



INTERNAL AUDIT DIVISION
OFFICE OF INTERNAL OVERSIGHT SERVICES

RISK ASSESSMENT

**United Nations Mission in Ethiopia and
Eritrea (UNMEE)**

**12 February 2008
Assignment No. AP2007/624/06**

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. Azouz Ennifar

DATE: 12 February 2008

A: Acting Special Representative of the Secretary-General
UNMEE

REFERENCE: AUD-7-5:21 (08-00982)

FROM: Dagfinn Knutsen, Director

DE: Internal Audit Division, OIOS



SUBJECT: Assignment No. AP2007/624/06 - UNMEE Risk Assessment

OBJET:

1. I am pleased to present OIOS' risk assessment of UNMEE which was carried out by the OIOS Resident Audit Office from August to September 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 UNMEE to use the results of this risk assessment to put in place appropriate risk mitigation measures. OIOS will update the risk assessment periodically, based on subsequent audits or additional information obtained.
3. I take this opportunity to thank the management and staff involved in the risk assessment for the assistance and cooperation provided to the project team in connection with this assignment.

cc: Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS
Mr. Lebohang Moleki, DSRSG for Asmara
Mr. Maurice Critchley, CAO, UNMEE

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 UNMEE, to gain an understanding of existing organizational relationships, risks, controls and process issues.

Focus Area	Name and Functional Title
Strategic Management and Governance	<ul style="list-style-type: none">• Mr. Kargabo Franklin, Senior Legal Advisor• Mr Fexton Matupa, Political Affairs Officer• Mr. Peter Mutua, Political Affairs Officer• Mr. Maurice Critcheley, Chief Administrative Officer (CAO)
Financial Management	<ul style="list-style-type: none">• Mr. Mervyn Maharaj, Chief Finance Office(CFO)• Mr. Ofasi Harris, Chief Budget Officer
Human Resources Management	<ul style="list-style-type: none">• Mr. Anwar Al Masri, Human Resource Officer/ OIC, CCPO• Dr. Muyoti Philip , Chief of HIV/AIDS – Section• Dr. Onabanjo George, Chief Medical Officer• Mr. Alexander Senaratne, Chief Integrated Training Unit• Mr. Sailullah Malik, Conduct and Discipline Officer
Procurement and Contract Administration	<ul style="list-style-type: none">• Mr Borut Zeber, Chief Procurement Officer• Mr. Al- Said Nazih, Chief of Aviation Section (AIROPS)
Logistics Management	<ul style="list-style-type: none">• Mr. Renato Fratta Risso, Chief Technical Compliance Unit (RR) (AIROPS)
Property and Facility Management	<ul style="list-style-type: none">• Ms El Maalouly Angela, Travel & Traffic Unit , Assistant• Mr. Kyaw Soe, , OIC Fuel Cell• Mr. Moses Ndiangui , Chief of Supply Section• Mr. Vinton Ecleston, Chief Transport Officer• Ms Mary Clair Murphy, Acting Chief, Movement Control• Mr. Victor Emmanuel Sebera, Supervisor Air passenger Cell• Mr. Aamir Bham, Joint Logistics Operation Cell (JLOC)• Mr. Kanyike Christopher, OIC General Service• Colonel Togni Huber, OIC of Integrated Support Services• Mr. Coker Christian J.E. OIC, Property Control & Inventory Unit (PCIU)• Mr. Marinus Hermens (OIC), Contract Management & COE Verification Section,

Focus Area	Name and Functional Title
	<p>OIC/COE/MOU</p> <ul style="list-style-type: none"> • Mr. Symphorien Musavyi, OIC R & I • Mr. Liceralde Francis OIC , Building & Management Unit (Engineering) • Mr Palihawadana Gamin, SAO Addis Ababa • Ms Verenanda Mukandoli, Chief Administrative Service • Ms Miho Hirose , Administrative Officer, Office of CAO & Sector Administrative Coordinator • Mr. Oni Olapido, Sector Administrative Office, Sector West • Mr. Severino Fortes, Sector Administrative Office, Sector Central • Mr. SherwinTimothly , Sector Administrative Office, East
Information Technology Management	<ul style="list-style-type: none"> • Mr. Armando Velasco, OIC Information Technology Unit (CITU) • Mr. Ooko Lawi, Chief Communication Officer (CCO)
Programme and Project Management	<ul style="list-style-type: none"> • Mr. Namakando Bruce, Special Assistant to D/SRSG (for QIPs) • Ms Lani Gamboa, Ag. UNV Programme Manager • Mr. Diakite Mamadi, Chief Human Rights Officer • Mr. Monyluak Kuol, Human Rights Officer • Mr Stephen Bobinson, MACC- Programme Manager • Ms. Miriam Ooi, MACC- Chief of Administration, Finance & Logistics • Ms. Daniela Silva, MACC-Liaison Officer • Mr. Christopher Whakatope, MACC- Operations and Planning Officer • Mej. Gen. Mohammad Taisir, Force Commander
Conference and Document Management	<ul style="list-style-type: none"> • Mr Steele Ian, Chief Public Information Officer
Safety and Security	<ul style="list-style-type: none"> • Mr. Sumil Bajpai, Acting DSCO • Mr. Robert Kioko, Security Officer • Mr. Nair Ravindran, Security Office

SUMMARY OF RISK RATINGS

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

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

Risk Assessment of : UNMEE

No	Focus Area: Interview/Review Summary (Description of risk)	Strategic Management and Governance		Risk Category	Likeli-hood	Impact	Overall Risk
		Likely	High				
1	Mandate Implementation A (i) The achievement of UNMEE's mandates may be adversely affected by the lack of cooperation of the Eritrean Government. A (ii) The continuing serious violations of the TSZ could result in the weakening of the credibility of the Mission in protecting the integrity of the TSZ and could put an end to the Military Coordination Commission (MCC) meetings. A (iii) The Eritrea-Ethiopia Boundary Commission's deadline to demarcate the border by 20 November 2007 may not be met yet again which could lead to uncertainty as to the future of the Mission (e.g., significant change in the mandate, Mission existence, etc.). The Mission may not be prepared to respond effectively and efficiently to such contingency.	The Eritrean Government has not recognized the authority of the ASRSG as the head of the Mission, banned UN helicopter flights in the Temporary Security Zone (TSZ) and adjacent areas, expelled UNMEE staff who are citizens of North American and European countries, and imposed restrictions on staff movements and fuel supply within the country. To mitigate movement restrictions, the Mission maintains operations in three sectors, where international staff, UNVs and national staff are posted to provide administrative and logistics support to various field units. However, the lack of sufficient human resources works against this strategy. An Integrated Support Services contingency plan for sectors has been prepared and already applied (sectors have 20 days reserve from dry food rations, water and fuel) in addition to keeping adequate amount of vehicle spare parts in the sectors as well as helipads have been prepared at the Ethiopian side to strengthen the force.	Likely	High	High	Higher Risk	

		Focus Area: Strategic Management and Governance		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	<p>A (iv) The Mission may not be able to efficiently and effectively assist the countries in demarcating the border and transferring territories when the Eritrean and Ethiopian governments finally agree to enforce the EEBC boundary decision.</p> <p>A (v) The political tension between Ethiopia and Eritrea may expose UNMEE senior officials, who might offer a public view, as being hostile or opposed to the interests of either party.</p>	<p>[continuation of the above] The ASRSG regularly reports to and updates the Security Council through the Secretary-General on the developments on the ground and how they affect the Mission operations.</p> <p>The Security Council's downsized the military component to less than half its original strength. The military has a good level of coordination with Human Rights and Military Liaison Officers, and UNMOS have also developed military contingency plans, which is ready pending endorsement by the Mission Management.</p> <p>All communication with the Eritrean Government has to go through the Commissioner's office. The DSRSG in cooperation with UNMEE components has developed a mechanism for communication with the Commissioner office.</p>				

Focus Area:		Strategic Management and Governance			Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
I	G(i) The Mission's ability to communicate freely to the host population in Eritrea and Ethiopia could be undermined by restrictions imposed on the Mission's operations.	The CPIO attends the daily senior management meeting; notes developments reported by other units in the Mission area and identify risks. Also, the PIO conducts media reporting that covers issues of concern to the Mission and enhances public understanding without damaging the Mission's reputation. Senior UNMEE officials no longer offer public comment or interviews to reporters or honour requests by reporters wishing to visit the mission area including UNMEE observer posts. Reporting on human rights issues which are very high on the UN agenda has had to be very selective and weekly press briefings have been abandoned.	Information Resources	Possible	Medium	Moderate Risk	
II	Organizational Structure and Functions B(i) The downsizing of Mission personnel without a corresponding adjustment to organizational structure, reporting channels and delegated authorities could lead to the misunderstanding of responsibilities and the blurring of accountabilities and reporting channels, which could adversely affect Mission operations. B(ii) The weak enforcement by the Mission Management of the channels of command could negatively affect the personnel system's built in controls.	After several personnel downsizing in the Mission, the organizational structure, reporting channels and delegated authority were not adjusted to reflect the new Mission structure/size. Several sections have taken the initiative to develop and propose organizational structures for their entities. Some subordinates and some section chiefs bypass their First Reporting Officer and in some cases even their Second Reporting Officer. This situation has been reported by several sections.	Governance	Likely	Medium	Higher Risk	

Focus Area:		Strategic Management and Governance			Risk Category			Likely			High		Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment			Likeli-hood	Impact	Overall Risk							
1	F(i) The downsizing of personnel for fiscal year 2007/08 was not monitored by the Comparative Review Panel, which may affect the operations of several Mission activities and programmes especially in the field where the size of human resources may not match the size and complexity of operations.	The 2007/08 personnel downsizing lacked transparency. The Political Affairs Office (PAO) is one of the entities that, at present, has no offices in the field due to the lack of resources, which could affect the filing of field reports and the preparation of daily summary of all PAO issues raised to the ASRSG.	Human Resources	Likely	Medium	Higher Risk								
	E(i) Management oversight of Mission operations may be limited to/focused on the Asmara Headquarters to the detriment of other sectors.	No controls observed.	Operational	Possible	Medium	Moderate Risk								
	G(i) The limited number of town hall meetings held with the Addis Ababa Headquarters, along with the lack of regular meetings between SAOs, CAO, CISS and CAS, may affect the implementation and follow up of discussions and decisions taken in meetings.	No controls observed.	Information Resources	Possible	Medium	Moderate Risk								
	G(ii) The chief of sections meetings' agenda and minutes are never circulated to the various sections, further limiting communication within the Mission.													
	G(iii) Communication in a Mission operating in two countries is a challenge, which is made worse by the poor relationship between the two governments.													

Focus Area:		Strategic Management and Governance			Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
III	Control Activities B(i) UNMEE may lack the needed control framework such as standard operating procedures and guidelines which may affect the identification, monitoring and addressing of key administrative functions such as budget, travel & traffic and engineering.	Many operations and activities in UNMEE are based on section heads personal interpretation of the UN rules and regulations and experience in accomplishing assigned responsibilities	Governance	Possible	High	Higher Risk	
	B(ii) UNMEE's work, support and administration plans for 2007 are outdated and do not reflect the current Mission's concept of operations which may create lack of direction and vagueness in vision, negatively influencing the decision-making process. B(iii) The absence of a clear interpretation of the Memoranda of Understanding with contingents on procedures/responsibilities and limits of support to be provided by the Mission may delay operations and decision-making such as in Engineering and Contingent Owned Equipment (COE).	Some sections have taken personal initiative to develop a support plan relevant to their operations; however, the document is still in draft pending CAO's approval. Job descriptions were developed through the documentation of ongoing processes, reviewed and improved until a consensus was arrived at. The MOUs are signed at Headquarters and copies sent to the COE Unit in UNMEE.					

Risk Assessment of : UNMEE

No	Interview/Review Summary (Description of risk)	Focus Area:	Financial Management	OIQS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	Possible	Medium	Moderate Risk
1	Budget and Cost Control B(i) The lack of UNMEE senior management's involvement in key stages of the budget preparation could lead to the wrong prioritization of resources. B(ii) An inappropriate Budget Section structure may mean not enough attention given to streamlining the budgetary process.	The Mission's focal point for Results Based Budgeting (RBB) is the Chief of Staff of SRSG, representing senior management in the RBB process. Organisational structure exists with clear delineation of functions and responsibilities.	Governance	Possible	Possible	Medium	Moderate Risk				
		Some of the Mission programmes such as the Human Rights Office (HRO), Political Affairs Office (PAO) and Security Section have limited their activities in the field to those that are really needed and ad hoc requests raised by Headquarters and ASRSG.									
	D(i) The reduction of the Mission's budget while maintaining the same mandate and area of deployment may lead to the overstretching of financial and human resources.	The Budget Section prepares and analyzes monthly financial/budget performance reports. These reports are provided to all section chiefs and senior management for monitoring and decision-making.	Financial	Possible	Possible	Medium	Moderate Risk				
	F(i) Cost centre budget clerks may lack the necessary skills and experience to effectively carry out budget functions.	Budget Section staff are provided with continuous guidance on budget preparation and their performance is monitored through EPAS.	Human Resources	Possible	Possible	Medium	Moderate Risk				
	E(i). Inappropriate procedures could result in inaccurate budgets being sent to UNHQ and delays in approving the budget of the Mission. E(ii) The lack of standard operating procedures on budget may lead to inconsistency in decision making and create an opportunity for error.	The Financial Rules and Regulations of the United Nations provides policy guideline for the preparation of the budget. The Financial Rules and Regulations of the United Nations provides policy guideline for the preparation of the budget.	Operational	Possible	Possible	Medium	Moderate Risk				

Focus Area:		Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
ii	Accounting and Financial Reporting	D (i) The unreliability of Troop Contributing Countries' (TCCs) reports on Contingent Owned Equipment (COE) could lead to the Mission reimbursing TCCs for missing, damaged or unserviceable COE.	The COE Verification Unit maintains up-to-date records of major COE and minor self-sustainment equipment in the COE Database, and issues monthly performance reports and quarterly verification reports. Every six months, the COE Verification Unit conducts a full inspection/verification of all COE (major and minor).	Financial	Possible	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
III	Financial Activities C(i) Potential non-compliance with UN financial rules and regulations in respect of several financial activities such as the settlement of invoices and authorization of petty cash transactions may expose the mission to financial loss.	Controls over the processing of financial transactions are in place, e.g., segregation of duties, clearly spelled out roles of certifying and authorizing officers, review of validity and completeness of documents before processing payments, etc.	Compliance	Possible	High	Higher Risk
		The Finance Section performs the following control activities: (a) Reviews accounts and investigates any deviations from the norm; (b) Prepares monthly bank reconciliations and reviews of all outstanding items cleared the following month; (c) Conducts periodic and surprise cash counts and reconciliations.				
	C(ii). Other sections may pressure the Finance Section to make urgent payments and increase the use of direct purchasing authorities, including last minute payments to staff checking out of the Mission. This situation could result in the incorrect amounts being paid and/or the creation of receivables that may never be recovered.	This situation happens in a number of missions.				
	B(i) The inadequate coordination between the requisitioning and the Procurement sections in ensuring that requisite timelines set out in the procurement plan are met may lead to delays in the cancellation of obligations, thereby denying other sections the use of available funds through the redeployment of funds.	The Budget Section prepares and analyzes monthly financial/budget performance reports. These reports are provided to all section chiefs and senior management for monitoring and decision-making. Also, there is a monthly review of unliquidated obligations and status of allotment reports to enable early decisions to redeploy unused funds.	Governance	Possible	Medium	Moderate Risk

Risk Assessment of : UNMEE

No	Focus Area: Interview/Review Summary (Description of risk)	Human Resource Management OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
3			Likely	Medium	Higher Risk	
1	Recruitment process F(i) The uncertainty over UNMEE's future and the Eritrean Government's decision not to allow staff members from Europe and North America in the country, could limit the Mission's ability to fill vacancies, which could adversely affect Mission operations, the gender balance and geographical distribution of staff. F(ii) The recruitment process for international staff may not always be effective and efficient which could lead to duplication of efforts and delayed recruitment of staff members thereby slowing down the ability of the Mission to meet its objectives. F(iii) The Eritrean Government's restrictions on the recruitment of national staff (or replace national staff detained by the Government) could adversely affect the missions ability to recruit national staff thereby slowing down the ability of the mission to meet its demands.	Approximately 22 per cent of authorized posts, including critical posts such as the chiefs of the following sections/units: Integrated Support Services, MovCon, CITS. The Personnel Section: (a) monitors recruitment status on a weekly basis; (b) follows up with the Field Personnel Division; and (c) informs the Administration on the current status of recruitment activities. The Personnel Section also holds ad hoc meetings with the Administration as/when needed. Examples of restrictions imposed by the government of Eritrea on the recruitment of national staff include: limitations on advertising vacancies in local newspapers, requirement to clear daily paid workers with the Eritrean Defence Force and Labor Office, and arbitrary detention of local staff imposed by the Government of Eritrea. The Personnel Section relies on internal vacancy announcements at the Eritrean part of the Mission to mitigate the inability of announcing jobs in the newspaper	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	
II	Training E (i) The lack of educational infrastructure such as training centers in Eritrea, along with restrictions on movement imposed by the Eritrean Government on national staff to attend training courses outside the country, may affect the Training Cells planning and resource management and limit local staffs training opportunities.	Some of the Mission's contractors provide specialized technical training to mission staff. The UN ECA in Eritrea delivers medical training frequently across missions/agencies. Addis Ababa has one of the potential training centers. Training in UNMEE is limited to subjects for which materials and trainers are available such as language classes, information technology, warehouse management, dangerous goods handling, logistics, management and skill training.	Human Resources	Possible	Medium	Moderate Risk		
III	Performance monitoring B (i) The lack of job descriptions for middle management may lead to confusion on the responsibilities relating to the job and difficulty in assessing performance and accountability. B (ii) The Mission has not created the required local Management Review Committee and Joint Monitoring Committee to monitor the implementation of the performance appraisal system.	Concerned staff have drafted several proposals on relevant organizational structure, delineation of functions e and responsibilities, but the approval of these proposals are still pending Mission Management approval.	Governanc e	Possible	Medium	Moderate Risk		
	F(i) The staff performance evaluation process may not be effective because some supervisors do not have access to their subordinates' ePAS.	Several sections are headed by staff (United Nations Volunteers) who do not have access to their subordinates' ePAS due to their employment status.	Human Resources	Possible	Medium	Moderate 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
		Possible	Possible	Possible	Medium	Moderate Risk	
IV	Medical services E(i) The lack of infrastructure and proper medical facilities (cardiology centre) in Eritrea may expose the Mission personnel to risks of delay in medical evacuation and potentially cause deaths in extreme situations. E(ii) The lack of resources, such as an aircraft for aero-medical evacuation, may affect the efficiency of transferring patients within acceptable time frames to Nairobi, Djibouti or Egypt, which could potentially cause deaths.	UNMEE has contracts with several health care facilities in the region and established level II medical centers in the sectors. The Mission opened surgical stabilization facilities in Sector West (Barentu) and Sector East (Adigrat), with another being planned for Assab. UNMEE Medical Section has taken several measures such as ensuring sufficient supply and stock of standard antiviral drugs including Ribavirin, vaccinating Mission personnel against yellow fever, providing prophylaxis drugs against malaria and disseminating information to personnel through medical advisories from time to time about preventive measures and circulating health advisories on preventive measures through the intranet and flyers, preventive approach by promoting usage of insecticides, repellents, bed nets and screen to personnel in sectors and new arrivals to UNMEE	Operational	Possible	Medium	Moderate Risk	
V	Conduct and discipline B(i) Policies on the allocation of medical support (clinics) are connected to the number of personnel deployed rather than to the accessibility of available medical center. This may negatively affect the provision of medical coverage to all Mission staff. B(ii) Conduct and discipline issues, particularly sexual exploitation and abuse (SEA), may not be given adequate attention by the Mission management, resulting in serious reputation risk to the Organization.	The deployment of troop medical services is in accordance with MOUs, which is not controlled by the Mission.	Governanc e	Possible	Medium	Moderate Risk	
		There is an SEA policy in place. DPKO/DFS has established conduct and discipline teams at headquarters and in peacekeeping missions to monitor and report on misconduct issues, particularly SEA cases.	Governanc e	Possible	High	Higher Risk	

Risk Assessment of : UNMEE

Focus Area:		Procurement and Contract Administration		Likely	Medium	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk
	Procurement Process			Likely	Likely	Medium	Higher Risk
4	E (i) The uncertainty over UNMEE's future could adversely affect procurement planning, e.g., duration of contract, quantity of materials to be purchased, etc., resulting in inefficient purchasing or financial loss. E (ii) The Eritrean economy/market is underdeveloped which increases the Mission's dependence on overseas suppliers. This could cause delays in the procurement of goods and increase the cost of goods. E (iii) The support provided by the Procurement Service in UNHQ in NY may be limited and delayed, which may hamper operations and lead to more ex-post facto procurement cases. E(iv). Late and/or unplanned or sketchily detailed requisitions could result in less opportunity for offers to be received or the overall ineffectiveness of the procurement process.	UNMEE is trying to plan contracts with minimum possible duration and apply just-in-time principles in respect of the purchase of spare parts and supplies as well as controlling purchase orders to match short-term requirements instead of ordering buffer stocks. On the other hand, some sections perform advance planning for needed supplies.	Operational				
		The Mission provides procurement training to requisitioners.					

4		Focus Area: Procurement and Contract Administration			Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
III	<p>Fuel</p> <p>E (i) The failure to secure new supplies or any delays in the process could lead to the operations of the Mission coming to a standstill and could stall the achievement of the Mission's mandate.</p> <p>E(ii) Restrictions on the supply of fuel in Eritrea may negatively affect the Mission operations.</p>	<p>The fuel contract at the Ethiopian side of the Mission expired in December 2007. International bidding for fuel supply in Ethiopia is underway.</p> <p>The Eritrean Government in September 2006 imposed a restriction on fuel supply to UNMEE by reducing the quantity of fuel delivered to the Mission by 55 per cent from the amount required. All fuel requests have to go through the Ministry of Defence for approval, which results in delays in the process. UNMEE indicated that the Mission has a daily monitoring tool on fuel consumption and fuel reserve stock levels and that it has also reduced Administration logistics activities and non-duty travels. However, OIOS' audit of fuel management in 2006 identified several control weaknesses.</p> <p>E(iii) There is a potential for fuel theft, misuse and abuse due to the level of contingents within the Mission. This could in turn lead to high reputational risk for the Mission.</p>	Operational	Likely	Medium	Higher Risk	

4		Focus Area: Procurement and Contract Administration		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV Rations	<p>E (i) The Mission may be exposed to changing contract terms, conditions and prices because the contract for food rations has not been finalized.</p> <p>E (ii) Due to movement restrictions imposed by the Eritrean Government, the rations contractor cannot cross the Eritrean border with Ethiopia, which may affect the delivery of food to troops on the Ethiopian side.</p> <p>E(iii) There is a potential for rations provided to contingents ending up in the local markets for sale resulting in reputational damage to the Mission.</p>	The Mission's food supply is currently under a letter of intent effective until 5 August 2007. The contractor is supplying the Mission according to a new ration scale. The current letter of intent does not include the delivery of rations to end-users, which could affect not only the final cost of rations but also the quality of food until its final delivery to end-users. Sub-contractors were hired to ensure delivery of rations to destinations where military troops can pick up the rations and continue delivery to end-users.	Operational	Likely	Medium	Higher Risk

Risk Assessment of : UNMEE

No	Focus Area: Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
5	Logistics Management		Likely	Medium	Higher Risk	
1	Fleet Management A(i) The Eritrean Government's ban on helicopter flights in the TSZ could have an adverse effect on logistics planning and increase the Mission's dependence on ground transportation, which is not fully supported by the Mission's budget.	The Eritrean Government banned Helicopter flights in the TSZ and flights over the Eritrean and Ethiopian borders. This ban covered aircraft ferrying personnel and supplies between both countries. UNMEE has taken several measures at the sectors such as the monitoring of inventory level, installation of helipads at the Ethiopian side, outsourcing of services from the local market, applying a contingency plan at the sectors, having contracts with several health care facilities in the region and the establishment of level II medical centers, and finally two fixed wing aircrafts to facilitate the managing of air operations in case of aircraft grounding to mitigate the helicopter ban.	Strategy	Likely	Medium	Higher Risk
	A(ii) The Mission's concept of operations has changed in the light of the situation that the Mission faces (ban and restrictions) and uncertainty in respect of future operation. This status may not have been accompanied by a review of the Mission's support plan, resulting in inefficient and ineffective operations impacting negatively on mandate achievement. A (iii) Vehicle distribution in the Mission may not have been adjusted to reflect the current Mission structure/area of deployment. This situation could lead to a lack of logistical support in the sectors where vehicles are most needed, adversely affecting mandate achievement.	The Mission has downsized its vehicle fleet several times due to the Mission downsizing.				

5		Focus Area: Logistics Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	A(iv) The bad road infrastructure in Eritrea and Ethiopia may result in severe wear and tear of vehicles and the need for frequent maintenance and increases vehicle downtime which may affect the effectiveness and economical use of the vehicle fleet, resulting in higher costs.	This is a problem that the Mission has had to deal with through operational adjustments in respect of vehicle maintenance policies.				
	A(v) Limited access to remote areas caused by inclement weather conditions may result in delays in implementing Mission operations and difficulties in logistical planning and allocation of resources.	Air Operations Section developed a policy on grounding flights in either the Ethiopian or Eritrean sides after 13:00 to 16:00 to ensure mitigation of weather problems	Operational	Likely	Medium	Higher Risk
	E(i) The Mission's Transport Section lacks adequate resources (both human and assets) leading to limited weak operational capability, especially in the sectors. This may lead to possible safety problems in terms of serviceability of vehicles and legal consequences if accidents occur.	The Transport Section coordinates with the Engineering Section in sectors to ensure the optimum utilization of resources, and provides staff with on-the-job training and work plan.	Compliance	Likely	Medium	Higher Risk
	C(i) Non-compliance of Mission personnel with regular vehicle maintenance schedules may affect the life span of the fleet and staff safety.	The Transport Section, in coordination with other sections, give continuous briefing in addition to reminders sent to staff members via information circulars about their responsibilities toward vehicles, electronic movement of personnel forms (e-MOPs), etc.	Governance	Possible	Medium	Moderate Risk
II	Travel services	E(i) The lack of clearly delineated functions and responsibilities for the Travel and Traffic Unit and the Military Protocol Office may result in duplication of efforts and lack of accountability for problems encountered in Travel Services.	Intranet broadcasts over the mission website and e-mails are used to communicate and remind staff members of their duties and responsibilities.			

5		Focus Area: Logistics Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	G(i) The Travel and Traffic Unit staff lack training on the use of Mercury system and implementation of the unit SOPs. This situation may increase opportunities for error.	The Traffic and Travel unit took the initiative to develop job descriptions and are in the process of developing a new SOP for the unit.	Human Resources	Possible	Low	Lower Risk
III	Air operations B(i) The transfer of Aviation Safety Unit's responsibilities to the Air Operations Unit could impact the independence of aviation safety reporting.	UNMEE has shifted all Aviation Safety Unit responsibilities to the Air Operations Unit. The Air Operations Section ensures compliance with the aviation and safety manuals, prescribed standards 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, the International Air Transport Association's procedures and practices relevant to mission operations, etc.	Governance	Possible	Medium	Moderate Risk
	C(i) A lack of awareness of UNMEE personnel of aviation safety measures and awareness signs at relevant locations may expose the Mission to safety risks resulting in potential litigation and in extreme cases, loss of lives. C(ii) The delayed replacement of unserviceable/unsuitable aircraft/parts could lead to the grounding of aircraft and therefore a halt to staff travel.	All Mission aircraft are equipped with safety equipment and go through regular maintenance and inspections by the Ukrainian Civil Aviation team. At every flight, the crew presents and explains safety measures to passengers. All aviation staff meet on a quarterly basis to brief them on the latest development in the section and address concerns they might have. Air charter contracts are very comprehensive in dealing with technical issues.	Compliance	Possible	Medium	Moderate Risk

5	Focus Area: Logistics Management	Likely	Medium	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Impact	Overall Risk
	E(i) Frequent technical problems with some air assets could result in accidents.	Air charter contracts are very comprehensive in dealing with technical issues.	Operational	Possible	Medium
					Moderate Risk

Risk Assessment of: UNMEE

Focus Area:	Information Technology Management			Possible	Medium	Moderate Risk
		Risk Category	Likeli-hood	Impact	Overall Risk	
Interview/Review Summary (Description of risk)	OIOS Assessment					
Management of ICT Infrastructure	E(i) UNMEE's resources are inadequate, e.g., old, obsolete and depreciated equipment and reduced level of human resources. This situation may affect the quality of operations and may lead to the overstretching of resources, resulting in the of the Mission inability to effectively carry out its mandate.	The amount of ICT work is expanding, i.e., UNMEE's supports UN missions in Darfur and Somalia, the Africa Union office and other UN agencies in the region. The Brindisi and New York CITS support (remotely) the Mission's ICT operations to mitigate the lack of staff.	Operational	Possible	Medium	Moderate Risk
E(ii) There is frequent fluctuation in electricity in Eritrea, which may expose the Mission to interruption of ICT services.	The Engineering Section installed electricity stabilizers at Mission locations in Eritrea to ensure the best utilization of local electricity and mitigate electricity risk.	CITS is replacing ICT equipment with newer technologies, such as multi-plexers, for integrating voice and data technologies.	Information Resources	Possible	Medium	Moderate Risk
A (iii) All electronic communications to the sectors, team-sites and with New York and UNLB are through satellites which may have a direct bearing on the services from a speed and quality perspective. Slow communication could impact the speed of decision-making, especially on urgent matters.	CITS performs monthly reconciliation and investigation, as necessary, of all telephone bills to ensure the reliability of telephone billing.	Financial	Possible	Low	Lower Risk	
G (i) The unreliability of the telephone billing system may lead to some errors in telephone billing, especially in respect of overseas calls made using staff PIN codes. This situation could lead to financial loss to the Mission or disputed charges.	No controls observed	Operational	Possible	Medium	Moderate Risk	Moderate Risk
Disaster recover/business continuity						
E(i) A contingency plan for ICT operations may not be in place. This situation could result in the Mission not being able to recover and restart ICT operations in an acceptable period.						

Focus Area:	Information Technology Management			Possible	Medium	Moderate Risk
			Risk Category	Likeli-hood	Impact	Overall Risk
Interview/Review Summary (Description of risk)	OIOS Assessment		Strategy	Possible	Medium	Moderate Risk
A(i) Movement restrictions imposed by the Eritrean Government and the difficulty in gaining access to certain parts of the Mission area, especially the mountainous areas, may prevent the planned provision of VHF or HF coverage at certain critical areas such as Adigrat and Barentu. This could lead to safety and security related problems if there is no means of communication for staff in case of incidents.	This risk is a critical issue as it directly affects staff safety.		Strategy	Possible	Medium	Moderate Risk
F(i) The insufficient number of staff and the Minimum Operational Security Standards (MOSS) requirements that a minimum of two staff should be assigned to any task outside Asmara may result in the inability to provide critical services in the sectors.	The Brindisi and New York CITTS provided remote IT support to the Mission.	Human Resources	Possible	Low	Lower Risk	

Risk Assessment of: UNMEE

No	Focus Area: Interview/Review Summary (Description of risk)	Programme and Project Management		Risk Category	Likeli-hood	Impact	Overall Risk	Moderate Risk
		Possible	Medium					
1	Human Rights Office (HRO)	Some HRO staff are located in Addis Ababa working in close cooperation with the ASRSG, in addition to the continuous briefings between Asmara and Addis.	Governance	Possible	Possible	Moderate Risk		
	B(i) The location of the Chief Human Rights Office (HRO) in Asmara while the Acting SRSRG is in Ethiopia could lead to delays in providing critical advice on human rights to the Acting SRSRG for decision-making purposes. B(ii) The Chief HRO has a dual reporting structure, reporting to the Acting SRSRG and also to the Office of the High Commissioner for Human Rights in Geneva. This could lead to a lack of cooperation within the Mission if the office is seen as not an integral part of the Mission.	E(i) The lack of a dedicated budget and/or adequate funding to carry out HRO programmes/activities and the insufficient logistical support to HRO activities in the field may result in the closing of human rights offices in the sectors, which could result in the Mission making decisions without considering the human rights perspective on issues.	Financial	Possible	Medium	Moderate Risk		

7		Focus Area: Programme and Project Management		Programme and Project Management			
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Possible	Medium	Moderate Risk	
			Likeli-hood	Impact	Overall Risk		
II	Quick Impact Projects (QIPs)		Possible	Possible	Medium	Moderate Risk	
	E(i) Projects selected as QIPs may be influenced by political decisions/considerations, leading to non-compliance with the guidelines for the implementation of QIPs. Projects may be mis-directed, thereby not focusing on the key elements of sustainable livelihood opportunities, resettlement, IDP population, deportees and demobilized soldiers (veterans).	The QIP programme teams use a new methodology to provide better controls to ensure that the capacities of beneficiaries are matched to the funds disbursed to them. The new methodology also uses pre-defined criteria for the selection of proposals by the Project Review Committee (PRC) and management.	Operational	Possible	Medium	Moderate Risk	
	A(i) Insufficient capacity of the governments and implementing agencies may lead to completed projects being left idle or not being maintained, resulting in a reputational risk to the Mission if the beneficiaries do not reap the benefits of the projects.	UNMEE has established regular strategic meetings with implementing agencies to better manage projects.	Strategy	Possible	Medium	Moderate Risk	
	B(i) The QIP team may not be able to provide the required project oversight because of its inability to access remote areas and inclement weather. This situation could result in financial losses and inefficiencies.	This risk is exacerbated by movement restrictions and the ban on helicopter flights imposed by the Eritrean Government.	Governance	Possible	Medium	Moderate Risk	

7		Focus Area:		Programme and Project Management			
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Possible Likelihood	Medium Impact	Moderate Risk Overall Risk
III	Military A(i) The continuing serious violations of the TSZ could weaken the credibility of the Mission in protecting the integrity of the TSZ and could put an end to the Military Coordination Commission (MCC) meetings which are critical to the Mission's mandate. A(ii) The Eritrea-Ethiopia Boundary Commission's deadline to demarcate the border by 20 November 2007 may not be met yet again. This could lead to uncertainty as to the future of the Mission (e.g., significant change in the mandate, Mission existence, etc.). The Mission may not be prepared to respond effectively and efficiently to such contingency.	The military continues to hold regular meetings with the Commissioners (representatives) of both countries, friends of UNMEE, AU, witnesses (guarantors), representatives of the five permanent Security Council members (P-5) and Troop Contributing Countries. The CPIO ascertains the facts and prepares talking points and responses for the Head of Mission, in the event that a reporter hears of the problem and seeks comment.	Strategy	Likely	Medium	Higher Risk	Higher Risk
IV	Public Information Office G(i) As a result of political sensitivity of the two Governments (Eritrea and Ethiopia), UNMEE's Public Information Office may be forced to report only on issues that would not offend either party and therefore only report what is politically acceptable rather than factual situations. This could lead to a loss of credibility of the Mission. G(ii) Due to language barriers, communication has to be translated into local languages Amharic, Tigrinya, Oromo spoken by the Mission's most important and sensitive audiences and staff. This situation could result in translation errors, leading to misunderstanding between the Mission and the local population.	The PIO passes over humanitarian reporting opportunities on the Ethiopian side, for want of an equal number of stories to report from the Eritrean side due to political overtones.	Information Resources	Possible	Low	Lower Risk	Lower Risk

Focus Area:		Programme and Project Management			Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
7	G(iii) Restrictions imposed by the Eritrean Government such as the closing of the Eritrean Outreach Centers in Asmara and Barentu in September 2003 may affect the distribution of the bi-monthly magazines, the number and size of editions of UNMEE News. This may hamper the Mission and PIO's achievement of outreach programmes and awareness campaigns designed to inform the public of the Mission's mandate and achievements.	All print and radio products are produced in English, Oromo, Amharic and Tigrinya. Most video narration is in English. Efforts are being made to expand translation and narration of Video scripts to include local languages. Most of the UNMEE website is in English only.	The CPIO and other senior staff work in close collaboration with the ASRSG, DSRSG, Force Commander, Head of Office, and individual units: Political Affairs (PAO), Human Rights, Legal Affairs, Military, Security, and Administration. The CPIO ascertains the facts and prepares talking points and responses for the Head of Mission, in the event that a reporter hears of the problem and seeks comment.	The CPIO attends the daily senior management meeting; notes developments reported by other units in the Mission area and identify risks. Also, the PIO conducts media reporting that covers issues of concern to the Mission and enhances public understanding without damaging the Mission's reputation.	UNMEE operates Outreach Centers only in Ethiopia, Addis Ababa, Mekelle and Adigrat, these centers carry a full range of UNMEE products as well as materials reflecting the work of other UN agencies and organizations in the Mission area		

Focus Area:		Programme and Project Management			Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
V	Mine Action Coordination Centre (MACC)	A(i) The lack of cooperation by the Eritrean Government, as shown by the ban on UN helicopter traffic in the TSZ and adjacent areas and the restrictions imposed on Mission staff movements within the country, may hamper the achievement of MACC mandates/objectives if such restrictions continue.	To mitigate restrictions on movement, MACC has a contingency plan applied including but not limited to 24/7 radio room, available driver, duty officer and 3 sub-sector officers in addition to regular visits to the field	Strategy	Possible High	Higher Risk	Moderate Risk
	E(i) Due to the lack of infrastructure and bad road networks, vehicle maintenance in the regions especially in Adigrat and Shilao may suffer. As a result, more time is spent by MACC staff delivering vehicles to available workshops, detracting it from the important demining work that is required.	E(ii) It is difficult to procure explosives needed for MACC operations due to high importation costs. This could delay demining activities and increase safety risks.	Operational	Possible	Medium	Moderate Risk	

Risk Assessment of : UNMEE

No	Focus Area:	Conference and Documents Management	Possible	Low	Lower Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	Documents and Archives Management	OIOS' audit showed weaknesses in document management and archiving.	Operational	Possible	Low	Lower Risk
I	E(i) The lack of a Mission-specific SOP for archiving and records management, especially in the light of the changing circumstances of the Mission may result in the absence of established and consistent base for archiving and record management in case of Mission liquidation. Documents could be lost or abandoned in the process.					Lower Risk

Risk Assessment of : UNMEE

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
	Contingent Owned Equipments (COE)		Operational	Possible	Medium	Moderate Risk
9	E(i) The Eritrean Government has imposed restrictions over COE equipment/stores (re-supply), resulting in COE not being released by customs in a timely manner. This has a negative impact on the contingents' operations.	The Mission holds regular meetings with the Commissioners at both countries to solve and expedite the custom clearance of COE and any other problems that may arise.				
	E(ii) Unforeseen local militia activities in areas where inspections by UNMEE COE Unit are conducted may result in denial of access by militia to specific locations and delays in scheduled inspections and follow-up.					
	E(v) The TCCs' reluctance to recommend reductions of surplus Contingent Owned Equipment holdings may mean that the UN may be paying for surplus or unused equipment thereby causing financial loss to the UN.	The COE Verification Unit performs checks and reports regularly on the results of the checks.				

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
9	D(i) Non-reporting of any loss or damage by the Troop Contributing Country (TCC) to the COE Unit could result in reimbursement by the UN for unserviceable equipment resulting in financial loss to the Organization. D(ii) The lack of a credible feedback mechanism on the status of equipment may result in inaccurate Verification Reports being sent to UNHQ which can result in incorrect reimbursements to the TCC. D(iii) The late submission of monthly reports by the contingents may result in delays in submitting verification reports to UNHQ for reimbursement of the TCCs.	The COE Verification Unit makes sure that all payments are based on Verification Reports and that they are supported by a full inspection of major equipment and a self-sustainment assessment based on information compiled from data drawn from previous COE. The unit also issues monthly reports on equipment serviceability submitted by units and performs regular monthly spot check inspections. The Unit maintains up-to-date details of major and minor self-sustainment equipment in the DPKO COE Database.	Financial	Possible	Medium	Moderate Risk
	B(i) The absence of signed Memorandum of Understanding with Troops Contributing Countries in the Mission may limit the ability of the COE Unit to measure capabilities against requirements thereby undermining the credibility of subsequent verification reports sent by the COE Unit to UNHQ.	The MOUs are signed at UNHQ and copies sent to the Mission's COE Unit for their use.	Governance	Possible	Medium	Moderate Risk

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	
II	Assets Management and Disposal	The Mission decided to do assets disposal activities in Addis Ababa including disposal of assets located in Asmara.	Financial	Likely	Medium	Higher Risk	
	D(i) Restrictions on staff movements imposed by the Eritrean Government may affect the accessibility of certain areas for the Property Control and Inventory Unit (PCIU) to periodically inspect assets. This could lead to inaccurate asset records or lost/stolen assets not being reported.	D(ii) Restrictions imposed by the Eritrean Government on the disposal and selling of written off assets may result in warehouses space being occupied by non-productive assets and may expose the Mission to environmental risk, if the assets contain hazardous materials.			Low	Moderate Risk	
	C(i) Delays in updating the Galileo inventory system, delays in writing off assets and non-compliance of end users with UN rules and regulations relevant to the movement or transfer of assets may result in the information reported in Galileo being unreliable.	C(ii) Delays in the processing of claims from the public through the Local Claims Review Board (LCRB) may give the Mission bad publicity.	Compliance	Likely	Medium	Higher Risk	
	F(i) PCIU and self-accounting unit staff may not be well trained on relevant PCIU SOPs, resulting in financial reporting inaccuracies and errors.	There are adequate training courses relating to policies, procedures and guidelines to carry out administrative duties.	Human Resources	Possible	Medium	Moderate Risk	

9		Focus Area:		Property and Facilities Management				Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likeli-hood	Impact	Overall Risk	Possible	Medium	Moderate Risk
III	Engineering Activities	The Engineering Section is responsible for project planning and design. The Section uses a tracking system for material control to prevent theft/pilferage.	Strategy	Possible	Possible	Medium	Moderate Risk			
	E(i) The lack of planning of engineering activities by the concerned sections may result in short notice for work orders with unrealistic deadlines, putting pressure on the already stretched engineering resources. This could lead to shoddy or poor quality work.	The military has a construction engineering focal point for the coordination of engineering activities and has implemented a monitoring register along with a work schedule for projects.								
	F(i) The lack of skilled human resources may result in irregular inspections and monitoring of engineering materials.	The Engineering Section works in cooperation with contingents to provide services and complete projects. The Engineering Section reconciles logistics reports with team sites ensure the validity of requests raised.	Human Resources	Possible	Low	Lower Risk				

Risk Assessment of : UNMEE

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
I	Security Status	<p>E(i) Bad weather conditions may affect the accessibility to Mission deployment areas for security purposes.</p> <p>E(ii) Due to inadequate resources, UNMEE does not have security staff at Assab and it also lacks major security equipment, such as X-ray scanning machine, increasing security risks in the sector.</p>	The Security Section coordinates and works closely with the Military and Mine Action Coordination Center. The Security Operations Centre (SOC) functions 24/7, monitors the security situation and advises staff from time to time. Security clearance procedures (e-MOP) are in place to monitor the movements of staff members and regulate their movements in line with the prevailing situation.	Operational	Possible Possible	High High
II	Safety measures	<p>E(i) The Mission may not give adequate attention/priority to occupational safety and health issues, increasing staff safety risks.</p> <p>E(ii) A lack of awareness of UNMEE personnel of safety measures relating to aviation along with a lack of safety awareness signs at relevant locations may expose the Mission to safety risk resulting in potential litigation and in extreme cases, loss of lives.</p>	The recruitment process for vacancies is ongoing to reduce the Section's vacancy rate from 26 per cent to an acceptable level.	Operational	Possible Possible	Medium Medium

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			
III	Contingency Planning			Strategy	Likely	High	Higher Risk			
	<p>E(I) There is no exit strategy or updated liquidation plan in place to deal with liquidation and/or evacuation which may affect Mission readiness and planning of resources.</p> <p>E(ii) The delay in signing the Memorandums of Understanding (MOUs) with safe havens may lead to problems with evacuation, when required.</p> <p>E(i) The Mission has no contingency plan for the shipment of cargoes by sea in case the Massawa seaport is closed, the only operating seaport in Eritrea. This may leave the Mission supply chain vulnerable.</p>	These concerns have been raised by several entities. Administration believes that there is no current need for such a contingency plan.	Warden System database is up-to-date and functioning properly. Mission personnel performs radio checks twice a week.							

Focus Areas

- 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)

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

- 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 mandate 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.

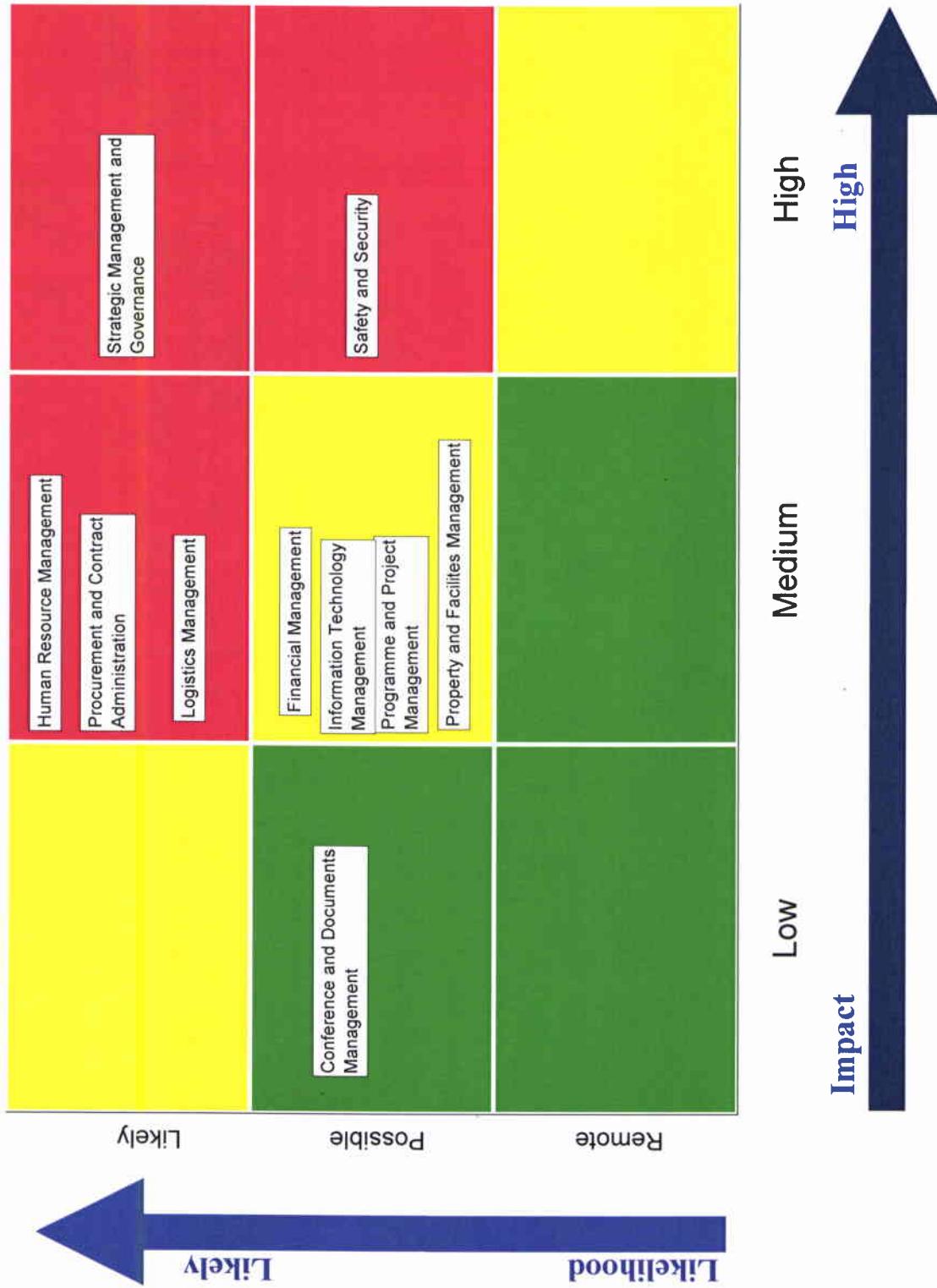
	Operational	Impact on mandate, operations or reputation resulting from inadequate, inefficient or failed internal processes that do not allow operations to be carried out economically, efficiently or effectively.
E	Human Resources	Impact on mandate, operations or reputation resulting from a failure to develop and implement appropriate human resources policies, procedures and practices to meet the organization's needs.
F	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
G		

Risk Likelihood	
Risk Impact	
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
High	Serious impact on operation, 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 Matrix
Risk Assessment Methodologies
Risk Combinations

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

UNMEE RISK SUMMARY PROFILE (Focus Area)



UNMEE RISK SUMMARY PROFILE (Sub Focus Area)

