooperation from the PNC may result in the inability to achieve the joint patrol objectives and build capacity for the PNC to provide civilian protection.	<p>FPU has a good public image due to its professionalism.</p> <p>PNC is kept in the background during critical operations.</p> <p>Interaction and dialogue by the national leaders and GoDRC counter parts.</p>	Strategy	Possible	High	Higher Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) Formed Police Units may be inadequately equipped to carry out operations which may adversely affect its capacity to protect the Mission's assets and personnel.</p> <p>E(ii) Delays by Mission Support in providing facilities such as proper accommodation in some locations may affect the morale and performance of FPU.</p> <p>E(iii) Failure of the UN police to carry out patrols in warden zones may result in increase in armed robberies, kidnappings, car jacking and harassment of UN personnel.</p> <p>E(iv) Insufficient or inappropriate ammunition to conduct effective crowd control by the FPU may result in failure to curtail the spread of violence, injuries and loss of life.</p>	<p>FPU are self sustained contingents who bring the required equipment as per Memoranda of understanding which are also inspected by COE Unit upon arrival and periodically thereafter.</p> <p>Contingent entitlements are outlined in the Memoranda of Understanding (MOU) with the TCC.</p> <p>Purified water and hygienic food is provided to the contingents.</p> <p>A weekly Crime Prevention Program is in place.</p>	Operational	Possible	High	Higher Risk
	E(v) Joint patrols with the Police Nationale Congolaise (PNC) who are perceived to be responsible for atrocities may lead to loss of reputation and credibility of FPU and the UN.	<p>FPU has a good public image due to its professionalism.</p> <p>PNC is kept in the background during critical operations</p>		Possible	High	Higher Risk
	G(i) Incompatibility of COE communication system with the UN system may result in failure to communicate critical safety and security information especially in crises situations which may lead to inability to coordinate security efforts and respond in a timely manner in emergency situations.	<p>FPU are self sustained contingents who bring the required communication equipment.</p> <p>The Mission provides radios to FPUs which are used for communication.</p>	Information Resources	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
III	UN Police - Field Office		Possible	High	Higher Risk	
	A(i) Inability by the PNC to follow deadlines for implementation of strategies may delay the planned activities in the field.	Dialogue with national counterparts and provincial leaders.	Strategy	Possible	High	Higher Risk
	E(i) Lack of proper training facilities for the national police may negatively impact training activities. E(ii) The lack of effective recruitment process coupled with the absence of adequate remuneration for the PNC may result in criminals joining the PNC and committing atrocities. E(iii) Failure by PNC to respect the law and its tendency to resort to violence in crowd control may be misconstrued by the population as the training provided by MONUC to the local police which may lead to loss of credibility of the UN.	Training programs in place including simulation of real cases.	Operational	Possible	High	Higher Risk
	B(i) Failure of the PNC to cooperate with the UN Police coupled with inclination to reject advice given by the UN Police may result in failure to implement planned PNC activities.		Governance	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IV	Military - Force Headquarters		Possible	High	Higher Risk	
	<p>A(i) Inability of MONUC to conduct training for FARDC due to the GoDRC's failure to provide adequate equipment, ammunition and coordinate the movement of battalions to the training centres may result in failure to build capacity for the national army to establish state authority.</p> <p>A(ii) The use of force even though it is provided for in the mandate may cause collateral damage which may be perceived as a violation of human rights resulting in negative publicity for MONUC.</p> <p>A(iii) The use of force may not be accepted by all stakeholders and MONUC may be accused of favouring one party over the other, which may undermine the neutral role of the UN resulting in loss of credibility.</p> <p>A(iv) Joint operations with the national army who are perceived to be responsible for atrocities in DRC may result in damage to the reputation, image and credibility of the UN.</p>	<p>MONUC logistical support provided for movement of troops</p> <p>GoDRC required to provide ammunition and equipment</p> <p>Deterrence used rather than force.</p>	Strategy	Possible	High	Higher Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B(i) Inadequate communication among senior management for timely resolution of issues may result in misunderstanding, misconception and negative impact on operations.</p> <p>B(ii) Inadequate coordination among Military, UN Police and Security especially in a crisis, may result in delayed or inappropriate reaction, casualties, etc.</p>	<p>Quarterly Contingent Commanders conference to resolve issues.</p> <p>Management groups (SMT, SMG, SPG, POG, etc) in place to coordinate and harmonise planned activities and take necessary decisions.</p> <p>Procedures in place where JOC takes the lead in a crisis situation.</p> <p>Weekly ISMT meetings held to discuss security issues.</p>	Governance	Possible	Medium	Moderate Risk
	<p>E(i) Frequent rotation of military personnel may result in lack of continuity and loss of institutional memory which may negatively impact operations.</p> <p>C(iii) Lack of cohesion among staff and troops due to cultural and language barriers may result in conflicts and misunderstanding.</p>	<p>Databases of information maintained.</p> <p>Procedures in place to prevent staff of the same nationality holding consecutive lines of command.</p>	Operational	Possible	High	Higher Risk
	<p>G(i) Lack of major information gathering capacity such as signals intercept capability to trace and locate individuals and militia groups may result in the Mission operating without critical current information for decision making.</p>	<p>Different sources of information (military, security, police, JMAC, etc) are used and centrally coordinated in JOC.</p> <p>Military contingents are self sustained. They bring the required communication equipment.</p> <p>The Mission provides radios to contingents when required which are used for communication.</p>	Information Resources	Possible	High	Higher Risk
	<p>C(i) Lack of understanding of UN rules and regulations by the military may result in requests for support resources that cannot be met.</p>	<p>Program Operations Group established to harmonise substantive decisions with budgetary provisions.</p>	Compliance	Possible	Medium	Moderate Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
V	Military - Western Brigade			Possible	High	Higher Risk
	<p>A(i) The perception that western DRC is peaceful has resulted in the SC mandate giving priority to eastern DRC, especially the Kivus, with little resources allocated to the W/Brigade which may result in failure to adequately deal with crisis situations if they arise in the western region.</p> <p>A(ii) Failure to settle demobilised soldiers and lack of brassage payments (payments made to ex-combatants) and tools results in security threats to military observers (UNMOs) who are operating in the area.</p>	<p>Reinforcements from other locations can be called upon when need arises.</p> <p>Agreements negotiated with the GoDRC to handover elements for brassage.</p>	Strategy	Possible	High	Higher Risk
	<p>A(iii) The absence of a military academy compounded with the strategy for short duration of training program for three months which may not provide a strong base for building capacity of the national army may result in failure to achieve the mandated objectives leading to prolonged presence of UN in DRC.</p>	MONUC to conduct training for FARDC	Strategy	Possible	High	Higher Risk
	<p>E(i) Reinforcements for security in the western region may not arrive in a timely manner which may result in high casualties among UN personnel and damage to properties.</p>	<p>Reinforcements from other locations can be called upon when need arises.</p> <p>Special flights are arranged for emergency cases.</p>	Operational	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>E(v) Lack of understanding and flexibility by the Mission Support in the provision of support such as water may result in negative impact on operations and waste of resources as the military remain unproductive.</p> <p>E(vi) Frequent breakdown of vehicles used by the United Nations Military Observers (UNMOs) may adversely affect their monitoring activities.</p> <p>E(vii) Insufficient troop strength to safeguard MONUC facilities may result in damage to properties and personnel casualties.</p> <p>E(viii) Lack of formed troops in some team sites to provide security exposes the UNMOs to threats of beatings, car jacking and death.</p>	<p>Management groups (SMT, SMG, SPG, POG, etc) in place to coordinate and harmonise planned activities and take necessary decisions.</p> <p>Fleet replacement plan in place.</p> <p>Procedures in place where JOC takes the lead in a crisis situation.</p> <p>Weekly ISMT meetings held to discuss security issues.</p> <p>Reinforcements from other locations can be called upon when need arises.</p>	Operational	Possible	Medium	Moderate Risk
	<p>B(i) Lack of cooperation from the national army may hinder the capacity building and training initiatives of the national army.</p> <p>B(ii) Lack of coordination with UN Police especially in crisis situations may result in failure to execute assigned tasks and provide adequate response.</p>		Governance	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>G(i) Lack of a central coordination point for information gathered by the military, Joint Military Coordination (JMAC) and Security which should provide feedback to all concerned sections may result in information gaps, conflicting information, incorrect assessment and decisions.</p> <p>G(ii) Lack of communication facilities in some locations may result in UNMOs relying on personal cell phones in the field for communicating information to their brigade headquarters which may result in loss of morale and feeling of unfairness when staff use personal assets for official duties without compensation</p>	JOC is central coordination point which disseminates weekly threat assessments.	Information Resources	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
VI	Military - Field Office		Possible	High	Higher Risk	
	<p>E(i) Possibility exists that UNMOs may promote personal views and create false hopes in the population regarding services to be rendered by MONUC which if not met may result in dissatisfaction, aggression and riots of the local population.</p> <p>E(ii) Language barrier among UNMOs may hinder effective communication with the local population which may result in inability to obtain vital information required for decision making.</p> <p>E(iii) Inability by MONUC HQ to fully understand the risks in the Kisangani area of operation and the shift to Goma may lead to inadequate resources and support being provided which may result in inability to adequately respond to emergencies such as student demonstrations, political crises leading to war, and epidemic outbreaks.</p>	<p>Induction training provided to all UNMOs where roles and expectations are clarified.</p> <p>Interpreters used for communicating with the local community.</p> <p>Reinforcements from other locations can be called upon when need arises.</p>	Operational	Possible	High	Higher Risk
	<p>E(iv) Lack of appropriate facilities for crossing the river for operations may result in contingents and staff using unsafe modes of transportation and inability to carry out operations when ferry is unavailable.</p> <p>E(v) Insufficient troops may result in inability to effectively implement planned tasks and provide security to MONUC personnel and UN properties especially in case of emergencies.</p>	<p>Local ferries being used to cross the river.</p> <p>Reinforcements from other locations can be called upon when need arises.</p>		Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
VII	JOC		Possible	High	Higher Risk	
	E(i) Lack of sufficient vehicles for staff who work late or odd hours may affect staff's ability to efficiently implement planned tasks.	Dispatch vehicle system in place and vehicle sharing is used for movement.	Operational	Possible	Medium	Moderate Risk
	B(i) High vacancy rate in JOC may negatively affect implementation of planned activities. B(ii) Lack of training for staff such as drafters may result in poor quality of reports which may affect the quality of information gathered for decision making. B(iii) Lack of staff with IT skills may result in failure to maintain the database which could lead to procedural inefficiencies in searching and retrieving information. B(iv) Lack of staff in the field offices compounded with the inability of the existing staff to familiarise themselves with the area of operation may affect the quality and validity of the data gathered.	Staff has been borrowed from other sections to cope with understaffing problem. Galaxy system used for recruitment of staff. JOC obtains information from UNMOs, security and JMAC on a daily basis.	Human Resources	Possible	High	Higher Risk
VIII	Joint Mission Analysis Centre (JMAC)		Possible	Medium	Moderate Risk	
	F(i) Provision of late or inaccurate information to senior management may result in wrong policy decisions which may endanger lives and adversely affect the credibility of the UN. F(ii) Lack of security for classified information may result in unauthorised access, embarrassment and adverse effect on operations.	System in place to verify all information. Use of passwords, loops in accessing share drive. Procedure in place to shred documents and not leave any documents on tables.	Information Resources	Possible	Medium	Moderate Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i) High vacancy rate in JMAC coupled with lengthy recruitment process makes it difficult to prioritise work leading to delays in executing some work.</p> <p>F(ii) High staff turnover results in lack of continuity of operations and loss of organisational memory which may affect the quality of information and decisions made.</p>	<p>Galaxy used for recruitment of staff</p> <p>Databases of information maintained.</p>	Human Resources	Possible	High	Higher Risk
IX	Security			Possible	High	Higher Risk
	A(i) Inability of the host country to meet security obligations and protect the UN may result to the need for the UN for a self protecting force.	Status of Force Agreement (SOFA) in place that requires host country to provide security to the UN staff and premises.	Strategy	Likely	High	Higher Risk
	<p>E(i) The use of ICs and casual daily workers who are unarmed in the provision of security services in some locations may result in security threat to UN personnel and facilities.</p> <p>E(ii) Non-functioning of security equipment such as cc-tv, x-ray machines at airports may result in failure by the Security Section to detect dangerous and unauthorised items on board MONUC flights.</p>	<p>DMS policy guidelines issued restricting use of CDWs as security guards.</p> <p>Physical inspections and controls by security personnel in place.</p>	Operational	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(iii) The lack of adequate resources to evacuate staff, compounded with the reliance of the international community on MONUC to provide security during emergencies may result in criticism and negative publicity for the UN if such services are not provided.</p> <p>E(iv) Inability to carry out all new duties assigned under occupational health and safety except verifying compliance with MOSS and MORSS may result in litigation in case of accidents due to lack of compliance.</p> <p>E(v) High expectations placed on the security investigators compounded with the lack of staff and requisite skills may result in cases being delayed, inadequately investigated and culprits going free.</p>	<p>Security evacuation plan in place which gives order of priority for evacuations.</p> <p>MOSS/MORSS guidelines are in place.</p> <p>Security Investigation Unit in place to carry out investigations.</p> <p>Category 1 cases are investigated by OIOS Investigation.</p>	Operational	Possible	High	Higher Risk
	<p>G(i) Untimely information from security patrols coupled with failure to share information with JMAC and the military may result in failure to issue timely warning of security threats to UN personnel which may lead to casualties.</p> <p>G(ii) Lack of communications due to systems failure may lead to the inability to communicate critical information especially in crises situations which may result in casualties.</p>	<p>JOC obtains information from UNMOs, security and JMAC and issues daily situation reports.</p> <p>Different forms of communication are used such as radios, cell phones and emails.</p>	Information Resources	Possible	Medium	Moderate Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likely-hood	Impact	Overall Risk
	<p>C(i) Failure of UN agencies' personnel to communicate their movements may result in failure of MONUC to provide them with escorts which may lead to casualties.</p> <p>C(ii) Failure of the UN personnel to adhere to the lessons learnt under security training may result in personnel unnecessarily endangering their lives.</p> <p>C(iii) Failure by UN personnel to comply with the requirements for non-family duty station may negatively affect the implementation of the evacuation plan and lead to loss of lives.</p>	<p>Procedure in place requiring UN Agencies and staff in MONUC to notify Security of planned movements to high risk areas.</p> <p>Security briefing and advisories provided to staff.</p> <p>Periodic reminders sent to staff emphasizing the non-family duty status of the Mission.</p>	Compliance	Possible	Medium	Moderate Risk
	<p>F(i) High vacancy rates in Security Section compounded with the many locations to secure may result in inadequate provision of security services.</p> <p>F(i) National staff employed in Security may be subject to harassment and intimidation from the public and threats to their families which may negatively affect their performance.</p> <p>F(ii) Lack of adequate resources to solve the problem of armed groups such as Lords Resistance Army (LRA) may lead to re-insurgence of violence in the province which may result in destabilization of the peace process</p>		Human Resources	Possible	High	Higher Risk
	<p>D(iii) Delays in payments for security services may result in withdrawal of services which may endanger the lives of UN personnel and the safety of UN properties.</p>	<p>Procedure is in place for the Finance Section to make payment in accordance with the terms and conditions of the contract after certification of appropriate invoices by relevant Units/Sections.</p>	Financial	Possible	High	Higher Risk

10	Focus Area: Safety and Security		Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
X	Security - Kisangani Field Office		Possible	High	Higher Risk	
	<p>A(i) Unprotected international borders may allow terrorists to infiltrate from neighbouring countries such as Sudan and Central African Republic (CAR) may result in destabilisation of peace in the province which may endanger the lives of UN personnel.</p> <p>A(ii) Political rivalry during election campaigns may lead to tension in the area which may result in foreigners and their residences being targeted.</p>	<p>Peace agreements signed (Juba Process, Nairobi, etc). Weekly threat assessments circulated to staff. Patrols by military in place.</p> <p>MOSS/MORSS guidelines are in place.</p>	Strategy	Possible	High	Higher Risk
	<p>E(i) Deliberate attacks on UN personnel by university students, youth gangs and armed ex-combatants may result in loss of lives, relocation of MONUC staff and delays in implementing planned programs.</p> <p>E(ii) Attacks against UN premises compounded with the unwillingness of local police to protect UN facilities may result in damage to and loss of UN facilities and equipment leading to suspension on the UN program.</p> <p>E(iii) Possibility of hostage taking and kidnapping of UN personnel compounded with the high level of organized armed criminal gangs may lead to injuries to staff, loss of lives and staff leaving the field office which may adversely affect operations.</p> <p>E(iv) The large number of ex-combatants waiting to be integrated in the national army or reinserted in civilian society may pose a security threat to UN personnel and properties.</p>	<p>UN Contingent Quick Reaction Teams established and in place.</p> <p>Exterior perimeters reinforced and premises are guarded with restricted entry.</p>	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

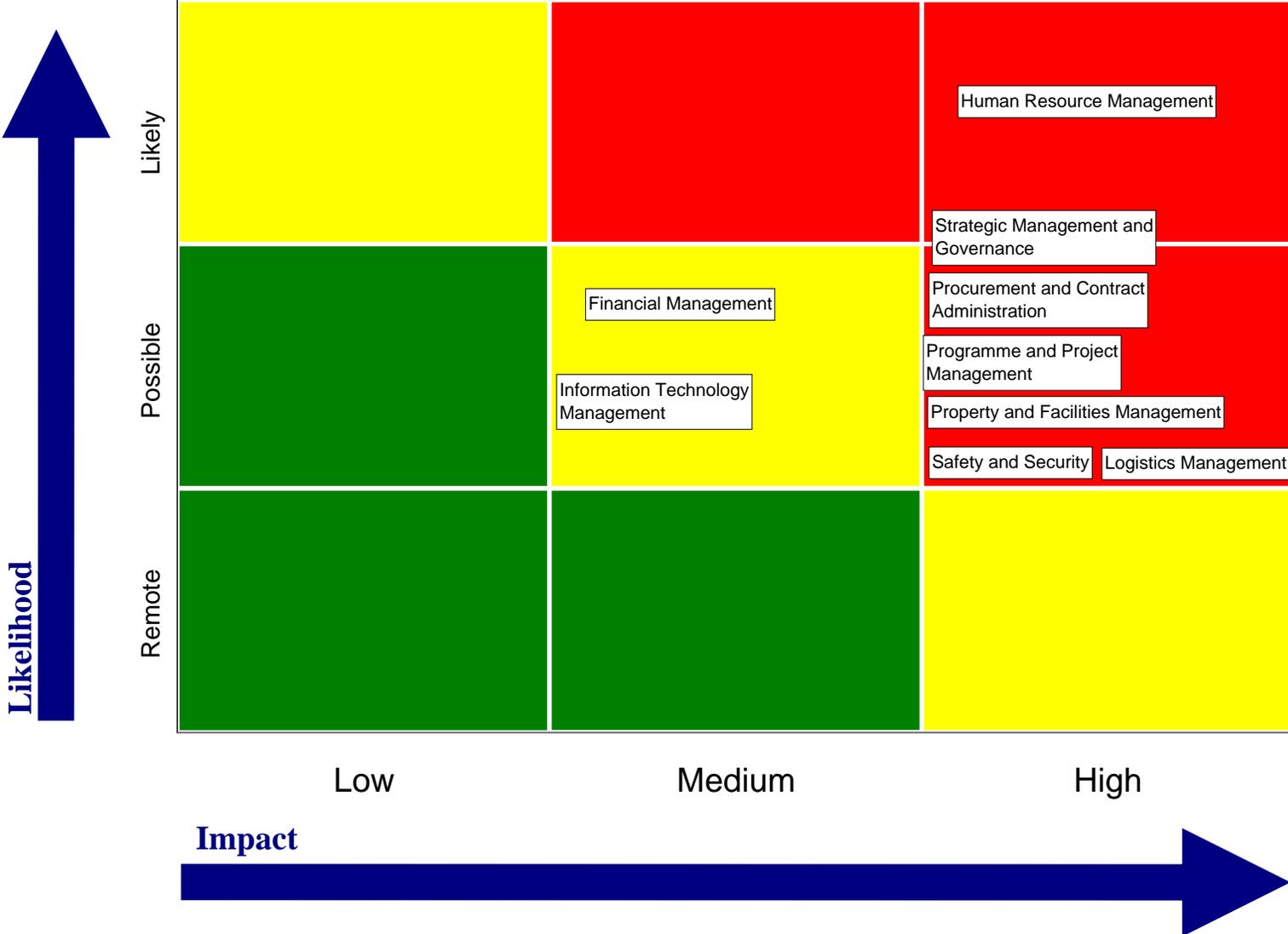
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used are shown below:

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: <ul style="list-style-type: none"> Likely and high Likely and medium Possible and high
Moderate Risk	The identified issue represents the following likelihood and impact combinations <ul style="list-style-type: none"> Likely and low Possible and medium Remote and high
Lower Risk	The identified issue represents the following likelihood and impact combinations <ul style="list-style-type: none"> Possible and low Remote and low Remote and medium

RISK SUMMARY PROFILE (Focus Area)



RISK SUMMARY PROFILE (Sub Focus Area)

