INTERNAL AUDIT DIVISION

OFFICE OF INTERNAL OVERSIGHT SERVICES

RISK ASSESSMENT

United Nations System Staff College

12 March 2008
Assignment No. AE2007/382/01

United Nations ⬤ Nations Unies

INTEROFFICE MEMORANDUM   MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE
OFFICE OF INTERNAL OVERSIGHT SERVICES · BUREAU DES SERVICES DE CONTRÔLE INTERNE

TO: Mr. Carlos Lopes, UN Assistant Secretary-General
A: and Director
United Nations System Staff College

DATE: 12 March 2008

REFERENCE: AUD-File no. (08- 011 25

For William Peterson
FROM: Dagfinn Knutsen, Director
DE: Internal Audit Division, OIOS

SUBJECT: **Assignment No. AE2007/382/10 - Risk Assessment of the United Nations System Staff College**
OBJET:

1.   I am pleased to present OIOS' risk assessment of the United Nations System Staff College which was carried out from October to December 2007, for your information. While we do not require a formal response to this report, you are welcome to discuss any of the issues raised further.

2.   OIOS encourages United Nations System Staff College 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. Anders Hjerstrand, Chief, IAD Geneva Audit Service, OIOS
Mr. Paolo Ceratto, Director of Administration, UNSSC

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, GENEVA AUDIT SERVICE:
Anders Hjertstrand: Tel: +41 22.917.2731 , Fax: +41 22.917.0011,
e-mail: ahjertstrand@unog.ch]

PARTICIPANTS

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

Focus Area	Name and Functional Title
Strategic Management and Governance Financial Management Human Resources Management	• Mr. Staffan de Mistura, Director,
Strategic Management and Governance Financial Management Human Resources Management, Procurement and Contract Administration Logistics Management Information Technology Management Programme and Project Management Conference and Documents Management Property and Facilities Management, Safety and Security	• Mr. Paolo Ceratto, Director of Administration
Programme and Project Management Conference and Documents Management Logistics Management Safety and Security	• Mr. Malcolm Goodale, Project Manager, Development Cooperation, RCS • Mr. Michael Alford, Project Manager, Leadership and Management • Mr. Thomas Neufing, Project Manager, Learning and Training Services • Ms Svenja Korth, Project Manager, Peace and Security • Mr. Angelo Miramonti, Project Officer, Peace and Security • Ms Varsha Redkar, Learning and Training Specialist, Development Cooperation, RCS • Mr. Miguel Panadero, Learning and Training Specialist , Learning and Training Services
Financial Management	• Mr. John Seav, Finance Officer
Human Resources Management	• Ms Karine Sarajyan, Human Resources Officer
Procurement and Contract Administration	• Ms Roberta Maggio, Legal and Procurement Officer
Information Technology	• Mr. Zaccaria Gianpaolo, Information Technology Officer

SUMMARY OF RISK RATINGS

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

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

RISK REGISTER

Risk Assessment of : UNSSC

No	Focus Area:	Strategic Management and Governance				
1				Possible	High	Higher Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
				Possible	Medium	Moderate Risk
I	**Mandate and Mission**					
	A (i) Competition from other bodies performing similar activities to UNSSC may threaten the existence of UNSSC or affect its ability to obtain funding.	UNSSC was established by the General Assembly on 1 January 2002 as an institution for system-wide knowledge management, training and continuous learning for the staff of the United Nations system. According to its statute its main objectives are to promote a cohesive management culture across the United Nation and to strengthen continuous learning. The UNSSC Strategic Plan for 2006-2008 recognises that there are other UN training institutions that have competing programmes, ILO, UNU, UNITAR, UNIDIR, INSTRAW, UNICRI and UNRISD and that UNSSC is ready to work with them. However, no strategy on how this would be done has been documented.	Strategy	Possible	Medium	Moderate Risk
	A (ii) Overlapping activities of the College with the competing programmes of other UN learning and training departments may result in duplication and waste of resources in the UN system.	OIOS was informed that in preparing the Strategic Plan, the aim was to offer programmes that are not part of the individual organizations' learning departments' regular programmes in order to avoid duplication.				

1		Focus Area:	Strategic Management and Governance			Possible	High	Higher Risk

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
				Possible	High	Higher Risk
II	**Strategic Management**					
	B (i) The Departure of the Executive Director and appointment of an Acting Director who is not based in Turin may lead to inadequate leadership and guidance especially during the transition period and could affect the College's ability to fulfill its mandate. B (ii) The fact that the Acting Executive Director is a Director in another training institution (UNITAR) may be perceived as a conflict of interest and could have impact on fundraising efforts.	The outgoing Executive Director had been in UNSSC for one year during which a Strategic Plan for the period 2006-2009 was developed. He was also associated with significant rise in the reputation of UNSSC which has contributed to increased interest from donors and Senior UN officials including the Secretary General. The appointment of an Acting Director to avoid a leadership vacuum was a positive step. UNSSC indicated that this could also be seen as an opportunity for new synergies between the two organizations.	Governance	Likely	High	Higher Risk
	D (i) Reliance on voluntary contributions as a main source of funding may lead to implementation of programmes that are based on donor requirements and that may not be in line with UNSSC strategic plans and goals.	The College has adopted a strategy of investing in training programmes which can then be used as a basis for requesting for funds from donors.	Financial	Likely	High	Higher Risk

No	Focus Area:	Strategic Management and Governance					
1				Possible	High	Higher Risk	
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
	A (i) The broad system wide mandate of UNSSC may hinder UNSSC's ability to achieve its main mandate of promoting a system wide learning culture rooted in shared values and common objectives.	The UNSSC mandate embracing all agencies, programmes, and funds may make it difficult for the programme strategy to be aligned with the UN reform agenda and system needs and/or respond to the UN changing needs. The Strategic Plan has identified the factors to be considered in the selection of projects which are in line with its mandate and objectives. Further, some of the initiatives such as the Senior Management Network and the learning forum for staff development staff are useful in understanding the UN needs. The governance of the College as well as inter-agency mechanisms such as the High Level Committee on Management (HLCM) provide regular opportunities to the College for developing training/learning related to the UN reform agenda	Strategy	Possible	High	Higher Risk
	F (i) Unclear strategy on Human resources planning that is linked to the strategic goals and objectives may lead to inadequate staffing levels.	The staffing required for each programme, department and office is indicated in the strategic plan. However, UNSSC faces the challenge of determining adequate support staff levels. The Board Of Auditors has continually commented that the ratio of Programme to Administration Costs needs to be reduced. UNSSC has indicated that in the 2008 budget the Administrative support costs is expected to be reduced to 18 percent.	Human Resources	Possible	Medium	Moderate Risk

No	Focus Area:	Strategic Management and Governance	Risk Category	Likeli-hood	Impact	Overall Risk
1				Possible	High	**Higher Risk**
III	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Possible	High	**Higher Risk**
	Governing Bodies					
	B (i) Lack of clear terms of reference on the operation and composition of the Expert Technical Review Panel (ETRP) may affect the geographical and professional diversity of its membership and the effectiveness of the Panel as technical advisors to the Board of Governors.	The College Statute states that the ETRP members shall be composed of common staff of the common system organizations who shall be selected by the Board. The Statute does not address the issue of diversity of membership. Currently none of the members of the Expert Technical Review Panel are learning experts.	Governance	Possible	High	
	B (ii) The fact that ETRP members can simultaneously be Board members may reduce the independence of the ETRP and affect its effectiveness.	ETRP is the advisory arm of the Board. Board members may be selected as ETRP members. Currently four of the ETRP members are also Board members.				
	B (iii) Poor attendance at Board meetings may result in major decisions being made by minority members and could affect the quality and effectiveness of the Governance role.	The attendance at Board meetings in the last two years has been low, with about 40 percent attendance in both years.				
	B (iv) ERTP may be involved in activities outside of its mandate eg: ETRP's involvement in the recruitment of senior officials is not within its mandate and may lead to delays in the recruitment process.	ETRP was involved in the recruitment process of senior officials in the past.				

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV	Risk Management			Possible	High	Higher Risk
	A (i) Lack of a formal documented risk management strategy and absence of a formal internal control policy may result in high risk areas not being mitigated or prevented. The Strategic Plan outlines the critical success factors for the achievement of specific goals and objectives for each Programme and department. However, they are listed as assumptions and no strategies have been developed to address them.	No formal risk assessment and risk management strategy is in place.	Strategy	Possible	High	Higher Risk
	B (i) Leadership may lack vision, direction, transparency or integrity and lead to a weak organizational culture, lack of cohesion and poor staff morale.	The strategic plan outlines the direction and vision of the college. The staff rated highly the leadership provided by the outgoing Executive Director. A new temporary Director who runs another training institution has been appointed.	Governance	Possible	High	Higher Risk

	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
1						
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
V	**Organizational Structure/Location**			Possible	Medium	**Moderate Risk**
	E (i) UNSSC may not be able to adjust its structure in a timely manner to respond to increased project activity which could affect its ability to effectively deliver on new projects.	Funding levels are expected to increase as donors have showed increased interest. Pledges have been received from various countries such as Italy, Germany, Catalunya etc. The Secretary General has also committed to holding a fundraising pledging event for the college in 2008. Expected increase in funding levels may lead to rapid expansion of programmes. UNSSC may take time to re-profile to cater for an increase in capacity and therefore may not have an adequate management and administrative structure to support the expansion.	Operational	Possible	Medium	**Moderate Risk**
	A (i) The location of the college in Turin, far away from the centre of activities in New York and Geneva, may affect its ability to closely coordinate with UN bodies and achieve its goal of strengthening collaboration within the UN system in areas of common organizational responsibility.	The outgoing Director's strategy was to turn the weakness of the location into a positive and capitalize on the benefit of senior staff and participants retreating in Turin, away from regular work pressures and possible disturbances. This appears to have been effective as evidenced by for example the 2007 successful retreat of the Secretary-General and his Under-Secretary-Generals which is now expected to be a yearly event.	Strategy	Possible	Medium	**Moderate Risk**

Risk Assessment of : UNSSC

No	Focus Area:	Financial Management				
2				Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Fundraising/ contributions**		Financial	Possible	High	Higher Risk
	D (i) Reliance on voluntary contributions from the host country, Italy and other member states without the back-up of sufficient reserve to cater for significant shortfalls could result in insufficient funding for the College's programmes	More than 30% of income in the past two years has been from the host country. This contribution has been a crucial financial back-up (reserve) for the College and for supporting its programmes, especially when they are at the start-up phase (e.g. the College has used its reserve to support the Partnership project, Senior Management Network, and other learning and training activities). In the past year the College's reputation has improved which has resulted in increased interest from donors and senior UN officials including the Secretary-General. Various countries have made pledges and contributions are expected to increase. The Secretary- General has also committed to hold a pledging event for the College in 2008.	Financial	Possible	High	Higher Risk
	D (ii) Appreciation in the Euro over the dollar could significantly erode the purchasing power of the annual core contribution from member organizations.	The annual core contribution has remained the same at $500,000 despite significant appreciation in the Euro. UNSSC is requesting financial support from a local foundation to set up a Euro 1.5 million strategic reserve. The need for a mechanism to adjust the annual contribution to cater for unfavorable fluctuations in exchange rates and inflation has been discussed with the Ex[				
	D (iii) Since revenues are collected after the activities, there may be insufficient reserves to cater for the timing difference between payments being made and money being received which could lead to shortfalls.					

Focus Area: Financial Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
2				Possible	Medium	Moderate Risk
	D (iv) The pricing policy may not be updated regularly which could lead to insufficient revenues to cover costs of the specific trainings or workshops.	UNSSC has approached an independent expert to review its pricing policy.	Financial	Possible	High	Higher Risk
	A (i) The Heads of Programmes sometimes raise funds for their projects which may lead to fragmented fund raising activities that are not harmonized and therefore may not be linked to UNSSC strategy and may be less effective.

A (ii) The Heads of Programmes may not be able to focus on both fundraising activities as well as Programme activities. This may negatively affect the implementation of the programme activities as well as inability to raise the funding resources required.

A (iii) The Departure of the Executive Director may cause UNSSC to lose the goodwill and political connections it had during the outgoing Director's tenure which may have a negative impact on the fundraising efforts | Fundraising is done under the guidance of the Director. The Best Practices Committee review the activity and project fund-raising to ensure that they are aligned with the UNSSC's strategy and business plan.

Fund raising is managed by the Director and the Deputy Director of Administration and Management. The involvement of the Heads of programmes is mostly directed to programmatic matters. There is a dedicated associate under supervision of the Deputy Director of Administration and Management to support UNSSC for fund raising activities.

Goodwill and political connections have been secured with UN agencies as well as UNSSC major donors. In addition, the former Director is still willing to be active in providing support to UNSSC. | Strategy | Possible | Medium | Moderate Risk |

Focus Area:	Financial Management			Possible	Medium	Moderate Risk
2						
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
II	**Financial Reporting**			Possible	Medium	**Moderate Risk**
	E (i) Lack of ownership of the financial reporting process makes UNSSC dependent on UNOG which may impact on UNSSC's ability to deliver timely reports to management and donors. E (ii) Information from the records maintained by UNSSC in its financial system is uploaded into IMIS by UNOG which increases the risk of errors and omissions and consequently risk of incorrect reports. E (iii) The separate location and distance of UNSSC from UNOG may lead to inadequate coordination which may affect the effectiveness and efficiency of the financial reporting functions and timeliness of the reports. E (iv) Financial reports may not be received by programme managers on a timely manner leading to delays in making key programme decisions.	Financial reporting functions have been delegated to UNOG. UNOG maintains the financial records, payroll and some Treasury functions. Expected time frames for each activity have been included in the Memorandum of Understanding. OIOS was informed that the lead time to produce the required financial reports is negligible. Monthly financial reports are normally produced with sufficient details to determine cash position and expenditure level. The risk of error has been mitigated by monthly reconciliation of IMIS reports with local accounting system. The reconciliation produces several user-friendly Excel format financial reports. UNSSC is able to access its financial data stored in the IMIS system at UNOG via Citrix System at any time. The finance and budget unit has already carried out regular monthly meetings with two clusters, which have significant volume of financial transactions.	Operational	Possible	Medium	Moderate Risk

2				Possible	Medium	**Moderate Risk**
	Focus Area:	**Financial Management**				
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (vi) Inadequate coordination between the Finance Office and the Programme Managers may result in incorrect pricing policies, and inefficiencies in the preparation of reports.	The Finance Officer holds regular meetings with the Programme Managers. He also participates in the preparation of Business modules and setting of pricing policies				
	G (i) The need to amend reports from IMIS to suit the requirements of the various programmes and donors may be time consuming and prone to the risk of errors. Donor confidence could be lost due to the failure to produce accurate and timely reports.	Tailor-made financial reports have been produced for the donors in accordance with their requirements. The submission of financial reports has been on-time with donor's satisfaction.	Information Resources	Possible	Medium	**Moderate Risk**

	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
2						

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	**Budget Process**			Possible	Medium	Moderate Risk
	E (i) The nature of some of the College's programmes makes it difficult to link the budget to the results and performance indicators and may lead to inaccurate projections.	The 2007 Budget was the first result based budget. Some of the indicators are general and are dependent on other factors beyond UNSSC control. The 2008 budget report has been cleared and approved by the UNSSC Board of Governors without reservation. In addition, the Finance Officer had also participated in the RBM workshop in Geneva.	Operational	Possible	Medium	
	E (ii) Inadequate projections during the budget process may lead to shortfalls which may affect the Programmes' ability to meet its objectives or over budgeting that may result in waste and/or misuse of financial resources.	The justifications for the budgeted figures are explained in the budget document. The Budget is reviewed by the ETRP and the Board.				

	2						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	
IV	**Payment for UNOG services**			Possible	Medium	Moderate Risk	
	E (i) Amounts paid by UNSSC under the UNOG Memorandum of Understanding and ITC/ILO service level agreements may not be justified in terms of quality and timeliness of services.	The Memorandum of Understanding is reviewed and renewed every year.	Operational	Possible	Medium		
V	**Payroll**			Possible	Medium	Moderate Risk	
	E (i) Incorrect data or instructions being given to the UNOG payroll department may result in the possibility of errors and delays.	Delays and errors have occurred in the past. UNSSC rechecks all the records for accuracy. IMIS Validation processes require Certifying Officers to review list of staff members whose contracts are to expire for the succeeding payment period	Operational	Possible	Medium		

Risk Assessment of : UNSSC

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Staff Administration**			Possible	Medium	Moderate Risk
	E (i) Lack of ownership of some human resources functions that have been delegated to UNOG makes UNSSC dependent on UNOG and may affect the timely completion of human resource functions. E (ii) The separate location of UNSSC from UNOG may lead to inadequate coordination and increases the risk of delays.	Administration of entitlements functions and a few recruitment related functions have been delegated to UNOG. Expected time frames for each action are outlined in the Memorandum of Understanding UNSSC can access its personnel data in the IMIS via Citrix System.	Operational	Possible	Medium	Moderate Risk
	F (i) The staffing level in the Human Resources (HR) unit may not be sufficient to timely and effectively support the College's HR functions.	The HR department has one HR Officer and 2 part time GS staff, and no changes have been budgeted for in 2008. OIOS was informed that back-up measures have been planned and followed. The Deputy Director of Administration and Management takes an active role in personnel matters during the absence of the Personnel Officer in collaboration with UNOG.	Human Resources	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
II	Recruitment and retention			Possible	Medium	Moderate Risk
	E (i) Information provided by the programme managers for vacant posts may not be sufficient to develop appropriate job descriptions which could lead to the recruitment of wrong candidates.	Development of clear and proper terms of reference is critical in ensuring job descriptions are properly developed and consequently suitable staff are recruited. The Human Resource Officer informed OIOS that Human Resources Section regularly consults with Programme Managers to ensure that proper terms of reference are developed.	Operational	Possible	Medium	Moderate Risk
	D (i) Funding constraints and dependence on voluntary contributions means that UNSSC offers a maximum of one year contracts which may limit UNSSC's ability to recruit and retain qualified international staff.	The college utilises the option of recruiting staff on secondment from other agencies. The Administrative Manual provides details of the Inter Agency Mobility Accord concerning the transfer and inter-organization exchange of staff among the organizations of the United Nations Common system. OIOS was informed that UNSSC has been able to attract qualified staff and receives many applications for UNSSC vacant posts.	Financial	Possible	Medium	Moderate Risk

				Possible	Medium	Moderate Risk

No	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
3						
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
III	**Use of Short term Staff / Consultants**			**Possible**	**High**	**Higher Risk**
	C (i) Consultants and Individual Contractors are hired to perform regular function of staff and may therefore have their contracts extended beyond the maximum allowed period.	UNSSC stated in response to an OIOS audit recommendation that it uses consultants as consultants' contracts are more flexible and their costs lower than staff costs. The use of consultants for the various trainings and workshops that take place worldwide is inevitable.	Compliance	Possible	High	Higher Risk
	C (ii) The UN framework of regulations and rules as it relates to human resource management does not allow for flexibility and may be too bureaucratic for a small organization like UNSSC and may lead to inefficiencies in the recruitment process.					
	C (iii) Associate Collaborators may not comply with host country tax payment requirements which could affect UNSSC reputation.	The contract for associates specifies their responsibility to comply with national tax requirements as applicable. UNSSC actively encourages the associates to fully comply with tax regulations. Though this is a personal matter, non compliance, if identified by tax authorities, could affect the reputation of UNSSC.				
	C (iv) Reference checks may not be carried out in time and this could lead to the recruitment of incompetent Consultants	The requirement for reference checks is in place, but there is the inherent risk of delays in receipt of information because UNSSC deals with a large number of consultants.				

No	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
3						
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) Unclear guidelines and procedures for recruitment of consultants may lead to inconsistencies in the way consultants are recruited and remunerated. E (ii) Consultants may not be competent or may not conduct themselves in a manner consistent with the UN image which could lead to loss of reputation. E (iii) Inadequate monitoring of the performance of consultants may lead to poor performance and affect the quality of the trainings and workshops.	A prior OIOS audit identified irregularities in the way consultants were hired. The Administrative Manual details out the procedures to be followed in the recruitment of consultants and Institutional contractors. UNSSC uses consultants to undertake various training and workshops. Consultants are not UN staff and therefore not bound by UN code of conduct. Necessary provisions on conduct and performance evaluation are incorporated in the consultants' contracts.	Operational	Possible	Medium	Moderate Risk
	D (ii) Use of Associate Collaborators contracts may affect the morale and motivation of the staff. In addition Associate Collaborators are not staff members and this may affect their reliability and level of accountability.	Financial constraints have led to the use of Associate Collaborators to perform functions that ideally should be performed by regular staff members. There are currently four long serving Associate Collaborators working in two of the programmes. The use of the associates at UNSSC is confined to activities which are not secured, in terms of marketability and source of funding. Terms and conditions of the contract have been approved by the Board and included in the UNSSC statute.	Financial	Possible	Medium	Moderate Risk

	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV	**Performance Appraisal**			Possible	Low	**Lower Risk**
3	C (i) Inadequate mechanism to monitor performance appraisal may result in the appraisals not being prepared on a timely basis. C (ii) Leave and attendance records may not be adequately monitored and could lead to financial loss to the organization.	A systematic mechanism has been established to monitor the timeliness of PAS submission. The Human Resources Unit sends out reminders to staff for fulfilling the PAS requirement Staff prepare time sheets. However, OIOS was informed that monitoring of attendance is not strictly done. The associates' monthly timesheet are used as a basis to make monthly payment to the associates. Supervisors of the associates are accountable for the completeness and accuracy of the timesheet.	Compliance	Possible	Low	Lower Risk

	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
3						
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
V	**Training**			Remote	Medium	Lower Risk
	E (i) The administrative support staff may not be adequately trained and experienced in organizing workshops/trainings which may affect the quality of training and workshops.	The programme managers informed OIOS that UNSSC has very good expertise in the organization of workshops and trainings.	Operational	Remote	Medium	Lower Risk
	E (ii) Lack of adequate orientation for new staff members may delay their understanding of procedures and guidelines which may affect the efficiency of new staff members performance in the short run	New staff have taken time to understand procedures such as recruitment of consultants, security arrangements at the College, etc.				

Risk Assessment of : UNSSC

4	Focus Area: Procurement and Contract Administration			Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
				Possible	Medium	Moderate Risk
1	Procurement process					
	F (i) The Procurement Unit has only one Staff. Their absence or departure may affect the operations of the unit.	The Procurement Unit has one post and the person also doubles as the Legal Officer. Currently the staff is an Associate Collaborator and works on a part time basis. The local Contracts Committee members have been active in supporting the Associate collaborator. The Director of Administration also works closely with the person responsible for the Procurement Unit	Human Resources	Possible	High	Higher Risk

No	4	Focus Area:	Procurement and Contract Administration		Possible	Medium	Moderate Risk
		Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
		E (i) Inadequate planning may lead to rushed procurement actions that may affect the level of competition and lead to UNSSC not getting the best value for money for its procurement. E (ii) Requisitioners' lack of knowledge of UN Procurement process could result in inefficiencies and incorrect decisions. E (iii) Lack of segregation of the requisitioning and procurement functions increases the risk of requisitioners favoring certain vendors.	Increase in program activities may result in increased procurement activities that may not be properly planned. UNSSC has a documented procurement plan for its main requirements. The procedures for procurement have been detailed in the Administrative Manual. Requisitioners may be involved in tasks such as conducting surveys, soliciting and evaluation of bids. According to the Administrative Manual, the requisitioners are responsible for obtaining quotations from suppliers. Risk of fraud is inherent in any Procurement activity but is increased when the segregation of duties is not adequate.	Operational	Possible	Medium	Moderate Risk
		A (i) Lack of regular comparison of cost of services with ITC/ILO contracts may result in UNSSC not fully utilising the ITC/ILO services to procure goods under common service agreements more cost effectively.	UNSSC compares costs with ITC/ILO and uses ITC/ILO services when it is cost effective. For example currently UNSSC uses the ITC/ILO travel agent, though ITC/ILO does not allow the use of the travel agent's office that is located in the campus which could improve efficiency.	Strategy	Remote	Medium	Lower Risk

No 4	Focus Area:	Procurement and Contract Administration		Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	C (i) The Local Committee on Contracts members may not have relevant experience and may not have received sufficient guidelines and training on the operations of Committee on Contracts.	A prior OIOS audit found weaknesses in the functioning of the Committee on Contracts (COC). UNSSC indicated that the operations of the COC have been redefined and reinforced and UNSSC is complying with the UN Financial Rules and Regulation	Compliance	Possible	Medium	Moderate Risk
	C (ii) Procurement may not be done in accordance to the United Nations Procurement Manual and United Nations rules and regulations, and there may be inadequate mechanism to detect non compliance.	Training of procurement staff was last done in 2004. The staff involved in the procurement process may not have prior UN experience and may not have received training on Procurement. The Administrative Manual may also have omitted some key controls stipulated in the UN Procurement Manual.				
	C (iii) There may be insufficient monitoring mechanism to ensure the Delegation of Authority is respected.	UNSSC has developed its own Administrative Manual and procedures on the procurement process are based on the provisions of the UN Procurement Manual. OIOS was informed that UNSSC has been conscientious in following the level of delegation of procurement authority.				

Risk Assessment of : UNSSC

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
5	**Focus Area:** Logistics Management			Possible	Medium	Moderate Risk
I	Travel			Possible	Medium	Moderate Risk
	E (i) Taking unnecessary travel may deviate scarce organization funds from activities that need them the most.	OIOS was informed that travel of staff is normally for activity specific purposes. The travel, as evidenced in the Travel Authorization, is classified by an activity code to identify source of funding.	Operational	Possible	Medium	Moderate Risk
	D (i) Frequent travels, which may involve a combination of missions to different countries, increase the possibility of errors in computing the Daily Subsistence Allowance and mode of travel entitlements.	The approval and certification functions should pick up errors or inconsistencies in the travel claims.	Financial	Possible	Low	Lower Risk

Risk Assessment of: UNSSC

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
6	**Focus Area:** Information Technology Management			Possible	Medium	Moderate Risk
I	**Business continuity and vulnerability**			Remote	High	**Moderate Risk**
	G (i) UNSSC may not have an effective IT contingency plan for disaster recovery and for minimizing operational downtime in the events of computer viruses, attack, external hacking etc. G (ii) Increased publicity of the College increases the visibility of the College and may lead to attacks on the College's website.	UNSSC has reserved back servers to prevent operational downtime that may result from computer viruses, attack, and other threats like external hacking etc. There has been increase in the publicity of the college especially from the UN Secretary-General visits and the retreat of top UN officials.	Information Resources	Remote	High	**Moderate Risk**

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
6		**Focus Area:** Information Technology Management		Possible	Medium	**Moderate Risk**
II	**System development and maintenance**			Possible	Medium	**Moderate Risk**
	G(i) UNSSC may not be fully utilizing systems already developed and used by other UN agencies to help it in improving its efficiency and avoid duplication of efforts and costs.	Some of the systems such as travel claims and performance appraisal system are still manual and UNSSC has potential to benefit from systems developed by other agencies.	Information Resources	Possible	Low	Lower Risk
	F (iii) Lack of sufficient staffing levels may result in the Information Technology staff not having the capacity and capability to manage and maintain the College's website.	In addition to regular functions of the Information Technology Unit, the unit also maintains the website relating to services offered to other agencies such as the "learning forum" and the consultants' database.

UNSSC management indicated that IT staff is deemed adequate. The Learning Support cluster is provided with a full time associate to be in charge of managing and updating website and working on other e-learning/training activities. | Human Resources | Remote | Medium | Lower Risk |
| | A (i) Lack of an Information Technology strategy that is linked to the UNSSC main strategy could lead to inadequate development of Information Technology systems and support to assist UNSSC in achieving its goals. | Information Technology Strategy was developed in 2006. | Strategy | Possible | Medium | **Moderate Risk** |

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Risk Assessment of : UNSSC

Focus Area: Programme and Project Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7				Possible	High	Higher Risk
I	**Programme Management and Monitoring**			Possible	High	Higher Risk
	B (i) Lack of a documented Programme Management Cycle and inadequate approval procedures for new programmes may lead to introduction of programmes that are not in accordance to UNSSC Strategic plan and priorities	The Administrative Manual provides details of the procedures for approval of projects and the project financial procedures. However, there is no documented full programme cycle. The Best Practices Committee, made up of senior UNSCC officials is responsible for independent review of new projects. Details of the committee and approval thresholds are in the Administrative Manual. However, the committee appears to serve more as an independent peer review.	Governance	Possible	High	
	B (ii) Lack of a Deputy Director, Programmes may lead to inadequate coordination and monitoring of the four programme clusters which could affect the allocation of resources to programmes, lead to inadequate mechanism to prioritise projects and cause undue competition and overlap in the four programme clusters.	The Deputy Director Programmes post has been vacant for about four years. It has been re advertised and the target is to have somebody on board early in 2008. Currently, the Programme Managers informally coordinate among themselves. However, frequent traveling by the program managers makes it difficult for regular meetings with full attendance.				
	B (iii) The transitory period after the departure of the Executive Director may affect the motivation of staff and could lead to a slow down in progress that was achieved during his tenure.	The staff expressed fear that the change in Executive Director could affect the progress that had been made in increasing the publicity of the college and the anticipated increase in voluntary contributions during the outgoing Directors tenure.				

Focus Area: Programme and Project Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
				Possible	High	Higher Risk
B (iv) Lack of clear guidelines on external evaluations may lead to programme implementation problems not being identified in a timely manner and corrective actions taken.	Except for the Conflict Prevention programme that was evaluated in 2003, no other programme evaluations have been done. According to the Strategic Plan, an independent evaluation of progress against targets set in the strategic plan will be done at the end of the next biennium.					
B (v) Inadequate review and regular monitoring of performance indicators may lead to inadequate monitoring of programme performance and inability to ensure achievement of programme objectives.	OIOS was informed that the indicators are not regularly monitored.					
A (i) Lack of trust from stakeholders may hinder the effectiveness and efficiency of programme implementation	UNSSC endeavors to have continual good relationship with the partners for smooth operations. Some of the initiatives such as Senior Management Network, learning Forum and Geneva learning Network help in enhancing the relationship with agencies.	Strategy	Possible	Medium	Moderate Risk
D (i) Financial constraints could lead to inadequate staffing to deliver the programmes objectives effectively.	In 2007, one workshop was cancelled due to staffing shortages.	Financial	Possible	High	Higher Risk
C (i) Need to comply with administrative procedures in areas such as recruitment, travel, procurement etc may result in delays and reduce the effectiveness and efficiency of project execution.	UNSSC is a small organization and its programmes are offered in various locations worldwide. It needs qualified and experienced UN staff who could apply the rules in areas such as travel, Procurement etc in a cost effective manner.	Compliance	Possible	Low	Lower Risk
E (i) Penalties may arise if accommodations reserved in the Turin campus are cancelled.	ITC has proposed that it will invoice UNSSC if cancellation for rooms is done after agreed deadlines.	Operational	Possible	Medium	Moderate Risk

Focus Area: Programme and Project Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7				Possible	High	Higher Risk
II	**Leadership and Management Programme Cluster**			Possible	High	Higher Risk
	E (i) An unsatisfactory rating of The Senior Management Network (SMN) training programme, a new programme for senior officials at the D1 level and above by managers may affect UNSSC' reputation if participants do not rate it as satisfactory. E (iii) The contract with Rotterdam School of Management may not be properly administered and managed to ensure performance is in accordance to the contract and payments are accurately processed and certified. E (ii) The contractor for the SMN training programme may not understand the United Nations (UN) operations well enough and therefore the programme developed may not adequately address the UN needs.	The first training programme was in November 2007. The training has been designed by a reputable University, Rotterdam School of Management at an estimated contract price of $2.5 million. The success of the programme will be determined once tested and its benefit to the agencies assessed. There is only one staff member in the programme and he may not have sufficient time to monitor the contract effectively.	Operational	Possible	High	Higher Risk
	B (i) As the participants in the SMN workshops are from various UN agencies, the performance indicators may be general and difficult to measure and achieve, and therefore, it may be difficult to monitor achievements against plans.	Some of the performance indicators such as management improvements, greater inter agency mobility at senior levels, increased cooperation etc are difficult to measure and attribute directly to the programme.	Governance	Possible	Medium	Moderate Risk

No	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
7	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	D (i) Losses may be incurred if the numbers of participants in the SMN training programmes are below the breakeven point if fees are too high that may discourage particpation, and/or if the fees charged are not properly computed to cover costs. D (ii) Lack of adequate funds to cover staff costs and other project management costs that are expected to be covered by donations could affect delivery of the SMN programme and its financial viability.	The participants will pay a fee which may be perceived to be high and could limit the number of participants. The business module was developed in consultation with other senior officials. Success in the first training course may be the best selling point for future training sessions. Funds will be received from the "Harmonization of Business Practices Proposal" if it is successful	Financial	Possible	High	Higher Risk

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7				Possible	High	**Higher Risk**
No	**Focus Area:** Programme and Project Management					
	Interview/Review Summary (Description of risk)	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
III	**Development Cooperation Programme Cluster**			Possible	Medium	**Moderate Risk**
	D (i) The fact that UNSSC is an implementing partner in the Resident Coordinator System (RCS) programme under the UN Development Group Office may lead to confusing reporting lines or arrangements. D (ii) The departure of the Head of DGO has the potential risk of affecting the direction and funding status of the RCS programme. D (iii) DGO funding of the RCS programme is on an annual basis with no certainty on the level of funding which makes it difficult to plan.	The RCS programme is mostly funded by UN Development Group Office (DGO) and UNSSC is an implementing partner. It is also supported by the Italian Government. The Head of DGO has to be someone who was previously a Resident Coordinator. Therefore anybody appointed to the post would be a person that has been trained by UNSSC and therefore is unlikely to bring a significant change in direction. Funding has been obtained from Italy. However, there is still need for diversification of the funding sources. The programme generated income of $180,000 in 2007.	Financial	Possible	High	**Higher Risk**

No	Interview/Review Summary (Description of risk)	Focus Area: Programme and Project Management — OIOS Assessment	Risk Category	Possible / Likeli-hood	High / Impact	Higher Risk / Overall Risk
7	A (i) The challenging position of being a mediator in the political infightings between the inter-agency groups and DGO could affect UNSSC's relationship with DGO. A (ii) Different agencies may not agree on the content of training material used in training which may hinder the RCS programme's ability to achieve its goal of having the UN system at the country level play a more strategic role.	Political infighting between the inter-agency groups and DGO with UNSSC maintaining a neutral position, has led to the agencies trusting UNSSC more than DGO. This has put UNSSC in the challenging position of being a mediator. OIOS was informed of examples when the RCS programme successfully handled political situations.	Strategy	Possible	Medium	Moderate Risk
	F (i) Change in priorities during the year could lead to additional requests that may not be achieved due to staffing constraints	According to the Strategic Plan, the RCS programme has created a network of facilitators that are available to support the process and in sufficient numbers to run several events simultaneously.	Human Resources	Possible	Medium	Moderate Risk
	B (i) Evaluation of the impact of the RCS programme is dependent on factors that may be beyond UNSSC control. B (ii) Evaluation of the RCS programme may not be carried out on a regular basis due to lack of approval from DGO and funding constraints	Participants may be well trained but putting into practice what they learn is dependent on other factors. The RCS programme has not been evaluated.	Governance	Possible	Medium	Moderate Risk

Focus Area: Programme and Project Management

Higher Risk

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
				Possible	High	
				Remote	High	**Moderate Risk**
				Possible	Medium	
IV	**Peace and Security Programme**			Remote	High	**Moderate Risk**
	F (i) Inadequate staffing level may affect the Peace and Security (PS) programme's ability to accomplish its objectives.	The staffing level is the same as budgeted except that one of the posts is filled by an "Associate Collaborator."	Human Resources	Remote	High	**Moderate Risk**
	F (ii) Insufficient pool of trainers for the PS programme in different geographical locations may lead to non-availability of trainers when needed.	OIOS was informed that the PS programme had not experienced any problems of lack of availability of trainers.				
	D (i) Funds may not be sufficient to cover the PS programmes costs.	The PS programme is currently funded through 2008.	Financial	Remote	High	**Moderate Risk**
	D (ii) Financial information may not be received in a timely manner which could affect the decision making process.	The PS programme has developed its own tools for monitoring its finances to supplement the information received from Finance Section.				
V	**Learning Support Services (LSS) Programme**			Possible	Medium	**Moderate Risk**
	G (i) Outsourcing of elements of the LSS programme's e-learning modules could result in increased costs and increased risk of unreliability.	The UNSSC IT department may not be able to adequately support the LSS programme's e-learning and long distance training. As a result, elements of the e-learning module that cannot be supported by UNSSC are outsourced. Outsourcing IT services are sought if needed when they are economical. Service reliability risk is assessed at the feasibility study with a cost-benefit analysis.	Information Resources	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) Financial constraints have led to the use of Associate Collaborators to fill vacant posts. The Associate collaborators are not staff and this arrangement could affect their motivation and reliability. F (ii) The LSS programme has three Associate Collaborators. If they are eventually recruited as staff, the programme will not have a wide geographical representation of staff and this could affect its reputation and fund raising efforts	OIOS was informed that there have been positive developments in the fundraising efforts. The Government of Germany has pledged to make a contribution and an MOU with the Government of Catalunya is under consideration for un-earmarked funds. The Associate Collaborators are now allowed to apply for posts as the six-month waiting period was waived.	Human Resources	Possible	Medium	Moderate Risk
	D (i) Insufficient number of participants in the proposed diploma course for evaluators may lead to financial losses	United Nations Evaluation Group plans to set up a revolving fund that would enable UNSSC to recruit project support staff.	Financial	Possible	High	Higher Risk

Risk Assessment of : UNSSC

No	9 / Focus Area:	Property and Facilities Management		Possible	Low	Lower Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Property Management**		Possible	Low	Lower Risk	
	C (i) Controls and procedures in property management may not always be complied with, leading to unidentified losses and theft of property	UNSSC has approximately 600 inventory items, mainly office furniture and equipment. Most of these are fully depreciated and therefore the risk in this area is generally low. UNSSC premises are provided by the host government.	Compliance	Possible	Low	Lower Risk

Risk Assessment of : UNSSC

10	**Focus Area:**	**Safety and Security**		**Remote**	**High**	**Moderate Risk**
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	Security			**Remote**	**High**	**Moderate Risk**
I	A (i) Absence of an adequate security plan to respond to emergencies/contingencies may endanger the lives of staff members and clients.	A review of the security in the buildings was done by Security Section staff from Geneva and Vienna. A Committee comprising of representatives from the three organizations located in the campus was set up and meets occasionally.	Strategy	Remote	High	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	Security of UN staff and installations, Contingency planning, Evacuation procedures and drills, Occupational safety
11	Other areas	This is for illustration purposes only and is not a comprehensive audit and is included for any other focus areas not specified in 1-10. This may include general office administration, executive offices and common services etc.

Risk Categories

Risk categories are common concerns or events, grouped together by the type of risk that will result.

The seven (7) risks used in OIOS Risk Assessment methodology are as follows:

A. Strategy
B. Governance
C. Compliance
D. Financial
E. Operational
F. Human Resources
G. Information Resources

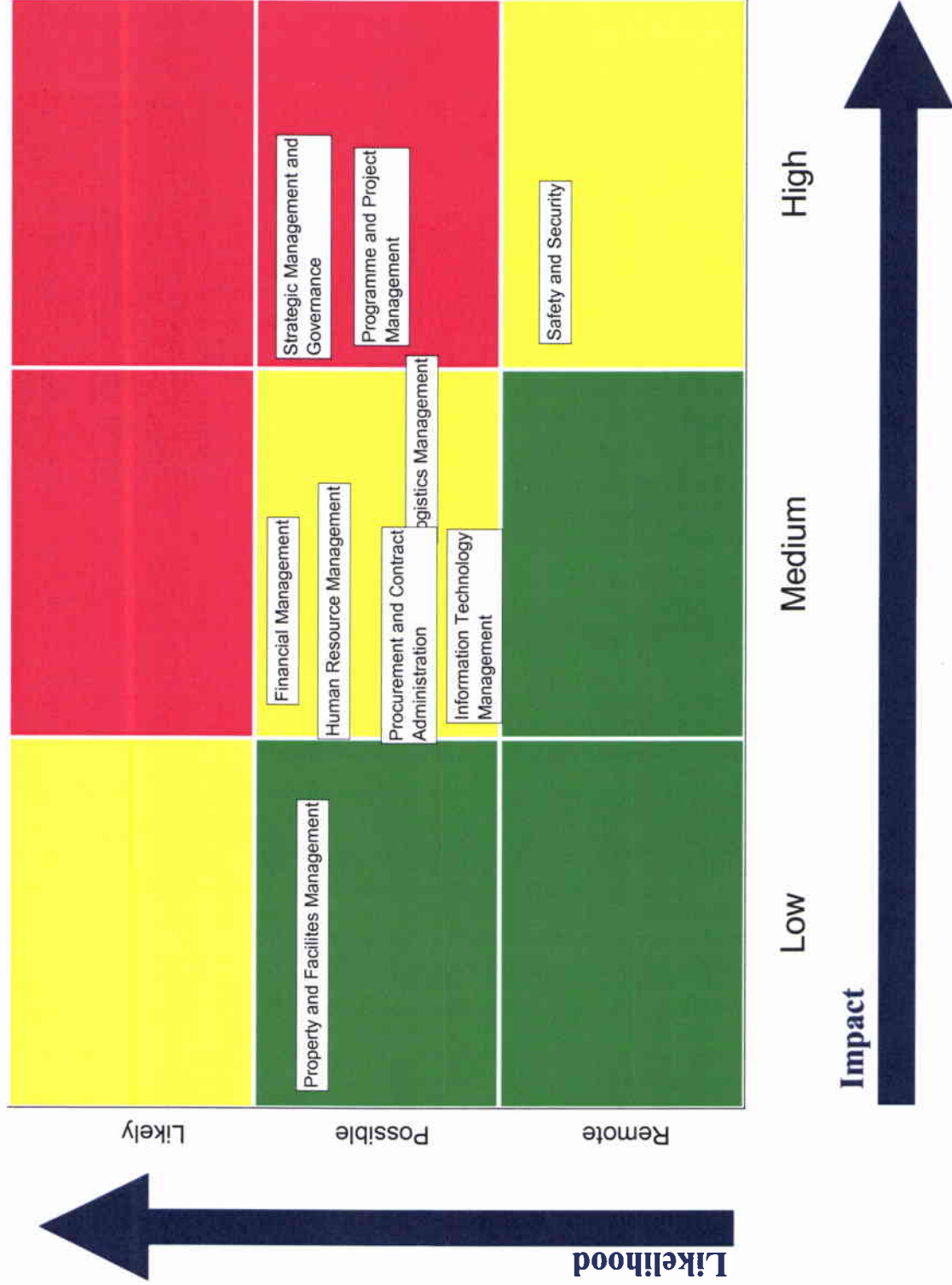| No.	Risk Category	Description
A	Strategy	Impact on mandate, operations or reputation arising from inadequate strategic planning, adverse business decisions, improper implementation of decisions, a lack of responsiveness to changes to the external environment, or exposure to economic or other considerations that affect the Organization's mandates and objectives.
B	Governance	Impact on mandate, operations or reputation as a result of failure to establish appropriate processes and structures to inform, direct, manage and monitor the activities of the Organization toward the achievement of its objectives. Includes attributes such as leadership, tone at the top, and promotion of an ethical culture in the Organization.
C	Compliance	Impact on mandate, operations or reputation from violations or non-conformance with, or inability to comply with laws, rules, regulations, prescribed practices, policies and procedures, or ethical standards.
D	Financial	Impact on mandate, operations or reputation resulting from: failure to obtain sufficient funding, funds being inappropriately used, financial performance being not managed according to expectations, or financial results being inappropriately reported or disclosed.
E	Operational	Impact on mandate, operations or reputation resulting from inadequate, inefficient or failed internal processes that do not allow operations to be carried out economically, efficiently or effectively.
F	Human Resources	Impact on mandate, operations or reputation resulting from a failure to develop and implement appropriate human resources policies, procedures and practices to meet the Organization's needs.
G	Information Resources	Impact on mandate, operations or reputation resulting from failure to establish appropriate information and communication systems and infrastructure so as to efficiently and effectively carry out the Organization's operations..

Risk Assessment Ratings

The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used are shown below:

Risk Likelihood

Likely	Conditions within our environment indicate that an event is expected to occur in most circumstances
Possible	Conditions within our environment indicate that an event will probably occur in many circumstances
Remote	Conditions within our environment indicate that an event may occur at some time

Risk Impact

High	Serious impact on operations, reputation, or funding status
Medium	Significant impact on operations, reputation, or funding status
Low	Less significant impact on operations, reputation, or funding status

Overall Risk Combinations Impact and Likelihood

Higher Risk	The identified issue represents the following likelihood and impact combinations: • Likely and high • Likely and medium • Possible and high
Moderate Risk	The identified issue represents the following likelihood and impact combinations • Likely and low • Possible and medium • Remote and high
Lower Risk	The identified issue represents the following likelihood and impact combinations • Possible and low • Remote and low • Remote and medium

RISK SUMMARY PROFILE (Focus Area)

12/03/2008

A risk matrix with Likelihood (Likely, Possible, Remote) on the vertical axis and Impact (Low, Medium, High) on the horizontal axis.

Focus Areas plotted:
- Property and Facilities Management
- Financial Management
- Human Resource Management
- Procurement and Contract Administration
- Logistics Management
- Information Technology Management
- Strategic Management and Governance
- Programme and Project Management
- Safety and Security

Axis labels: Likelihood, Impact

RISK SUMMARY PROFILE (Sub Focus Area)

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Likelihood (vertical axis, labeled top to bottom): Likely, Possible, Remote

Impact (horizontal axis): Low, Medium, High

Labels plotted on the matrix:

- HR: Performance Appraisal
- Prop: Property Management
- Prog: Learning Support Services (LSS) Programme
- Fin: Payments
- HR: Training
- Strategic: Strategic Management
- Strategic: Governing Bodies
- Strategic: Risk Management
- Fin: Financial Reporting
- Strategic: Organizational Structure/Location
- Strategic: Mandate and Mission
- HR: Staff Administration
- Fin: Budget Process
- IT: System development and maintenance
- Proc: Procurement process
- HR: Recruitment and retention
- Prog: Development Cooperation; Resident Coordinator System (RCS) Programme
- Logistics: Travel
- Fin: Payroll
- Fin: Fundraising/ contributions
- HR: Use of Short term Staff / Consultants
- Prog: Programme Management and Monitoring
- Prog: Leadership and Management Programme
- IT: Business continuity and vulnerability
- Prog: Peace and Security (PS) Programme
- Safety: Security