

INTERNAL AUDIT DIVISION

OFFICE OF INTERNAL OVERSIGHT SERVICES

RISK ASSESSMENT

Department of Economic and Social Affairs (DESA)

10 June 2008 Assignment No. AN2007/540/01 INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

Internal Audit Division : Division de l'audit interne Office Of Internal Oversight Services : Bureau Des Services de Contrôle Interne

TO: Mr. Zukang Sha, Under-Secretary-General

A: Department of Economic and Social Affairs (DESA)

REFERENCE: AUD-File no. (03-0/4//)

DATE: 10 June 2008

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

SUBJECT: Assignment No. AN2007/540/01

OBJET:

- 1. I am pleased to present OIOS' risk assessment of the Departmenent of Economic and Social Affairs (DESA) which was carried out (with the assistance of the consulting services of Deloitte and Touche) from December 2007 to January 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 DESA to use the results of this risk assessment to put in place appropriate risk mitigation measures. OIOS will update the risk assessment periodically, based on subsequent audits or additional information obtained.
- 3. I take this opportunity to thank the management and staff involved in the risk assessment for the assistance and cooperation provided to the project team in connection with this assignment.

cc: Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors

Mr. Jonathan Childerley, 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

DIRECTOR:

Dagfinn Knutsen, Tel: +1.212.963.5650, Fax: +1.212.963.2185,

e-mail: knutsen2@un.org

DEPUTY DIRECTOR:

Fatoumata Ndiaye: Tel: +1.212.963.5648, Fax: +1.212.963.3388,

e-mail: ndiaye@un.org

CHIEF, NEW YORK AUDIT SERVICE:

William Petersen: Tel: +1.212.963.3705, Fax: +1.212.963.3388,

e-mail: petersenw@un.org

PARTICIPANTS

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

Focus Area	Name and Functional Title
Strategic Management and Governance	Mr. Zukang Sha, Under-Secretary-
Strategie Hamagement and Geverance	General
	Mr. Jomo Kwame Sundaram,
	Assistant-Secretary General
	Ms. Rachel Mayanja, Special Advisor
	on Gender Issues and Avancement of
	Women
	Mr. Nikolai Zaitsev, Director, OUSG
Strategic Management and Governance	Ms. Catherine Peluso, Director/EO
Financial Management	Ms. Mai-Chau Nyugen, Chief,
Human Resource Management	Personnel Section/EO
Information Technology Management	Mr. Mario Tuason, Chief of Finance
Conference and Documents	Section/EO
Management	Mr. Nikhil Chandavarkar, Chief of
Property and Facilities Management	Central Information Management
Programme and Project Management	Service (CIMS)
	Ms. Marie Oveissi, Officer in charge,
	Technical Cooperation Management
	Services (TCMS)
	Mr. Furio de Tomassi, Senior Human
	Resources Officer, TCMS
	Ms. Aparna Mehrotra, Director - Focal
	Point for Women in the Secretariat
	Ms. Carolyn Hannan, Director,
	Division for Advancement of Women
	Ms. Sylvie Cohen, Deputy Director
	Ms. Christine Brautigam, Chief of
	Section Ms. Margaret Kelly, Chief of Section
	Mr. Johan Scholvinck, Director,
	Division for Social Policy and
	Development
	Ms. Elsa Stamatopoulou, Chief of
	Branch
	Mr. Jean-Pierre Gonnot, Chief of
	Branch
	Mr. Robert Huber, Senior Social
	Affairs Officer
	Ms. Shehnaz Daruwala, Social Affairs
	Officer
	Mr. Kui-Nang Mak, Chief of the
	Energy and Transport Branch

Focus Area	Name and Functional Title
	Mr. David O'Connor, Chief of the
	Policy Integration and Analysis Branch
	Ms. Kathleen Abdalla, Chief of the
	National Information, Monitoring and
	Outreach Branch
	Mr. Juwang Zhu, Chief of the
	Programme Coordination, Major
	Groups and Partnerships Branch
	Mr. Genene Zewge, Senior Economic Affairs Officer
	Mr. Stefan Schweinfest, Chief
	Statistical Services Branch, Statistics
	Division
	Mr. Zoltan Nagy, Chief of Section
	Ms. Francesca Coullare, Statistician
	Ms. Hania Zlotnik, Director,
	Population Division
	Mr. Thomas Buettner, Chief of Branch
	Mr. Armindo Miranda, Senior
	Population Affairs Officer
	Mr. Jorge Bravo, Chief of Section
	Mr. Jose Antonio Ortega, Chief of
	Section
	Mr. Robert P. Vos, Director,
	Development Policy and Analysis
	Division
	Mr. Pingfan Hong, Chief of Unit
	Ms. Ana Cortez, Chief of Branch
	Ms. Cornelia Kaldewei, Economic
	Affairs Officer
	Mr. Adil Khan, Chief of Branch, Division for Public Administration and
	Development Management Mr. John Morry Kongyo, Chief of
	Mr. Johh-Mary Kauzya, Chief of Branch
	Ms. Haiyan Qian, Chief of Branch
	Mr. Oscar de Rojas, Director,
	Financing for Development Office
	Mr. Alex Trepelkov, Chief of Branch
	Mr. Manuel Montes, Chief of Branch
	Mr. Hazem Fahmy, Chief of Unit
	Ms. Benu Schneider, Senior Economic
	Affairs Officer
	Ms. Ann Orr, Senior Economic Affairs
	Officer
	Mr. Michael Lennard, Chief of Section
	Mr. Nikhil Seth, Director, Office of
	ECOSOC Support and Coordination
	Ms. Marion Barthelemy, Chief of

Focus Area	Name and Functional Title
	Branch
	Ms. Ursula Germann, Programme
	Officer
	Mr. Pekka Patosaari, Director,
	Secretariat for the UN Forum on
	Forests
	Mr. Mahendra Joshi, Programme
	Officer

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 Risk Register.

Focus Area	Overall Risk
i. Programme and Project Managementii. Strategic Management and Governance	Higher Risk
ii. Strategic Management and Governance iii. Financial Management	
iv. Human Resource Management	
i. Information Technology	Moderate Risk
ii. Conference and Document Management	
i. Property and Facilities Management	Lower Risk

RISK REGISTER

10/06/2008

Strategic Management and Governance Risk OIOS Assessment Representation of Member States from different line ministries on the multiple governance structures of ECOSOC and the Functional Commissions is not easily coordinated and is also beyond DESA's direct control. Different representatives from national governmental bodies. DESA services the ECOSOC and functional commissions but mandates derived from the inter- governmental process after discussions do not always clearly define the expectations of the department, which could lead to the ineffective use of available resources. UN rules require that reports/publications are programmed in the budget document four years in advance and there can be difficulties in accommodating intervening changes. Inadequate resources bear a direct impact on the quality of the reports/publications.	Likely High Higher Risk	Likeli- hood Impact Overall Risk	Likely High Higher Risk				
		Risk Category		Governance			
Interview/Review Summary (Description of risk) Intergovernmental Process B(i) Lack of coherence in deliverables due to the limited coordination between the line ministries within a national government. B(ii) Unclear mandates from intergovernmental bodies may result in contradictory conclusions and inefficiencies in programme execution. B(iii) The quality of the reports fall short of the expectations of the Member States as mandates are often not very clear. B(iv) The inability to reach a consensus during the intergovernmental process may affect the quality of reports/publications.	Strategic Management and Governance	OIOS Assessment	THE RESIDENCE OF THE PARTY OF T	Representation of Member States from different line ministries on the multiple governance structures of ECOSOC and the Functional Commissions is not easily coordinated and is also beyond DESA's direct control. Different representatives from national governments are members of different UN intergovernmental bodies.	DESA services the ECOSOC and functional commissions but mandates derived from the inter governmental process after discussions do not always clearly define the expectations of the department, which could lead to the ineffective use of available resources.	UN rules require that reports/publications are programmed in the budget document four years in advance and there can be difficulties in accommodating intervening changes. Inadequate resources bear a direct impact on the quality of the reports/publications.	
	T1000	Interview/Review Summary (Description of risk)	Inter-governmental Process	liverables due to the limited e ministries within a national	B(ii) Unclear mandates from intergovernmental bodies may result in contradictory conclusions and inefficiencies in programme execution.	B(iii) The quality of the reports fall short of the expectations of the Member States as mandates are often not very clear. B(iv) The inability to reach a consensus during the intergovernmental process may affect the quality of reports/publications.	

THE	Focus Area:	Focus Area: Strategic Management and Governance		Likely	High	Higher Risk
Interv	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
A(i) The resource betwee byersee allocati	A(i) There could be difficulties in aligning the human resources to programme needs due to the separation between the intergovernmental bodies in charge of (i) overseeing the substantive programme work and (ii) allocating budgetary resources.	The intergovernmental bodies (ECOSOC and the Strategy Functional Commissions) in charge of overseeing the substantive aspects of the programme, work independently from those in charge of approving budgetary resources (Fifth Committee). This mode of operation makes it difficult to align human resources to programme needs.	Strategy	Likely	High	Higher Risk
A(ii) La Jepenc Sureau Develo	A(ii) Lack of political support by some member states depending on the nationality of the elected Chair of the Bureau may result in the Commission on Sustainable Development having limited impact.					

Page 2 10/06/2008

_	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
^o Z	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
=	Organizational Structure		TO THE REAL PROPERTY.	Likely	High	Higher Risk
	B(i) Lack of communication between the USG's task force and individual divisions may result in the USG's restructuring benefits not being realized.	For the strengthening of the development pillar, five task forces have been set up and the purpose of each task force made clear to staff.	Governance Likely		High	Higher Risk
	B(ii) Misalignment of the organizational structure and responsibilities within the Office of the Special Representative of the Secretary-General for Gender Issues and Advancement may affect effectiveness of the programme.	The Office for focal point for women reports to the ASG for Gender Issues both of whom are located in DESA. The Office is expected to report on system wide gender issues but has inadequate leverage to fulfil its activities.				
	B(iii) Unclear boundaries of responsibility within a division a may result in the failure to improve horizontal collaboration including joint work or shifting resources for achieving objectives. DESA has organized itself in divisions on a thematic basis. Re-allocating new and emer is difficult issues within the current structure is difficult because of the re-programming of work while determined by the governing body well in ad	DESA has organized itself in divisions on a thematic basis. Re-allocating new and emerging issues within the current structure is difficult because of the re-programming of work which is determined by the governing body well in advance				
	B(iv) The vertical and rigid organizational structure may result in the failure to improve horizontal collaboration including joint work or shifting resources for achieving objectives.	and the skills of the staff already in place for the job. The DSG is finalizing proposals to strengthen the development pillar. The proposals include centralized capacities to enhance coordination within DESA.				
		(continued below)				

-	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk	*
S S	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Overall Risk	Risk
		In the case of outputs requested by ECOSOC which require interagency cooperation, DESA faces difficulties in producing high quality inputs because of the lower priority assigned to DESA's requests for specialized input from other UN entities. Each agency has its own governance arrangements and is obligated to prioritize its work according to their directives. DESA has periodic interagency meetings especially on the requirements of the high level segment of ECOSOC to follow up on inputs requested. It also organizes bilateral meetings with agencies involved for requested reports.					
	B(v) Failure of the Office of the Special Advisor on Gender Issues and the Advancement of Women (OSAGI) in organizing a formalized relationship with other agencies in the UN system may weaken the coordination task.						
	D(i) Failure of divisions to respond to emerging demands from stakeholders speedily may lead to loss of interest from stakeholders.	Resources cannot always be programmed by the divisions for new activities with the speed required for emerging demands. The DSG is finalizing proposals to strengthen the development pillar. The proposals include centralized capacities to enhance coordination within DESA.	Financial	Likely	Hg Hg	Higher Risk	x

-	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
§.	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
	F(i) Failure to shift HR resources for achieving objectives may result in a lack of resources available to support the mandate.	Forests Division has a clear mandate, but the resolution of the member states did not support strengthening the capacity of the Division with additional posts.	Human Resources	Possible	Medium	Medium Moderate Risk
	F(ii) Areas of responsibilities for divisions are not clearly delineated, which results in possible duplication and lack of cooperation including in cross-cutting areas. F(iii) Lack of required expertise may result in a challenging transition from Information Support Unit to Communication and Information Management Systems.	The DSG is finalizing proposals to strengthen the development pillar. The proposals include centralized capacities to enhance coordination within DESA.				
	F(iv) Lack of adequate staff support to the Division for the Although requested, resources have not been Advancement of Women (DAW) for the mandate on gender mainstreaming may affect programme delivery.	Although requested, resources have not been provided.				

10/06/2008 Page 5

-	Focus Area:	Focus Area: Strategic Management and Governance		Likely	High	Higher Risk	
_S	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk	
≡	Performance Indicators			Possible	Medium	Medium Moderate Risk	
	E(i) Ineffective performance indicators set-up in the IMDIS (Integrated Meeting and Documentation Information System) may result in programme work of the divisions not being measured by the divisions. The programme budget performance indicators are inflexible and do not allow for adequate are inflexible and do not allow for adequate being measured by the divisions. The programme budget performance indicators are inflexible and do not allow for adequate being measured by the divisions. Due to their inflexibility the IMDIS is not able to support the business needs of the division and causes frustration with the division's personnel.		Operational	Possible	Medium	Medjum Moderate Risk	
	E(ii) The lack of benchmarking against "best practices" which covers management knowledge and technology may limit the ability to inter-change "best practices".						
	E(iii) Member states' requirements may not be always met as the TCPR resolution of the GA creates tremendous expectations with member states in the guidance of field operations of agencies.	DESA attends UNDG meetings to provide advice on the implications of the TCPR resolution. Individual agencies formulate their work programmes based on directives from their governing bodies.					
	G(i) Inflexible information systems (IMDIS and Galaxy) may not support the business needs of the Divisions.	The new ERP system will be taking this into account.	Information Resources	Possible	Medium	Medium Moderate Risk	

	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
8 8	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Overall Risk
2	Brand Management			Possible	Medium	Moderate Risk
	E(i) Poor brand management or unauthorised use of the UN brand may (i) result in a failure of the organization to manage the public's perception and (ii) affect how stakeholders perceive the value of the products offered.		Operational	Possible	Medium	Medium Moderate Risk
	E(ii) The non-utilization of modern tools to promote its visibility may result in a lack of departmental visibility.					
	E(iii) Reliance on the Department of Public Information (DPI) for the dissemination of the product may not be effective or efficient.					
	A(i) Niche and comparative advantage of the Division for Public Administration and Development Management (DPADM) is not clearly defined, therefore, product deliverables may not produce the desired impact or garner interest from its stakeholders.	The Division for Public Administration and Development Management (DPADM) is responding to multiple demands. The focus of the programme is unclear.	Strategy	Possible	High	Higher Risk
	A(ii) Failure of DPADM to dedicate resources to resource mobilization and public relations could lead to DPADM being seen as ineffective and irrelevant.					
	A(iii) Lack of stable resources to raise funds for extrabudgetary projects may result in non-achievement of DPADM goals.					
	According to distinguish personal opinions of staff members, which may be understood by the general public NOGs can be held accountable for their as the UN's official opinion may result in reputational risks. This may occur during side-events organized in conjunction with NGOs under the UN banner.	According to ECOSOC Resolution 1996/31, NOGs can be held accountable for their statements which may violate the principle of the UN charter.				

10/06/2008 Page 7

	Focus Area:	Focus Area: Strategic Management and Governance		Likely	High	Higher Risk
Intervie	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
Corporate Culture	Culture			Likely	High	Higher Risk
B(i) Corp resulting i goals. B(ii) Inade Special A and staff.	B(i) Corporate culture may not foster/accept change resulting in reducing innovations in achieving DESA's goals. B(ii) Inadequate communication between the Office of the Special Advisor on Gender Issues (OSAGI) management and staff. Staff is not aware of the reasons for resource allocation changes.	Inability of DESA's organizational structure to support needed change and/or DESA's growth and business strategies.	Governance Likely	Likely	Medium	Higher Risk
F(i) Inabil coverage issues.	F(i) Inability to defend UN staff against negative media coverage may result in unnecessary importance to small issues.	Damaging media reports are not thoroughly reviewed before being acted upon.	Human Resources	Possible	Medium	Medium Moderate Risk

N	2 Focus Area:	Financial Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
_	Budgetary Support	THE RESERVE TO SERVE THE PARTY OF THE PARTY		Likely	High	Higher Risk
	B(i) An inflexible and over centralized budgetary process may result in the inability to achieve programme goals or address new or emerging issues.	UN rules do not allow flexibility in the current budgeting process. The UN rules on budgetary process are used.	Governance	Likely	High	Higher Risk
	B(ii) Misaligned budgetary timeline and programme goals that change based on the current agenda may result in the inability to achieve programme goals or address new or emerging issues.	A review of existing mandates by Member States has not kept pace with mandates being added. DESA relies for additional support on short term consultants but their outputs may not be up to expectations requiring additional financial costs and effort by the divisions.				
	B(iii) The rejection of additional posts at very early stages may result in the inability to achieve programme goals or address new or emerging issues.					
	B(iv) Challenges in meeting emerging priorities because the required transparency for budget allocation and resource distribution is not in place. The budget timelines and programme needs are also not aligned. Mandates are not aligned with budgets thus causing increased workload without increase in funding, which may impede the quality of the products or finally even lead to a closure of items from the mandated agenda.	DESA's budget requests are put in 4 years in advance. This is a UN wide process which limits the flexibility of budgetary allocation and redistribution in the context of planning for programmes.				
	A(i) Results based management not being flexible or not assigning the authority with the responsibilities may result UN. in limited impact on the effectiveness of the programme.	SA complies with the RBM requirements of the	Strategy	Likely	High	Higher Risk

Page 9 10/06/2008

2	Focus Area:	Financial Management		Likely	High	Higher Risk
8 8	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
=	Accounting and Reporting System		THE WHITE SHAPE	Possible	Medium	Medium Moderate Risk
	D(i) The inflexible accounting and reporting system may impede the receipt and transfer of funds.	The UN rules and regulations do not allow rolling over funds to following years creating an inflexible accounting and reporting system, thus, forcing the divisions to use all funds.	Financial	Possible	Medium	Possible Medium Moderate Risk
	D(ii) Not being able to use the two years budget over more than two years, which may force the divisions to use all funds may result in inefficient spending of funds.					
	D(iii) The fact that long-term service contracts are prohibited by the United Nations Financial Rules and Regulations (UNFRR) may result in cost/savings opportunities from service providers being missed, which could lead to financial losses to the UN over the long-term.					

2	Focus Area:	Financial Management		Likely	High	Higher Risk
Š	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Overall Risk
≡	Extra-budgetary Funding	この の 日本	Description of the least	Likely	High	Higher Risk
	D(i) Lack of an adequate availability of annual corpus of funds may result in an unpredictability and uncertainty of financed through extra budgetary funding depends heavily on The divisions have to engage in public relations the political climate and fashion of certain agenda items,	Currently, DESA has no central capacity to raise voluntary funds. Resources for this have not been financed through extra budgetary funds. The divisions have to engage in public relations activities trying to relate their activities to	Financial	Likely	High	Higher Risk
	lower priority may be accorded to important items from the agenda.	rashionable items (e.g.: Tax systems & Cilmate change) in order to attract extra budgetary funding.				
	D(iii) The uncertainty of funding may cause dependencies Mandates given by the General Assembly/Economic and Social improve the implementation of gexample the Annual Ministerial and Development Cooperation have had to depend on voluntar unpredictability and uncertainty against effective implementation affect which activities are implementation.	Mandates given by the General Assembly/Economic and Social Council to improve the implementation of programmes for example the Annual Ministerial Reviews (AMRs) and Development Cooperation Forums (DCFs) have had to depend on voluntary funds resulting in unpredictability and uncertainty which work against effective implementation. Donor priorities affect which activities are implemented.				
	D(iv) The reliance on extra-budgetary funding (Trust Fund) can impede the programme of the division and endanger the conduct of mandated duties (e.g. use of trust funds to fill vacant posts). Trust funds cannot be relied upon in terms of the timing, volume, and agreement for receiving funds from donors. Increased reliance on voluntary contributions impacts upon international character of responsibilities.	41				
	D(v) The overhead pricing strategy used, which is not in line with the other UN agencies may result in losing donations.	DESA adheres to the Programme Support Costs at 13 percent.				

Focus Area: Financial Management ription of risk and need for DESA is trying to raise funds to sustain OSAGI's implementation webmaster function. Risk Category hood Resources Information Resources Resources Righe Higher Risk Category hood Resources
Sk) OIOS Assessment DESA is trying to raise funds to sustain OSAGI's Information Possible Resources ion
ii 😤 noi
ii 😤 noi
ii 😤 noi
s Area: n of risk) ed for lility and mentation tities.
Interview/Review Summary (Description of risk) G(i) Lack of an adequate annual budget and need for voluntary funds may result in (i) an unpredictability and uncertainty which works against effective implementation and (ii) an international character of responsibilities.
No No

က	Focus Area:	Human Resource Management		Likely	High	Higher Risk
2	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Overall Risk
2 _	Mobility			Likely	High	Higher Risk
	F(i) Required mobility policy and its inconsistent interpretations among divisions may result in (i) an inability to retain technical expertise required for delivering high quality products, (ii) a waste of resources to re-train personnel, (iii) a low employee morale due to geographical dislocation and (iv) a negative impact on promotional prospects of the personnel. F(ii) High turnover of staff may compromise the quality of the work produced which may result in a reputational risk.	Policies and procedures are determined by OHRM and the EO is consulted, but its views are not necessarily taken into consideration. In addition, the process is very labour intensive. After adopting the policies there is inadequate policy support from OHRM to apply the policies properly and consistently. Unrealistic employee expectations over the promotion process results in lowering employee morale. DESA is adhering to UN policies on mobility.	Human Resources	Likely	High	Higher Risk
	C(i) The lack of clarity of OHRM policies and procedures for mandated mobility and its inconsistent interpretations among divisions may result in non-compliance with established policies.	DESA is applying UN rules but the lack of clarity and communication of OHRM policies and procedures for mandated mobility issues causes a lack of understanding and hence compliance problems.	Compliance Likely	Likely	High	Higher Risk

Page 13

10/06/2008

က	Focus Area:	Human Resource Management		Likely	High	Higher Risk	110
9	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk	4
	F(vii) A lack of resources may result in limited oversight over the Trust Fund on Indigenous Issues (1 JPO).	The Executive Office oversees and administers the fund as it is not a very complex function.					
	F(viii) Failure to recruit or retain the best talent resulting in loss of reputation due to inability of the recruitment system to prevent discriminatory employment practices. the job principle but based on pressure from the top. Additionally, the system is very complicated and cumbersome.	The current vacancy system (Galaxy) is perceived to be subject to manipulation which may result in filling open posts not based on the best person for the job principle but based on pressure from the top. Additionally, the system is very complicated and cumbersome.					
		Current staffing policy may lead to gender discrimination in the sense of a disqualification of male candidates due to the presence of female applicants, which may result in posts not being filled by the most suitable candidate.					
		Focal point network volunteers are seen to be discriminated against for supporting the gender cause.					

m	Focus Area:	Human Resource Management		Likely	High	Higher Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
	E(i) The cumbersome process to re-classify posts in order to upgrade staff performing similar functions may result in not having the staff in place for implementing the work programme.	Advertising vacancies for jobs at G5-G6 levels which are a result of reclassification of posts, questions authenticity of truly available posts in the minds of applicants and leads to low morale.	Operational	Likely	High	Higher Risk
	E(ii) New staff selection system impedes the promotion of New staff selection system enables this office to gender balance which may result in the non-achievement review cases on a post facto basis with very little influence on decisions. Imbalanced composition of the gender balance objectives. panels weakens the achievement of gender balance objectives.	New staff selection system enables this office to review cases on a post facto basis with very little influence on decisions. Imbalanced composition of panels weakens the achievement of gender balance objectives.	<u>.</u>		Ñ	
		Revised terms of reference have not been issued by OHRM for the focal points network for gender to align with the new staff selection system.				

8	Focus Area:	Focus Area: Human Resource Management		Likely	High	Higher Risk	
S S	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk	*
=	Training and Development			Possible	Medium	Possible Medium Moderate Risk	Ų
	F(i) Adverse effect on DESA's ability to maintain high employee morale and retention of staff due to inadequate training and development programs for (i) technical skills announcement requirements and may not be (research, conferences, etc.), (ii) management, project economics, etc.) and (iii) soft skills (team playing, delivering feedback, etc.).	Staff members are selected based on their technical capacities according to the vacancy announcement requirements and may not be effective team players.	Human Resources	Possible	Medium	Possible Medium Moderate Risk	J
	D(i) Training of staff may not be supported by adequate funds and staff time.	Training budget is not commensurate to increasing staff and programme needs. However, often programmed training is not undertaken resulting in surrender of funds.	Financial	Possible	Medium	Medium Moderate Risk	U

	Impact Overall Risk	isk	Xisk			
Ris		ate R	ate R			
Higher Risk	ver	Possible Medium Moderate Risk	Medium Moderate Risk			
Ī	t 0	n Mc	X			
-	ıpac	diur	nnip			
High	11-11	Me				
yle	Likeli- hood	sible	Possible			
Likely	Li	Pos	Pos			
	ik gory	95	ses			
	Risk Category		Human Resources			
	J		<u>ਜੋ ਲੌਂ</u>	<u>></u>		<u></u>
			Bu ₀	nagement morale affected by threat of aliation if the evaluation of the performance of staff under their supervision is not consistently itive (ePAS).		f non
			amo	of man onsi		m se cts o nel. y to
uţ			stent	rreat erfor not c		yster ontra erson oyee
eme	men		SOUS	by the pondering		tice s he con ng pe empl nd in
nag	ssess	ä	not	ected in of ervision		ting tring to coming to coming to coming to coming the contract of contract to
Ma	OIOS Assessment		sbut	e affe uatio supe		minamina -perf -perf I tooli nizat succ
urce	010		<u>a</u>	eval eval their		ne in to ter inder tional orga ward
Seso		- Amount	nerio	ent m if the nder PAS		ersor rent to g or L g or L t the or re
an F			of nur	gem ation aff u		tumb deter rming of m ghou ghou
Human Resource Management			Use o	Management morale affected by threat of retaliation if the evaluation of the performance of the staff under their supervision is not consistent positive (ePAS).		The cumbersome internal justice system serves as a deterrent to terminating the contracts of nonperforming or under-performing personnel. Lack of motivational tools for employees throughout the organization and inability to recognize or reward success.
200	sk)	200	sbui	E . T . T		licit t ty.
Focus Area:	of ri		e rat	resu	зау	or ngthy ie im on n
cus	tion	H	nano f staf s of e as a	may	a gc	ards he le as th aluati
Fo	crip		erforr ion o enes em) em)	cess	y as	e to t well n eva
	Des		of pe aluat ective Syst	a pro	ve fe	ts i.e e due is as sult i to re
	ıry (Si di	ation e ev ineff aisal	iation ily as	ojecti	resul nanc state ay re tool
	mm	뤏	preta in th n an Appri	retal	de ot used ol.	sible arforn nber IN m ment
	Sui	sal	tintel sult ii nce	ming 1 effe	provi	te vis on pe men the U
	view	prais	stent objec ay re- orma prais	nsec	ty to not be prais	crea sed (ss by nout t
	v/Re	Se Ar	k of the man of the ma	me co Deing Dol.	AS r	ity to its ba rocest rough las s
	view	man	ne inc manc nonic	he tir not b sal to	he ir in eP mano	nabili natior val pr ce thr used
2 166	Interview/Review Summary (Description of risk)	Performance Appraisal	F(i) The inconsistent interpretation of performance ratings and the lack of objectivity in the evaluation of staff performance may result in an ineffectiveness of ePAS (Electronic Performance Appraisal System) as a performance appraisal and a career development tool.	F(ii) The time consuming retaliation process may result in Ranagement morale affected by threat of retaliation if the evaluation of the performance the staff under their supervision is not con positive (ePAS).	F(iii) The inability to provide objective feedback may result in ePAS not being used effectively as a performance appraisal tool.	F(iv) Inability to create visible results i.e. rewards or terminations based on performance due to the lengthy as a deterrent to terminating the contracts approval process by member states as well as the implicit performing or under-performing personnel practice throughout the UN may result in evaluation not being used as a management tool to reward productivity. The cumbersome internal justice system say a deterrent to terminating the contracts as determinating the contracts as a determinating the contracts as determinating the contracts are determinated as determinating the contracts and determination and determinatio
က	N 20 1		п а с с с	шοσ	шеа	T 2 0 D D
	2 2	≥				

n	Focus Area:	Human Resource Management		Likely	High	Higher Risk
^o z	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Overall Risk
>	Temporary Assignments and Secondment Programs	TOTAL DESIGNATION OF THE PERSON OF THE PERSO	Settled in the land	Possible	Medium	Medium Moderate Risk
	je je	Insecurity and instability of the positions require specific managerial input in the Forests Division.	Human Resources	Possible	Medium	Medium Moderate Risk
	F(ii) The lack of opportunities for promotion for staff in general service categories may result in staff members taking up temporary positions in other divisions resulting in a loss of expertise difficult to replace.	Temporary reassignments of general service staff can be very disruptive. Reassignments are of very short duration (3 months, 6 months). A temporary vacancy in the system is filled by moving someone else temporarily. This temporary mobility has very little chance of resulting in a permanent promotion, but it would be difficult to stop staff from trying. The result in the Population Division has been loss of crucial skills, difficulty to find adequate temporary replacements, difficulty in managing the temporary staff who have every incentive to move to a more permanent arrangement. Difficulty in finding and retaining well qualified staff willing to remain at the same level for most of their career. Turnover of such staff is high with the consequent loss of required expertise.				
	E(i) The loss of technical expertise due to temporary reassignments or secondment programmes may result in organizations (e.g. FAO, ITTO, UNEP) has lead to uncertainty in the availability of staff. Loss of IT skills in the Populations Division due to temporary reassignment of staff who are difficult to replace Difficult to manage replacement staff who accept assignments of uncertain length.	Discontinuation of secondments from other UN organizations (e.g. FAO, ITTO, UNEP) has lead to uncertainty in the availability of staff. Loss of IT skills in the Populations Division due to temporary reassignment of staff who are difficult to replace. Difficult to manage replacement staff who accept assignments of uncertain length.	Operational	Possible	Medium	Medium Moderate Risk

Interview/Review Summary (Description of risk) Employee morale Employee morale Telecommuting and flexi-time which is an accepted policy is not being encouraged by senior Focus Area: Human Resource Management Risk Likeli- Impact Overall Risk Likeli- Impact Overall Risk Human Possible Medium Moderate Risk Resources Division for the Advancement of Women (DAW) to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and flexi-time which is an accepted policy is not being encouraged by senior				
to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and fexi-time which is an accepted policy is not being encouraged by senior Focus Area: Human Resource Management Risk Likeli- Category hood Possible Resources Division for the Advancement of Women (DAW) to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and flexi-time which is an accepted policy is not being encouraged by senior	×	Risl	Risk	Risk
to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and fexi-time which is an accepted policy is not being encouraged by senior Focus Area: Human Resource Management Risk Likeli- Category hood Possible Resources Division for the Advancement of Women (DAW) to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and flexi-time which is an accepted policy is not being encouraged by senior	r Ris	La II	rate	rate
to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and fexi-time which is an accepted policy is not being encouraged by senior Focus Area: Human Resource Management Risk Likeli- Category hood Possible Resources Division for the Advancement of Women (DAW) to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and flexi-time which is an accepted policy is not being encouraged by senior	Highe	Ove	Mode	Mode
ew Summary (Description of risk) OIOS Assessment Category cation between management and staff Employee morale weakens: e.g. 2 staff members Human and 2 vacant posts were transferred from the Division for the Advancement of Women (DAW) to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and flexi-time which is an accepted policy is not being encouraged by senior management.		Impact	Medium	Medium
ew Summary (Description of risk) Color Assessment Color Assessme		Likeli- hood	Possible	Possible
Interview/Review Summary (Description of risk) Employee morale Focus Area: Human Resource Management Employee morale F(i) Poor communication between management and staff Employee morale. F(i) Poor communication between management and staff Employee morale weakens: e.g. 2 staff members and 2 vacant posts were transferred from the Division for the Advancement of Women (DAW) to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and flexi-time which is an accepted policy is not being encouraged by senior management.		Risk Category		Human Resources
Interview/Review Summary (Description of risk) Employee morale F(i) Poor communication between management and staff may result in weak employee morale.	Human Resource Management	OIOS Assessment		Employee morale weakens: e.g. 2 staff members and 2 vacant posts were transferred from the Division for the Advancement of Women (DAW) to Geneva after consultation, but staff felt that they had not been informed well in advance. Telecommuting and flexi-time which is an accepted policy is not being encouraged by senior management.
8		Interview/Review Summary (Description of risk)	Employee morale	F(i) Poor communication between management and staff is may result in weak employee morale.
ε S S	က	Ŷ.	5	

Focus Area: F	Focus Area: Procurement and Contract Administration		Possible	Medium	Possible Medium Moderate Risk
Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
			Possible	Medium	Possible Medium Moderate Risk
E(i) Misuse of technical resources because procurement activities for small office supplies, printing services and travel services are managed by the divisions themselves rather than by the administrative unit.		Operational	Possible	Medium	Operational Possible Medium Moderate Risk

10/06/2008

	Focus Area:	Focus Area: Information Technology Management	2 8	Possible	Medium	Possible Medium Moderate Risk
Interview/Review Summary (Description of risk)	n of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
Data Management				Possible	Medium	Possible Medium Moderate Risk
G(i) The inability to capture, transform, store and report accurate and relevant data in a secure, efficient, and cost-content management system. effective manner may result in inefficiencies in knowledge sharing and risk of publishing inaccurate content.	report and cost	ITSD will be leading the launch of the Enterprise content management system.	Information Resources	Likely	High	Higher Risk
G(ii) Lack of adequate knowledge management policy may result in the loss of institutional memory when staff members retire.	olicy staff	Inadequate preparation may lead to ineffective knowledge capture, creation, sharing, leveraging, preservation, and dissemination of knowledge, both internally and externally.				
E(i) The current information system set-up not allowing the sharing of all relevant information (e.g. on common drives) may cause potential loss of information once a staff member with specific knowledge leaves the UN.	Wing Mon Se a N.		Operational	Likely	Low	Moderate Risk

9	Focus Area:	Information Technology Management		Possible	Medium	Possible Medium Moderate Risk
S.	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Overall Risk
=	IT Strategy	The second secon		Possible	Medium	Medium Moderate Risk
	A(i) Potential lack of capacity and/or alignment between the overall IT-solution of ITSD, the requirements of DESA's business model and the overall strategy of the Communication and Information Management Service (CIMS) may result in (i) lack of availability of assets, (ii) proper performance of communications and operations, (iii) breaches in security and access protocols and (iv) failure to protect assets and resources.	ITSD department does not consider the needs of individual divisions thus causing an IT strategy misalignment.	Strategy	Possible	Medium	Medium Moderate Risk
	E(i) DESA's dependence on ITSD for information security, systems operations and IT support for DESA applications, which may be unavailable and untimely may result in the lack of access and inappropriate usage of information.	ITSD manages the infrastructure security and operations.	Operational	Likely	High	Higher Risk
	G(i) DESA's dependence on ITSD for information security, systems operations and IT support for DESA applications may result in the loss of data resources caused by natural disaster or by major technological malfunctioning due to. This could also result in (i) a loss of, inappropriate usage of, or lack of access to information due to unavailability and (ii) untimely and inadequate management of security incidents.	Databases are not properly updated due to delays in obtaining proper IT support. Inadequate support for IT development, maintenance or backup which does not allow the Populations Division to keep up with its competitors.	Information Resources	Possible	Medium	Moderate Risk

9		Focus Area: Information Technology Management		Possible	Medium	Possible Medium Moderate Risk
N N	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
≡	IT Applications		III S BUON S	Possible	Medium	Possible Medium Moderate Risk
	G(i) Lack of IT systems capability to support quality management reporting to DESA may result in delayed, inappropriate or wrong decisions and dissatisfied systems actual figures and are considered unreliable by management for decision making purposes. G(ii) Ineffective information systems (IMDIS) may result in inaccurate measurement of the programme of work of	Computer generated reports on Human resources statistics from OHRM do not reconcile with the actual figures and are considered unreliable by management for decision making purposes.	Information Resources		Medium	Possible Medium Moderate Risk
	divisions.					

10/06/2008

Page 24

tin Category hood category hood category in category in developing countries limits the impact of capacity building activities. TC activities are supported by agreements between donors, project implementing partners and DESA. Strengthening of TC activity is under review in DESA. Strengthening of TC activity is under review in DESA. Strengthening of TC activity is under review in DESA. Field projects are administrative units. Governance Likely accordance with UN rules.	Medium Higher Risk	et Overall Risk	n Higher Risk	Medium Higher Risk					m Higher Risk	Moderate Risk	m Higher Risk
Programme and Project Management Risk Risk Category Lack of absorption capacity of recipients in developing countries limits the impact of capacity building activities. TC activities are supported by agreements between donors, project implementing partners and DESA. Strengthening of TC activity is under review in DESA. Insufficient lead time in processing urgent demands and inadequate resources increases burden on administrative units. Field projects are administered by UNDP in accordance with UN rules. Governance II.	Mediur	Impac	Mediun	Mediun					Mediur	Low	Mediur
cot cabsorption capacity of recipients in developing countries limits the impact of capacity building activities. TC activities are supported by agreements between donors, project implementing partners and DESA. Strengthening of TC activity is under review in DESA. Insufficient lead time in processing urgent demands and inadequate resources increases burden on administrative units. Field projects are administered by UNDP in accordance with UN rules.	Likely	Likeli- hood	Likely	Likely					Likely	Likely	Likely
g g g g g		Risk Category		Operational					Human Resources	Compliance	Governance
NReview Summary (Description of risk) Cooperation/Capacity Building anditions expressed by the donors may result in cooperation activities not being sustainable. ar programme definitions may result in cooperation activities not being sustainable. ges in sectorial priorities, conditions and nay result in technical cooperation activities not ainable. dependence on the institutional capacity of the natitution may result in technical cooperation of being sustainable. and may result in departmental impact in developing being limited. n on the executive office operations and an recruit the right consultants due to unexpected requirements to provide resources for cooperation. ndency on UNDP to function as the local ovider (LSP) in the field may result in non- se with UN rules. otation of national government representatives, rits and partners may result in technical on activities not being sustainable.	Programme and Project Management	OIOS Assessment	of State of the Control of the Contr				Lack of absorption capacity of recipients in developing countries limits the impact of capacity building activities. TC activities are supported by agreements between donors, project implementing partners and DESA.	Strengthening of TC activity is under review in DESA.	Insufficient lead time in processing urgent demands and inadequate resources increases burden on administrative units.	Field projects are administered by UNDP in accordance with UN rules.	
Intervier Technical E(i) The cotechnical of technical activities no countries Incontility to short term technical of C(i) Dependential of technical of compliance of technical of technic	1	Interview/Review Summary (Description of risk)	Technical Cooperation/Capacity Building	E(i) The conditions expressed by the donors may result in technical cooperation activities not being sustainable.	E(ii) Unclear programme definitions may result in technical cooperation activities not being sustainable.	E(iii) Changes in sectorial priorities, conditions and priorities may result in technical cooperation activities not being sustainable.	E(iv) The dependence on the institutional capacity of the receiving institution may result in technical cooperation activities not being sustainable.	E(v) De-centralized oversight and management of TC activities may result in departmental impact in developing countries being limited.	F(i) Burden on the executive office operations and an inability to recruit the right consultants due to unexpected short term requirements to provide resources for technical cooperation.	C(i) Dependency on UNDP to function as the local service provider (LSP) in the field may result in non-compliance with UN rules.	B(i) The rotation of national government representatives, counterparts and partners may result in technical cooperation activities not being sustainable.

Medium Higher Risk	Impact Overall Risk	Higher Risk	Higher Risk	Higher Risk	Higher Risk
Medium	Impact	High	High	High	Medium
Likely	Likeli- hood	Likely	Likely	Likely	Likely
	Risk Category	Financial	Strategy	III STATE OF THE SECOND	Information Resources
Programme and Project Management	OIOS Assessment		2		DESA does not have the capacity and resources to effectively engage with stakeholders on utilizing the messages/outputs. Current technologies are not easily procured due to the dependence of the UN on ITSD. DESA's regular travel budget is limited and does not allow sufficient attendance at international meetings in order to disseminate the Forests Division's objectives.
Focus Area:	Interview/Review Summary (Description of risk)	D(i) Inability to raise funds for Technical Cooperation projects due to lack of a proper strategy, evaluation or fundraising oversight resulting in dependency on a few donors.	A(i) Inability to raise adequate funds for technical cooperation activities due to DESA's niche not being well defined and distinctly from UNDP may result in ineffective technical cooperation activities.	Outreach and dissemination	G(i) Ineffective outreach of UN communications due to ineffective/inefficient dissemination channels may cause a lack of visibility of DESA and decrease the outcome and usefulness of the department's work.
7	Š			=	

7	Focus Area:	Programme and Project Management		Likely	Medium	Medium Higher Risk
o Z	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
	A(i) Membership of ECOSOC may not being updated resulting in inadequate representation of civil society in ECOSOC.	Inability to process or/and review the consultative status to Non-governmental Organizations (NGOs) to ECOSOC due to the growing volume of applicant NGOs.	Strategy	Likely	Medium	Medium Higher Risk
=	Competition	THE RESIDENCE OF THE PARTY OF T		Likely	High	Higher Risk
	A(i) Loss of market share due to competition with external organizations, other UN entities, other agencies and other Policy and Analysis Division (DPAD) with UNDP DESA divisions in terms of normative, analytical and technical cooperation/capacity building products. This competition may lead to overlap and duplication of work competition with UNDP in terms of norm setting and technical cooperation/capacity building products. This competition with UNDP in terms of norm setting and policy making and OECD in terms of tax models. There is a non-alignment in the country operations between DESA and other agencies, particularly UNDP. There is also growing competition from within the United Nations syste to take over areas of work of the Population Division (i.e. WHO, UNFPA, UNICEF) and competition with external organizations regarding the provision of population related information (initiatives supported by Gates Foundation).	vi E D ei	Strategy	Likely	dgi H	Higher Risk

Interview/Rev/No No Analytical Produ E(i) The depend entities or other ensure highest or other than the contract of the contract or other than the contract	view Summary (Description of risk) ucts (Reports/Publications) dency on Member States, other UN agencies may result in an inability to quality of analytical work. i, irrelevant or inaccurate data and sonse rates may impede the quality of	OIOS Assessment The lack of quality and availability of data from some developing countries impedes the usefulness of statistical data. Further, insufficient	Risk Category Operational	Likeli- hood Likely Likely	Impact	
	other UN inability to ata and e quality of	a from	Operational	Likely		Impact Overall Risk
E(i) The depend entities or other ensure highest or	other UN inability to ata and e quality of	a from sufficient	Operational	Likely	High	Higher Risk
		The lack of quality and availability of data from some developing countries impedes the usefulness of statistical data. Further, insufficient			High	Higher Risk
E(ii) Incomplete, insufficient respo analytical work.		response rate from member states to requests from the Division for the Advancement of Women				
E(iii) Inconsister	E(iii) Inconsistent methodologies used to collect data may	the desired output.				
affect comparability.						
E(iv) Reliance o on behalf of the work.	E(iv) Reliance on external organizations to maintain data on behalf of the UN may impede the quality of analytical work.	Over reliance on the World Bank for maintaining Development Policy and Analysis Division's (DPAD) data framework due to the lack of resources of the division.				
F(i) Inability to reduce to lack of the	F(i) Inability to rely on data provided by OHRM and CEB due to lack of their internal resources.		Human Resources	Likely	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Medium Higher Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Impact Overall Risk
	Administrative support functions			Possible	Medium	Medium Moderate Risk
	E(i) Administrative confusion may arise due to the existence of two Executive Offices within DESA with different procedures. Responsibilities are divided based on the source of funding.	DESA's executive offices try to mitigate the differences but the complexity of rules and procedures exists with the UN's central administration.	Operational	Possible	Medium	Medium Moderate Risk
	E(ii) Administrative units at various levels throughout the Organization are no longer facilitators but controllers which impacts the division's personnel work and the costs of control may exceed its benefits.					
	E(iii) Dependencies on external service providers (e.g. UNDP) at field level may cause inefficiencies resulting in functions not being performed.					
	E(iv) Staff skilled in technical demographic analysis may have less time to perform their core tasks because professional staff needs to oversee and carry out editorial and copy-preparation work to expedite the preparation of publications.					

Possible Medium Moderate Risk	Impact Overall Risk	n Moderate Risk	Medium Moderate Risk		m Moderate Risk	Medium Moderate Risk	Higher Risk	Higher Risk
Mediur	Impac	Medium	Medium		Medium	Mediun	High	High
Possible	Likeli- hood	Possible	Possible		Possible	Possible	Possible	Possible
	Risk Category		Operational		Human Resources	Compliance	THE STATE	Operational
Conference and Documents Management	OIOS Assessment					UN becomes less multilingual and multicultural (despite the GA's persistent calls to the contrary) because of the overwhelming spread of use of English-only.		Event coordination and organization, including expert group meetings, require a lot of support from the Divisions to support the administrative unit.
Focus Area:	Interview/Review Summary (Description of risk)	Editorial Support	E(i) Insufficient/untimely information providers (Member States, etc.) could lead to lengthy processing cycles for producing DESA publications and updating reference databases. E(ii) Loss of interest from stakeholders due to lack of efficient deliver of productions.	E(iii) Lack of systematic institutional support from central departments (DGACM and DPI) in technical editing may result in considerable delays in publication.	A(i) Inadequate skilled editorial personnel may result in a failure to effectively present the content of publications in a timely manner.	C(i) Inability to comply with the six official language policy UN becomes less multilingual and multicultural due to spread of English-only publications. because of the GA's persistent calls to the contrar because of the overwhelming spread of use of English-only.	Workshops	formance of complex administrative may result in waste of technical resources.
ω	2						=	

6	Focus Area:	Focus Area: Property and Facilities Management		Possible Low		Lower Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli- hood	Impact	Likeli- hood Impact Overall Risk
<u> </u>	Office Space			Possible Low	Low	Lower Risk
	E(i) Supervisory review and communication within the division may be affected due to the distribution of staff among different floors.	The Financing for Development office is spread over several floors in the DC2 building which complicates the supervisory review and communication within the division. The division is in the process of being consolidated.	Operational Possible Low	Possible	Low	Lower Risk

Focus Areas

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

- Strategic Management and Governance
- Financial Management
- Human Resources Management
- Procurement and Contract Administration
- Logistics Management
- Information Technology Management
- Programme and Project Management
- Conference and Documents Management
- Property and Facilities Management
- Safety and Security
- 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. 32

No.	Focus Areas	Examples of Sub Focus areas relating to principal focus
-	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.
7	Financial Management	Accounting and financial reporting, Results-based Budgeting, Cash management, Treasury, Contributions, Fund raising, Payroll
က	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.
ιΩ	Logistics Management	Travel services, Transport operations, Air operations, Movement control, Fleet Management and Maintenance
ဖ	Information Technology Management	Management of ICT infrastructure, software development, Communications services, ICT operations, Business continuity and disaster recovery, IT Security
۲	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, Miltary and Civilian Police operations, and Logistics; Management of projects such as technical cooperation and quick impact projects
∞	Conference and Documents Management	
တ	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
9	Safety and Security	Security of UN staff and installations, Contingency planning, Evacuation procedures and drills, Occupational safety
7	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:

- Strategy
- Governance
- Compliance
- Financial Ö.
- Operational
- Human Resources ய் ம
- Information Resources

S S	No. Risk Category	Description
<	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.
ω	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.
ပ	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.
۵	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.
Ш	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.
ш	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.
Ø	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
	The identified issue represents the following likelihood and impact combinations:
Higher Risk	 Likely and high
	 Likely and medium
	Possible and high
	The identified issue represents the following likelihood and impact combinations
Moderate Risk	 Likely and low
	Possible and medium
	Remote and high
	The identified issue represents the following likelihood and impact combinations
Lower Risk	Possible and low
	Remote and low
	Remote and medium

Human Resource Management Strategic Management and Governance High Financial Management RISK SUMMARY PROFILE (Focus Area) Conference and Documents Management Medium Programme and Project Procurement and Contract Information Technology Management Administration Management Property and Facilites Management Impact Remote Likely Possible Likelihood

