



INTERNAL AUDIT DIVISION

RISK ASSESSMENT

Department of Public Information

6 May 2008

Assignment No. AN2007/580/01

United Nations  **Nations Unies**

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION • DIVISION DE L'AUDIT INTERNE

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

TO: Mr. Kiyotaka Akasaka, Under-Secretary-General
A: Department of Public Information

DATE: 6 May 2008

REFERENCE: IAD: 08- 01306

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

Dagfinn Knutsen

SUBJECT: Assignment No. AN2007/580/01 - Risk Assessment of Department of Public Information
OBJET:

1. I am pleased to present OIOS' risk assessment of Department of Public Information (with the assistance of the consulting services of Deloitte and Touche LLP) during December, 2007 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 Department of Public Information to use the results of this risk assessment to put in place appropriate risk mitigation measures. OIOS will update the risk assessment periodically, based on subsequent audits or additional information obtained.
3. I take this opportunity to thank the management and staff involved in the risk assessment for the assistance and cooperation provided to the project team in connection with this assignment.

cc: Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
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

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PARTICIPANTS

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

Focus Area	Name and Functional Title
Strategic Management and Governance	Mr. Kiyotaka Akasaka, Under-Secretary-General for Communications and Public Information Mr. Eric Falt, Director, Outreach Division Mr. Ahmad Fawzi, Director, News and Media Division Ms. Paula Refolo, Director, Strategic Communications Division Mr. Oleg Astapkov, Executive Officer Ms. Dana Loytved, Acting Chief of Office, Office of the USG Ms. Jaya Dayal, Acting Special Assistant to the USG
Financial Management Human Resource Management Procurement and Contract Administration	Mr. Oleg Astapkov Ms. Pacita Habaluyas-Streb Mr. Louis Germain Ms. Regina Lacson Mr. Michael C. Chin Ms. Brenda Flor
Programme and Project Management	<u>Civil Society Service</u> Mr. Eric Falt Director, Outreach Division Mr. Ramu Damodaran, Chief, Civil Society Service Mr. Juan Carlos Brandt, Chief, NGO Section Mr. Russell Taylor Chief, Academic Initiative Section Ms. Elizabeth Baldwin-Penn, Acting Chief, Public Relations Section Ms. Isabelle Broyer, Chief, Guided Tours Unit <u>News and Media Division</u> Mr. Roy Laishley, Deputy Director & Chief, Internet Service Mr. Mahbub Ahmad, Chief, Web Services Section Ms. Kate Doyle, Associate Administrative Officer Ms. Jessica Jiji, Information Officer, News Services Section Mr. Collinet Finjap Njinga, Chief, Meetings Coverage Section <u>UNCG and COI</u> Ms. Paula Refolo, Director, Strategic Communications Division/Secretary, COI and UNCG Mr. Hasan Ferdous, Chief, Committee Liaison Unit

	<p><u>Radio and Television Service</u> Mr. Roy Laishley, Deputy Director & Chief, Internet Service Ms. Susan Farkas, Chief, Radio and Television Service Ms. Lily Chau, Chief, Audio-Visual Services Section Mr. Ransford Cline-Thomas, Chief, Radio Section Mr. Michele Zaccheo, Senior TV Producer, TV Production Section Ms. Beth Chia-Rubin, Public Information Assistant, Radio Section</p> <p><u>Sales and Market Section</u> Mr. Eric Falt, Director, Outreach Division Mr. Christopher Woodthorpe, Chief, Sales & Marketing Section Mr. Vladislav Vitkovski, Information Officer, Development Business Unit Ms. Gundega Trumkalne, Sales Officer Mr. Narendra Nandoe, Sales Officer Ms. Renata Morteo, Information Officer</p> <p><u>Communications Campaign Services</u> Ms. Paula Refolo, Director, Strategic Communications Division Mr. Manoel de Almeida e Silva, Chief, Communications Campaigns Service Ms. Susan Manuel, Chief, Peace and Security Section Mr. Tim Wall, Information Officer, Development Section Ms. Shelly Edelsburg, Administrative Assistant, Africa Section Ms. Sheila Poinsette, Public information Assistant, Development Section</p> <p><u>Advocacy Unit</u> Ms. Kimberly Mann, Chief, Advocacy Unit Mr. Dalai Fazio, Assistant Information Officer Ms. Paula Green Associate Information Officer Ms. Melanie Prudhomme Public Information Clerk</p> <p><u>Office of the Spokesperson</u> Ms Okabe Marie / Ms. Farhan Haq</p>
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Conference and Documents Management	<u>Dag Hammarskjold Library</u>
	Mr. Eric Falt Director, Outreach Division Ms. Linda Stoddart Head Librarian, DHL Ms. Maria-Luisa Chavez Chief, Educational Outreach Section Ms. Nathalie Leroy Chief, Knowledge Sharing Section Ms. Lorraine Waitman Chief, Client Resources Section Ms. Junko Sato Chief, Collections & Information Processing Section

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.

The overall risks presented in the attached risk register 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.

Focus Area	Overall Risk
i. Safety and Security ii. Human Resources Management iii. Strategic Management and Governance iv. Programme and Project Management	Higher Risk
i. Procurement and Contract Administration ii. Financial Management iii. Information Technology Management iv. Property and Facilities Management	Moderate Risk
i. Conference and Documents Management	Lower Risk

Risk Assessment of : Department of Public Information

No	Focus Area:	Strategic Management and Governance	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	Mission, Mandate and Goals A (i) The reputation and security of the UN may be affected due to the failure of DPI to communicate the mission and purpose of the UN in an effective and timely manner.	DPI consults with departments before communicating its messages. The spokesperson responds to questions from the public or journalists.	Strategy	Possible	High	Higher Risk

Focus Area:		Strategic Management and Governance			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	Moderate Risk
I	B (i) Ineffectiveness, inefficiencies, duplication of efforts in delivering its services to the UN could result from the failure of the Department of Public Information (DPI) to comprehensively communicate its core mandate to other departments. B (ii) Misconceptions and misguided expectations on the part of departments being serviced by DPI may result from a misunderstanding of the mission of the Strategic Communications Group in DPI. B (iii) Current UN structure of decentralized reporting of information by departments may result in DPI's services being viewed as irrelevant or obsolete. B (iv) Lack of involvement and knowledge of the Communications branch in major policy decisions of the UN due to the United Nations Communications Group (UNCG) not being represented in the Central Executive Board (CEB).	DPI's programme is covered under the High Level Committee for Programme (HLCP).	Governance	Remote	High		Moderate Risk
II	Committee On Information (COI) B (i) Resources cannot be allocated or shifted quickly to meet changing business demands because the proposed programme budgets are based on the mandated tasks from the Committee on Information (COI) and the General Assembly. The Department may not be able to respond to changing business demands, due to the rigid governance framework imposed by the Committee on Information.		Governance	Remote	High		Moderate Risk

Focus Area:		Strategic Management and Governance			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
III	Organizational Structure	There have been attempts to unify the chain of command for the Office of the Spokesperson.	Governance	Possible	High	Higher Risk	
	A (i) Inadequate organizational structure may result in redundancy/sub-optimization of efforts and ineffective governance. The Office of the Spokesperson has a dual reporting structure, reporting to the SG for operational purposes while the funding and administration resides in DPI. A (ii) Incoherent web messaging, duplication of efforts, inefficiencies and redundancies may ultimately result in increased expenditures due to the lack of an effective control framework mechanism for posting information on the UN website.						
IV	Office of the Spokesman	Guidance on classification of information which specifies categorization of information and control over highly sensitive documents being transmitted has recently been promulgated. The Office of the Spokesperson addresses topical issues on a daily basis.	Operational	Possible	High	Higher Risk	
	E (i) Sensitive information may leak to the public before the Office of the Spokesman has a chance to address it leading to speculation on UN activity. E (ii) Staff from the Spokesperson's Office may reply on-the-spot inappropriately to a question for which a response has not been anticipated or prepared by the divisions resulting in reputational risk to the UN.	The Office of the Spokesperson cross checks information and confirms information received from the relevant office. Staff in the Office of the Spokesperson receive appropriate training and are bound by the oath of office and receive guidance material.		Possible	High	Higher Risk	

1	Focus Area:	Strategic Management and Governance			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
B	(i) Reduction of the effectiveness of the message delivered by the Spokesman's Office due to uncertainty about Member States' decisions regarding commitments of the UN.		Governance	Remote	High	Moderate Risk	
V	Outreach and Dissemination E (i) Loss of credibility of the department due to failure to provide timely, objective, cohesive, accurate and consistent communications on key subjects covering the UN system. E (ii) Incoherent information e.g. there are several groups in the UN involved in the programmes relating to the Avian flu, Millennium Development Goals (MDG), climate change and several groups communicate on the same issues. E (iii) Different messages could reach the public because of different interpretations on the same information by different channels of dissemination. E (iv) Failure to react or an inappropriate reaction to world events could lead to reputational risks for DPI and the UN. E (v) Official communications by agencies on an issue may not be in line with the general UN system position or opinion	The UN Communications Group (UNCG) which brings together the core members responsible for communication from the UN and its agencies is charged with the responsibility of ensuring the coherence of information disseminated by the UN and the various UN agencies. This aims to ensure that information is not duplicated and not contradictory.	Operational	Possible Possible	High High	Higher Risk Higher Risk	

Focus Area:		Strategic Management and Governance			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
1	E (vi) UN communications are delayed because of stringent review processes and may be viewed as biased, processed information (i.e. propaganda) because news media around the world wish to receive objective and timely information.	Striking the appropriate balance between providing general material that can be used by media and material that is fully packaged and ready for presentation is a challenge.		Possible	High	Higher Risk	
	E (vii) Misrepresentation of the original information could result in misinterpretation; e.g. an adverse experience in translating a Russian document which led to poor communication. Also addressed in Risk Assessment of the Department of the General Assembly and Conference Management, Focus Area: Conference and Document Management, Sub Focus Area: Translation Services (Languages).	The translations of document go through a stringent vetting process. There is an interpreter's code of conduct and professional requirements.					
	E (viii) Reputation of the UN may be damaged due to publications containing wrong information.	Sections do carry out detailed research on political and historical information.					

Focus Area:		Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (ix) The UN may not have adequate control over the writings of Journalists leading to poor communication of messages.	Tests of press officers are carried out before engaging them.		Possible	High	Higher Risk
	E (x) Failure to effectively respond to press inquiries may lead to loss of credibility of the department.	Guidance exists to respond to the daily noon interviews with the press.				
	B (i) Misrepresentation of the UN due to inconsistent branding practices and misuse of the UN brand may confuse stakeholders.	When faced with questions that cannot be immediately replied to, panelists respond that they would need to check the facts.	Governance	Likely	Medium	Higher Risk
VI	United Nations Information Centres		Compliance	Possible	Medium	Moderate Risk
	C (i) Compliance of UNICs with guidance on communication from DPI HQ may not be measured and therefore not ensured.	The UNIC's branch in HQ monitors the field UNIC's offices for compliance.	Operational	Possible	High	Higher Risk
	E (i) Non-Compliance of UNICs with guidance on communication from DPI due to their ineffective monitoring from headquarters.					
	E (ii) The United Nations Information Centres (UNICs) may fail to raise awareness of the United Nations activities and consequently lead to a wrong perception by the local communities including targeted hostilities.					
	A (i) Locations of the United Nations Information Centres established traditionally by the member states may not be the most efficient for current needs.	Strategy	Possible	Medium	Moderate Risk	

		Focus Area: Strategic Management and Governance					
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Possible	High	Higher Risk	
			Likeli-hood	Impact	Overall	Risk	
VII	Library A (i) The failure of the Dag Hammarskjold Library to provide timely and up-to-date information products and services may lead to dissatisfaction of the library users including delegates and researchers.	The Library intends to move towards the direction of becoming a virtual library while not neglecting the printed collections. The delivery of customized information directly to the desktops of permanent missions at Headquarters and Secretariat staff worldwide will be expanded. The Library's internet and intranet sites will be further developed in all six official languages.	Strategy Strategy Strategy	Possible Medium Medium	Moderate Medium Medium	Higher Risk Higher Risk Higher Risk	
1	G (i) The Library may not be able to keep up with advancements in technology due to inadequate funding or lack of awareness of latest developments.		Information Resources	Likely	Medium	Higher Risk	

1		Focus Area: Strategic Management and Governance					
No	VIII	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	G (i) Inefficiency in the departments operations due to obsolescence of current technologies and an inability to adapt to newer more efficient technologies.	G (ii) The Information Center teams located outside of headquarters may not be able to access the mailing list maintained in Lotus Notes.	DPI Headquarters is working on creating a consolidated email system to link the DPI Headquarters with the Information centers. The process is in the testing phase (Nigeria is the pilot UNIC). It will be ready to role out in a few months.	The publishing industry is expected to experience zero percent growth over coming years as there is an increased move to the digital means of information dissemination.	The department has contracted with an outside party to circulate larger emails.	G (iii) The Lotus Notes system is not very dynamic in connecting with the internet; the Sales and Marketing Division is unable to efficiently use Lotus Notes because there are restrictions on mass mailings.	G (iv) The current cataloging system started in 1998 may no longer be capable of meeting the increased cataloging needs.

G (v) Change in technologies may result in obsolescence of current disseminating tools and result in a loss of audience.

Podcasts are fast replacing radio broadcast and DPI is thinking of more modern ways of disseminating information.

Focus Area:		Strategic Management and Governance			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
1	E (i) Failure to solicit and use feedback may lead to the department not identifying its impact on its stakeholders and not continuously improving its programs to meet the stakeholder needs.	<p>There is a Communications and Evaluations Research Unit which monitors the performance of the department, including an annual impact review.</p> <p>Annual surveys of the performance of the department with NGOs are carried out.</p> <p>Library surveys are carried out to avoid the risk that the library is not aware of end-user satisfaction with its services.</p> <p>The reaction of various stakeholders to information disseminated serves as instant feedback to the departments e.g. member states may protest on the contents of certain exhibits. To avoid negative feedback, news articles and exhibits have to be carefully screened and wording carefully phrased to ensure objectivity and impartiality.</p> <p>DPI consults with substantive departments on the facts of news articles.</p>	Operational	Remote	Medium	Lower Risk	

Focus Area:		Strategic Management and Governance			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
1	A (i) Non-achievement of the department's mandate due to failure to focus on strategic objectives and inability to meet client demands or provide other value-added services due to political, technological, resource or other constraints.		Strategy	Likely	High	Higher Risk	
	A (ii) The Organization is not designed or structured to function as a media organization. Hence its response to news events may not be as fast enough for events in which it is involved e.g. the organization may not be able to leverage its presence in Iraq or other areas due to the several checks that information has to pass through before dissemination to the public.						
	A (iii) Complying with mandates may result in sacrificing news coverage that would be more appealing to the general public/media; e.g. the Department has to cover the Security Council meetings and Secretary-General's activities before covering any other news items even when the latter could be of more interest to the general public.						

Focus Area:		Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
No	A (iv) Capacity constraints may cause a bottleneck, preventing the centralization and execution of internet services. The Department may not meet the mandate of providing web services to other agencies/departments due to inadequacy of resources.			Likely	High	Higher Risk
	A (v) Lack of navigation tools and a clear link to the publications on the website may impede the ability of the Department to efficiently communicate its messages.					
	A (vi) Waste of resources due to the need to cover all UN meetings regardless of their importance.					
IX	NGOs			Possible	High	Higher Risk
	E (i) Dissatisfaction of the Member states, or the general public, with the Department of Public Information (DPI) due to inappropriate affiliations with Non-Governmental Organizations (NGOs) and other partners, whose interests do not meet UN objectives or are not aligned with UN beliefs.	NGOs are screened before acceptance.DPI mitigates the risk of by dealing strictly with well reputed groups. The UN assesses the performance of NGOs by requesting quadrennial evaluation reports to assess the value of the NGOs to the UN.	Operational	Possible	High	Higher Risk
X	Competition			Possible	Medium	Moderate Risk
	A (i) Goal of dissemination of information to the widest audience may not be achieved due to failure to effectively compete with alternative products (e.g. publications, etc) which may lead to a reduced number of customers.	Strategy	Possible	Medium	Moderate Risk	

		Focus Area:		Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk	
		Possible	Medium	Possible	Medium	Moderate Risk		Moderate Risk
XI	Cross-Functional Coordination A (i) Inadequate inter-departmental coordination may result in publications which were originally slated 'for sale' being posted for free online, resulting in a negative effect on sales. A (ii) Completeness of Sales and Marketing Section's plans, projected sales and ability to sell its products depends on other departments that develop contents and may result in poor planning and execution. A (iii) Limited synergies between divisions due to a lack of sharing of information may lead to inefficiencies and duplications in the delivery of services.	Sales and Marketing (S&M) Section depends on other divisions for its products.	The Sales and Marketing Section is measured against expected / projected sales numbers, which is also driven by the production capacity and success of other departments.	Strategy	Possible	Medium	Moderate Risk	

Risk Assessment of : Department of Public Information

		Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
I Administrative Support	E (i) Non-compliance with UN rules due to the United Nations Information centres (UNIC) in the field being administered by UNDP and subject to two sets of rules i.e. UNDP and the UN Secretariat rules. E (ii) Inefficiencies or unauthorized expenditures due to inadequate oversight over the United Nations Information centres (UNIC) offices.	Operational	Likely	Medium	Higher Risk		
II Control Environment	C (i) Management may circumvent policies and procedures in place in areas that are subject to interpretation unless they are clearly spelt out. A (i) DPI not achieving its mandate in the most efficient manner due to lack of a risk management mechanism resulting in either a risk averse culture or an excessively aggressive risk appetite.	The Executive Office supports the clarification of rules.	Compliance	Possible	Medium	Moderate Risk	
	There is a UN wide effort to formalize the risk management process.	Strategy	Likely	Medium	Higher Risk		

2		Focus Area: Financial Management		Possible		Medium		Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk			
III	Budgetary Process			Likely	Medium	Higher Risk			
D (i) DPI's inability to achieve Programme Goals or General Assembly mandates due to UN's inflexible budgeting process.									
D (ii) Delivery of the programme may be diminished because of reductions in the budget by ACABQ.									
D (iii) There could be unnecessary expenditures due to the pressure to expend available budgetary funds at the end of the budget cycle because the funds may not be received in the next budgeting cycles.									
D (iv) Lack of flexibility between the strategic framework and budget due to new priorities evolving from year to year with a limited ability to balance and adjust to the evolving issues. eg currently the Department is budgeting for 2010 in late 2007 and this may result in a budget that does not reflect actual needs later on.									
D (v) Inability to achieve programme goals or address new or emerging issues due to an inflexible and overcentralized budgetary process and misaligned budgetary timeline and programme goals that change based on the current agenda.									

2		Focus Area: Financial Management		Possible		Medium		Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall	Risk	
	D (vi) Incorrect information provided to the Executive Office by the departments may result in non-approval of budgetary request.	The divisions submit their budget requests to the Executive Office for review before forwarding to appropriate offices for processing.		Likely	Medium		Higher Risk		
	D (vii) Inability to achieve Programme Goals or General Assembly mandates due to non-alignment of mandates with the budgetary resources.								
	D (viii) Decreased capacity to execute programme of work because funding has stayed the same in spite of increasing costs and the effect of the devaluation of the USD has affected the buying power of the department.								
	D (ix) Inability to publish material in all 6 languages due to budgetary constraints.								
IV	Credit Policy	D (i) Approval of customers with poor credit ratings could result in financial losses to the department due to inappropriate credit policies.	Credit worthiness of potential Sales and Marketing customers are assessed using Dunn and Bradstreet reports. These are used to determine the credit limits and the financial capability of the company and the payment history with other creditors.	Financial	Remote	Low	Lower Risk		

2		Focus Area:		Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk	
V	Financial Reporting			Financial	Likely	Medium	Higher Risk	
	D (i) Delays and errors in submitted financial information by both UNDP and Self Accounting UNIC offices could affect the consolidated financial statements and lead to inaccurate and incomplete financial results.	The recording of transactions are almost current but the communication of this information is delayed by the originating department resulting in legal, financial or personnel related risks.						
	D (ii) Delays and inconsistencies in reported information of UNIC's activities may result from the differences in accounting systems between UNDP and the UN.							
	D (iii) Erroneous financial statements and inappropriate financial expenditures may result from the inadequate administrative monitoring of UNIC.							
VI	Financial Policies and Procedures	Executive Office certifies that funds are available.		Compliance	Remote	Low	Lower Risk	
	C (i) Non-compliance with UN policies and procedures including unauthorized allocation / reallocation of funds across object codes.							
	D (i) Stringent policies and procedures may deter donations required for supplement budgetary resources.							
VII	Revenue Generation							
	D (i) Financial loss due to declining value of the dollar.	Financial	Remote	Low	Lower Risk			
	A (i) Failure to optimize revenue generation leading to lost revenue opportunities.	Strategy	Possible	Low	Lower Risk			
			Likely	Low	Moderate Risk			

Risk Assessment of : Department of Public Information

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Likely	Medium	Higher Risk	Overall Risk
Focus Area:	Human Resource Management							
3								
I	Recruitment			Possible	Possible	Medium	Moderate Risk	
	F (i) Loss of qualified candidate to competitors and the non-fulfillment of mandates due to the inability to recruit and hire qualified personnel in a timely manner.		Human Resources	Possible	Possible	Medium	Moderate Risk	
	F (ii) Inability to report in all of the required languages as mandated by the GA due to the department's difficulties in recruiting and retaining qualified multilingual journalists e.g. three out of four established posts are still vacant in the Arabic Language Unit.							
	F (iii) Loss of staff with accumulated experience due to the implementation of the mobility programme.							
	F (iv) Difficulty in terminating the services of staff who hold permanent contracts even when their services may no longer be required or in cases where such staff may be underperforming resulting in not having the appropriate staff for the posts.							
	F (v) Stringent recruitment procedures with respect to UNIC directors may result in delays and loss of qualified candidates.							

Focus Area:		Human Resource Management							
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	Likely	Medium	Higher Risk
3	F (vi) Stringent recruitment policies make it impossible to recruit persons with technical skills and talent when they don't possess the academic qualifications prescribed in the vacancy announcement. F (vii) Posts of staff on secondment to mission are blocked and can only be filled with temporary staff who may not be as qualified to the detriment of the departmental goals and objectives.	F (viii) Fulfilling the geographical, race, religion and gender representation requirements is sometimes difficult and may result in non-compliance to Human Resource rules.	Executive Office coordinates with OHRM to ensure compliance with geographical, race, religion and gender representation requirements.						

3		Focus Area: Human Resource Management		Likely	Medium	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
II	Retention of Staff	F (i) The temporary nature of some contracts e.g. those of tour guides lead to an increased staff turnover rate resulting in hasty recruitment to fill positions with possibility of insufficient background checks. F (ii) Low staff morale and other staff disputes due to the continuance of temporary contracts. F (iii) Challenges in retaining the services of good translators due to procurement policies which necessitate rotating the translators after a certain period. F (iv) There are no defined career paths for staff which may result in talented staff seeking opportunities outside the department. F (v) Lack of incentives or rewards in the organization may result in demoralized staff. F (vi) Low staff morale due to the ineffective implementation of the mobility.	The Organization is still deemed to be a good employer and some staff have been known to remain on temporary contracts for several years.	Human Resources	Likely	Medium	Higher Risk

3		Focus Area: Human Resource Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F (viii) Inability to terminate employees with poor performance records due to the current Human Resource policies.			Likely	Medium	Higher Risk
	F (ix) Inadequate evaluation of services of tour guides who are not subjected to performance evaluations.					
III	Staff Training		Possible			Moderate Risk
	F(i) Inadequate training for new and experienced staff members to assist them in performing their functions due to inadequate funds. Training demands cannot always be projected 2 years in advance in the budget preparation with the effect that any new training needs cannot be incorporated later on due to the rigid budgetary process.		Human Resources	Possible	Low	Lower Risk
	F (ii) Delays in procurement of trainers by the Procurement Service may cause delays in implementing training for the staff.					
	A (i) Inadequate succession planning for upcoming retirements of a large number of staff from the department may result in DPI suddenly having a skilled manpower shortage.		Strategy	Likely	Medium	Higher Risk
IV	Staff Administration					
	F (i) High employee turnover affecting the delivery of services due to over-reliance on volunteer and temporary employees.		Human Resources	Likely	Medium	Higher Risk
	F (ii) Decrease in staff morale due to delays in the transfers of employees records between duty stations resulting in delays in processing their payroll.					

Risk Assessment of : Department of Public Information

4		Focus Area:	Procurement and Contract Administration		Likely	Low	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
		Procurement Policies & Procedures	Operational	Likely	Low	Moderate Risk	
E (i)	Timeliness or cost of acquisition affected by rigid procurement rules may affect the result in a failure to meet mandates.						
E (ii)	Delays in procurement may result in equipment being obsolete by the time it is finally acquired.						
E (iii)	Delays in procurement prevents the department from taking advantage of early bird discounts e.g. for travel expenses.						
E (iv)	Due to the current systems contracts the department is unable to purchase in a more competitive manner in the open market for goods over \$2,500 resulting in increased purchase cost.						
E (v)	Restrictions on retention of vendors and rebidding of vendor contracts after a certain period may limit the consistency of services from year to year e.g. printer for the quarterly magazine.						
E (vi)	Errors in compliance to rules that are dynamic and complex and their application could be subject to interpretation.	The Executive Office ensures compliance to current rules.					
E (vii)	DPI's inability to purchase the right technology due to delays in processing purchase requests and obtaining approval of Requests for Proposals (RFPs).						

4		Focus Area: Procurement and Contract Administration		Likely	Low	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	G (i) Inability to quickly adopt new technologies due to procurement delays may lead to operational inefficiencies.	Information Resources	Possible	Medium	Moderate Risk	

Risk Assessment of : Department of Public Information

6		Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
I	Outreach & Dissemination G (i) Inadequate communications infrastructure in developing countries affect: (i) the ability of DPI to communicate to the widest audience possible; (ii) the security of information disseminated; and (iii) speed of communication with its audience round the world.	Information Resources	Likely	Likely	Low	Moderate Risk	
II	E (i) United Nations Information Centres (UNIC) are located away from headquarters and may not get adequate IT support from ITSD.	Operational	Likely	Low	Moderate Risk		
III	Policies G (i) Security risks due to its heavy reliance on ITSD may result in non-compliance with IT policies and procedures and adversely affect the operations of the Department.	Compliance	Possible	Medium	Moderate Risk		
III	Information Security E (i) Loss of library collections in the event of a disaster due to a lack of adequate back up.	Critical collections are backed up electronically and there is coordination with local libraries to remain in operation in the event of a loss of library collections.	Operational	Possible	Lower Risk		

6		Focus Area: Interview/Review Summary (Description of risk)		Information Technology Management			
No	Focus Area:	OIOS Assessment	Risk Category	Possible	Likeli-hood	Impact	Overall Risk
	<p>G (i) Unauthorized access to or loss of data due to both internal / external unplanned IT events coupled with insufficient back-up procedures which may adversely affect operations or lead to reputation risk if accessed information is used in a malicious way.</p> <p>G (ii) Collections may not be completely inventoried resulting in potential misplacement of items.</p> <p>G (iii) The servers could go down in the Information Technology Services Division (ITSD) area where the databases and website are housed, resulting in a loss of data.</p> <p>G (iv) Some of the UNICs are using public email servers for official emails to and from DPI Headquarters risking the security of emails.</p> <p>G (v) Over reliance on the website for registration of NGOs to the annual conference without manual backup / verification procedures may result in loss of data and downtime in operations in the event of a crash of the website.</p>	<p>Data is being migrated onto a new server required for the increased cataloguing system requirements. Controls are in place to address increased risk of loss of data during the migration phase.</p> <p>Currently, DPI is reviewing its collections and bar-coding materials that have not been previously bar-coded.</p> <p>The Department works with Information Technology Services Department to ensure availability and security of the IT resources and to address the potential risk that hackers can attack the website of the Spokesman's Office.</p>	Information Resources	Possible	Medium	Moderate	Moderate Risk

6		Focus Area: Information Technology Management					
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Possible	Medium	Moderate	Risk
			Likeli-hood	Impact	Overall	Risk	
IV	Information Technology Resources	There is a plan to upgrade the website to support increased e-commerce and for increased taxonomy as the department moves towards more modern ways of doing business e.g. sale of Adobe Portable Document Format (PDF) publications.	Information Resources	Possible	High	Higher Risk	
	G (i) Inefficiencies in operations due to inadequate Information Technology (IT) equipment.	G (ii) Lack of IT infrastructure at some clients especially in developing countries, and complex procedures in the organizational bureaucracy may lead to delays in reporting news, as have occurred in the past with the website shutting down.					
	G (iii) United Nations Information Centres (UNIC) are located away from headquarters and may not get adequate IT support from ITSD.	G (iv) Some of the divisions in DPI may not have adequate in-house IT support despite being heavily dependent on IT resulting in inefficiencies in operations when Information Technology needs are not quickly addressed.	Sales and Marketing Section has an Information Technology (IT) support unit within its own department (to support e-commerce etc.).				
	G (v) Commonly used technologies such as Skype cannot be used by the UN even though it may result in cost savings.						
V	Contingency Planning	E (i) Non- existence of a well developed and tested Disaster Recovery Plan and a Business Continuity Plan (BCP) could prove to be catastrophic in the event of a major disaster happening.	Operational	Remote	High	Moderate Risk	

Risk Assessment of : Department of Public Information

No	Focus Area:	Programme and Project Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	News Services	E (i) Irrelevant, inaccurate or untimely information due to News and Media (N&M) Section not coordinating effectively with the other UN agencies or DPI Headquarters.	Spokesman's Office consults with the divisions before releasing information.	Operational	Possible	Moderate Risk
	E (ii) The increasing number of the Secretary-General's travels accompanied by his entourage could cause a strain on the budget of the Division.	The Division plans with the Secretary-General's office on trips to be covered.				
	E (iii) Dissatisfaction of the media and other users of news and information about the United Nations due to the Department's failure to produce accurate, timely and objective news may result in its inability to reach targetted audiences.	There is a complex approval process before deploying a news team to an area where there is a breaking news.				
	G (i) Inappropriate selection of content to be published may result in the dissatisfaction of the Member states, or the general public, with the Department of Public Information (DPI).	Information Resources	Possible	Medium	Moderate Risk	
	G (ii) The inability of the Radio and Television Service to acquire in a timely manner new information technologies may result in inefficiencies and ineffectiveness in operations.					

Focus Area:		Programme and Project Management			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
					Possible	Medium	Moderate Risk
7	Strategic Communication Services	<p>A (i) Channelling communication through the Strategic Communications Group is not required and not always done. Communications may be sent directly to the SG by other departments and this could result in information not being vetted and also not being coherent.</p> <p>A (ii) The Department may fail in their communications around the key United Nations issues such as peace and security, Human rights Millennium Development goals and Climate change.</p>	The Communications Division holds regular meetings with other entities in the United Nations system to discuss the substance on these key issues so as to develop a common and coherent communication strategy.	Strategy	Possible	High	Higher Risk
	D (i) Insufficient funds for training for the United Nations Information Centres (UNIC) staff may affect the delivery of the services.		Financial	Possible	High	Higher Risk	
	G (i) United Nations Information Centres (UNIC) are located away from headquarters and may not get adequate IT support from ITSD.	ITSD provides support for field offices.	Information Resources	Possible	Medium	Moderate Risk	
	F (i) Some United Nations information centers are run by local staff who may not have the necessary skills to run an information center efficiently and effectively.		Human Resources	Possible	Medium	Moderate Risk	
	F (ii) Departments do not have adequate resources to supervise and review the work of the local United Nations Information Centre staff / offices.						

Risk Assessment of : Department of Public Information

No	Interview/Review Summary (Description of risk)	Focus Area:	Conference and Documents Management	Risk Category	Remote	Medium	Lower Risk
No	Focus Area:	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
1	Third Party Service Providers	DPI has a few departments that use third party services to process payments and store information e.g. The Department uses Verisign to process credit card payments. Areas of the Department which use third party services include: (1) Credit card processing - Advance bookings for the guided tours require a valid credit card and other customer information which could result in compromise of such information if it is not well guarded. (2) Ticketing - Civil Services Section and Guided Tours is heavily reliant on the 3rd party service provider Vista. The entire ticketing operation is run by the Vista operation. In the event that the relationship fails, Guided Tours would be severely hindered in their sales capacity. There is a manual fall back system if the third party service providers fail.	Operational	Remote	Remote	Medium	Lower Risk
8							

8		Focus Area: Interview/Review Summary (Description of risk)	Conference and Documents Management		
No		OIOS Assessment	Risk Category	Likeli-hood	Impact
			Remote	Medium	Lower Risk
II	Safeguarding of Restricted Documents	E (i) Confidential information may be accessed by the wrong persons due to inadequate safeguarding and releasing procedures for restricted library collections.	Confidential documents are locked and physically retrieved by the librarian. Some documents kept in the library are identified as restricted and such confidential information is not given out to anyone that has not been approved by the Section Chief of the department which issued the restricted document. The library does not have a large number of restricted documents.	Operational	Remote Medium Lower Risk

Risk Assessment of : Department of Public Information

No	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	Asset Management E (i) Misrepresentation in the asset register and loss of assets may result in weaknesses in controls over the accountability of assets.	Assets registers are maintained for each location.	Operational	Likely	Low	Moderate Risk

9		Focus Area: Property and Facilities Management				Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk	
	Capital Master Plan			Operational	Likely	High	Higher Risk	
II	E (i) The scheduling and alternative office arrangements during the CMP implementation could affect DPI's programmes and lead to the failure of DPI to meet its objectives. E (ii) The Capital Master Plan (CMP) project may disrupt internet access of DPI, access of the press and journalists and web services. E (iii) The Capital Master Plan (CMP) planning and execution may affect the Information Technology (IT) procurement and strategy for the department as a whole. E (iv) CMP affects Sales and Marketing warehouse operations as well as preventing the Sales and Marketing division from physically selling books at the main building.			The Sales and Marketing Section is evaluating the outsourcing of the warehouse operations to reduce costs (overhead) and delays due to the cumbersome procurement process.	The Sales and Marketing Section is trying to remediate this by moving to online usage and locating a physical location for the remaining inventory.			
	E (v) CMP will affect both the conducting of operations and the physical location; i.e. parking, Audio visual equipment from the library will be transferred and temporarily unavailable; All of these movements may bear a negative impact on the efficiency of the operations of DPI.							

Focus Area:		Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (vi) The movement of the library and its materials requires specialist movers and the move may be improperly executed.	As a result of the forthcoming CMP as a start DPI has sought other locations for its conferences e.g. The change of location for the NGO annual conference which will be held in Paris, away from United Nations Headquarters in New York for the first time. This is a significant change and brings with it its challenges.	Possible	Possible		Moderate Risk
III	Office Premises	E (i) Closure of UN buildings (cyclical and unpredicted) may have an adverse impact on operations.	Operational	Possible	Low	Lower Risk

Risk Assessment of : Department of Public Information

Focus Area:		Safety and Security	Likely	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
10	<p>Security of UN Staff and Installations</p> <p>E (i) Local, national and international terrorist threats may lead to threats to safety and security of UN and DPI personnel working in different parts of the world.</p> <p>E (ii) Natural disasters in areas covered by UN Information Centers may lead to threats to safety and security of UN and DPI personnel working in different parts of the world.</p>	Operational	Likely	High	Higher Risk	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..

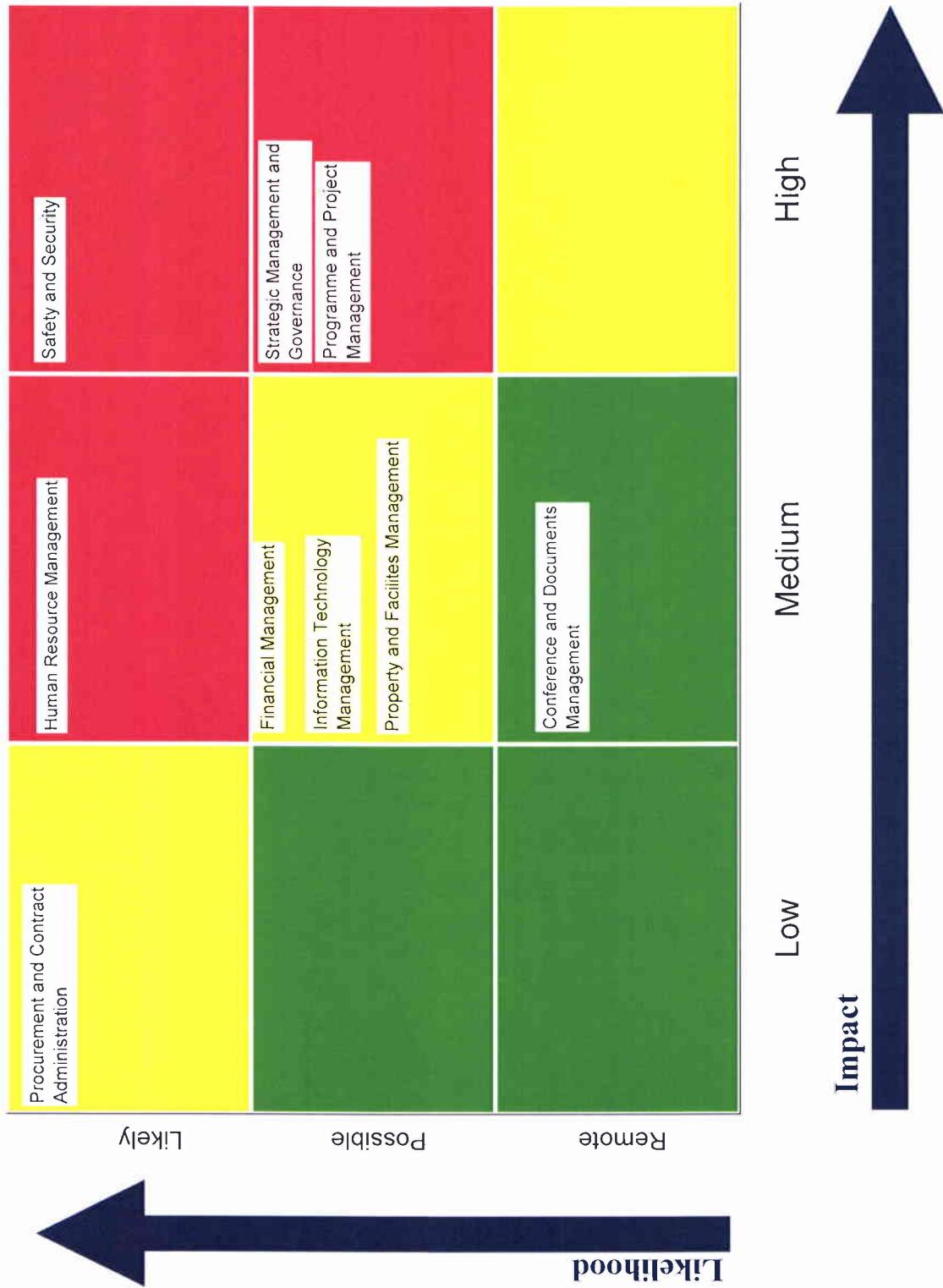
Risk Assessment Ratings

The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs.

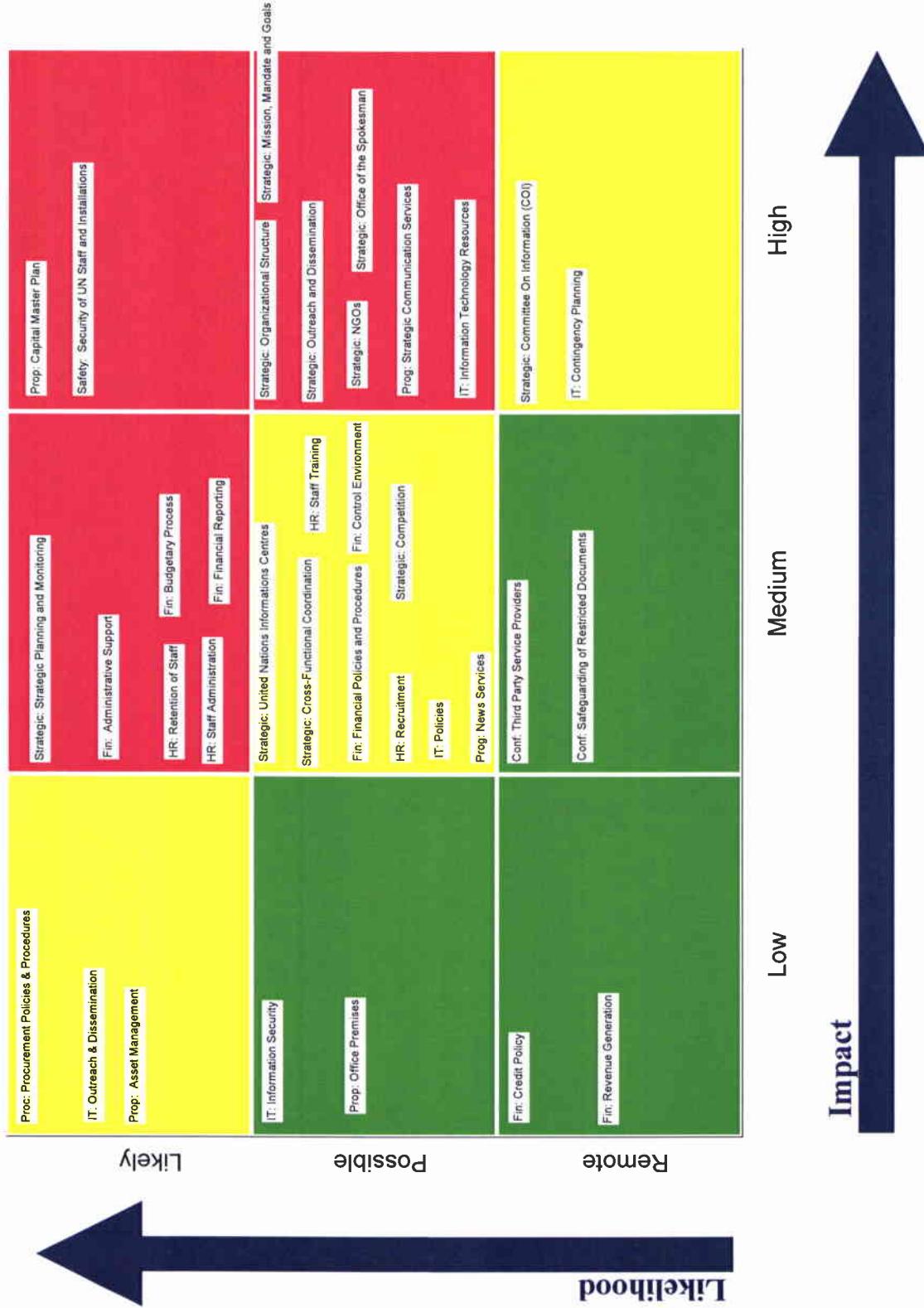
Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used are shown below:

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

RISK SUMMARY PROFILE (Focus Area)



RISK SUMMARY PROFILE (Sub Focus Area)



06/05/2008