



OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

RISK ASSESSMENT

**United Nations Mission in Liberia
(UNMIL)**

19 August 2009

Assignment No. AP2008/626/04

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

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

TO: Ms. Ellen Margrethe Løj
A: Special Representative of the Secretary-General
United Nations Mission in Liberia (UNMIL)

DATE: 19 August 2009

REFERENCE: IAD: 09- 02769

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

SUBJECT: **Assignment No. AP2008/626/04**

OBJET:

1. I am pleased to present OIOS' risk assessment of UNMIL 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 UNMIL 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. Paul Egunsola, Chief of Staff, UNMIL
Mr. Stephen Lieberman, Director Mission Support, UNMIL
Ms. Susanne Frueh, Executive Secretary, Joint Inspection Unit
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Seth Adza, Chief, Audit Response Team, DFS
Mr. Moses Bamuwanye, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS

INTERNAL AUDIT DIVISION

FUNCTION

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

CONTACT INFORMATION

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PARTICIPANTS

The OIOS risk assessment team conducted workshops and interviews with the following staff members of UNMIL, 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"> • Ms. Ellen Margrethe Løj, SRSG • Ms. Henrietta Mensa-Bonsu, D/SRSG Rule of Law • Mr. Jordan Ryan, D/SRSG Recovery & Governance • Mr. Stephen Lieberman, Director of Mission Support
Financial management	<ul style="list-style-type: none"> • Ms. Stephani Scheer, Chief Administrative Services • Mr. John Subai, Chief Finance Officer • Mr. Cletus Wamalwa, OIC/Budget Officer
Procurement and Contract Administration	<ul style="list-style-type: none"> • Mr. Christopher Fathers, Chief Procurement Officer
Logistics management	<ul style="list-style-type: none"> • Mr. Wilson Towongo, Logistics Officer, Joint Logistics (J-LOC) • Mr. Zvezdana Mitic, Chief Planning, Budget and Requisition Supply • Mr. Bernard Tshamala, Budget Account Assistant, Transport • Ms. Carolyn Hunt, Chief Engineer • Mr. Ferdinand Heuvelman, Deputy Chief, Movement Control • Mr. Azzam Ayyat, Chief Aviation Officer
Information Technology management	<ul style="list-style-type: none"> • Mr. Gerald Demueles, Chief Communications and IT

Focus Area	Name and Functional Title
Programme and project management	<ul style="list-style-type: none"> • Lt. Gen. Isaac Obiakor, Force Commander • Mr. Idris Ibrahim, OIC Commissioner, UNPOL • Mr. Bertrand Coppens, Chief of Staff • Mr. Jonathan Andrews, Special Assistant to the D/SRSG (R&G) • Mr. Francis Kai-Kai, Chief, Civil Affairs • Mr. Andrea Tamagnini, Director, Recovery, Rehabilitation and Reintegration • Ms. Maura Lynch, Humanitarian Coordinator • Mr. Musumali Shindano, HIV Advisory Unit • Mr. James E. Coleman, Environment National Officer, Environmental Unit • Mr. Babafemi A. Badejo, Head Political, Policy and Planning Unit • Mr. Alan Gutman, Legal Officer Senior Legal Advisor Office • Mr. Kamudoni Nyasulu, Legal Judicial Support Services Division • Mr. James Mugo Murithi, Gender Affairs Officer, OIC Genera Unit • Mr. George Somerwill, Chief Public Information • Mr. Joseph Gillespie, Human Rights and Protection

Focus Area	Name and Functional Title
	<ul style="list-style-type: none"> • Ms. Marjo Callaghan, Head, Corrections and Advisory Unit • Mr. Suraj Olarinde, Corrections Advisor • Regional Administrative Officers (RAO) • Mr. Wycliffe Nyagahinga Kwikiriza RAO Sector 2 A, Tubmanburg, Bomi County
Safety and Security	<ul style="list-style-type: none"> • Lt. Gen. Isaac Obiakor, Force Commander • Mr. Idris Ibrahim, OIC Commissioner, UNPOL • Mr. Bertrand Coppens, Chief of Staff • Ms. Jane Grausgruber , Policy Advior, UNPOL • Mr. Egbeyemi Idris, Team Leader, UNPOL • Ms. Annette Leijenaar, Chief Security Advisor, Department of Safety and Security

SUMMARY OF RISK RATINGS

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

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

Table 2: Summary of identified risks

Focus Area	Overall Risk
i. Strategic management and governance ii. Procurement and contract administration iii. Human resources management iv. Safety and security v. Logistics management vi. IT management vii. Conference and documents management	Higher Risk
i. Financial management ii. Property and facilities management iii. Programme and project management	Moderate Risk
	Lower Risk

RISK REGISTER

Risk Assessment of : UNMIL

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
1	Strategic planning and monitoring A(i) Inadequate planning of UNMIL's drawdown / withdrawal could affect the already fragile peace and stability in Liberia. A(ii) The lack of an effective strategy to deal with "spoilers" (e.g. drug traffickers, ex-combatants, criminals, etc) may reverse the progress made by the Mission in stabilizing the country.	A phased and gradual drawdown and withdrawal plan for UNMIL is in place. Benchmarks have been established and the role of UNMIL to attain security benchmarks is clarified in Security Council Resolution (SCR) 1712.	Strategy	Possible	High	Higher Risk
	B(i) Inadequate and ineffective coordination of donors may result in a mismatch between funding and programme priorities. B(ii) The lack of effective coordination and communication within UNMIL and between UNMIL and UN agencies, programmes and funds may result in ineffective and inefficient operations. B(iii) The lack of coordination between the UN and local law enforcement agencies may impede the strengthening of rule of law institutions. B(iv) The lack of clarity in directives issued to the Mission by UNHQ may result in ineffective and inefficient operations.	The Deputy Special Representative of the Secretary - General (DSRSG) Recovery and Governance (R&G) is the Resident Coordinator. UNMIL holds regular meetings with Government of Liberia (GOL) counterparts. The Mission has sought clarification from UNHQ.	Governance	Remote	High	Moderate 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
II	UN HQ and 'one UN'	DPKO / DFS organization and roles are spelt out.	Governance	Possible	High	Higher Risk
III	Mandate and Mission	Drawdown plan is shared with the Government of Liberia (GoL) and provides for regular calibration.	Operational	Possible	High	Higher Risk
	E(i) Energy and food insecurity coupled with rising prices of fuel and food may trigger violent riots and impede the progress made by UNMIL in stabilizing the country.	The UNMIL military has developed its own plan to deal with contingencies. The Civilian component of UNMIL has formulated a Disaster Recovery and Business Continuity Plan (DRBC) for IT.	Operational	Possible	Medium	Moderate Risk
<p>BI(i) The restructuring of the Department of Peacekeeping Operations (DPKO), which resulted in the creation of the Department of the Field Support (DFS), may further slow down administrative processes including recruitment, procurement, logistical support, etc. This could impede effective programme delivery.</p>						
<p>A(i) Delays in the Liberian forces taking over from UNMIL could cause delays in restoring and consolidating state authority throughout the country. This could delay the withdrawal of UNMIL and result in additional cost to the UN.</p>						
<p>A(ii) The absence of a Business Continuity Management Plan (BCMP) may result in delays in the resumption of activities and loss of operating capacity in the event of crisis and/disaster.</p>						

1	Focus Area:	Strategic Management and Governance	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	B(1) Failure of the Mission to effectively implement the integrated mission concept of operations may undermine programme delivery and lead to waste of resources.	The DSRSG R&G is the Resident Coordinator. Regular interactions take place between the various actors. The Integrated Missions Planning Process (IMPP) is in place. Interactions with specialised UN agencies takes place on a regular basis.	Possible	High	Higher Risk
		Governance	Possible	High	
		Risk Category	Likelihood	Impact	Overall Risk

Risk Assessment of : UNMIL

2	Focus Area:	Financial Management	Risk Category	Possible Likelihood	Medium Impact	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
1	Accounting and Financial Reporting			Possible	Medium	Moderate Risk
	D(i) The reliability and integrity of the financial reporting process may be compromised due to the use of outdated accounting standards. This may impede informed decision making.	Rollout of International Public Sector Accounting Standards (IPSAS) delayed in UN. UNHQ provides regular updates on IPSAS.	Financial	Possible	High	Higher Risk
	D(ii) Delays and inaccuracies in the preparation and submission of monthly financial statements may impede informed decision making.	Parallel runs of systems contemplated till transition is completed.				
	E(i) The lack of adequate and effective internal controls may result in error and irregularities regarding financial data not being prevented or detected in a timely manner. This may result in loss and waste.	Role and accountability of certifying and approving officers is clearly defined.	Operational	Remote	Low	Lower Risk
	F(i) Lack of qualified and skilled accounting and finance staff may lead to incorrect application of accounting principles.	Application of UN Regulations and Rules.	Human Resources	Possible	Medium	Moderate Risk
II	Cash management			Possible	Medium	Moderate Risk
	C(i) The lack of adequate controls over the preparation of remittance requests may result in excessive cash being provided to the Mission. This may increase the risk of financial losses and irregularities.	Financial Regulations and Rules of the UN. Field Finance Rules issued by DFS. OPPBA standing instructions to field missions.	Compliance	Possible	Medium	Moderate Risk
	E(i) Inadequate controls over imprest, petty cash and bank accounts may result in irregularities not being prevented or detected in a timely manner. This may in turn result in financial losses to the UN.	Financial Regulations and Rules of the UN. Field Finance Rules issued by DFS. Cash transported by air/road under armed escort.	Operational	Possible	Medium	Moderate Risk
	E(ii) The lack of adequate controls over the transportation of cash may result in theft and financial losses to the UN.					

2	Focus Area:	Financial Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
III	Transaction processing	Risk Category	Possible	Medium	Moderate Risk
	C(i) The lack of adequate controls over vendor payment processing may result in payments being made for goods and services not received.	The Financial Regulations and Rules of the UN. Field Finance Rules issued by DFS.	Possible	Medium	Moderate Risk
	C(ii) Lack of adequate controls over staff payment processing may result in overpayments.	The Financial Regulations and Rules of the UN apply. Field Finance Rules issued by DFS. Progen, the Payroll Software in use. Time and attendance records are maintained, providing the basis for mission subsistence allowance (MSA) payments made to staff. The UN Travel Policy applies to the Mission. SUN Business and Accounting System software and Procurement are in place.	Possible	Medium	Moderate Risk

2	Focus Area:	Financial Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Overall Risk
IV	Budget		Governance	Possible	Moderate Risk
B(i) The Results Based Budgeting (RBB) framework may not be well understood by programme managers leading to the establishment of unrealistic and unachievable goals. This may impede programme evaluation and hence the achievement of the Mission's mandate.		The Controller issues budget instructions. DFS issues supplementary budget instructions. DFS has a ABACUS Team that works with Missions in the preparation of their budgets.			Moderate Risk
B(ii) The lack of involvement of senior management at key stages of the development of the budget and the lack of close coordination with relevant components at UNHQ may result in over/under budgeting. Under budgeting may impede programme delivery and over budgeting may result in financial losses to the UN and the inability of the UN to adequately fund other programmes.		Senior management is accountable for the Mission's budget. The Financial Regulations and Rules of the UN apply. DFS issues standard cost manuals.			Moderate Risk
E(i) RBB performance indicators may not be relevant leading to measurement of irrelevant outputs that could have no relationship on the designed / intended outcome of the programme.		Budget is reviewed at various stages in the Mission and at UNHQ and budget performance reports are prepared. Budget Section is functional and budgetary review is provided for, performance budget process is available. Performance indicators are drawn up after discussions at various levels. Authority delegated to the Director of Mission Support (DMS) to redeploy funds.	Operational	Possible	Moderate Risk
C(i) The absence of adequate budgetary controls may result in financial losses to the UN.		Budgetary review provided for in first and second budget performance reports.	Compliance	Possible	Moderate Risk

Risk Assessment of : UNMIL

3	Focus Area: Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	Risk Category	Likelihood	Impact	Overall Risk
1	<p>Recruitment</p> <p>F (i) Delays in recruitment may result in inadequate levels of key personnel, hindering the effective achievement of the Mission's mandate.</p> <p>F (ii) The recruitment process may be complicated, protracted or inflexible resulting in delays in filling vacancies. This may negatively affect the delivery of programmes.</p> <p>F (iii) Critical / key vacancies may not be identified and filled on time. This could result in the mission not being able to pursue its programme effectively.</p>	<p>With the reform of Human Resources (HR), a new HR manual and policies are available. Uncertainty exists regarding the impact of the new HR policy on recruitment.</p> <p>Limited delegation of recruitment authority given to UNMIL.</p>	<p>Likely</p>	<p>High</p>	<p>Higher Risk</p>
	<p>C (i) Recruitment may not be conducted in a transparent manner. This may result in the recruitment of unqualified and incompetent staff leading to inefficiency in programme delivery.</p>	<p>Regular monitoring of vacancies against Staffing Table authorizations.</p> <p>New HR Manual and policies are available. Uncertainty exists regarding the impact of the new HR policy on recruitment. Field Review bodies have been established.</p>	<p>Compliance</p>	<p>Possible</p>	<p>Medium</p> <p>Moderate Risk</p>

3	Focus Area:		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	Risk Category	Likelihood	Impact	Overall Risk
II	Entitlements and allowances C(i) Staff members may not use the most direct or most-efficient/ cost-effective route for home, family visit and education grant travels resulting in excessive travel costs.	Compliance	Possible	Medium	Higher Risk
	E(i) Internal controls over the processes of mission insurance plan (MIP) claims may not be adequate resulting in irregularities not being prevented or detected in a timely manner. This may result in financial losses to the UN. E(ii) Inadequate controls over reimbursements to staff for fuel and security may result in irregularities not being prevented or detected in a timely manner. This may result in financial losses to the UN. E(iii) Inadequate controls over the processing of MSA may result in irregularities not being prevented or detected in a timely manner. This may result in financial losses to the UN.	Operational	Possible	Medium	Moderate Risk
III	Use of short term staff F(i) The continuous extension of individual contractors (ICs) may create the expectations of long term employment by ICs.	HRMS manages and monitors all IC contracts to ensure they do not exceed the mandatory period of engagement.	Possible	High	Higher Risk
		Human Resources	Likely	Medium	Higher Risk

3	Focus Area:	Human Resource Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Overall Risk
IV	Conduct and Discipline		Strategy	Possible	Higher Risk
	A(i) Lack of appropriate mechanisms for dealing with cases of misconduct especially Sexual Exploitation and Abuse (SEA) may impede the effectiveness of SEA prevention measures.	SEA strategy is available. SEA cases are reviewed by the SRSG. Category I cases are handled by the Investigations Division, OIOS. Prevention measures are implemented through SEA refresher training by the Conduct and Discipline Team(CDT) for all categories of peacekeepers. The awareness campaign for the local community is handled by a consultant.		Possible	Higher Risk
	B(i) Inadequate handling of allegations of SEA may strain relations between the Mission and the Gol. This may impede the effectiveness of UNMIL and tarnish the reputation of the UN.	UNMIL advisory committee on discipline meets and reviews cases of discipline. Victims are assisted through the Sexual Abuse and Rape Rapid Response Team.	Governance	Possible	Higher Risk
	F(i) The Special Investigation Unit (SIU) staff may lack the skills and experience to carry out investigations. Therefore, investigation reports may not stand legal scrutiny. This could tarnish the reputation of the UN.	Mission is seeking training courses from OIOS for SIU staff.	Human Resources	Likely	Higher Risk

3	Focus Area:	Human Resource Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
E(i) Failure to properly investigate SEA cases and the failure to effectively communicate information to the public on these matters may result in negative public sentiments towards the Mission. This may impede the effectiveness of the Mission. E(ii) Delays in conducting investigations of cases of serious misconducts could affect the morale of staff implicated and diminish their productivity. E(iii) Lack of appropriate measures to reduce theft in the Mission may result in financial losses to the UN.	Disciplinary mechanisms/procedures from DFS and the Mission are available. OIOS is implementing a training programme to build the capacity of UN staff with some responsibility for investigating or otherwise dealing with possible misconduct.	Operational	Possible	High	Higher Risk	
V Privileges and immunities under Status of Forces Agreement (SOFA) B(i) UNMIL staff may not be adequately informed about the Status of Force Agreement (SOFA). This may result in violations of the SOFA and consequently erode the reputation of the UN.	UNMIL Security apparatus available along with Closed Circuit Television security cameras to deter thefts of UN assets. UNMIL policies and procedures are in place regarding the need to respect local laws and customs. UN policies and procedures governing use of diplomatic mail and pouch services are available.	Governance	Possible	High	Higher Risk	
			Likely	Medium	Higher Risk	

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	C(i) UNMIL and the GoL may not comply with the SOFA. This may result in excessive cost of operations and strained relations between the Mission and the GoL.	Office of Senior Legal Adviser (OSLA) works with programme managers. OSLA issues correspondence via the Office of the OSLA or the Office of the SRSG in the form of Note Verbales and other official means to the Ministry of Foreign Affairs to intercede on the Mission's behalf. If neither of these actions is successful, the matter may be referred to the Office of Legal Affairs (OLA) HQ via Code Cable.	Compliance	Possible	Medium	Moderate Risk
VI	Medical services		Governance	Possible	High	Higher Risk
	B(i) The absence of clearly delineated roles of the civilian and military components of the Mission may result in confusion especially over Casualty Evacuation (CASEVAC) and Medical Evacuation (MEDEVAC). This may endanger the life of UN staff and increase the cost of medical services. B(ii) Inadequate medical facilities and capacities may result in excessive medical cost and loss of life.	All standard operating procedures (SOPs) for the Medical Section are updated and distributed to all parties concerned. The SOPs clearly delineate the roles between the civilian and the military component of the Mission. SOPs for MEDEVAC and CASEVAC are clear and tested.	Compliance	Possible	Medium	Moderate Risk
	C(i) Medical policies and procedures may not be updated/available leading to inefficiencies in the delivery of medical services.	UN Medical Services, NY provides guidance to Mission health services. All SOPs for the Medical Section are updated and distributed to all parties concerned.	Compliance	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) Inadequate pre-deployment medical screening of military / police personnel may result in the spread of contagious diseases in the Mission and costly medical interventions by the Mission.</p> <p>E(ii) Large scale epidemics such as cholera, typhoid, lassa fever and yellow fever outbreaks could incapacitate large sections of the local population and UN personnel.</p> <p>E(iii) Delays in the procurement of needed medical equipment and supplies may endanger the health of staff and result in costly evacuations.</p>	<p>UNMIL medical services issues regular medical bulletins creating awareness in staff. Five level 1 clinics, 2 satellite clinics, and forward medical team provide medical coverage.</p>	Operational	Possible	Medium	Moderate Risk
	<p>F(i) The lack of adequate medical equipment could overstretch the medical resources, which may result in providing inadequate medical coverage to mission staff.</p>	<p>Acquisition and procurement planning process is in place.</p>	Human Resources	Possible	Medium	Moderate Risk

Risk Assessment of : UNMIL

4	Focus Area:	Procurement and Contract Administration	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Acquisition planning and requisitions		Possible	Medium	Moderate Risk
	C(i) Noncompliance with the UN Procurement Manual may result in the procurement of goods and services not needed and the failure to achieve best value for money.	Policies and procedures are available. Procurement Manual.	Likely	Medium	Higher Risk
	Acquisition plans are available.				
II	Bid evaluation and procurement processing		Possible	High	Higher Risk
	C(i) The undeveloped commercial market for local products such as timber, construction materials, etc, in Liberia may result in limited competition. This may preclude the Mission from achieving best value for money in its procurement activities.	The Procurement Manual provides provisions on source search.	Possible	Medium	Moderate Risk
	E(i) The procurement process may be complicated and protracted. This may adversely affect the delivery of programmes.	The Procurement Manual exists and is regularly updated. There are procedures to develop bid evaluation criteria.	Operational	Possible	Higher Risk
	E(ii) Bid evaluations criteria may not be properly established resulting in the selection of incompetent vendors and/or fraud.	The Local Committee on Contracts (LCC) reviews the procurement process undertaken. The LCC functions as an internal control over the procurement process.		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) Members of technical evaluation committees may not be familiar with the products or services being procured, resulting in the Mission acquiring inappropriate goods and services.</p> <p>F(ii) Procurement staff may be inadequately trained in UN procurement procedures. This may affect the integrity of the procurement process resulting in losses to the UN and may damage the reputation of the UN.</p>	<p>Procurement Manual provides for procedures to establish Technical Evaluation committees and criteria to be set prior to evaluation of products /services.</p> <p>Staff Performance Appraisal System in place.</p> <p>Training on procurement processes provided to Mission procurement staff by UN Procurement Division.</p> <p>The Integrated Mission Training Centre (IMTC) periodically does an assessment of training needs for procurement.</p>	Human 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	Likelihood	Impact	Overall Risk
III	Contracts administration	Risk Category	Possible	High	Higher Risk
	<p>C(i) Failure of the Mission to evaluate the performance of contractors in accordance with the UN Procurement Manual may result in acceptance of substandard goods and services and unwarranted extension of contracts. This may result in financial losses to the UN and negatively impact on operations.</p>	<p>Performance evaluation of contractors is carried out. The LCCs procedure is to review performance evaluations prior to extending contracts.</p>	<p>Possible</p>	<p>Medium</p>	<p>Moderate Risk</p>
	<p>E(i) Major contracts may not be adequately managed. This may result in loss of resources and negatively impact on operations.</p> <p>E(ii) Inadequate consultation with the Mission's Legal Office on contracting issues may result in the UN interest not being adequately safeguarded in all contract provisions.</p>	<p>Contractor performance reports are available. Contracts have built-in safeguards to compensate UN for losses incurred due to non-performance by contractors or vendors. Legal advice available in Mission. Manuals, SOPs, and policies are in place. Procurement process includes conducting market surveys in order to ensure adequate competition.</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>
	<p>E(iii) The inability of the Mission to attract qualified contractors who are willing to operate in Liberia may result in the hiring of substandard contractors. This, in turn, may negatively impact on the delivery of goods and services.</p> <p>E(iv) Lack of adequate and effective contract management may lead to unnecessary extensions of existing contracts. This in turn could tarnish the reputation of the UN.</p>				<p>Higher Risk</p>

Risk Assessment of : UNMIL

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
No	Supply chain management			Possible	High	Higher Risk
	E(i) Planning for logistical requirements may not reflect the frequently changing circumstances of the Mission. This may impede the Mission's ability to acquire and effectively provide logistical support to its operations.	Joint Logistics Operations Centre (JLOC) actively leads and promotes integrated planning and has proactive information gathering strategies in place.	Operational	Possible	High	Higher Risk
	E(ii) Contractors may not deliver required goods and services resulting in disruptions of operations.	Reserves of critical items are held, e.g. rations, water and fuel.				Higher Risk
	E(iii) Inadequate security over warehouses and convoys delivering logistics may result in theft, waste and abuse of food supplies.	Mechanisms are in place for provision of escorts and military security for critical supplies.				Higher Risk
	E(iv) Delays in the delivery of procured supplies and equipment may impede effective logistical operations.	Contingency plans are prepared for delivery and monitoring of critical supplies.				Higher Risk
II	Ground transport operations			Possible	High	Higher Risk
	E(i) Spare parts may be cannibalised without due process resulting in financial losses to the UN.	Supplier replaces all broken chassis free of cost.	Operational	Possible	High	Higher Risk
	E(ii) Irresponsible driving by vehicle operators coupled with inclement weather and bad road conditions may cause frequent breakdown of vehicles and lead to non availability of vehicles for Mission use.	All-terrain driving skills provided. This training is now mandatory for all staff. Staff are required to pass driving tests and obtain UNMIL driving permits. Road traffic safety awareness campaigns conducted.				Higher Risk
	E(iii) The vehicle establishment ratio (i.e., staff to vehicle ratio) may be applied across all functions and regions without giving adequate consideration of the unique circumstances of each regional office. This could impede effective operations in the concerned regions.	Vehicle Establishment Committee (VEC) is operational. VEC reviews ratios and modifies to support operational needs.				Higher Risk

5	Focus Area:	Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	E(v) Top loaders, forklift trucks, and other material handling equipment (MHE) may not be reliable resulting in ineffective logistical operations.	MHE availability is aggressively monitored. JLCC facilitates use of contingent owned equipment (COE) MHE when necessary.	Operational	Possible	Medium	Moderate Risk
	F(i) Lack of skilled mechanics may result in excessive downtime of vehicles, which could negatively impact on operations.	Transport workshops and mechanics available.	Human Resources	Possible	High	Higher Risk
III	Air operations E(i) Noncompliance with air safety rules, mainly during CASE/VAC operations, may increase the risk of accidents. E(ii) Unauthorized passengers/cargos may be carried on board aircrafts in violation of the immigration/customs laws of the host government. This could result in excessive cost of air operations and increase the risk of accidents. E(iii) Illegal / contraband goods and hazardous material may be carried on board aircrafts in violation of safety norms. This may increase the risk of accidents and result in aircrafts being impounded by the host government. E(iv) Airfield / landing sites may be poorly maintained resulting in increased risk of accidents.	UNMIL Aviation SOPs on aviation operations, CASE/VAC, passenger and cargo are in place and are strictly implemented. Passengers (pax) are moved on the basis of approved MOPs and cargo on the basis of cargo movement requests. Aviation safety standards are available. UNMIL Aviation SOPs for pax & cargo on board UN aircraft are in place and are strictly implemented. UNMIL Aviation SOPs on Dangerous Goods Carriage & Handling in UNMIL aircraft are in place and strictly implemented. Aviation safety standards are available.	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	Likelihood	Impact	Overall Risk
	D(ii) The lack of adequate and effective controls may result in excessive costs of air operations to the Mission.	D(ii) Mechanisms are in place to recover the cost of non-UN flights. UNMIL Headquarters Aviation Support Services Cost Recovery Standard Operating Procedures was signed by the DMS on 25 November 2008.	Financial	Possible	Medium	Moderate Risk
IV	Movement control B(i) Inadequate or unclear operational guidelines may result in duplication of activities between the Movement Control Section (MovCon) and the freight forwarding and clearing contractor. This may result in excessive cost of logistical support.	Freight forwarding contract in place. A contractor does most customs clearance and this process is not permissible by Liberian law to be performed by anyone but an accredited freight forwarder who is registered with the Liberian Ministry of Finance (MOF) /customs as a customs clearing agent. UNMIL cannot perform this task. Freight forwarding of UNMIL cargo is normally accompanied by a statement of work (SOW) outlining which services are required. The SOW is produced by MovCon.	Governance	Possible	Medium	Moderate Risk

5	Focus Area:	Logistics Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	C(i) The lack of adequate and effective controls over the movement of passengers and cargo may result in excessive costs to the Mission.	SOPs are in place. The movement of dangerous/hazardous cargo is controlled by strict international rules. MovCon/UNMIL has a number of qualified International Air Transport Association (IATA) personnel certified. Cargo Movement Requests (CMR) are updated to inform clients accordingly.	Compliance	Possible	Medium	Moderate Risk
V	Fuel A(i) The lack of a contingency plan may hamper the effective functioning of the Fuel Unit during crisis.	Alternatives to source fuel from neighboring countries are available. The Mission's Contingency Plan provides for the development of specific plans for each possible scenario of disruption of fuel supplies.	Strategy	Possible	High	Higher Risk Higher Risk

5	Focus Area:	Logistics Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) The lack of adequate and effective controls over fuel operations may result in disruptions in field operations, which may negatively impact on the Mission's operations.</p> <p>E(ii) Incorrect and/or failure to bill users of aircrafts who are not UNMIL staff may result in a financial loss to the Mission.</p>	<p>Mission Electronic Fuel accounting System (MEFAS) has been fully implemented in UNMIL and serves as the fuel accounting and monitoring system.</p> <p>Mechanisms established to recover the cost of all non-UNMIL users of aircraft, including operator's test and company flights. Additionally, there is a system to identify non-UN passengers at the Electronic Movement of Personnel (EMOP) booking stage to ensure identification for billing.</p>	Operational	Likely	Medium	Higher Risk
	G(i) Inaccurate record keeping may result in financial losses to the UN.	Procedures are in place for record keeping. Fuel reports monitor all UN owned equipment and COE consumption.	Information Resources	Possible	Medium	Moderate Risk
	C(i) Staff may be provided with fuel for premises that were not previously cleared by the Mission's security resulting in loss to the UN.	Minimum Operating Security Standards (MOSS) /Minimum Operating Residential Security Standards (MORSS) in place. There is a procedure established that duty free fuel is provided only to UN staff residences that are already cleared by the Security Section. All staff members applying for duty free fuel are responsible to provide the clearance document, prior to fuel provision.	Compliance	Possible	Medium	Moderate Risk

5	Focus Area:	Logistics Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
VI	Rations	Compliance	Possible	High	Higher Risk
C(i)	The lack of adequate and effective internal controls may result in the unauthorized distribution and use of rations. This may result in financial losses to the UN.	The rations SOP is developed and is in force.	Likely	High	Higher Risk
C(ii)	Rations may be stolen and sold in local markets. This may cause the UN to lose its duty-free privileges under the SOFA.	UN ration scale is available. There is a restriction of ceiling manday rate and calories on requisition in the current UN rations scale. These measures assist to control/minimize excessive food provision to contingents. Quality Control Assurance (QCA) randomly inspects stock of imported items in the contractor's warehouse. Monthly inspection of reserve stock, as per the requirements of the rations contract, has been conducted at the contractor's warehouse. Observation of any discrepancies found are reported for further action.	Likely	High	Higher Risk

5	Focus Area:	Logistics Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) The lack of adequate internal controls may result in the Mission accepting inferior quality of rations. This may result in financial losses.</p> <p>E(ii) The lack of adequate security over warehouses and convoys carrying rations may result in pilferages.</p>	<p>Ration SOPs are in place. Ration inspections procedures are available. The QCA procedures have been implemented and incorporated in the receipt and inspection of food received from the contractor for provision to all units.</p> <p>Contractor is responsible for controlling entry to and safety of their warehouse.</p> <p>Mission support is provided to the contractor to secure the warehouse/food truck convoys upon request when safety issues arise and require assistance from the Mission.</p> <p>The UNMIL QCA monitors the loading and ensures the appropriate sealing of the food trucks before leaving the contractor's depot. Units cross check any possible pilferages and report any findings. A verification report has been implemented and incorporated in receiving procedures of rations by the various units.</p>	Operational	Possible	Medium	Moderate Risk

5	Focus Area:	Logistics Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
E(iii) Rations may not be stored in proper warehouses and at appropriate temperatures resulting in contamination of rations.	The contractor is required to equip their warehouses with cold rooms for storage of the items requiring cold chain. There are temperature gauges and logs available on some reefer containers in most of the units' locations. Units are required to submit the temperature log sheet of their food containers regularly.	Compliance	Possible	Medium	Moderate Risk	
E(iv) Rations may not be monitored for their expiry leading to waste.	First-in-first out policy has been adopted in the issuance of rations.				Higher Risk	
VII Engineering			Possible	High	Higher Risk	
A(i) Inadequate maintenance planning for generators may result in excessive downtime of generators, which may impact on operations.	Requisition planning procedures available. Manufacturer's schedule of maintenance of generators provided.	Strategy	Possible	High	Higher Risk	
A(ii) Assessment of the suitability of generator sets may be lacking resulting in the acquisition of high-maintenance generators and financial losses to the UN.	Performance concerns are addressed to the Engineering Section at HQ in order to receive feedback on the selection of vendors for systems contract.				Higher Risk	
F(i) Inadequate training of generator mechanics may result in a large number of generators not being operational. This may disrupt operations and excessive maintenance costs.	Some manufacturers provide on -site training to UNMIL generator staff. DFS has made training a part of the contractual conditions.	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	Likelihood	Overall Risk
VIII	Air Safety		Possible	Low	Lower Risk
	C(i) Non-compliance with aviation safety standards may compromise air safety.	The UN Aviation Manual contains SOPs that are being followed to comply with UN Aviation Standards (AVSTADS) and International Civil Aviation Organization (ICAO) Standards and Recommended Practices. The current application of aviation Operational Risks Management (ORM) is the latest mitigating measure. If the risk cannot be mitigated to an acceptable level, that aviation activity is cancelled.	Compliance	Remote	Medium Lower Risk
	E(i) The lack of adequate SOPs on the transportation of dangerous materials may increase air safety risks and endanger the lives of passengers. E(ii) Inadequate security of the airfields may compromise the security and safety of UNMIL staff and air assets.	While currently there are no specific SOPs for MovCon, dangerous materials are adequately handled using the ICAO Dangerous Goods Manual and the UNMIL ORM. There are assessment checklists to mitigate this. UNMIL has attempted to fence most airfields, but lack of funds has limited the scope of work. Apart from the UNMIL Security, Liberia Domestic Aviation Authority (LDAA) Security and Roberts International Airport (RIA) have military personnel who are deployed to the airfields prior to UNMIL aircraft operating in that airfield. In the cases of helipads used by helicopters, armed military personnel are required to be present at that airfield/helipad before the aircraft lands; otherwise, there will be no landing.	Operational	Remote	Medium Lower Risk

Risk Assessment of : UNMIL

6	Focus Area:	Information Technology Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	ICT Maintenance C(i) The use of unauthorized software by staff may result in copyright violations, which may lead to legal liability for the UN. E(i) Ineffective help-desk services may result in: (a) user staff inefficiency, work delays, and excessive downtime; (b) non- or delayed delivery of essential services by support staff to clients; (c) untimely transmittal to/ receipt by user staff of critical information resulting in non-compliance with work requirements or exposure to security risks; (d) loss of critical data; and (e) user staff self-maintenance of UN computer hardware and applications, leading to their damage.	Policies and procedures available. Checks conducted. Complaints tracking and resolution mechanisms are in place. Helpdesk software facilitates control and monitoring of the tracking and response time.	Compliance	Possible	High	Higher Risk
	E(ii) Inadequate equipment and tools for Information and Communications Technology (ICT) may result in delayed response to set right the availability of communication / IT network / server support leading to denial-of-service situations.		Operational	Possible	Medium	Moderate Risk
II	Project Management E(i) Inadequate documentation of ICT project plans may result in nonachievement of projects' objectives and cost overruns.		Operational	Possible	High	Higher Risk
III	ICT Security A(i) Inadequate Disaster Recovery and Business Continuity (DR/BC) planning may result in: (a) delay in the Mission's resumption of operations after a disaster or crisis; (b) excessive restart costs; and (c) loss of critical data.	The DR/BC is reviewed internally on a regular basis. The DR/BC has also been validated through a test/exercise that took place in the UN Logistics Base in November 2007.	Strategy	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) Inadequate security of information assets may result in the unauthorized access to or distribution of UN proprietary information.</p> <p>E(ii) Inadequate security of equipment may result in: (a) loss, damage, pilferage, or cannibalization of equipment; (b) financial losses to the UN; and (c) unavailability of critical equipment when needed.</p>	<p>Security over information of assets is provided for.</p>	Operational	Possible	High	Higher Risk
	<p>G(i) Lack of a secure Information Technology (IT) and radio communication system may compromise the security and safety of staff and UN property.</p> <p>G(ii) Breakdown in communication during critical situations such as unrest may compromise the safety of staff.</p> <p>G(iii) The UN communication equipment and buildings if not properly grounded may be susceptible to lightning strikes.</p>	<p>Very High Frequency (VHF) and Ultra High Frequency (UHF) channels on different frequencies, e-mail, mobile phone networks etc. available for communication by both UNMIL and military forces.</p> <p>Grounding of equipment is provided and an annual review of equipment is carried out prior to the rainy season.</p>	Information Resources	Remote	High	Moderate Risk

Risk Assessment of : UNMIL

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	Political Planning and Policy Unit B(i) The lack of adequate mechanisms may impede the Mission's ability to help facilitate political reconciliation and to strengthen the capacity of political institutions in Liberia. E(i) Security threats to GoL from within and from the sub-regions may derail the peace and development processes.	The Mission holds regular meetings with government national institutions, external development partners and other UN entities. UNMIL's mandate provides security cover to Liberia.	Strategy	Possible	High	Higher Risk
			Operational	Remote	High	Moderate Risk
II	Public Information Office (PIO) A(i) Lack of an effective public information programme may result in UNMIL not being able to effectively manage public expectations of the Mission.	PIO strategy in place. UNMIL radio covers 95 per cent of country, 24/7. Talking points are agreed upon prior to any live broadcasts and are restricted to trusted members of the Government of Liberia and civil society organizations. Negative or critical points of view are counterbalanced by opposing arguments, providing the audience with a balanced view and enabling them to make-up their own minds on a given issue. UNMIL radio is popular and is able to disseminate required information to the target groups. Printed publications are brought out by PIO.	Strategy	Possible	High	Higher Risk
	D(i) Limited resources may impede the ability of the PIO to disseminate appropriate information about the UN's operation in Liberia.	Budgetary process is available. Project documents with objectives, target beneficiaries and outputs are available.	Financial	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management	Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk	
III	Recovery, Rehabilitation and Reintegration (RRR)		Possible	Medium	Moderate Risk	
	<p>A(i) The lack of appropriate programmes may impede the Mission's ability to help facilitate recovery, rehabilitation and reintegration in Liberia.</p> <p>A(ii) The inability of the GoL to reintegrate ex-combatants and the returning population may result in the regrouping of ex-combatants and dissuade the refugee population from returning to their original habitats. This may negatively impact the fragile peace in the country.</p>	<p>Poverty reduction strategy is being implemented.</p> <p>Periodic meetings between the Mission, GoL and other counterparts in the UN Country Team are held.</p> <p>The International Contact Group on Liberia meets regularly to discuss issues relating to the repatriation, reintegration and resettlement of Liberian refugees.</p> <p>Ex-combatant regroupings are monitored through the bi-annual "hotspots assessments" and the Mission is supporting the design of projects to address these issues.</p>	Strategy	Possible	High	Higher Risk
	E(i) The lack of adequate and effective policies and procedures on project management may result in projects' objectives not being achieved and financial losses and misuse of funds.	Project documents are available.	Operational	Possible	Medium	Moderate Risk
IV	Quick Impact Projects (QIP)					
	B(i) The lack of adequate procedures for the review of QIPs may result in the approval of projects that are not in line with the Mission's mandate and the selection of implementing partners who do not possess the relevant substantive and administrative skills. This could result in financial losses and damage to the reputation of the UN.	<p>Project review committee available.</p> <p>Policies and procedures for QIPs are in place.</p> <p>Monitoring mechanism of project implementation is available.</p>	Governance	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	D(i) The failure of the Mission to provide adequate and effective guidance to implementing partners may result in projects' objectives not being achieved and financial losses to the UN.	Policies and procedures for QIPs are in place. Monitoring mechanism of project implementation is available.	Financial	Possible	Medium	Moderate Risk
V	Humanitarian coordination B(i) The diminishing presence of humanitarian actors coupled with the limited capacity of the GOL in the formulation, implementation, monitoring and evaluation of basic social services and humanitarian issues may impede the development process and trigger a return to an emergency situation.	Strategic monitoring and evaluation of the situation through the Resident Coordinator's Office (RCO) and with relevant GOL organizations including the National Disaster Relief/Management Commission.	Governance	Possible	High	Higher Risk
	D(i) The gradual withdrawal and cessation of humanitarian funding may result in the non-delivery of needed humanitarian assistance. This may negatively impact on the reputation of the UN.	Office for the Coordination of Humanitarian Affairs (OCHA) surge assistance coordinated through the RCO in the event of an emergency/humanitarian situation.	Financial	Possible	High	Higher Risk
VI	Environment and Natural Resources Unit (ENRU) B(i) The lack of adequate policies and procedures may result in ineffective, inefficient activities relating to environmental issues. B(ii) The lack of coordination among key partners in assisting the GOL on matters regarding environmental and natural resources management may lead to duplication of efforts. B(iii) UN contractors may cause damage to the environment while conducting work for the Mission. This may result in legal liability for the UN.	ENRU is now preparing a Mission specific Environmental Policy, Action Plan and Standard Operating Procedures that will assist in ensuring sound environmental practices. The DPKO Environmental Policy was approved early May 2009. The Environment and Natural Resources Group meet the UN Country Team regularly and discuss issues pertaining to support to the GOL. ENRU has provided technical support and training to the Environmental Protection Agency of GOL. Indemnification clause provided for in contracts to protect UN interest.	Governance	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management	Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk) E(i) The activities of UNMIL may result in environmental degradation, which may have serious consequences for the people of Liberia and hence tarnish the reputation of the UN.	OIOS Assessment ENRU has drawn-up the carbon footprint for the Mission. In-line with the need to focus on environmental impact performance of the Mission, ENRU is separated into two distinct units - Environment Unit for operations - under the supervision of the Chief Integrated Support Services (CISS) which concentrates on environmental compliance of UNMIL operations. The second unit provides support to the Gol on natural resources under the Office of the DSRSG R&G.	Operational	Possible	High	
			Risk Category	Likelihood	Impact	Overall Risk
						Higher Risk

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk	
No Civil Affairs (CA) B(i) The lack of adequate mechanisms may impede the Mission's ability to help in the establishment of local governments and civil administration in Liberia.	UNMIL and UN Country Teams have set up County Support Teams in all the countries. Regular meetings take place between CA and local counterparts.	Governance	Possible	Medium	Moderate Risk	
D(i) The lack of adequate resources may preclude the Mission from implementing effective civil affairs programmes.	Budgetary process is available.	Financial	Possible	Medium	Moderate Risk	
VIII HIV/AIDS E(i) Lack of adequate HIV/AIDS counseling and testing facilities may prevent early diagnosis and treatment of HIV/AIDS positive personnel.	UN provides voluntary counseling and testing facilities for HIV/AIDS for its entire staff.	Operational	Possible	Medium	Moderate Risk	
F(i) UN staff who are infected with HIV/AIDS may help spread the disease in Liberia. This may tarnish the UN's reputation. F(ii) Lack of adequate resources may hamper the Mission's HIV/AIDS awareness activities.	Mandatory awareness program rolled out for UN staff at the time of induction. HIV/AIDS Unit is functional in UNMIL.	Human Resources	Possible	Medium	Moderate Risk	
C(i) Lack of awareness amongst UN personnel on issues relating to HIV/AIDS may impede the Mission's ability to control high risk behaviors of staff and preclude staff from supporting their colleagues who have been diagnosed with the disease.	Free condoms distributed to all UNMIL staff. UNMIL collaborates with GOL to conduct awareness training. Awareness promoted through UNMIL Radio.	Compliance	Possible	Medium	Moderate Risk	

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IX	Regional Coordination			Possible	Medium	Moderate Risk
	A(i) Deterioration in the relationship of Liberia with any of the Mano River Union neighbouring countries could lead to unchecked movement of criminal groups as well as dissatisfied people with the intention to destabilise the peace in Liberia.	The Mission continues to encourage Liberia to pursue good relationships with its neighbours as UNMIL supports cross-border confidence building measures like collaboration among the security forces of all the countries.	Strategy	Possible	Medium	Moderate Risk
	B(i) The lack of synergies in the areas of aviation, procurement, security, etc, among peacekeeping missions operating in the West Africa Region may lead to waste of resources.	Regional coordination meetings of all missions are held regularly.	Governance	Possible	Medium	Moderate Risk
	E(i) The lack of adequate mechanisms to prevent unauthorized cross-border activities may derail the peace processes in the Ivory Coast, Sierra Leone, and Liberia.	Regional concept of security provides for monitoring of security developments in all neighboring countries of Liberia and deployment of troops to the hotspots in the region. CONOPS in place for deployment of UNMIL troops and police to the hotspots. Joint patrols are conducted by UNMIL Military with the respective national governments along the borders with Côte d'Ivoire, Guinea and Sierra Leone to deter cross-border movements of weapons and other illicit cross-border activities. Regular meetings are held by UNMIL with counterparts in the Governments of Sierra Leone, Cote d'Ivoire, and Guinea (Mano River Union).	Operational	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
X	Regional Offices	Risk Category	Possible	Medium	Moderate Risk
	B(i) Inadequate logistical support to regional offices by UNMIL HQs may hamper programme delivery.	Governance There's a new UN field structure in place to coordinate joint UN programmes and activities. There are heads of field offices in the 15 countries and a Head of Field Office Coordinator in the Office of the DSRSG R&G. Policies and procedures are in place. Frequent interaction with field offices through e-mail, phone and visits by senior management takes place.	Possible <td data-bbox="899 1654 1182 1766">Medium <td data-bbox="899 1766 1182 1976">Moderate Risk</td> </td>	Medium <td data-bbox="899 1766 1182 1976">Moderate Risk</td>	Moderate Risk
XI	Rule of Law (ROL)		Possible	Medium	Moderate Risk
	B(i) The lack of adequate coordination mechanisms within and between national institutions may impede the Mission's ability to strengthen the rule of law in Liberia.	Governance Rule of law retreat held by GOL to identify gaps.	Possible <td data-bbox="607 1654 737 1766">High <td data-bbox="607 1766 737 1976">Higher Risk</td> </td>	High <td data-bbox="607 1766 737 1976">Higher Risk</td>	Higher Risk
	D(i) Donor fatigue may result in inadequate funding for rule of law activities. This may in turn negatively affect the Mission's initiatives regarding the strengthening of the rule of law in Liberia.	Financial Donor funding available.	Possible <td data-bbox="531 1654 607 1766">Medium <td data-bbox="531 1766 607 1976">Moderate Risk</td> </td>	Medium <td data-bbox="531 1766 607 1976">Moderate Risk</td>	Moderate Risk
	E(i) Lack of quality standards may adversely impact on the delivery of justice.	Operational Guidance book for magistrates prepared by UNMIL.	Possible <td data-bbox="444 1654 531 1766">Medium <td data-bbox="444 1766 531 1976">Moderate Risk</td> </td>	Medium <td data-bbox="444 1766 531 1976">Moderate Risk</td>	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
XII	Legal and Judicial			Possible	Medium	Moderate Risk
	<p>B(i) The lack of adequate mechanisms may impede the Mission's ability to help in the establishment and strengthening of the justice system in Liberia.</p> <p>B(ii) Lack of clear guidelines on ethical standards for judicial officials of the GoL may result in abuse of power, eroding the public confidence in the judiciary.</p> <p>B(iii) Lack of coordination among players in the justice sector (e.g. UN agencies, UNMIL, NGOs, other international partners and the GoL) may lead to ineffective, inefficient rule of law activities being implemented by the Mission.</p>	<p>The Task Force on Non-Lawyers was established in February 2009 to give policy guidance. The DSRSG RoL is the convenor for the rule of law pillar which includes UNCT, NGOs and international rule of law partners.</p> <p>IMPP in place.</p>	Governance	Possible	High	Higher Risk
	<p>D(i) Lack of adequate funding may impede the Mission's ability to help in the establishment of rule of law institutions in Liberia.</p>	Judicial Training Institute launched in June 2008.	Financial	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
XIII	Human Rights (HR)	Governance	Possible	High	Higher Risk
B(i) The lack of adequate mechanisms may impede the Mission's ability to help in the establishment and strengthening of human rights institutions in Liberia.	Policies and procedures on HR are in place or under development.	Regular meetings and reporting takes place between UNMIL and the host government. New senior Government appointments may impact programming.	Possible	High	Higher Risk
B(i) Failure of the Mission to prevent and/or report violation of human rights in Liberia may bring bad publicity to the UN.	Independent National Commission on Human Rights not set up. Commission has key role along with civil society in providing remedies and follow up to TRC recommendations and providing long-term human rights remedy.	National Human Rights Action Plan developed. Initial preparations for the process of developing a National Human Rights Action Plan started in June 2009 but level of continued commitment remains uncertain.	Possible	Medium	
B (ii) Mission's policy of empowering national Civil Society Organizations, the INCHR and individuals to monitor and vindicate rights may fail if resources and/or commitment are lacking.	National Human Rights Action Plan developed. Initial preparations for the process of developing a National Human Rights Action Plan started in June 2009 but level of continued commitment remains uncertain.	Operational	Possible	Medium	
F(i) Lack of adequate resources may impede the Mission's human rights activities.	Mission entities consult OSLA. UNMIL policies and procedures are in place regarding the need to respect local laws and customs. OSLA works with programme managers. OSLA also issues correspondence via OSLA or the Office of the SRSG in the form of Note Verbales and other official means to the Ministry of Foreign Affairs to intercede on the Mission's behalf.	Governance	Possible	Medium	Moderate Risk
XIV	Legal Affairs	Governance	Possible	Medium	Moderate Risk
	B(i) The Mission's management may not seek legal advice of the Office of Senior Legal Advisors (OSLA) proactively, resulting in contracts and other arrangements that are not in line with the policies of the UN.	Governance	Possible	Medium	Moderate Risk

7	Focus Area:		Possible	Medium	Moderate Risk	
No	Programme and Project Management					
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	F(i) The lack of adequate resources may result in staff not being in the position to provide timely legal advice to the Mission.		Human Resources	Remote	Medium	Lower Risk
XV	Corrections			Possible	Medium	Moderate Risk
	E(i) Detention facilities may be below minimum human rights standards thereby violating the dignity of those incarcerated.		Operational	Possible	High	Higher Risk
	E(ii) Over crowding of prisons may lead to outbreaks of diseases / epidemics among prisoners.					
	F(i) Insufficient corrections personnel may lead to inadequate security at prisons.	209 Corrections Officers have been trained.	Human Resources	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management	Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
XVI	Gender		Governance	Possible	Medium	Moderate Risk
	B(i) The practice of customary law may adversely impact on efforts to ensure gender equality in Liberia. B(ii) Inadequate legal and judicial framework in Liberia on gender issues may impede protection of women and children from sexual abuse and violence. B(iii) The lack of adequate mechanisms and capacity for the implementation of SCR 1325 on gender activities may adversely affect development and recovery efforts in Liberia.					
XVII	UNPOL		Strategy	Possible	Medium	Moderate Risk
	A(i) Formed Police Unit (FPU) pre-deployment training may be insufficient resulting in non-compliance with the Security Council mandate and the Mission's Directives on the Use of Force (DUF) which may negatively impact the reputation of the UN.		DPKO, through the Mobile Training Team deployed in UNMIL, is addressing shortcomings within the FPU's on the ground. Mandate/CONOPS/DUF are available. Command and control structure is in place. Mission specific SOPs, policies and procedures are in place.			

7	Focus Area:	Programme and Project Management	Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	B(i) Liberia National Police may have to rely on UNPOL for support due to limitations of GOL budgetary allocations and uncertainties associated with implementation of security sector reform legislation.	Limited funding is available.	Governance	Possible	High	Higher Risk
	E(i) Unforeseen emergence of violent crime or serious incidents generated by political, economic or social factors may be beyond the control of UNMIL and could lead to riots / loss of life / property.	Limited presence of Formed Police Units is available. Military is on stand by.	Operational	Possible	High	Higher Risk
	D(i) Donor fatigue may result in inadequate funding for mandated activities. This may in turn negatively affect achievement of mandated objectives.	Donor funding available.	Financial	Possible	Medium	Moderate Risk
	F(i) Lack of technical expertise among UNPOL may hamper effective training of various components of Liberia National Police such as investigations, station house operations etc.	DPKO approached to source technically qualified personnel for deployment to UNMIL.	Human Resources	Remote	Medium	Lower Risk
XVIII Military	A(i) The of lack clarity, within the military component, on the mandate of UNMIL may result in noncompliance with the mandate and impede the effectiveness of peacekeepers in the country. This in turn could negatively impact on the reputation of the UN.	CONOPS is available. The Rules of Engagement (ROE) are available.	Strategy	Possible	High	Higher Risk

Risk Assessment of : UNMIL

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	Records Management			Possible	High	Higher Risk
	A(i) The absence of timely and adequate records management programme may result in loss of critical, sensitive data and information.	DPKO information management strategy 2006-2010 available. The UNMIL's Information Management Unit (IMU) is working on the full implementation of a records management programme. The records management training and Focal Points Nomination Programme as well as the Vital Records Protection Plan is being developed. The inventory of active records and filing systems is being prepared.	Strategy	Likely	Medium	Higher Risk
	G(i) Lack of awareness of the procedures on the handling, transfer and storage of information may result in unauthorised persons having access to critical, sensitive data and information.	Guideline on information sensitivity, classification, and handling available. DPKO-DFS file classification system is available. The training on handling, transfer and storage of sensitive information is being prepared.	Information Resources	Possible	High	Higher Risk
	E(i) Lack of adequate retention policy may result in retention and archiving of non-essential information. This may result in increased storage costs.	Retention schedules are available. The IMU's Records Center (Archives) is being reorganized. The project of appraising inactive records stored in Archives is currently being implemented.	Operational	Remote	Medium	Lower Risk

Risk Assessment of : UNMIL

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	Inventory Management		Possible	Medium	Moderate Risk	
	B(i) Lack of coordination between the Receiving and Inspection (R & I) Unit and requisitioning units may result in the acceptance of substandard or nonconforming goods. This may result in financial losses to the UN.	Property management guidelines available. SOPs are in place.	Governance	Remote	Medium	Lower Risk
	C(i) The lack of adequate and effective internal controls over inventories may result in financial losses to the UN.	Schedule for physical verification of inventory available. Reconciliation of property records provided for.	Compliance	Possible	Medium	Moderate Risk
II	Contingent owned equipment		Possible	Medium	Moderate Risk	
	E(i) Lack of adequate procedures on the management of memoranda of understanding (MOU) may result in substandard contingent-owned equipment (COE) being used and reimbursed by the Mission. This may diminish the effectiveness of the contingents' operations.	COE /MOU unit is functional. COE / MOU management review board meets regularly in UNMIL.	Operational	Remote	Medium	Lower Risk
	E(ii) The submission of inaccurate information on COE by COE Unit to UNHQ may result in amendments to the MOU and financial losses to the UN / TCC					
	E(iii) The COE verification process may not be designed adequately or operating effectively. This may result in losses/waste of financial resources.					

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk
Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
<p>C(i) Inadequate arrival and repatriation inspections of COE may result in inaccurate reporting of COE and financial losses to the UN.</p> <p>C(ii) The lack of adequate and effective internal controls may result in the Mission providing support to contingents that should be self-sustained. This may result in financial losses to the UN.</p> <p>C(iii) UN may reimburse for COE which are missing/damaged and unserviceable resulting in financial losses to the UN.</p>	<p>Arrival and repatriation inspections, operational readiness inspections and periodic verifications of COE is provided for that forms the basis of reimbursement to the Troop Contributing Country.</p> <p>COE/MOU policies and procedures are in place. All contingent requests for UN support are reviewed and verified against COE Manual standards and MOU obligations.</p>	Compliance	Possible	Medium	Moderate Risk
<p>Facilities and buildings management</p> <p>B(i) Poor project management may result in excessive costs being incurred.</p> <p>B(ii) Duplication of work within the Mission may result in inefficiencies.</p>	SOPs are in place.	Governance	Likely	Medium	Higher Risk
<p>C(i) Lessors may not maintain their leased premises as required by the respective lease agreements resulting in the Mission incurring additional cost for maintenance.</p> <p>C(ii) Non-compliance with the lease agreements may result in the Mission incurring additional cost.</p>		Compliance	Likely	Medium	Higher Risk
<p>Local Claims Review Board (LCRB)</p> <p>E(i) Lack of adequate and effective claims review and processing procedures may result in the Mission settling frivolous claims.</p>	<p>LCRB is functional.</p> <p>Policies and procedures are in place.</p> <p>Review by UNHQ is provided for certain classes of claims.</p>	Operational	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
V	Local Property Survey Board (LPSB)			Possible	Medium	Moderate Risk
	<p>E(i) Lack of adequate procedures on the processing of cases involving surcharges against staff members may result in financial loss to the UN.</p> <p>E(ii) The cause of loss / damage to property may not be accurately established and reported by the LPSB leading to loss to the UN.</p> <p>E(iii) The LPSB may recommend disposal actions that are not in line with established policies. This may result in financial losses to the UN.</p> <p>E(iv) Delays in processing requests for the disposal of surplus equipment may erode the salvage value of equipment.</p>	<p>LPSB policies and procedures are in place.</p> <p>LPSB is functioning in UNMIL.</p>	Operational	Possible	Medium	Moderate Risk

Risk Assessment of : UNMIL

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
I	Security of UN staff and Installations		Strategy	Possible	High	Higher Risk
	A(i) Lack of an adequate security response plan may impede the ability of the Mission to handle security crisis. This may result in the loss of lives and properties.	The Security Section Security Risk Assessment was reviewed in March 2009 and will again be reviewed in September 2009. Joint security assessment was carried out by the GOL and UN in May 2008. Joint patrols conducted by UNMIL forces and neighboring countries to police the border.		Remote	High	Moderate Risk
	B(i) The UN may not be proactive or may lack the authority to actively collect actionable intelligence. This may result in inadequate preparation and loss of lives and properties in the event of security crisis.	The SRSG is the Designated Official (DO) for all security related matters in respect of all UN agencies in Liberia. Sharing of intelligence by UN agencies and other international bodies in Liberia exists. The Security Management Team (SMT) reviews security situations bi-weekly or as often as required.	Governance	Remote	High	Moderate Risk
	B(ii) Ineffective coordination among the military contingents, UNPOL and civilian security component may result in delays in making critical decisions during crises, increasing staff safety and security risks.	The Authority, Command, and Control Policy is in place. Additionally, the SOP on combined joint UNPOL, FPU and Military operations is in place and being updated.				Moderate Risk
	G(i) Lack of adequate backup communication may compromise staff security during emergencies.	Mission has VHF, UHF, mobile phone, Internet facilities for communication. Satellite phones are being issued to all essential staff.	Information Resources	Remote	Medium	Lower 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) Inadequate training of security guards may result in gaps in security leading to dangerous security breaches.</p> <p>F(iii) The Mission may not have qualified personnel to operate ambulances and fire trucks. This may result in idle resources and increased safety risks.</p> <p>F(iv) Noncompliance of staff with security instructions may jeopardize the safety of other staff / UN property causing loss to UN.</p>	<p>MOSS/MORSS are in place. UNMIL has qualified staff for current ambulance and fire truck capacity.</p>	<p>Human Resources</p>	<p>Likely</p>	<p>High</p>	<p>Higher Risk</p>
	<p>E(i) UN personnel travelling through highly sensitive areas may expose UN staff to kidnappings and hijacking resulting in the risk of loss of life and property. As well, this may result in loss of properties.</p> <p>E(ii) Mission assets and premises may not be adequately secured, resulting in property theft, loss of life and property during riots and looting.</p>	<p>Radio/e-mail alerts provided to staff on security issues, road blocks, access restrictions etc.</p> <p>Security provided to UN installations.</p>	<p>Operational</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>
	<p>E(iii) Inadequate border security may result in external security breach in Liberia. This could adversely affect the peace process being established by the Mission.</p> <p>E(iv) The Mission's emergency response plan to secure UN personnel may not be adequate resulting in increased staff safety and security risks.</p> <p>E(v) The Mission and the GoL may not be adequately equipped to contain fires. This could result in the loss of life and property in the event of fire.</p>	<p>Risk analyst available in UNMIL.</p> <p>T-wall barriers and vehicle barriers provided in UNMIL Headquarters.</p> <p>MOSS/MORSS available.</p> <p>A fire truck that meets the standards to address potential fire hazards at Pan African Plaza (PAP) has been ordered.</p>	<p>Operational</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>

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
II	Evacuation Procedures B(i) Inadequate evacuation planning and testing may jeopardise the safety of UNMIL staff during emergencies.	Evacuation drills conducted regularly. Last drill conducted during May and June 2009. Evacuation plans available.	Governance	Possible	High	Higher Risk
III	Occupational Safety B(i) The lack of clarity regarding the responsibilities for safety may result in reduced safety measures for staff. C(i) The ammunitions storage may not comply with safety regulations, resulting in increased safety risks.	Ammunition storage guidelines are available. Plans have been finalised to move the ammunition container to a safer spot in the Star base.	Governance Compliance	Possible Possible	High High	Higher Risk Higher Risk
	E(i) Lack of safety guidelines, policies, and capabilities may compromise the safety and security of staff. E(ii) Issues on occupational safety, road traffic safety, health etc conducted in an ad-hoc manner in missions, may compromise safety of UN personnel.	DMS has an internal Occupational Health and Safety capacity which Security does not have. The DMS, therefore, has taken the lead on safety issues with support from Security. UNMIL safety committees have been taken over by the DMS.	Operational	Remote	Medium	Lower Risk
	F(i) Lack of competent and qualified safety staff may result in poor responses to accidents.		Human Resources	Likely	High	Higher Risk
IV	Fire Safety A(i) The inability of the GOL and UNMIL to respond to chemical or large scale industrial disaster could cause large scale destruction of life and property. A(ii) Lack of a contingency plan to deal with natural disasters such as flood, forest fires, pest invasion, etc may impede effective response of the Mission.	UNMIL should ensure that the purchase of the new fire truck is finalised without further delay. UNMIL should ensure that its firefighting capabilities address the lack of Liberia firefighting capacity. Although the UNMIL security plan addresses natural disaster contingencies, it should revisit its plans to ensure that all specific contingencies are addressed.	Strategy	Possible	High	Higher Risk 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) Fire plans including fire drills may be inadequate impeding effective evacuation in the event of fire hazard.</p> <p>E(ii) The inadequacy of building codes may result in occupation of unsafe structures by the population.</p> <p>E(iii) Limited firefighting capacity of the GOL may result in preventable losses and casualties.</p> <p>E(iv) Limited capacity of the host government to deal with mass casualties may jeopardise the surviving victims.</p> <p>E(v) Absence of the host government's ability for medical evacuation either within Liberia or to other countries may result in casualties.</p> <p>E(vi) Lack of preparedness to respond to fire out breaks may jeopardise the safety of UN staff and property.</p>	<p>Fire drills conducted.</p> <p>Fire extinguishers and fire blankets provided in UNMIL buildings.</p> <p>Mission has fire trucks with limited capacity and capability. A fire truck that meets the standards to address potential fire hazards at PAP has been ordered.</p>	Operational	Likely	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)



