



INTERNAL AUDIT DIVISION

RISK ASSESSMENT

United Nations Mission in the Sudan

18 August 2008

Assignment No. AP2008/632/05

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. Ashraf Jehangir Qazi
A: Special Representative of the Secretary-General
United Nations Mission in the Sudan

DATE: 18 August 2008

REFERENCE: IAD: 08- **01667**

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



SUBJECT: Assignment No. AP2008/632/05 - Risk assessment of UNMIS

OBJET:

1. I am pleased to present OIOS' risk assessment of UNMIS, which we updated in July 2008, for your information. While we do not require a formal response to this report, you are welcome to discuss any of the issues raised further.
2. OIOS encourages UNMIS 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
Mr. Seth Adza, Operations Review Officer, Department of Field Support

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, PEACEKEEPING AUDIT SERVICE:
Eleanor Burns: Tel: +1.917.367.2792, Fax: +1.212.963.3388,
e-mail: burnse@un.org

SUMMARY OF RISK RATINGS

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

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

Table 2: Summary of identified risks

Focus Area	Overall Risk
i. Procurement and contract administration ii. Property and facilities management iii. Safety and security	Higher Risk
i. Strategic management and governance ii. Programme and project management iii. Logistics management iv. Human resources management v. Information technology management	Moderate Risk

Risk Assessment of : UNMIS

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	Strategic management and governance	<p>A (i) There may be delays in the completion of the Mission's mandate implementation plan. This situation could result in the Mission not being able to monitor and track the implementation of its mandate.</p> <p>A (ii) The lack of commitment by the respective parties to implement the Comprehensive Peace Agreement (CPA) could lead to the stakeholders losing confidence in the Mission's ability to implement its mandate.</p> <p>A (iii) The rebel groups that have not subscribed to the CPA may create political problems and disturb the peace and security situation in the country. This situation could pose difficulties to the Mission in implementing its mandate.</p>	<p>There are delays by the Strategic Planning Office to complete the Mission's mandate implementation plan for tracking the implementation of mandate.</p> <p>The Mission is continuously engaged with the political leaders of the country. A database to monitor implementation of the CPA has been put in place and being updated regularly to provide reports to the Security Council.</p> <p>The Mission is continuously engaged with the political leaders of the country. A CPA monitor has been put in place and is being updated regularly to provide reports to the Security Council.</p>	Possible	High	Higher Risk Higher Risk

1		Strategic Management and Governance		Possible	High	Higher Risk
No	Focus Area: Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	A (iv) Delays in the implementation of the comprehensive peace agreement, including the demarcation of the boundary between the north and the south of Sudan and the frequent violation of the peace process could result in an unstable peace and security environment in the country.	(a) The Mission has put in place mechanisms to monitor developments in the peace process. (b) UNMIS requests DPKO's guidance and promotes inter-mission liaison with UNAMID.				
	A (v) The lack of tangible peace dividends for the local population and misconceptions by the local population of UNMIS' role could lead to the lack of support by the local population to Mission's initiatives.	(a) The Mission manages expectations through transparent, clear and widely communicated information. (b) The Mission extends support to humanitarian and civilian-military activities.				
	A (vi) There is a risk that the Mission's civilian and military components may not have a formal coordination mechanism to ensure that work inter-dependencies are planned and communicated. This situation could result in ineffective and inefficient military operations.	The Mission is attempting to institutionalize civilian-military cooperation/coordination.				
	E (i) The Mission is facing resistance from the Government of Sudan in gaining access to various areas or in importing equipment, which could negatively affect the Mission's operations.	UNMIS Senior Management holds meetings with the Government to discuss this issue as it is a violation of the Status of Mission Agreement (SOMA).	Operational	Likely	High	Higher Risk
	E (ii) The US embargo on Sudan is affecting the Mission's importation of goods and services into the country, which could negatively impact the Mission's operations.	The Mission tries to use local sources to meet the Mission's needs.				
	E (iii) The SOMA with the Host Government has not been signed, making it more difficult for the Mission to enforce its provisions.	Mission activities are cleared with the Host Government before execution.				

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	F (i) Long delays in filling vacancies at top leadership and key substantive positions may have a negative impact on the Mission's strategic direction and vision.	As of 31 July 2008, the following ten critical posts were still vacant: one ASG, three D-2, two D-1 and four P-5.	Human Resources	Remote	High	Moderate Risk

Risk Assessment of : UNMIS

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	Moderate Risk
2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk	
I	<p>Results-based budgeting</p> <p>D (i) The RBB framework may not be well understood by all programme officers, leading to the recording of unrealistic expected achievements and outputs.</p> <p>D (ii) SAUs might not have correctly estimated their operating costs/budgets which could lead to surplus or excess funding. Unliquidated obligations may accumulate due to the contractors/vendors' slow performance.</p> <p>D (iii) The lack of close monitoring and updating of the portfolio of evidence could result in unreliable performance reporting.</p> <p>D (iv) Budget forecasts may be erroneously made due to inadequate information. This situation could result in over/under-estimation of request for resources.</p>	<p>The Mission provides continuous training and briefing on the RBB process to all self-accounting units (SAUs).</p> <p>This risk was very evident for development projects undertaken by the Mission, especially the road construction and hard wall accommodation projects. Plans have been derailed due to delays in the arrival of contingents and TCCs not adhering to agreed timelines.</p> <p>The Mission has automated its portfolio of evidence via an electronic database to enable input by all managers. This facilitates easy budget monitoring by the senior management.</p> <p>Due to the lead time required for review and approval of the budget, the Mission prepares its budget well in advance of its performance review against prior mandate and changing Mission priorities.</p>	Financial	Possible	Medium	Moderate 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	Moderate Risk
II	Accounting and financial reporting	<p>D (i) Delays and inaccuracies in the preparation and submission of monthly consolidated financial statements could negatively affect decision making.</p>	<p>Financial statements are prepared in a timely manner and submitted to DPKO monthly. Bank reconciliations are prepared and reviewed monthly and most outstanding items cleared by the following month. Bank reconciliation items outstanding over ninety days are monitored and payees are contacted to resolve the issue. Daily cash count and reconciliation performed. Periodic surprise cash counts are also carried out.</p>	Financial	Possible	Possible	Medium	Moderate Risk
	D (ii) Delays and errors in paying contractors and vendors could result in disputes or penalties.		<p>To expedite payments to contractors and vendors, the Invoice Processing Unit has been moved from the Procurement Section to the Finance Section. Payments to major contractors and vendors in respect of rations and fuel undergo close scrutiny by the Rations cell, Fuel</p>					

Focus Area:		Financial Management			Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
2	D (iii) The cost of support services provided by the Mission to the Government of South Sudan (GoSS) and the Government of National Unity (GoNU) may not be recovered, resulting in losses to the Organization.	Cell, Contracts Services Unit and the Contracts Management Unit. Continuous training of staff in various aspects of UNMIS operations and in particular Financial Regulations and Rules and managerial skills helps to provide staff with the necessary skills to perform their task and to reinforce the concept of accountability for outcomes.	UNMIS is providing support services to the Government of South Sudan (GoSS) and the Government of National Unity (GoNU) on a cost reimbursement basis. Despite the Finance Section's persistent communication and frequent visits to GoSS and GoNU, no payment has been forthcoming. Failure to recover is imminent, and this in turn will necessitate further correspondence with UNHQ to write off the unrecovered/unrecoverable amounts. This is a financial risk to the Mission which also includes cases of customs duties imposed by the Government on Mission imports for which the Mission has to pay and subsequently make				
	D (iv) The failure to provide timely information to concerned sections during staff check-out and before the final settlement of staff members' account increases the possibility of account receivables not being collected.	Difficulties encountered in recovering receivables and other matters which require the attention of the Management are brought to their attention for guidance.	UNMIS Finance Section works closely with all sections involved in staff check-out to ensure all stages are completed prior to issuing the final payment to staff members.				

2		Focus Area: Interview/Review Summary (Description of risk)		Financial Management		Possible	Medium	Moderate Risk
No		OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk		
	E (i) The inadequate coordination between sections requisitioning goods and services and sections obligating funds could cause the cancellation of obligations, denying other sections the use of available funds, ultimately resulting in unused funds/budget.	Continuous review of unliquidated obligations and status of allotment reports to enable early decisions to redeploy the unused funds. A planning officer from the DOA's office has been appointed to liaise with SAU requisitioners.	Operational	Possible	Medium	Moderate Risk		
	F (i) Delays in the introduction of an electronic archiving system could negatively impact the Finance Section's plan to store data in an organized and efficient manner.	Document retrieval time is long and the impact of this on the Liquidation Unit's performance (processing the liquidation accounts) in FMSS will be much more serious. However, the following controls are in place: (a) Financial systems run on two servers (a main production server and a backup server). The backup server is updated regularly to ensure that less data is lost in case of breakdown of the main server. (b) Financial information is uploaded regularly into the UNLB server.	Information Resources	Possible	Medium	Moderate Risk		
	F (ii) Delays in the implementation of the IMIS system in the Mission could result in inefficiencies due to the lack of automated interface between the current financial systems in use.	There is no automated interface between current financial systems in use.	Compliance	Possible	Medium	Moderate Risk		
	C (i) There could be long outstanding receivables due to the lack of monitoring of the accounts.	The Finance Section ensures no receivables are outstanding beyond 6 months.						

2		Focus Area: Financial Management					
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Possible Likeli-hood	Impact	Overall Risk
III Cash management	D (i) Keeping large amount of cash at the cashier's office, as a result of the banking situation and the US embargo on bringing USD in the country, increases the risk of theft. D (ii) Due to the US embargo on bringing US dollars (USD) into Sudan, there is an inherent risk of not being able to meet USD requirements to pay staff and vendors. The embargo also limits the flexibility of the Mission when seeking local banking services.	Total cash holding is \$50,000 for emergency use. Most cash transactions are done through commercial banks. All payments are effected by either the Bank of Khartoum, Stanbic or Nile Commercial Bank.	Financial	Possible	Medium	Moderate	Moderate Risk
IV Payments and payroll	D (i) Delays and errors in payroll processing and payment could negatively affect staff morale. D (ii) There could be errors in the computation of payments made to individual contractors.	The Invoice Processing Unit and Payments/ Payroll unit are adequately staffed and function efficiently. Payments are processed expeditiously within the Finance Section. The Mission employs about 1,200 individual contractors who are daily paid workers. There is a specific unit under the Human Resources Section dealing with the contracts and scrutiny of payments made to all daily rated workers. All payments are made through the bank. There are no cash payments made in the field.	Financial	Remote	Low	Lower Risk	Lower Risk

Risk Assessment of : UNMIS

No	Focus Area:	Human Resource Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	Human resource management	<p>Efforts have been made to improve Human Resources, but vacancy rates are still high.</p> <ul style="list-style-type: none"> (a) Organizational structure with clear delineation of functions and responsibilities is in place. (b) Staff members are made fully aware of their responsibilities and section organization. (c) Clear strategic direction of activities. (d) Well-defined goals and objectives to be achieved are defined in ePAS. (e) Approved workplan. (f) Periodic meetings with Unit Chiefs. (g) Clear and consistent communication and feedback from UNHQ. (h) Adequate tools and support/delegation from UNHQ to allow effective management of posts and staffing tables. <p>The Mission's current vacancy rate for international staff is 25 per cent and for national staff is 16 per cent. This situation poses big challenge to the Mission in terms of availability and skills of human resources.</p>	Human Resources	Possible	High	Higher Risk
	F (i) An ineffective and understaffed Personnel Section could result in the unsatisfactory delivery of human resources support services to the Mission.	F (ii) The slow staff recruitment affects the operations of the individual Mission sections in discharging their functions.				
	F (iii) The high staff turnover rate due to slow promotion prospects, hardship conditions, low financial compensation (i.e., low MSA rate) and excess workload in areas that are understaffed could affect staff morale.	To expedite HR processes, UNHQ HR staff are brought in decrease the length in time to obtain approvals for movement to higher level and SPAs, as well as to adjust Personnel Actions in IMIS to reflect payments.				

3		Focus Area: Human Resource Management				Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk	
B (i) The delegation of leadership and fiduciary roles to UNVs could present challenges to the Mission as regards accountability and the terms of the MOU signed between UNDP and DPKO on the employment of UNVs in the Mission.	The Mission has established the UNV programme office to monitor UNV activities in line with the terms of reference agreed between UNDP and DPKO.	Governance	Possible	High	Higher Risk			
C (i) With the staff turnover rate and the frequent rotation of troops, Mission personnel may not be aware of UN rules and regulations pertaining to discipline and misconduct, leading to an increase in the number of discipline and misconduct cases.	The Conduct and Discipline Unit periodically conducts discipline-related awareness programmes.	Compliance	Possible	High	Higher Risk			
D (i) Due to the excessive staff workload in the Personnel Section, the processing of personnel leave records may not be given adequate attention. This situation could result in erroneous payments of staff entitlements that are based on attendance records.	(a) The Mission is taking steps to ensure adequate staffing in terms of the number and experience of staff. (b) Personnel leave records have been automated.	Financial	Possible	Medium	Moderate Risk			
II Training	A (i) Poor planning and budgeting practices could result in the failure to identify real training requirements to respond to operational gaps.	Training committees are established to determine training needs.	Strategy	Possible	Medium	Moderate Risk		
	A (ii) Training activities may not be in line with real needs due to the sections' lack of or limited commitment to properly identify staff training needs.	Sections are provided with policy guidelines and forms during the development of training programmes and budgets.						
		Training-related matters and procedures e.g. training nominations, budget management are shared with the Chief/Training focal person of respective sections.						

No	Focus Area: Interview/Review Summary (Description of risk)	Human Resource Management OIOS Assessment	Risk Category	Possible Likeli-hood	High Impact	Higher Risk Overall Risk
D (i) There may be a lack of in-house subject matter experts (SMEs) to deliver mandated training on cross-cutting topics, e.g., SEA and Code of Conduct. This situation could result in higher costs to the Mission if it has to bring SMEs from outside the Mission.	Close coordination exists between individual cells and substantive sections to ensure delivery of cross-cutting issues.	Financial	Possible	Medium	Moderate Risk	
F (i) Due to the understaffing of the Integrated Mission Training Centre (IMTC), it may not be able to respond to the Mission-wide demand for training and to provide support for section-specific training activities. F (ii) Induction training given to UNAMID peacekeepers could overstretch the capacity of the IMTC, which could exacerbate the understaffing situation in the IMTC.	Close coordination exists between the Civilian, Police and Military training cells within IMTC. The Mission has assigned UNVs to provide training support to UNAMID.	Human Resources	Possible	Medium	Moderate Risk	

3		Focus Area:		Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk	
III	Medical services C (i) TCC hospitals may not be compliant with UN standards, exposing UNMIS personnel to health and safety risks.	UN medical guidelines and policies are in place. The Mission monitors the implementation of MOUs signed between UN and TCC hospitals. The Mission's Chief Medical Officer oversees the provision of medical services in the Mission.	Compliance	Possible	High	Higher Risk		
	E (i) Permits for night landing for aero-medical evacuation can only be secured after negotiation with local authorities, posing risk to the safety and security of UNMIS personnel in case of contingencies. E (ii) The acquisition of perishable (temperature sensitive) items and the ability of the Mission to respond to medical contingencies/ emergencies may be delayed because getting permit for customs clearance for imported pharmaceuticals is a lengthy process. E (iii) There could be interruption of service provided by contractors as a result of delays in the payment of invoices.	The Mission has been establishing good relationship with local authorities to resolve issues pertaining to medical evacuation. Avian Flu pandemic preparedness plan is in place. Mass Casualty Contingency plan is in place and the required separate medical supplies are secured. However, problems associated with the importation of goods where Government restrictions are imposed are still ongoing. Periodic monitoring is in place in the Finance Section to expedite the payment of invoices.	Operational	Possible	High	Higher Risk		

3	Focus Area: Human Resource Management	OIOS Assessment	Risk Category	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)		Risk Category	Likeli-hood	Impact	Overall Risk
	F (i) Most clinics are dependent on locally-recruited National Medical Officers, who may not have the required skills. This situation could result in the unsatisfactory provision of medical services to Mission personnel.	Medical Section was allowed to have 10 additional UNV nurses in 2006/2007 budget to work with National nurses to improve service. More training on client and multicultural orientation envisaged. Organizational structure with clear delineation of functions and responsibilities in place. Force Medical Officer dedicated to monitor TCC Medical Units. Periodical meetings and reporting to Administration. Periodic formal and hands on training for Medical staff ongoing.	Human Resources	Possible	High	Higher Risk
IV	Staff counseling and welfare	E (i) Lack of staff welfare and clinical programmes could have a negative impact on staff conduct and productivity. E (ii) Lack of social and recreational outlets could lead to high-risk behaviours, including drinking and driving, psychological problems, etc. This situation could also have a negative impact on staff conduct and productivity.	Operational	Possible	High	Higher Risk

3		Human Resource Management		Possible	High	Higher Risk
No	Focus Area: Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F (i) Insufficient staff counselors to cover 14,000 personnel spread over 30 locations may lead to the inability to fully implement DPKO's policy directives and SOPs on welfare and recreation.	SCWS has 14 international posts (including four UNVs) in its staffing table, of which 5 are vacant.	Human Resources	Likely	High	Higher Risk

Risk Assessment of : UNMIS

No	Focus Area:	Procurement and Contract Administration	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	Procurement and contract administration	All SAUs have submitted their acquisition plans. However, estimations made may not reflect the actual needs of the Mission taking into account unforeseen requirements.	Strategy	Possible	High	Higher Risk
	A (i) The poor acquisition planning by the SAUs and the late, unplanned and/or sketchily-detailed requisitions could result in less opportunity for wider range of offers to be received or lower solicitation response rate.	On-going training for requisitioners, procurement staff, and key bodies involved in the acquisition process (LCC, TOC).				
	A (ii) Major operational developments in the Mission's plan, resulting from the unpredictable/volatile conditions in the country, could lead to unplanned/unbudgeted requirements. This situation could hamper the Mission's ability to properly prepare its acquisition plan.	The Mission is faced with the risk of Government authorities not complying with the SOMA.				
	A (iii) A hostile government attitude toward the Mission could result in difficulties in carrying out routine activities, such as the importation of needed supplies and equipment.	The HCC has provided basic training to LCC members. Further training has been planned by the HCC training team.	Governance	Possible	Medium	Moderate Risk
	B (i) LCC members who are not well versed on procurement procedures may not effectively contribute to LCC deliberations and may negatively affect the effectiveness of the LCC as a procurement control.					

4		Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	C (i) There could be a misunderstanding of the requisitioner's role in communicating with vendors, because requisitioners are not aware of UN procurement procedures. This situation could compromise the transparency and integrity of the procurement process.	(a) SOPs, policies and procedures in place, e.g. UN Financial Rules and Regulations, UN Procurement Manual, UNMIS Procurement Guidelines issued by CPO. (b) Staff awareness of above. (c) Staff compliance with above. (d) SOPs periodically reviewed and revised as required.	Compliance	Possible	High	Higher Risk
	C (ii) The technical evaluation of bids/proposals may not be effectively performed leading to the award of contracts to the wrong vendors and those previously under-performing vendors.	Procurement SOPs, policies and procedures are in place, e.g., UN Financial Rules and Regulations, UN Procurement Manual, UNMIS Procurement Guidelines issued by the CPO.				
	C (iii) The Mission may not be compliant with the terms of delegated authority to procure core requirements, compromising the integrity of the procurement process.	All core requirement purchases by Mission are reported to DFS and closely monitored by the CPO and the DOA.				
	D (i) Non-performance by vendors, especially after the end of a financial year and when a purchase order or contract is cancelled, could result in the loss of funding and in problems accommodating unplanned requirements in the succeeding financial year.	Contractor and vendor performance is being monitored and documented to be factored into all future bidding exercises. Clauses are put in place in contracts to compensate UN for losses incurred due to non-performance of contractors or vendors.	Financial	Possible	Medium	Moderate Risk
	D (ii) The large number of cases toward the end of the financial year to exhaust budget allocations may delay the LCC process and also impact on the quality of decisions made in to expedite cases.	The Procurement Section has taken measures to streamline the requisition process and to spread out procurement activities throughout the budget period.				

4		Focus Area: Procurement and Contract Administration			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	IOIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
I	E (i) The slow pace of the procurement review process at UNHQ could result in delays in procuring essential goods and services, negatively affecting the Mission's operations. E (ii) Procurement staff may be inadequately trained in UN procurement procedures or may not take the initiative to learn their profession. This situation could affect the integrity of the procurement process.	IOIOS audits of the delegation of authority to procure core requirements and the LCC operations are underway. Staff performance periodically reviewed by Unit Chiefs and CPO. Adequate supervisory function in place. Ongoing mentoring of procurement staff.	Operational	Possible	High	Higher Risk	
II	Management of contracts B (i) The lack of consultation with the Mission's Legal Office on contract terms and clauses to protect the interests of the Mission could lead to possible disputes.	Some contracts are referred to the Senior Legal Advisor. However, there is no standing instruction or policy with regard to submission of contracts to the Legal Office for review before they are signed.	Governance	Possible	High	Higher Risk	
	C (i) The inability of contractors to perform as agreed and expected could result in inefficiencies and waste.	Performance monitoring mechanism is in place, with periodic meetings between contractor's representatives and related Mission personnel.	Compliance	Possible	High	Higher Risk	
	E (i) Major contracts and/or contracts for outsourced services may not be effectively managed, resulting in unfinished tasks or projects. E (ii) The contract drafting process has been a lengthy process, leading to delays in the acquisition of goods/services.	A Contracts Management Unit (CMU) has been established under the Chief of Administrative Services to manage all major contracts which includes rations and fuel supply. SOPs for various contracts managed in the Mission are in place. CMU provides advisory services to SAUs on the drafting of contracts.	Operational	Possible	High	Higher Risk	

4		Focus Area: Procurement and Contract Administration		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F (i) CMU staff may be insufficient or lack the required skills, which could lead to the ineffective and/or inefficient delivery of the Unit's services.	The Unit is undergoing restructuring from its current establishment of one Chief, one Contracts Management Officer (CMO) and three Contracts Management Assistant (CMA) to one Chief at P4 level, seven CMOs and seven CMAs	Human Resources	Possible	High	Higher Risk

Risk Assessment of : UNMIS

No	Focus Area: Interview/Review Summary (Description of risk)	Logistics Management OIOS Assessment	Risk Category	Likeli-hood	Possible	High	Higher Risk
1	Ground transportation <p>E (i) The frequency of traffic accidents involving UN owned vehicles could reduce vehicle availability to conduct Mission's activities and increase repair costs.</p> <p>E (ii) The allocation of vehicles to sections/substantive units may not meet their operational needs. This situation could result in the inability of the concerned sections/units to perform their duties.</p> <p>E (iii) There may be delays in repairing vehicles due to the shortage of spare parts. This situation could further reduce the number of vehicles available for use.</p> <p>E (iv) Workshops for vehicle repairs are understaffed and not well equipped to provide maintenance and repair services to the Mission's large vehicle fleet.</p> <p>E (v) UNMIS transport yards/warehouses may not be adequately secured, leading to theft of vehicles or spare parts.</p>	<p>(a) The Mission has established Advisory Committees on Traffic Safety both at Mission HQ and sector levels.</p> <p>(b) Safe driving campaigns are conducted from time to time to educate staff on their responsibilities to reduce traffic accidents.</p> <p>The Vehicle Establishment Committee (VEC) has been established to periodically review the vehicle to staff ratios and decide on the allocation of vehicles to the respective sections and substantive units.</p> <p>The procurement of adequate vehicle spare parts is being factored into the annual acquisition plan.</p> <p>The Mission's vehicle fleet consists of 3,091 UN-owned vehicles and 2,020 contingent-owned equipment. There were instances of delays in procuring the required equipment for vehicle workshops. The Mission is in the process of outsourcing part of its maintenance services to reputable and capable workshops within Sudan.</p> <p>There have been cases of theft of vehicles from the UNMIS transport yard.</p>	Operational	Possible	Medium	Moderate Risk	Moderate Risk

5		Focus Area: Logistics Management		POIOS Assessment		Risk Category	Possible Likeli-hood	High Impact	Overall Risk	Higher Risk
No	Interview/Review Summary (Description of risk)									
II	Air transportation	C (i) Air operations and safety issues may not be reported to senior management in a timely manner for corrective action. This situation could result in issues not being resolved or given proper attention, ultimately increasing air safety risks.	Daily meetings with contractor air crew and Mission aviation officers to decide on flight schedules. Weekly meetings with Chief, Integrated Support Services and Chief, Aviation Officer to highlight issues related to aviation operational matters.	Compliance	Possible	High	High	Higher Risk	Higher Risk	Higher Risk
	C (ii) Passengers (UNMIS and non-UNMIS staff) may not be aware or complying with established aviation safety procedures and standards. This situation increases air safety risks.	Briefings on aviation safety are being done during induction training and prior to flight take off. The Mission periodically disseminates aviation safety and accident prevention bulletins.	Accurate reporting of daily aircraft serviceability status effecting the rental reimbursement to air carrier and savings to UN	Financial	Possible	Medium	Moderate Risk			
	D (i) Air charter contractors may charge the Mission for costs that are in excess of what the contracts allow, resulting in financial losses to the Mission.	Monthly utilization of air assets is studied so as to rationalize the tasking of aircraft and ensure timely availability of air assets with minimal maintenance and technical problems Daily reconciliation between the air crew and Aviation Section on flights plan and actual and the preparation of monthly aviation reports. Audit recommendation has been made to clarify the definition and computation of non-available aircraft days.								

5	Focus Area:	Logistics Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	<p>E (i) Adverse weather conditions in the country could result in flight delays and cancellations, negatively affecting Mission activities that rely on air transportation.</p> <p>E (ii) The lack of proper standards for operating air assets or non-compliance with UN and ICAO rules, policies, procedures and standards could increase air safety risks.</p> <p>E (iii) The inadequate management of air charter contracts and Letters of Assist (LOAs) could reduce the Mission's capability to provide air support to carry out the Mission's mandate.</p> <p>E (iv) Restrictions imposed by the host government in issuing landing permits/clearances to the Mission's air fleet could affect the smooth and timely delivery of air transportation services to the Mission.</p>	<p>The Air Traffic Unit monitors air operations, including weather conditions and mechanical/technical issues affecting the Mission's air fleet.</p> <p>Air operations standards, policies, procedures and guidelines are in place, e.g., standards, rules and recommended practices stipulated in the Annexes to the Convention on International Civil Aviation, Troop Contributing Countries Military Regulations, United Nations Aviation Standards for Peacekeeping and Humanitarian Air Transport Operations and the United Nations Aviation Policies, Procedures and Practices.</p> <p>Measures are in place to manage contractor performance, e.g., daily, weekly, and monthly briefings, before and after flight debriefings.</p> <p>The Mission holds frequent dialogue/meeting with government agencies responsible for aviation.</p>	Operational	Possible	High	Higher Risk

Focus Area:		Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	<p>Passenger and cargo movement</p> <p>A (i) Movement restrictions imposed by the Government of Sudan and the lack of communication between Government ministries and offices involved in local aviation could result in the grounding of Mission's air assets, ultimately affecting operations that rely heavily on air transportation.</p>	The Mission documents and reports events and restrictions imposed by the Government of Sudan, for the attention/action of the Mission's Senior Management.	Strategy	Possible	High	Higher Risk

5	Focus Area: Interview/Review Summary (Description of risk)	Logistics Management OIOS Assessment	Risk Category	Possible High Likeli-hood	High Impact	Overall Risk
No	<p>C (i) The maintenance of X-ray machines used to check passenger cargo/baggage may not be regularly conducted, increasing air safety risks.</p> <p>C (ii) Movement of personnel and cargo by land, air and sea may not be in conformity with prescribed procedures and standards, especially the movement of dangerous goods, increasing air safety risks.</p> <p>C (iii) Unauthorized passengers and overloading of aircraft with cargo may not be detected before a flight takes off, increasing air safety risks.</p> <p>C (iv) UN staff and air crew may not be complying with aviation safety standards, increasing air safety risks.</p> <p>C (v) Military staff officers assigned to MovCon may not have the requisite knowledge of and experience with UN missions or operations. This situation could increase air safety risks.</p>	<p>Regular coordination between Engineering and CITS Sections is in place for the regular maintenance of equipment at passenger and cargo terminals.</p> <p>The Mission has implemented a database for passenger and cargo manifesting, which includes the electronic approval of movement of personnel forms and manifests.</p> <p>The Aviation Unit has requested/endorsed more training programmes, specifically on the handling of dangerous materials, port management, ground handling, safety, and insurance claims.</p> <p>The MovCon Section coordinates the movement of personnel and cargo with the Safety and Security Section.</p> <p>The Aviation Safety Unit reports directly to the DOA to ensure that attention is given to monitor and promote awareness and enforce compliance with aviation safety standards.</p> <p>MovCon SOPs, policies and procedures are in place.</p>	Compliance	Possible High	High Impact	Higher Risk

Focus Area:		Logistics Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) Cargo movements by land may be exposed to hijacking and/or land mine, leading to loss of goods and endangering the lives of personnel. E (ii) There could be delays and errors in passenger and cargo manifesting. This situation could delay flights or delivery of cargoes and also affect insurance claims in case of accidents. E (iii) Unpaved and damaged roads in the Mission's main supply routes may result in inefficiency and delays in the transportation of cargo to sectors and contingents.	Cargo movements by land are conducted after an assessment of security threats and military escorts are arranged, where deemed necessary. Manuals and SOPs for passenger and cargo movement are in place.	Operational	Possible	High	Higher Risk
	F (i) Excessive workload/support for air transportation services to non-UNMIS agencies/partners could negatively affect the Mission's operations.	The Mission's Engineering Section undertakes road construction and maintenance works in collaboration with the Engineering Companies of the various contingents. A recent OIOS audit noted that major road construction projects had not been prioritized.	Human Resources	Possible	Medium	Moderate Risk
IV	Travel E (i) The Mission's reliance on one travel agent leads to the monopolization of travel business by one company, which could result in higher costs.	Travel guidelines and manuals are in place to provide guidance to Travel Unit staff. In addition, the Mission provides training to Travel Unit staff to handle travel matters.	Operational	Possible	Medium	Moderate Risk

Risk Assessment of : UNMIS

No	Focus Area:	Information Technology Management	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	ICT management	A (i) The absence of Mission specific information security policy and the Disaster Recovery and Business Continuity Plan (DRBC) could compromise data integrity or negatively affect the ability of the Mission to restore information and communications technology (ICT) services after a disaster.	The Mission is in the process of training its staff to prepare Mission-specific DRBC plan and information security policy.	Strategy	Possible	High Higher Risk
	B (i) The absence of Information and Communications Technology Review Committee (ICTRC) to provide strategic direction, policies and governance of ICT developments in the Mission could negatively affect the governance and delivery of ICT services to the Mission.	The Mission is in the process of forming the ICTRC.	Governance	Possible	High Higher Risk	
	D (i) The lack of coordination between the Finance Section and CITS on telephone billings and recoveries made, especially from UN agencies to whom UNMIS provides services, could result in loss to the Organization.	There is a risk of bad debts relating to UN agencies' telephone charges.	Financial	Possible	Medium Moderate Risk	

6		Information Technology Management		Focus Area:		Interview/Review Summary (Description of risk)		OIOS Assessment		Risk Category		Possible	High	Higher Risk
No										Likeli-hood	Impact	Overall	Risk	
	E (i) The lack of proper storage/warehousing facilities for ICT assets could expose these assets to theft and environmental damage.									Operational	Possible	High	Higher Risk	
	E (ii) Pilferage of attractive ICT assets, especially computer notebooks, could result in loss of data and financial resources.									Mission's security is in place. OIOS is conducting an audit of security system at UN premises, property and personnel.				
	E (iii) Unauthorized access to ICT facilities can compromise data integrity and ICT hardware/equipment, resulting in disruption of work.									General controls relating to CITS facilities are in place.				
	E (iv) The lack of regular maintenance of key ICT equipment can result in frequent breakdowns of the equipment, causing disruption of services.									Asset managers and maintenance teams monitor the maintenance of key ICT equipment.				
	E (v) The receiving and inspection of highly technical ICT equipment may not be done with CITS experts, resulting in the receipt of items that do not meet the specifications.									The receiving and inspection of ICT equipment are done at the El Obeid logistics base without consulting CITS experts to ensure that items received are compliant with the technical requirements/specifications.				
	E (vi) Information security risks may not be given adequate attention since there is no Information Security Unit in CITS.									The creation of the Information Security Unit has been included in the 2008/2009 budget submission.				
	F (i) Insufficient and inexperienced staff in the Communication and Information Technology Section could result in the Section's inability to meet the ICT needs of the Mission.									This is an inherent risk to the Mission which is not able to attract qualified and experienced staff.	Human Resources	Possible	High	

Risk Assessment of : UNMIS

No	Focus Area: Interview/Review Summary (Description of risk)	Programme and Project Management		Risk Category	Likeli-hood	Impact	Overall Risk
		Possible	High				
7	Military contingents A (i) The effectiveness of military operations (i.e., monitoring and verification activities) could be limited by the restrictions imposed by the Government on the movement of UN troops in certain areas. A (ii) Military troops may not be properly trained or prepared to respond to contingencies, which could result in casualties or increased safety/security risks. A (iii) Direct physical attacks on Mission premises or personnel by former/other armed groups, by criminals or by terrorists could disrupt the Mission's operations. A (iv) Military communication standards, including map reading standards, symbols, grids, etc., and protocols between different TCCs may not be consistent. This situation could negatively affect military operations, which may also lead to increased security risks to military troops.	Current feasible solution is to seek approval and adherence to the 2005 Concept of Operations (CONOPS) and area of operations through the Ceasefire Joint Military Committee (CJMC) and Ceasefire Political Commission (CPC) mechanisms. The Mission's military component has a training schedule and protocols in place, including live-fire exercises, readiness checks and drills. Comprehensive security and safety measures: contingency planning, equipment, personnel, protocols and training. Military communication, including map reading/symbols, standards are not uniform.	Strategy	Possible	High	Higher Risk	

Focus Area:		Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	A (v) United Nations Military Observers (UNMO) may not have the requisite capabilities to perform their duties. This situation could negatively affect the achievement of the Mission's mandate relating to the monitoring of ceasefire and the implementation of the CPA.	The selection/recruitment of UNMOS has not been effective. As of 31 July 2008, out of 750 authorized UNMO strength, 208 were not filled (representing 28 per cent vacancy rate).		Possible	Medium	Moderate Risk
II	Protection of civilians A (i) The lack of clear strategies, coordination or information sharing among the agencies involved in the protection of civilians could lead to the ineffective and inefficient implementation of the protection of civilians programme. A (ii) The lack of a strategic direction relating to the protection of civilians programme because of the lack experts on the subject at UNHQ could result in the ineffective and/or inefficient programme implementation. A (iii) The government's resistance to change its policies or implement new policies on the protection of internally displaced persons (IDPs) could negatively affect the achievement of the Unit's mandate. A (iv) The lack of understanding of the Mission's mandate by UN agencies and other players involved in the protection of IDPs and the local population may result in the ineffective and inefficient implementation of the protection of civilians programme with other partners.	The Protection of Civilians Unit is planning to conduct strength, weaknesses, opportunities and threat (SWOT) analysis, and then create strategy sessions with partner agencies on the protection of civilians. There is no strategic direction from DPKO because the protection of civilians programme is the first of its kind created in peacekeeping missions. Meanwhile, the Protection of Civilians Unit has been compiling best practices lessons learned on the protection of civilians during its first two years of operations within Sudan. The Government of Sudan has not been receptive to new policies regarding the protection of internally displaced persons. Strategies and policies on the coordination of activities relating to the protection of civilians programme are in place, including the division of labor and roles between programme partners.	Strategy	Possible	Medium	Moderate Risk

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	
7	B (i) There may be a lack of leadership in the protection of civilians programme because important posts have not been filled. B (ii) There may be lack of satisfactory support and assistance from other sections and agencies for the protection of civilians programme. This situation could delay programme implementation. B (iii) There could be an overlap between the child protection functions being carried out by the UNMIS Protection of Civilians programme and other agencies like UNICEF and NGOs, resulting in waste of resources and duplication of efforts.	There were some staffing issues such as long delays in filling vacant post, unqualified candidates and low staff morale in the Unit. The Unit continues to work with the Human Resources Section on strategies to address staffing issues.	Governance	Possible	Medium	Moderate Risk	
	C (i) Violation of national laws by other entities involved in the child protection programme could negatively affect the reputation of the Organization.	UNMIS has a collaboration and communication mechanism in place between its partners, including relevant government agencies, in implementing the child protection programme.	Compliance	Possible	High	Higher Risk	
	E (i) The lack of access to proper resources, such as satellite phones, cars, etc., by the entities involved in the protection of civilians programme may hamper programme implementation.	The Mission Support Division factors into the budget process the operational needs of all units/sections involved in the protection of civilians programme.	Operational	Possible	Medium	Moderate Risk	

7		Focus Area: Programme and Project Management				Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk	
		Possible	High	Possible	Medium	Moderate	Risk	
III	<p>UN Police</p> <p>A (i) Lack of clear strategic direction from the Inspector General of Police in Juba and the State Police Commissioners on the South Sudan Police Service activities could impede the achievement of the UN mandate relating to policing activities in the country.</p> <p>A (ii) Uncontrolled civil disturbance/disorder in the form of tribal clashes and the increase in the number of murder cases reported may cause bad publicity to the Mission.</p>	The Mission has a mentoring and police co-location programme to ensure a unified approach to police reform matters.	Strategy	Possible	Medium	Moderate	Risk	
	<p>B (i) Restriction on UN Police movement in transitional areas (Abyei) could impede police operations.</p> <p>B (ii) The low salary structure of the GoSS police could affect their morale, hampering the Mission's mentoring programmes aimed at police reforms.</p> <p>B (iii) Developments in correctional and judiciary facilities and operations may not be at pace with police reform developments. This situation could slow down progress in the UN Police programme.</p>	The Mission holds periodic meetings with the Government, where it reiterates the importance of respect for agreements and compliance with internationally accepted standards and practices for law enforcement.	Governance	Possible	High	Higher Risk		

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	
7	D (i) Donor aids may not be forthcoming, impeding projects aimed at reform, restructuring, training, institutional and capacity building.	Donor aid has not been forthcoming, as expected. The success of the police reform initiative in Sudan is dependent on donor aid.	Financial	Possible	High	Higher Risk	

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	
IV	Rule of law, judicial system and prisons advisory	The Mission monitors the activities of the various commissions formed for legal and judicial reforms, in accordance with the CPA and Interim National Constitution.	Governance	Possible	Medium	Moderate Risk	
	B (i) The development of the rule of law in Southern Sudan may be impeded by the continued uncertainties about the type of laws relevant to South Sudan and delays in passing new laws.	A Prisons Development Committee, composed of the Director-General of the (Sudan) National Prisons Service, senior prison officers, UNMIS and UNDP, has been established. The Committee monitors the implementation of correction reform activities.					
	B (ii) The lack of support by the Government of Sudan for the Mission's efforts in the development of Sudan's prisons system in order for it to keep pace with police reforms could slow down progress in the UN Police programme.	The Mission provides summaries of relevant best practices, both substantive and procedural to the Judicial Service Commission.	Operational	Possible	Medium	Moderate Risk	
	E (i) The reform of laws and legal procedures may not be in conformity with international standards, which could lead to a decline in funding/ support by donor countries.						

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	High	Higher Risk		
V	Human rights	A (i) The lack of political will of and support by the Government of National Unity (Sudan) toward the Mission's human rights programmes could result in uncontrolled or unreported human rights violations. This situation could harm the reputation of the Organization and may result in the Mission not being able to implement its human rights mandate.	The Mission continues to coordinate with government institutions on issues relating to violation of human rights.	Strategy	Possible	High	Higher Risk	
	A (ii) The lack of strong human rights, civil society organizations in Sudan, particularly in South Sudan and the transitional areas, could lead to uncontrolled human rights violations.	The Mission works with other UN agencies to promote human rights awareness in the country.	The Mission coordinates with relevant government agencies to promote government participation in the Mission's human rights programmes.	Operational	Possible	Medium	Moderate Risk	
	A (iii) The lack of human resources in key governmental agencies in Southern Sudan and transitional areas for the Mission to liaise with could hamper the implementation of the Mission's human rights programmes.							
	E (i) The reporting of human rights violations could be impeded by restriction of staff movement in the sectors, in the interest of staff security.	Human rights officers are faced with an inherent security risk in the field while conducting investigations on human rights violations. The United Nations Department for Safety and Security (UNDSS) has implemented policies and procedures to mitigate this risk. However, these security measures are affecting the operations of the Human Rights Section.						

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	
7	VI Public information	PIO staff members are advised to comply with procedures relating to the public information function.	Operational	Possible	Medium	Moderate Risk	
	E (i) The Government's National Security force could detain or deport the Mission's Public Information Office staff because of the government's negative perception of a PIO coverage of sensitive issues in the country.	The Safety and Security Office communicates with staff members on political concerns, issues, and areas of conflict or tension.					
	E (ii) Video, radio, photo or written coverage of events could require travel to areas of conflict or tension. This situation could increase staff safety/security risks.	Regular monitoring, approval process for video, photo, written materials produced by the Chief, Public Information Officer mitigates this risk.					
	E (iii) The media may misinterpret the Mission's press releases or reports. This situation could negatively affect the UN's relationship with the Government of Sudan.	The Mission Support Division consults the PIO on its operational needs to ensure that they are considered in the Mission budget.					
	E (iv) Delays in the procurement of essential public information equipment, printing and other goods/services could hamper the PIO's work.						
	G (i) The lack of support by other Mission units/section in providing information may lead to the PIO's inability to cover significant events.	Senior managers are encouraged by the Head of Mission to provide key information on significant events in the field to promote the importance of public information.	Information Resources	Remote	Medium	Lower Risk	

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
VII	Quick impact projects B (i) There is a high risk of failure in the implementation of quick impact projects (QIPs) without the proper organizational structure to implement, manage and monitor QIPs.	An OIOS audit of QIPs in 2008 showed that the Mission did not have an effective oversight mechanism at Mission headquarters to ensure QIPs are implemented in a timely manner and have met the intended project objectives. Over the last three budget periods, the Mission only implemented 50 per cent of approved projects and had to cancel 63 projects and leave open 79 delayed projects. The lack of a unit dedicated to manage QIPs full-time and the capacity of implementing partners to implement projects have led to delays ranging from 8 to 21 months to complete projects. Successfully completed projects were not widely publicized to the local population to improve UNMIS image and its relationship with the local community.	Governance	Possible	High	Higher Risk

Focus Area:		Programme and Project Management			POIOS Assessment			Risk Category			Possible High Impact Likelihood Overall Risk			Higher Risk		
No	VIII	Interview/Review Summary (Description of risk)														
7	Civil Affairs	B (i) Local authorities may not be able to address local tensions and conflicts because of weak local government structures. This situation could hamper the implementation of the CPA.	UNMIS has developed a policy on conflict analysis and has defined UNMIS and other concerned entities' roles on conflict analysis and resolution. The Mission has also promulgated a UN-wide policy on how to address challenges arising from border delineation, resource-based conflicts, census and elections concerns.	Governance	Possible	High	Impact	Likeli-hood	Possible	High	Impact	Likeli-hood	Possible	High	Higher Risk	
		B (ii) The lack of support and initiatives by local political leaders on the work of the Civil Affairs Division could hamper the delivery of the Division's services.	The Mission and the UN country team have established joint state support teams to help newly installed local leaders (superintendents) strengthen coordination and set priorities for community recovery and development.													
		B (iii) The Mission's reputation could be damaged if the Mission's civil affairs officers are placed in government institutions and states found to have breached local laws and regulations.	The Mission's civil affairs staff are posted in/co-located with relevant government offices. A waiver signed between the Government and the Mission in respect of any loss of revenue or damage to Government property at state and government institutions where civil affairs officers are deployed.													
		B (iv) UNMIS may not be able to manage or meet the expectations of communities where the Mission is present. This situation could lead to frustrations by the local population on the Mission.	The Civil Affairs Division has establish a partnership with the Public Information Office to distribute information on UNMIS mandate to local populations and to help manage their expectations.													
		D (i) The lack of or inadequate financial and logistical resources provided to the Mission's Civil Affairs Division could hamper the delivery of the Division's services.	Participation of Mission's Civil Affairs Division in the Results Based Budgeting process.	Financial	Possible	Medium	Impact	Likeli-hood	Possible	Medium	Impact	Likeli-hood	Possible	Medium	Moderate Risk	

7		Focus Area:		Programme and Project Management			
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Possible	High	Higher Risk
		Likeli-hood	Impact		Overall	Risk	
E (i) The duplication of efforts between the Civil Affairs Division, Political Affairs Office and other entities (such as UN agencies and NGOs) to restore civil society could result in waste of resources.	The Civil Affairs Division and Political Affairs Office's functions and responsibilities as regards the restoration of civil society are defined.	Operational	Possible	High	Higher Risk		
F (i) The Mission may deploy civil affairs staff with insufficient training and the deployment may not cover all state capitals in Southern Sudan and important cities in the three areas of Abyei, Edamazin and Southern Kordofan. This situation could result in the unsatisfactory performance of civil affairs duties.	Training programmes on reporting, monitoring, conflict analysis, mediation, negotiation, civil service development, etc. are being planned for Civil Affairs Division staff.	Human Resources	Possible	Medium	Moderate Risk		
IX Humanitarian assistance	A (i) The lack of clear strategies concerning the functions of the Humanitarian Assistance Liaison Unit (HALU) could lead to the ineffective delivery of humanitarian assistance services. A (ii) The lack of support, intimidation and undue bureaucratic pressure by the government on humanitarian staff working in the field, could lead to the ineffective implementation of humanitarian assistance programmes.	Strategies and policies with clear delineation of functions and responsibilities within the sections and agencies dealing with humanitarian affairs have not been put in place. There is a lack of government support and cooperation in the Mission's humanitarian assistance programme.	Strategy	Possible	Medium	Moderate Risk	
B (i) The lack of required collaboration among humanitarian agencies could lead to inefficient HALU operations. B (ii) The lack of understanding, support and assistance by other Mission sections/units toward humanitarian assistance programmes may hamper programme implementation.	Strategies and policies with clear delineation of functions and responsibilities on humanitarian assistance among the agencies have not been put in place. The Mission Support Division holds periodic meetings with all sections involved in the delivery of humanitarian assistance programmes.	Governance	Possible	Medium	Moderate Risk		

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
7	F(i) The high turn-over of senior staff in the HALU may hamper the achievement of the Unit's objectives.	This is a risk generally faced by most of the sections and substantive units in the Mission.	Human Resources	Possible	Medium	Moderate Risk

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			
X	Disarmament, demobilization and reintegration	A (i) The lack of a formal national DDR strategy will hamper the implementation of the Mission's DDR programme.	A draft national DDR strategy, although developed jointly by both the North and South DDR Commissions with the support of the UNDDR Unit, is not yet finalized. The UN and international community also have concerns with the draft national strategy with regard to the number of ex-combatants, eligibility and weapons verification criteria and procedures. The UNDDR Steering Committee is interacting with the National Council for DDR programmes to initiate the formation of national level forum with the participation of national partners, the UN and international donors to formulate a national strategy to implement DDR programmes.	Strategy	Possible	High	Higher Risk		
		A (ii) Since the Mission was not given a lead DDR role, the Mission may not be able to bring critical DDR issues to the highest government levels. This situation could render ineffective the Mission's DDR programme.	Although the UN is involved in the planning of DDR programmes at the DDR Commission level, it could not interact at the level of the president, which chairs the National Council on DDR. UNMIS has not been given the task to lead the DDR programme.	The national level forum for DDR, which includes national and international partners, reminds the Government to undertake DDR in all sincerity as enshrined in the CPA.	UNMIS extends support to the governments' DDR programmes by the establishment of offices for co-location with the implementing partners to ensure proper programme implementation.	Governance	Possible	High	Higher Risk
		A (iii) Wrong programme planning may be because of the inadequate coordination between Sudan's armed forces and DDR bodies, especially in deciding the numbers of ex-combatants for the programme.	B (i) There is a possibility that national DDR institutions will blame the UN for not extending more support if the DDR programme fails. This situation could damage the reputation of the Mission.						

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
7	E (i) Disagreements between the North and South DDR Commissions on the operational arrangements in the transitional areas may delay the implementation of the DDR programme.	UNMIS has been supporting and encouraging the initiatives of the Government of National Unity and the Government of Southern Sudan in developing the policies on community security and small arms control.	The DDR Commissions plan programme operations in consultation with concerned partners to avoid duplication of efforts and ensure wide coverage.	Operational	Possible	High	Higher Risk
	E (ii) The large geographical area of Sudan and dispersed areas where ex-combatants return to could pose an operational risk to the Mission.	UNMIS and UNDP provide local NGOs and implementing partners with workshops on DDR.					
XI	Recovery, return and reintegration (RRR)	A (i) The RRR programme may fail due to the unsatisfactory support and assistance from relevant state authorities on return and reintegration activities.	The UN Country Team holds periodic meetings with GoNU and GoSS to discuss RRR issues.	Strategy	Possible	Medium	Moderate Risk
	A (ii) There could be possible delays in the delivery of assistance and basic services relating to RRR by UN agencies and NGOs owing to operational, natural and other constraints.	The Mission, in collaboration with other UN agencies, is engaged in capacity-building and close co-operation with government partners in HAC and SSRRRC.					
	D (i) The RRR programme may fail due to the insufficient or lack of donor funding to implement the RRR plan.	The Humanitarian Affairs Commission (HAC) and the Southern Sudan Relief and Rehabilitation Commission (SSRRRC) liaise with the Government and the donors for adequate funding.	Financial	Possible	Medium	Moderate Risk	

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
XII	HIV/AIDS D (i) The Mission may not have funds available for HIV/AIDS outreach programmes, resulting in its inability to support GoNU's HIV/AIDS initiatives.	The HIV/AIDS Unit has established two decentralized offices for the delivery of regular HIV/AIDS awareness programme and Training of Peer Educators (TOPE) in HIV facilitation activities at Sector levels.	Financial	Remote	Low	Lower Risk
	E (i) The lack of: (a) office space for Voluntary Confidential Counseling and Testing (VCCT) services; (b) mini HIV/AIDS libraries in the sectors; and (c) easy access to HIV/AIDS literature could affect the Unit's ability substantive units. E (ii) The Mission may not have sufficient community-based initiatives to provide HIV/AIDS education to communities where UNMIS operates.	The Mission is in the process of allocating of office spaces in the new office complex to provide adequate office space to all sections and substantive units. The HIV/AIDS Regional Committees (HARCs) have been formed to collaborate and support local populations in HIV/AIDS-related programmes.	Operational	Possible	Low	Lower Risk

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
	F (i) The HIV/AIDS Unit may not have the sufficient capacity to carry out the Unit's activities. This situation could limit the effectiveness of the Mission's HIV/AIDS programme.	The HIV/AIDS Unit only have offices in Juba and Kadugli sectors. The current HIV/AIDS Unit staff are being overstretched.	Human Resources	Possible	Low	Lower Risk
XII	Gender advisory	A (i) The Mission may not be able to implement provisions in the Comprehensive Peace Agreement (CPA) on gender issues due to cultural and traditional practices and social-cultural barriers that limit the participation of women in public life and leadership positions in Sudan. A (ii) The limited understanding of gender issues by the majority of the local population could result in impunity to gender-based crimes in Sudan.	The Mission continues to create awareness through meetings with the Government using the CPA and UNSCR 1325 as advocacy tools.	Strategy	Remote Possible	Medium Moderate Risk

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
	B (i) The lack of understanding by staff members of gender mainstreaming could result in limited support and commitment to gender issues.	(a) The Gender Unit provides gender mainstreaming training to all UNMIS staff. (b) Focal points for gender issues have been appointed in all Mission components both at the Mission HQ and in the sectors.	Governance	Remote	Medium	Lower Risk
7	E (i) The limited number of gender officers in the sectors compared and the few gender experts present in government, NGOs and UN agencies could hamper the efficient and effective implementation of gender mainstreaming programmes in Sudan.	The Mission uses the mass media (radio, print and TV) to promote gender mainstreaming awareness in the sectors. Dialogue and discussion forums are conducted to promote awareness of gender issues among NGOs and UN agencies.	Operational	Possible	Low	Lower Risk

Risk Assessment of : UNMIS

Focus Area:		Conference and Documents Management	Remote	Low	Lower Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
8	Archiving of documents	The Records Management and Archiving Unit has been established to provide guidance and monitor the archiving of Mission's records and documents.	Compliance	Remote	Low	Lower Risk
	C (i) The lack of needed tools and storage space could lead to important documents not being archived in accordance with UN policies.	E (i) Information may be leaked if confidential documents and other official UN documents are not disposed of properly.	Operational	Possible	Low	Lower Risk

Risk Assessment of: UNMIS

No	Focus Area:	Property and Facilities Management	Risk Category	Likeli-hood	Impact	Overall Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment		Possible	High	Higher Risk
I	Management of office property and facilities	The MOU with the Government of Sudan in respect of airfield maintenance has not been put in place.	Strategy	Possible	High	Higher Risk
	A (i) The Mission may not be able to effectively maintain airfields due to the delay in finalizing the MOU with the Government of Sudan.			Possible	High	Higher Risk
	B (i) Due to the delay in the acquisition of building materials, the Mission could not expedite the renovation of buildings occupied by the Mission in Khartoum and the Sectors.	The Mission is reviewing the acquisition planning and procurement process.	Governance	Possible	Medium	Moderate Risk
	D (i) Delays in the construction of permanent camp/hardwall accommodation for contingents could result in payment of Troop Contributing Countries (TCCs) for tentage allowances.	The construction of permanent camp/hardwall accommodation was affected by the problems faced with the supply of cement and labour unrest in the sectors.	Financial	Possible	High	Higher Risk
	E (i) There could be further delays in the construction of UNMIS HQ due to delays in the acquisition of materials, labour unrest and poor performance of the turn key contractor.	The Mission has resolved the labour unrest and put in place mechanisms to oversee the construction of UNMIS HQ project with input from the Contracts Management Unit.	Operational	Possible	High	Higher Risk
	F (i) The Engineering Section may not be able to periodically maintain all Mission properties and facilities due to the shortage of human resources.	The Mission is exploring the feasibility of outsourcing some of the maintenance services.	Human Resources	Possible	High	Higher Risk
II	Management of expendables and non-expendables			Possible	High	Higher Risk
	C (i) Delays in updating the Galileo inventory system could result in inaccurate stock balance figures reported to senior management, which are used for decision making.	A 2007 IOS audit of expendable stores showed delays in updating Galileo records. In 2008, the Property Management Section updated the records.	Compliance	Possible	Medium	Moderate Risk

Focus Area:		Property and Facilities Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) The lack of proper asset accountability could result in losses to the Organization.	In September 2007, the Mission established the Property Management Section to monitor and report on all its assets (expendables and non-expendables).	Operational	Possible	High	Higher Risk
	E (ii) Delays in the construction of warehouses and the lack of sub-warehouses to store supplies in Khartoum and sector headquarters could result in the deterioration or loss of properties.	Warehousing facilities are being put in place at the Mission's logistics base in El Obeid.				
III	Environment management and waste disposal	The Mission has established an Environmental Protection Unit and appointed one Environmental Officer under the supervision of the Chief, Engineering Section. In addition, the Force Medical Unit has also appointed a focal point on environmental issues concerning military contingents.	Operational	Possible	High	Higher Risk
	E (i) The Mission may damage the environment in areas where it operates due to the lack of an environmental protection programme and sewage disposal systems in the Mission, including sewerage treatment plants.	Contractors have been engaged to dispose all waste generated by the Mission. However, there is no monitoring mechanism to ensure the disposal has been done in accordance with Sudan's environmental laws.				
IV	Contingent-owned equipment (COE) verification			Possible	High	Higher Risk

9		Focus Area: Property and Facilities Management				Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk		
	D (i) The UN may be reimbursing TCCs for unserviceable equipment, resulting in losses to the Organization.	The COE Unit conducts periodic inspections of all COE and provide verification reports to UNHQ for reimbursement purposes.	Financial	Possible	High	Higher Risk		
	D (ii) Undue delays in conducting COE inspections, could result in delayed reimbursements to TCCs.	All reimbursements are made by UNHQ based on verification reports submitted by the Mission.						
	D (iii) There may be duplication of payments and/or resources when the UN provides support to contingents that are self-sustained and receive reimbursement. This situation could result in losses to the Organization.	The COE Unit conducts periodic inspections of all COE and provide verification reports to UNHQ for reimbursement purposes.						
	E(i) The contingents ability to operate may be reduced due to shortfalls in COE brought into the Mission area, as agreed. This situation could hamper military operations.	The COE Unit conducts operational readiness verification.	Operational	Possible	High	Higher Risk		

Risk Assessment of: UNMIS

Focus Area:		Safety and Security	Possible	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
10	Security of UN staff and installations C (i) UN personnel may go to locations which are not security-cleared or which have movement restrictions, exposing them to security or safety risks.	Security clearance procedures are in place to monitor the movements of staff members and regulate their movements, in line with the prevailing situation.	Compliance	Possible	High	Higher Risk
	C (ii) UN staff may not be complying with Department of Safety and Security (DSS) prescribed security standards, putting UN personnel at risk.	The Safety and Security Section has devised country-specific minimum operating security standards (MOSS) and minimum operating residential security standards (MORSS) for compliance by all Mission personnel.	Operational	Possible	High	Higher Risk
	E (i) The Security Management Team, headed by the Designated Official (DO) for UN security in the country, may make wrong decisions on the security situation, putting UN personnel at risk. E (ii) There could be an increase in the number of theft cases involving UN property. E (iii) The evacuation of UN staff may not be effectively and efficiently executed, causing injuries or increasing safety/security risks during emergencies. E (iv) Fire risks in all UNMIS premises may not be properly assessed. This situation could put UN personnel at risk.	The Security Operations Centre (SOC) functions 24/7, monitors the security situation and advises the Senior Management and staff about the security situation in the country. Security personnel operate in all UNMIS premises on a 24-hour/7-day basis. The Mission has put in place the warden system all staff members. However, the staff evacuation plan has not been tested. The Mission has conducted fire drills from time to time. Fire wardens for the building have been appointed and briefed on their responsibilities. Building evacuation plan and procedures are in place.	Operational	Possible	High	Higher Risk

10		Focus Area:		Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk	Moderate Risk
II	Safety E (i) The Mission may not give adequate attention/priority to occupational safety and health issues, increasing staff safety risks.	The Mission has appointed a focal person to address the issues related to occupational safety and the Medical Section has implemented programmes promoting healthy living in the Mission area.	Operational	Possible	Medium		Moderate 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 Management	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 is 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.

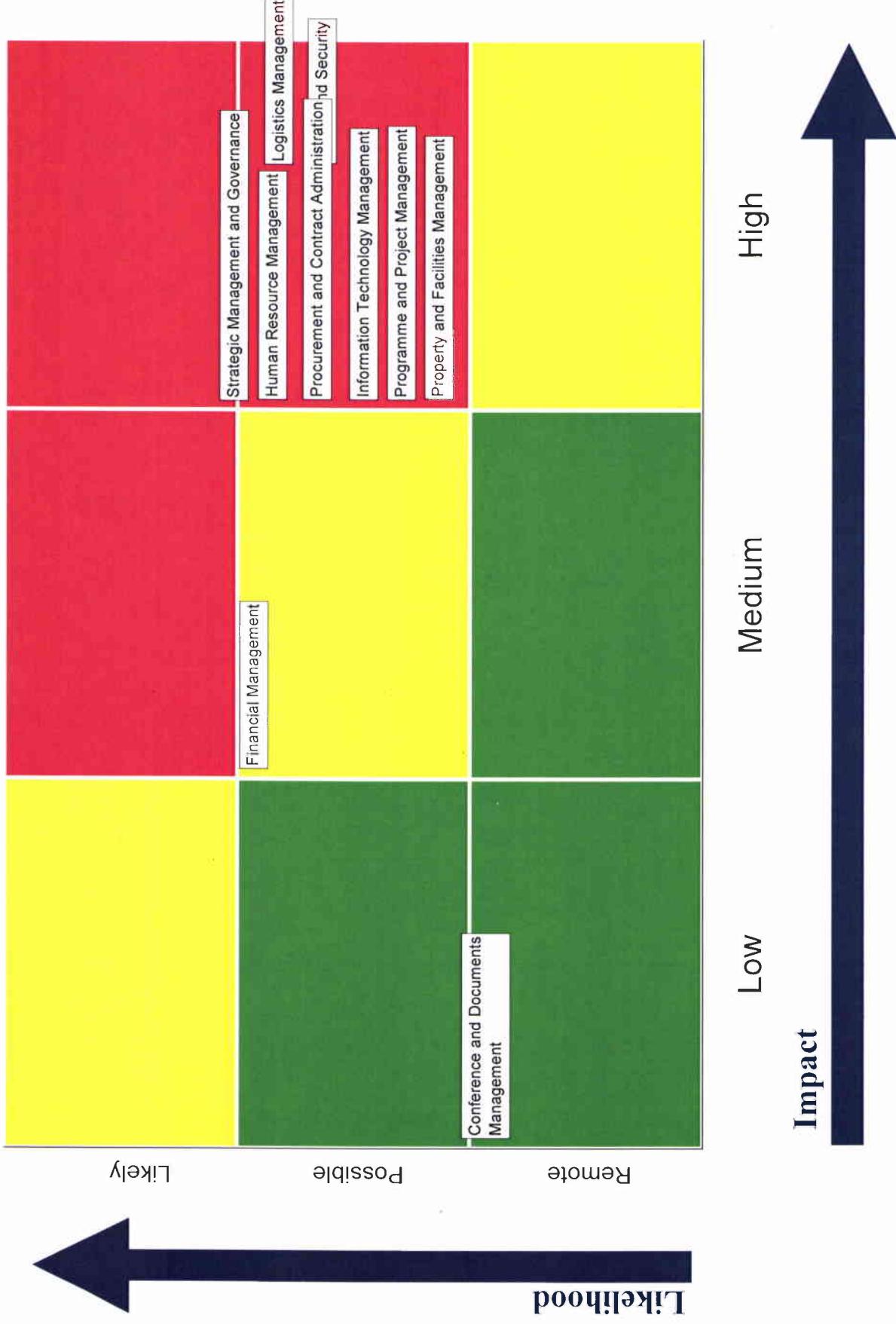
Risk Assessment Ratings

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 is show below:

Risk Likelihood		Overall Risk Combinations Impact and Likelihood		
Risk Impact				
Likely	Conditions within our environment indicate that an event is expected to occur in most circumstances	Higher Risk	The identified issue represents the following likelihood and impact combinations: <ul style="list-style-type: none">• Likely and high• Likely and medium• Possible and high	The identified issue represents the following likelihood and impact combinations <ul style="list-style-type: none">• Likely and low• Possible and medium• Remote and high
Possible	Conditions within our environment indicate that an event will probably occur in many circumstances	Moderate Risk	The identified issue represents the following likelihood and impact combinations <ul style="list-style-type: none">• Possible and low• Remote and low• Remote and medium	The identified issue represents the following likelihood and impact combinations <ul style="list-style-type: none">• Possible and low• Remote and low• Remote and medium
Remote	Conditions within our environment indicate that an event may occur at some time	Lower Risk		

UNMIS RISK SUMMARY PROFILE (Focus Area)



UNMIS RISK SUMMARY PROFILE (Sub Focus Area)

