**OIOS**

# INTERNAL AUDIT DIVISION

# RISK ASSESSMENT

## Department for General Assembly and Conference Management

**30 May 2008**
**Assignment No. AH2007/550/01**

# United Nations · Nations Unies

TO: Mr. Shaaban M. Shaaban, Under-Secretary General
A: Department for General Assembly and Conference Management

DATE: 30 May 2008

REFERENCE: IAD: 08-(0136)

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

SUBJECT: **Risk Assessment of the Department for General Assembly and Conference Management**
OBJET: **Assignment No. AH2007/550/01**

1.      I am pleased to present OIOS' risk assessment of Department for General Assembly and Conference Management , which was carried out with the assistance of the consulting services of Deloitte consultants, for your information.   While we do not require a formal response to this report, you are welcome to discuss any of the issues raised further.

2.      OIOS encourages Department for General Assembly and Conference Management to use the results of this risk assessment to put in place appropriate risk mitigation measures.   OIOS will update the risk assessment periodically, based on subsequent audits or additional information obtained.

3.      I take this opportunity to thank the management and staff involved in the risk assessment for the assistance and cooperation provided to the project team in connection with this assignment.

cc:  Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
     Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
     Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
     Mr. Byung-Kun Min, Programme Officer, OIOS

# INTERNAL AUDIT DIVISION

**FUNCTION**

*"The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates, ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies, undertake management audits, reviews and surveys to improve the structure of the Organization and its responsiveness to the requirements of programmes and legislative mandates, and monitor the effectiveness of the systems of internal control of the Organization" (General Assembly Resolution 48/218 B).*

**CONTACT INFORMATION**

**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, HEADQUARTERS AUDIT SERVICE:**
William Petersen: Tel: xxx, Fax: xxx,
e-mail: Petersen@un.org

# PARTICIPANTS

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

Table 1: List of participants

| Focus Area | Name and Function |
|---|---|
| Strategic Management and Governance | Mr. Shaaban M. Shaaban, Under-Secretary-General, Department for General Assembly and Conference Management<br>Mr. Yohannes Mengesha, Assistant-Secretary-General, Department for General Assembly and Conference Management<br>Ms. Margaret Kelley, Director, General Assembly & ECOSOC Affairs<br>Ms. Vivian Lewis, Chief, Central Planning and Coordination Service |
| Financial Management | Mr. Shaaban M. Shaaban, Under-Secretary-General, Department for General Assembly and Conference Management<br>Mr. Yohannes Mengesha, Assistant-Secretary-General, Department for General Assembly and Conference Management<br>Ms. M. A. Chiulli, Executive Officer |
| Human Resources Management | Mr. Shaaban M. Shaaban, Under-Secretary-General, Department for General Assembly and Conference Management<br>Mr. Yohannes Mengesha, Assistant-Secretary-General, Department for General Assembly and Conference Management<br>Ms. Margaret Kelley, Director General Assembly & ECOSOC Affairs<br>Mr. Stephen Sekel, Director, Documentation Division<br>Ms. Vivian Lewis, Chief, Central Planning and Coordination Service<br>Mr. Jarmo Sareva, Chief, Disarmanent & Peace Affairs Branch<br>Ms. Jennifer de Laurentis, Chief, ECOSOC Affairs Branch<br>Mr. Ion Botnaru, Chief, General Assembly Affairs Branch<br>Ms. Valeri Kanzani, Chief, Meetings Unit<br>Mr. Hossam Fahr, Chief, Interpretation Service<br>Mr. Ryszard Siwanowicz, Chief, Copy Preparation and Proofreading Section<br>Ms. Arlene Sciancalepore, Chief, Text Processing Section<br>Mr. William Hamill, Chief, Publishing Section |
| Procurement Management | Mr. Shaaban M. Shaaban, Under-Secretary-General, Department for General Assembly and Conference Management<br>Mr. Yohannes Mengesha, Assistant-Secretary-General, Department for General Assembly and Conference Management<br>Mr. Andrey Shumikhin, Chief, Information Management and Technology Unit<br>Ms. M.A Chiulli, Executive Officer |
| Information Technology Management | Mr. Shaaban M. Shaaban, Under-Secretary-General, Department for General Assembly and Conference Management<br>Mr. Yohannes Mengesha, Assistant-Secretary-General, Department for General Assembly and Conference Management<br>Mr. Andrey Shumikhin, Chief, Information Management and Technology Unit<br>Mr. Ramon Del Rosario, Chief, Computer Operations Support. |

| | |
|---|---|
| Programme and Project Management | Mr. Shaaban M. Shaaban, Under-Secretary-General, Department for General Assembly and Conference Management.<br>Mr. Yohannes Mengesha, Assistant-Secretary-General, Department for General Assembly and Conference Management<br>Ms. Margaret Kelley, Director General Assembly & ECOSOC Affairs<br>Mr. Stephen Sekel, Director, Documentation Division<br>Ms. Vivian Lewis, Chief, Central Planning and Coordination Service<br>Mr. Jarmo Sareva, Chief, Disarmanent & Peace Affairs Branch<br>Ms. Jennifer de Laurentis, Chief, ECOSOC Affairs Branch<br>Mr. Ion Botnaru, Chief, General Assembly Affairs Branch<br><br>Ms. Valeri Kanzani, Chief, Meetings Unit<br>Mr. Lixian Xiong, OIC Document Management Section<br>Mr. Xuesong Ma, Chief, Documentation Programming and Monitoring Unit<br>Ms. Shivona Tavares-Walsh, Chief Documents Control Section<br>Mr. Ragab El Shaer, Chief ,Arabic Service<br>Mr. Yanan Xu, Chief, Chinese Service<br>Ms. Sheila Sarkar, Chief, English Service<br>Mr. Alassane Diatta, Chief, French Service<br>Mr. Kiril Speransky, Chief, Russian Service<br>Ms. Monika Torrey, Chief, German Service |
| Property and Facilities Management | Mr. Shaaban M Shaaban, Under-Secretary-General, Department for General Assembly and Conference Management<br>Ms. Vivian Lewis, Chief, Central Planning & Coordination Service<br>Ms. Jane Pittson-Chianese, Chief, Meeting Management Section<br>Ms. Valeri Kazanli, Chief, Meeting Servicing Unit |
| Safety and Security | Mr. Shaaban M. Shaaban, Under-Secretary-General, Department for General Assembly and Conference Management.<br>Mr. Yohannes Mengesha, Assistant-Secretary-General, Department for General Assembly and Conference Management<br><br>Ms.Valeri Kanzani, Chief, Meetings Unit<br>Mr. Lixian Xiong, OIC, Document Management Section |

# SUMMARY OF RISK RATINGS

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

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

Table 2: Summary of identified risks

| Focus Area | Overall Risk |
|---|---|
| i.   Safety and Security<br>ii.  Information Technology Management<br>iii. Strategic Management and Governance<br>iv. Human resource Management<br>v.  Financial Management<br>vi. Conference and Documents Management<br>vii. Property and Facilities Management | **Higher Risk** |
| i.   Procurement and Contract Administration<br>ii.<br>iii.<br>iv.<br>v. | **Moderate Risk** |
| i.<br>ii.<br>iii.<br>iv.<br>v. | **Lower Risk** |

RISK REGISTER

# Risk Assessment of : Department for General Assembly and Conference Management

| No | Focus Area: | Strategic Management and Governance | | Possible | High | Higher Risk |
|---|---|---|---|---|---|---|
| 1 | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| I | Overall Mandate Implementation | | | Possible | High | Higher Risk |
| | A(i) Lack of clarity and ambiguous expectations from Member States could lead to mismatch between the services provided and those expectations. | The proposed strategic framework for the department set out expected accomplishments and indicators of achievement for the department which is subject to approval by the General Assembly. DGACM conducts surveys of Member States. | Strategy | Possible | High | |
| | A(ii) There could be a lack of unity of vision for DGACM as duty stations (Nairobi, Geneva, Vienna) currently maintain their own systems and report to their Directors-General. This could lead to a fragmented vision therefore stopping the full achievement of mandate. | Res 57/283B states that DGACM is responsible for implementing policy, formulating standards and guidelines, coordinating UN conference services and the overall management of resources, while UNOG, UNOV, and UNON are responsible and accountable for the day-to-day operations. To facilitate interaction and coordination, regular meetings are held across the duty stations to try to unify the vision. Also, the Committee on Conferences, a permanent subsidiary organ of the General Assembly (GA), advises the GA on matters relevant to the organization of conferences in the UN; plans and coordinates conferences/meetings in consultation with the Secretariat and all relevant bodies in preparing the draft calendar; and recommends to the GA a draft calendar of conferences and meetings designed to meet the needs of the UN. | | | | |

| | Focus Area: | Strategic Management and Governance | | Possible | High | Higher Risk |
|---|---|---|---|---|---|---|
| **No** | **Interview/Review Summary (Description of risk)** | **OIOS Assessment** | **Risk Category** | **Likeli-hood** | **Impact** | **Overall Risk** |
| | E(i) Member States (for funding reasons for example) may impose a particular mix of staffing that may not be appropriate for the proper servicing of conferences and meetings. This may lead to an inability to properly service the conferences and meetings. | Mandated staffing stems from the budgetary process and DGACM is able to address questions prior to the passing of the budget but this may not sway the result. | Operational | Likely | High | Higher Risk |
| **II** | **Internal Governance** | | | Possible | High | Higher Risk |
| | E(i) Inadequate meetings with staff generally to discuss matters of concern may have an adverse effect on staff morale.<br><br>E(ii) The use of already stretched staff resources to cover the project to instill monitoring, evaluation, risk and statistical analysis capacity (MERS) into DGACM could impede the speed of implementation and possibly cause the implementation to fail.<br><br>E(iii) Inadequate management of balance between quality and cost may result in lack of quality or over-expenditure. | Even though there are no consistent regular Department-wide meetings, various unit sections have regular meetings. The MERS project has recently been established. | Operational | Possible | High | Higher Risk |
| | F(i) Limited human resources devoted to monitoring and evaluation could make this activity ineffective although it is critical for DGACM. | | Human Resources | Possible | High | Higher Risk |
| **III** | **Utilisation of services and facilities** | | | Possible | Medium | Moderate Risk |
| | A (i) Strategies may not be in place to ensure optimal utilization of conference servicing resources and facilities | DGACM undertaking consultations to obtain and utilize appropriate statistics for decision making regarding utilization of servicing resources and facilities | Strategy | Possible | Medium | Moderate Risk |
| **IV** | **Procurement** | | | Likely | High | Higher Risk |

| | | Focus Area: | Strategic Management and Governance | | Possible | High | Higher Risk |
|---|---|---|---|---|---|---|---|
| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| 1 | Delays in the approval and procurement process may delay implementation of global solutions for documents and meetings management such as enterprise content management (ECM) and customer relationship management (CRM). The applications are necessary for enhancing efficiency and effectiveness of DGACM | | Operational | Likely | High | Higher Risk |
| V | **Performance Management** | | | Possible | High | Higher Risk |
| | Inadequate performance measurement and evaluation mechanisms could be in place resulting in failure to track and enhance efficiency and effectiveness of operations | DGACM has proposed a performance measurement matrix that includes indicators of financial performance, quality of services provided, and productivity of human resources | Operational | Possible | High | Higher Risk |

# Risk Assessment of : Department for General Assembly and Conference Management

| Focus Area: Financial Management | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
|---|---|---|---|---|---|
| Interview/Review Summary (Description of risk) | | | Possible | High | Higher Risk |
| **Financial Rules, Regulations, Policies and Processes** | | | Possible | High | **Higher Risk** |
| C(i) The financial rules, regulations, policies and processes, Secretary-General's Bulletins (SGBs) and Administrative Instructions (AI) may be fragmented and not consolidated leading to difficulty in compliance and confusion over which rules and regulations etc are relevant. | Executive office provides expertise and guidance to department head and programme managers | Compliance | Possible | Medium | **Moderate Risk** |
| D(i) Inadequate funding for meetings could lead to meetings not being conducted or properly serviced. | | Financial | Possible | High | **Higher Risk** |
| E(i) Lengthy budgetary processes resulting in a lack of synchronisation between the forecasted and actual needs whereby budgetary requirements tend to change even before the budget has been approved. | DGACM tries to forecast the budgetary needs as accurately as possible through involving the various sections.<br><br>Ad hoc requests/supplementary budgets can be satisfied | Operational | Remote | High | **Moderate Risk** |

# Risk Assessment of : Department for General Assembly and Conference Management

| | Focus Area: | Human Resource Management | | Possible | High | Higher Risk |
|---|---|---|---|---|---|---|

| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
|---|---|---|---|---|---|---|
| 3 | | | | | | |
| I | **Recruitment, Entitlements and Benefits** | | | Possible | High | **Higher Risk** |
| | F(i) The lack of control over the recruitment process could lead to mismatches in timing of recruitments as against the real DGACM human resources needs especially if the lead time for recruitment is not accurately forecasted. As a result DGACM may not have the right staff at the right time, reducing its effectiveness in meeting its mandate.<br><br>F(ii) Differences in grading levels for officers who perform the same functions but for different languages could lead to reduction in staff morale, discontentment and loss of staff which could impact on the quality of services provided overall. | | Human Resources | Likely | High | **Higher Risk** |

| | Focus Area: | Human Resource Management | | Possible | High | Higher Risk |
|---|---|---|---|---|---|---|
| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| 3 | F(iii) The UN salary offering may be unable to effectively compete with the amounts being offered by other entities, thereby making it difficult to attract the right candidates for vacant positions and an inability of the DGACM to effectively achieve its mandate.<br><br>F(iv) The DGACM may be unable to flexibly adjust to changing circumstances of candidates thereby resulting in loss of candidates to other employers. (Some candidates who sit for the UN language examinations and are supposed to be in a pool of resources to fill vacant positions use the examinations as a means of receiving their qualification and use that to obtain employment elsewhere (higher salaries etc) thereby reducing the pool of resources available for the DGACM to call upon to fill vacancies).<br><br>F(v) Limited career development opportunities (some staff get stuck on one grade/level for long periods) could lead to low staff morale and possibly affect the quality of work.<br><br>F(vi) OHRM may not be able to hold enough language examinations to satisfy the recruitment needs of the DGACM during the year leading to shortage of staff. | DGACM has tried to use other means of getting staff including use of contracted ex-employees. | Human Resources | Possible | High | Higher Risk |

| No | Focus Area: | Human Resource Management | | | | | |
|---|---|---|---|---|---|---|---|
| 3 | | | | | Possible | High | Higher Risk |
| | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| | F(vii) Reliance to an extent on retirees for temporary assistance may result in periods of unavailability of such staff due to the UN imposed limitation on the duration and emoluments of retirees. | DGACM has started targeted meetings in Universities to promote the benefits of working for the UN as means of bolstering numbers of candidates. | Human Resources | Possible | High | Higher Risk |
| | F(viii) Lack of successful candidates for entry examinations for interpreters and translators could result in wastage of resources used on administering the examinations. | | | | | |
| | F(ix) The inability to accurately forecast the requirements for temporary assistance could lead to excessive expenditures or inability to deliver some required services for the department. | | | | | |
| | F(x) Delays in financial processing of entitlements and benefits could result in low staff morale and reputional damage to the organization. | | | | | |
| II | Training | | | Possible | High | Higher Risk |

| | **Focus Area:** | Human Resource Management | | Possible | High | Higher Risk |
|---|---|---|---|---|---|---|
| **No** | **Interview/Review Summary (Description of risk)** | **OIOS Assessment** | **Risk Category** | **Likeli-hood** | **Impact** | **Overall Risk** |
| **3** | F (i) The absence of institutionalised and systematic training for officers within DGACM, as training has been planned on an ad-hoc basis with help from the OHRM, does not allow for good planning and could impact negatively on the effectiveness of DGACM's staff in the implementation of their mandate.

F(ii) The absence of a structured skills and training matrix prepared to determine gaps in the skills base that require additional training, may not promote medium to long term planning for DGACM's skills and training needs and could lead to a sharp shortage of required and up-to-date skills in the future.

F (iii) Scarcity of people to do training in some languages (eg Arabic) resulting in training plans not being implemented and hence staff members not acquiring required skills. | A training officer has recently been appointed to address the issues. | Human Resources | Possible | High | Higher Risk |
| | D(i) Budgetary constraints for training resulting in staff members not updating their skills. | DGACM tries to forecast the training needs but this is subject to the amount finally approved in the budget. | Financial | Possible | High | Higher Risk |
| **III** | **Use of Contractors** | | | Possible | Medium | Moderate Risk |

| | | Higher Risk | | Possible | High | |
|---|---|---|---|---|---|---|
| **3** | **Focus Area:** | **Human Resource Management** | | | | |
| **No** | **Interview/Review Summary (Description of risk)** | **OIOS Assessment** | **Risk Category** | **Likeli-hood** | **Impact** | **Overall Risk** |
| | E(i) Due to the lack of adequate revisers within the DGACM, the out-sourced translations may not be revised on a timely basis (if revised at all). This could lead to errors in translation not being picked up.<br><br>E(ii) The use of off-site contractors may present difficulties in terms of the status of such workers.<br><br>E(iii) Contracted translators have limited access to UN tools and resources (i.e. terminology tools) which may reduce the quality of the work received from them. | DGACM conducts spot-checks of work performed by contractors as a risk management step. At present the DGACM outsources about 20% of translation services as a means of keeping costs down and as mandated by the General Assembly. Reducing the number of errors is one of the critical performance measures for the DGACM.<br><br>The Office of Legal Affairs is working to address the status of such off-site workers.<br><br>DGACM provides assistance to the translators to access UN resources but this is limited. | Operational | Possible | Medium | Moderate Risk |
| **IV** | **Succession Planning** | | | Likely | High | Higher Risk |

| No 3 | Focus Area: | Human Resource Management | | Possible | High | Higher Risk |
|---|---|---|---|---|---|---|
| | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| | F(i) Lack of a succession plan could lead to disruption of work when key staff resign or retire leading to an inability to carry out the DGACM's mandate.<br><br>F(ii) Lack of capacity to hold examinations on a timely basis may affect the succession planning of DGACM and may result in serious shortage of qualified staff thereby causing a reduction in quality of work performed. | The DGACM has started an outreach programme to Universities to attract more graduates into the language courses with the hope that increased knowledge of the UN would result in more recruits. Approximately about 25% of language staff (including translation and interpretation) within the DGACM are due to retire in the next five years. There is therefore a requirement to recruit enough language staff in a timely manner to ensure smooth succession planning for the DGACM. The OHRM does not currently have the capacity to hold all the examinations required as a minimum to ensure that the required pool of interpreters, translators and editors are available. This is crucial for the DGACM in providing its mandated services. | Human Resources | | | |
| | F (ii) The UN mobility policy can erode expertise and capability if those with deep knowledge of the meeting proceedings leave for other areas of the Organization. | UN Mobility is a whole of UN policy and DGACM abides by this policy. A new training officer has been appointed to address the training needs of the DGACM. | | | | |

# Risk Assessment of :   Department for General Assembly and Conference Management

| 4 | Focus Area: | Procurement and Contract Administration | | Possible | Medium | Moderate Risk | Higher Risk |
|---|---|---|---|---|---|---|---|
| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk | |
| I | Procurement | | | Possible | High | Higher Risk | |
| | D(i) The slow procurement process may result in delays in availability of requirements and in loss of budgeted amounts for specific projects where the project is not started within the biennum.  This could result in a slow down of the pace of technological development, which is critical if DGACM is to keep abreast with modern trends for conferences and meetings. (DGACM has been working on a project to replace the official documentation system for some time.  An amount of $5 million was allocated for this purpose.  Due to the slow procurement process, the procurement in now about to transcend the previous biennium and as a result, the amount budgeted would be lost with its attendant requirement to include the item in the new budget and then start the whole process to procure the system again. This has slowed down the pace of technological development within DGACM.  The Under Secretary-General has written to the Controller to try to address this issue.) <br><br> D(ii) The cost of travel may be high due to the use of a sole provider leading to limitation on travel that DGACM ca | | Financial | Possible | High | Higher Risk | |
| | E(i) DGACM may not follow procurement rules thereby exposing the Organization to potential litigation and reputational damage. <br><br> E(ii) There could be fraud in the procurement process leading to reputational damage to the UN. | Segregation of duties exists with the commercial process being performed by the Procurement Service.  DGACM is only involved in the requisitioning and technical evaluations. | Operational | Possible | High | Higher Risk | |

# Risk Assessment of : Department for General Assembly and Conference Management

| No | Focus Area: | Information Technology Management | | Likely | Medium | Higher Risk |
|---|---|---|---|---|---|---|
| | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| I | Information Management | | | Likely | Medium | Higher Risk |
| | G(i) Inadequate means for capturing feedback from Member States in respect of concerns or satisfaction with the services provided may result in low client satisfaction. | DGACM has started efforts to get new and improved software and a database. | Information Resources | Possible | Medium | Moderate Risk |
| | G(ii) The lack of a departmental knowledge management system could lead to a depletion of institutional memory. | DGACM has started efforts through a Global IT project as a first step. | | | | |
| II | Information Technology Management | | | Likely | Medium | Higher Risk |
| | G(i) The inability of DGACM within its current budget to have up-to date software progammes and computer assisted translation software may result in insuffuicient quality of work produced. | DGACM has started efforts to get new and improved software. | Information Resources | Likely | High | Higher Risk |

| | Higher Risk | Medium | Likely | | | |
|---|---|---|---|---|---|---|
| **No** | **Interview/Review Summary (Description of risk)** | **OIOS Assessment** | **Risk Category** | **Likeli-hood** | **Impact** | **Overall Risk** |
| **6** | **Focus Area:** Information Technology Management | | | | | |
| | G(ii) Constraints of the central infrastructure support services (no VPN, no external servers) could lead to DGACM not being able to recover from IT disasters.<br><br>G(iii) Some sections have their own IT support personnel who are not consolidated with the recognized DGACM IT group. This could result in a sub optimal utilization of IT resources in the department. | DGACM uses ITIL as the standard for measuring its IT performance.<br><br>Efforts are being made by the IT section to consolidate IT resources through strategic planning. | Information Resources | Likely | Medium | Higher Risk |
| | G(iv) The Information Technology Services Division's (ITSD) use of systems contract with only one vendor at a point in time could lead to an over reliance on vendors who may not provide required goods and services at the right time.<br><br>G(v) Files provided by contractors may be infected with virus which could potentially lead to loss of data integrity and availability.<br><br>G(vi) New IT software may be developed in house without following the internationally as well as UN accepted standards. | UN has measures in place to scan for viruses.<br><br>The IT section has adopted ITIL as their standard software system. | Information Resources | Possible | High | Higher Risk |

| | Higher Risk | Medium | Likely | | |
|---|---|---|---|---|---|

| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
|---|---|---|---|---|---|---|
| 6 | **Focus Area:** Information Technology Management | | | | | |
| | E(i) The current voting system for GA and ECOSOC affairs is manual hence vulnerable to risk of untimeliness in compilation of results, challenges to validity and potential miscounting of the voting. | Manual system is reliable but uses more time. DGACM had considered electronic option for voting but member state may oppose it on the basis of confidentiality. | Operational | Remote | High | **Moderate Risk** |
| | E(ii) Lack of a plan to ensure that the calendar published in electronic form is synchronized and up to date at all locations once CMP is in progress may result in confusion at meetings and member states being dissatisfied. | Plans are being developed by DGACM to ensure synchronization during the implementation of CMP when DGACM is split into many locations. | | | | |
| | A(i) Potential misalignment between Business and IT strategies due to lack of information around the strategic thrusts that are agreed by the Departmental Management Group (DMG) may result in ineffective and inefficient use of IT technologies within DGACM. | The strategy was last updated in 2004. There are now plans to update it.<br><br>A business continuity plan is being developed. | Strategy | Possible | High | **Higher Risk** |
| | A(ii) The Information Management and Technology Unit does not attend DMG meetings to become abreast of strategy. | | | | | |
| | A(iii) DGACM-IT strategy may not be fully aligned with organization's IT strategy resulting in increased costs and inefficiency (inability to utilize economies of scale). | | | | | |
| | A(iv) IT strategy may not be up to date resulting in inefficient and ineffective use of IT resources. | | | | | |
| | A(v) Lack of a robust business continuity plan could lead to disruption of services in the event of a disaster (no redundancy in servers, no hot sites and all servers in one location). | | | | | |

| Higher Risk | Medium | Likely |
| --- | --- | --- |

**Focus Area: Information Technology Management**

| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| --- | --- | --- | --- | --- | --- | --- |
| | D(i) IT may have a low profile/priority resulting in IT budget submissions not being completely incorporated in the DGACM's budget. | The IT section has began meetings with the USG with a view to ensuring that priority is given in the budget but this needs to be monitored. | Financial | Possible | Medium | Moderate Risk |
| | F(i) Lack of sufficient IT staffing resources to support the needs of DGACM could lead to slow pace of technological development. | | Human Resources | Likely | High | Higher Risk |
| | B(l) Lack of clear direction (policies) on the use of technology to support language, translation and interpretation may result in sections moving in different directions in terms of IT and increased costs. | | Governance | Possible | Medium | Moderate Risk |
| | B(ii) The lack of standardised software could lead to a proliferation of different software in duty stations, which could lead to differences in the quality of services provided. | There is increased coordination with the duty stations but this is voluntary rather than structural. | Governance | Likely | High | Higher Risk |
| | F(iv) A lack of adequate human resources to ensure that the technological tasks can be met on a timely basis could lead to DGACM being slow on uptake of new technology. | DGACM has been consulted as part of the CMP process but efforts need to continue to ensure that all concerns are addressed. | Human Resources | Possible | High | Higher Risk |

# Risk Assessment of : Department for General Assembly and Conference Management

| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
|---|---|---|---|---|---|---|
| 7 | **Focus Area:** Programme and Project Management | | | | | |
| 1 | **Meeting Management and Servicing** | | Operational | Remote | High | **Moderate Risk** |
| | E(i) Non-availability of documents which cover all six languages simultaneously may lead to cancellation of meetings resulting in low client satisfaction. | DGACM has a system to schedule all documents for meetings. | | Remote | High | **Moderate Risk** |
| | E(ii) Miscommunication or lack of communication with substantitive bodies/offices (i.e. Secretariat) when new bodies/regional groupings are formed without consideration of conference management and programme budget implications could lead to meetings of those bodies/regional groupings not being serviced appropriately. | Dealt with through regular interaction with the Secretariat. | | | | |
| | E(iii) Lack of coordination in planning may result in cancellation of meetings or non-attendance by particular attendees due to conflicting schedules. | Wherever possible DGACM tries to schedule meetings to avoid this but sometimes the timing of rescheduling of meetings by chairpersons may not allow the Department to achieve this. | | | | |
| | E(iv) Malfunctioning of equipment or technical glitches may cause disruptions of meetings or potential political tension. | The staff of Meeting Services perform checks of equipment and inform ITSD of any issues but sometimes glitches still occur. | | | | |
| | E(v) Feedback from Member States may not be obtained or acted upon thereby leading to the deterioration of quality of services provided. | The top management of DGACM has shown a keen interest in feedback from Member States, which would assist in keeping the issue at the forefront for staff. The perfomance of the DGACM is measured on the basis of satisfaction of Member States. | | | | |

| 7 | Focus Area: | Programme and Project Management | | | | |
|---|---|---|---|---|---|---|
| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| F(i) There could be a mismatch between capacity and scheduled meetings which could lead to inadequate servicing for meetings | DGACM has a system to schedule all meetings and ensure that capacity is matched but where unexpected changes occur, this risk could materialise. | Human Resources | Remote | High | **Moderate Risk** |
| **II** | **Document Management and Control** | | | Remote | High | **Moderate Risk** |
| E(i) Unplanned and unexpected document submission could upset the plans of DGACM and cause documents to be rushed leading to mistakes. | The current practice is 65% on time submission for pre-session documents. DGACM has no ability to enforce/sanction consistent underperformers/late submitters. A monitoring and evaluation unit is being created. | Operational | Possible | High | **Higher Risk** |
| E(i) Official or sensitive documents which are confidential may be compromised leading to DGACM being accused of leaking the documents and reputational damage. | DGACM has a system for handling and release of sensitive and confidential documents. | Operational | Remote | High | **Moderate Risk** |
| E(ii) Parallel processing, where documents are edited and translated at the same time, may result in a higher human errors or mistakes | Another revision is performed after the parallel processing is completed. | | | | |
| C(i) Non-compliance by author departments for submission of documents required for meetings as well as word limits could adversely affect the timeliness of completion of document, the availability, and could also lead to errors in the processes. | DGACM has no ability to apply any punitive measures. DGACM has been making efforts to influence the author departments in respect of compliance. | Compliance | Possible | High | **Higher Risk** |
| **III** | **Contractual Translation** | | | Possible | Medium | **Moderate Risk** |
| E(i) Loss of control over the translation process when provided by outside contracters which may lead to increase in errors, decrease in quality of document resulting in low client satisfaction. | DGACM performs spot-checks of work performed by outside contractors but does not have the resources to perform full revisions. | Operational | Possible | Medium | **Moderate Risk** |
| E(ii) Translation performed by contractors are only spot checked thereby increasing the risk that errors will not be detected resulting in low client satisfaction. | More experienced officers do the spot checks. | | | | |
| **IV** | **Copy Preparation and proof-reading** | | | Possible | Medium | **Moderate Risk** |

| No | Focus Area: Programme and Project Management | | | | | |
|---|---|---|---|---|---|---|
| 7 | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| | E(i) UN language/terminology used may not be acceptable in certain countries leading to complaints by representatives of those countries. | Disclaimers/footnotes may be added to rectify those issues. | Operational | Remote | High | Moderate Risk |
| | A(i) There may be no reliable in-built contingency plan in place in case of unavailability of key staff. | | Strategy | Possible | Medium | Moderate Risk |
| V | Official Correspondence | | | Possible | Medium | Moderate Risk |
| | E(i) Multiple users in the correspondence unit have access to the electronic signatures thereby posing a potential risk of misuse. | The signatures are only used with official written permission for their use. There is a system of recording who has used the signatures. | Operational | Possible | Medium | Moderate Risk |
| | E(ii) Late or non-delivery of official correspondence could lead to complaints by the target recipient. This could be a result of Permanent Missions not notifying the office of address changes etc. | The Section relies on Permanent Missions to provide up to date address details but there is no official requirement to do so. | | | | |
| | E(iii) Addresses for correspondence are housed in several databases, which have to be manually updated thereby presenting a risk of human error during the updates. | Where correspondence is not received by the Permanent Mission, they tend to inform the Section in order to update the records. | | | | |
| | E(iv) The wrong and/or incorrect attachment may be sent out with correspondence resulting in complaints from the Permanent Missions to whom the correspondence was addressed. | Supervisory controls in place. | | | | |
| | E(v) Incomplete submission of the documentation from the client may result in various clarification being sought from requesting departments thereby resulting in delays. | The Section relies on author Departments following UN rules relating to submission. | | | | |
| VI | Text Processing, Publishing and UN Journal | | | Possible | Medium | Moderate Risk |

| No | Focus Area: | Programme and Project Management | | | | |
|---|---|---|---|---|---|---|
| **7** | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| | E(i) Documents not submitted in the right format could lead to delays in the publishing process due to the need for further clarification and changes to the original document. | The Section sends documents in the wrong format back to author departments for correction. | Operational | Possible | Medium | <span style="background:yellow">**Moderate Risk**</span> |
| | E(ii) Dependence on the upstream members of the documentation processing chain and delays from any of the upstream processes would cause delays in the publishing process. | DGACM has processes for scheduling to ensure achievement of deadlines. | | | | |
| | E(iii) There may not be enough redundancy built into the publishing process to cater for different activity levels thereby causing delays in text processing and dissatisfied clients. | The use of both digital and off-set machines allows enough redundancy to be built in. | | | | |
| | E(iv) Incorrect prioritization of documents may result in the lower priority documents being processed ahead of higher priority ones and delays to high priority documentation. | DGACM has a system for prioritizing documents but this could be affected by human error. | Operational | Possible | Medium | <span style="background:yellow">**Moderate Risk**</span> |
| | G(i) Technical glitches or problems with infrastructure may cause delays in the process. | The IT section is addressing the issue of contingency planning for IT infrastructure. | Information Resources | Possible | High | <span style="background:red">**Higher Risk**</span> |
| | G(ii) With increased introduction of electronic/web publishing, the publishing section may not be utilized by DGACM or may become redundant. | The section has started publishing to CDs and DVDs and needs to continue to stay abreast of new technology to stay relevant. | | | | |
| | G(iii) Inaccurate information published in the UN journal could expose DGACM to political risk. | Supervisory controls in place to check work performed. | | | | |
| | D(i) Outsourcing of publishing services by clients could lead to an under utilization or redundancy of publishing services. | DGACM has started outreach programmes to user-departments to improve use of service. Sunk costs of the Section would have to be incurred regardless of activity | Financial | Possible | Medium | <span style="background:yellow">**Moderate Risk**</span> |
| | F(i) Text Processing Unit may lose trained staff due to the lack of potential career development opportunities. | | Human Resources | Possible | High | <span style="background:red">**Higher Risk**</span> |

| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
|---|---|---|---|---|---|---|
| **7** | **Focus Area:** | **Programme and Project Management** | | | | |
| | C(i) Sentitive or confidential materials may be released to the wrong people, causing potential embarrassment to DGACM and complaints from Member States. | Documents are embargoed until released by document control. | Compliance | Remote | High | **Moderate Risk** |
| **VII** | **General Assembly, ECOSOC, Disarmarment and Peace Affairs** | | | Possible | High | **Higher Risk** |
| | E(i) Limitations on the availabity of interpretation services for ad-hoc non-mandated meetings could lead to cancellation of some meetings and frustation of the delegates. | DGACM has a priority system in respect of scheduling for meetings. | Operational | Possible | High | **Higher Risk** |
| | E(ii) Human error during the use of simultaneous interpretation service may cause major negative diplomatic incidents. | DGACM employs highly skilled staff who are very well versed in their work, however ocassionally these incidents still occur. | | | | |
| | E(iii) Unsuitable advisory service to the chairpersons may lead to embarassement and potential questionning of the impartiallity of the chairperson by the delegates. | Skilled staff who are well versed in the meeting procedures and protocols are used. | | | | |
| | C(i) Non-compliance to set procedures including listing of speakers as ranked by protocol which could lead to negative diplomatic incidents. | Skilled staff who are well versed in the meeting procedures and protocols are used. | Compliance | Possible | High | **Higher Risk** |
| | C(ii) The manual of rules of procedures may not be updated regularly or on a timely basis thereby leading to potential negative diplomatic incidents. For example the published ranking by protocol which is used for the list of speakers should be kept up to date. | | | | | |
| | C(iii) Misintepretation of rules and procedures during meetings could result in challenges from delegates leading to embarrassement to the chairperson. | | | | | |

| No | | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
|---|---|---|---|---|---|---|---|
| | **Focus Area:** | **Programme and Project Management** | | | | | |
| 7 | | Technical problems with the conferencing voting machines could result in mis-voting, frustration of delegates and a perception of partiality. | The machines are tested for readiness before meetings but technical glitches could still occur. | Information Resources | Remote | High | Moderate Risk |
| VIII | | **Translation Services (Languages)** | | | Possible | High | Higher Risk |
| | | E(i) High percentage of self-revision (staff member revising own work) could result in errors not being picked up. | Another revision is performed at the next stage of the process at the text processing unit. | Operational | Possible | High | Higher Risk |
| | | E(ii) Incorrect translation could lead to negative political consequences for DGACM including complaints from member states. | | | | | |
| | | E(iii) Trade-offs may be made among timeliness, quality and cost and this may not always be achieved optimally. | | | | | |
| | | E(iv) Inadequate language coverage since for certain languages, there are only few people who can translate from them to another of the six languages e.g Arabic to Chinese. | DGACM uses relay of translation to mitigate this risk to a certain extent. | | | | |
| | | E(v) Where relay of translation is used, it could lead to dilution of the original text in the translation process. | | Operational | Possible | High | Higher Risk |
| | | E(vi) Where more unexpected and unplanned meetings are held, this could lead to a stretching of capacity and negatively impact the ability to have live coverage of such meetings | DGACM has a system for scheduling to manage this risk but unforeseen events can always happen. | | | | |
| | | E(vii) Documents from intergovernmental bodies are not subject to the same rigorous limits set for Secretariat documents and this could lead to voluminous documents being submitted late leading to a rush and potential errors in translation | | Operational | Possible | Medium | Moderate Risk |

| No | Focus Area: | Programme and Project Management | | | | |
|---|---|---|---|---|---|---|
| | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| B(i) | Due to most of the work of translation being heavily mandated, non-mandated texts may not be provided with such services leading to inaccurate and incorrect translation for some texts which have interfaces to the public (e.g websites), leading to reputational damage to the organization | DGACM has a system that prioritizes the work in order to reduce risk | Governance | Possible | Medium | **Moderate Risk** |
| F(i) | DGACM may not be able to compete for translators in the market due to lower offerings in terms of entitlements and benefits, thereby being unable to attract high calibre translators leading to potential lowering of quality of work | DGACM has started visits to universities in an attempt to increase the number of people interested in translation and thereby potentially increase the pool of available candidates for employment but this will not fully mitigate the risk. | Human Resources | Possible | High | **Higher Risk** |
| E (vii) | Misrepresentation of information could result in misinterpretation. For example, wrong translation of a Russian document resulted in adverse reaction from the client. | Stringent vetting processes are in place for translation of documents. | Operational | Possible | Medium | **Moderate Risk** |
| **IX  Terminology and Reference** | | | | Possible | Medium | **Moderate Risk** |
| G(i) | Limitations on the ability of the section to service all its users, especially the contractual translators who may not have ready access to the tools provided could lead to lower quality of products from them. | Communal use computers are made available for the freelance contractors. | Information Resources | Possible | Medium | **Moderate Risk** |
| G(ii) | The terminology database may not be up to date due to the section not being advised of new changes in terminology by Secretariat Departments (e.g where change of name occurs). | DGACM keeps track of changes through contacts with the Secretariat. | | | | |
| G(iii) | Low prioritization of the work performed in respect of terminology and referencing may result in inadequate IT support for current systems as well as development of new tools and software. | DGACM is developing an IT strategic plan which would give each section a level of priority based on work performed. | | | | |

| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
|---|---|---|---|---|---|---|
| **7** | **Focus Area:** Programme and Project Management | | | | | |
| | E(i) The timeliness of submissions to the Section impacts the Section's ability to provide services in a timely manner. Where documents are needed in a rush, it may be difficult to conduct all the research required to properly service the language staff | The section tries to educate clients in respect of the need to ensure timely submissions. | Operational | Possible | Medium | Moderate Risk |
| | (F(i) Low grading of posts within the section as compared to other language posts may make it difficult to attract staff who prefer to be in areas where they have better prospects for advancement. This has contributed to a shortage of staff especially in the Terminology section. | | Human Resources | Possible | High | Higher Risk |
| **X** | **Editorial Control** | | | Possible | Medium | Moderate Risk |
| | E(i) Where rushed deadlines are imposed in relation to editorial control work, there is potential for mistakes to be made resulting in embarrassment to the Department (the section only works on English Language documents). | The section tries to educate clients about timely submissions. | Operational | Possible | Medium | Moderate Risk |
| | E(ii) Inappropriate authorisation for changes made to documents at the editorial level could lead to the document being rejected (e.g resolutions being defeated) with negative political implications for the Department. | Officers seek authorization before making changes but this is not systematic. | | | | |
| | E(iii) Where texts are received with errors but with no authorization to make editorial changes, this may impact the quality of the final product and result in clients not being satisfied. | Officers enter into discussions with author to determine if changes can be made. | | | | |
| | E(iv) Where the nature of text provided from submitters is not in the proper format or the quality of the original text is bad, it would require more editing thereby taking longer to process and causing delays in providing the final product in a timely manner | The section has been educating clients on ensuring appropriate text formats. | | | | |

| No | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
|---|---|---|---|---|---|---|
| 7 | **Focus Area: Programme and Project Management** | | | | | |
| | The prospects for advancement for officers in this section are not very robust and this could lead to low morale and loss of key staff to other sections. | | Human Resources | Possible | High | Higher Risk |
| XI | **Official Records Editing** | | | Likely | Medium | Higher Risk |
| | E(i) Errors not picked up by the official records editing unit which is the last editorial point in the process may lead to complaints from clients and potential embarrassment of DGACM (reputational damage especially where a negative political result occurs) | Highly skilled officers are used in this section. | Operational | Remote | High | Moderate Risk |
| | F(i) Limitations in prospects for career development in this area could lead to an acute shortage of staff or an inability to attract high calibre of staff. | | Human Resources | Likely | Medium | Higher Risk |
| | F(ii) Any prolonged absence by a staff member would negatively impact on the whole team (due to small number of staff) who will have to cover for the work of the staff member, thereby leading to low morale. | | | | | |
| XII | **Other Language Services - Interpretation (English, Arabic, French, Russian, Spanish, German)** | | | Possible | High | Higher Risk |
| | E(i) Incorrect interpretation could lead to adverse political reactions by Member States. | DGACM uses mentoring and on-the job training to achieve improvements of new staff. | Operational | Possible | High | Higher Risk |
| | E(ii) The quality of interpretation services may not be up to the required standard resulting in reputational damage and potential complaints from Member States. | UN conducts examinations for potential interpreters to ensure a minimum qualification is reached. | | | | |
| | G(i) The resources in the interpretation booths may not provide interpreters with all the required tools to provide high quality service resulting in complaints from member states. | DGACM has been slowly increasing the resources in the booths. | Information Resources | Possible | Medium | Moderate Risk |

| No | Focus Area: | Programme and Project Management | | | | | |
|---|---|---|---|---|---|---|---|
| | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk | |
| | F(i) The reliance on free lance interpreters could lead to cancellation of meetings when such interpreters are not available.<br><br>F(ii) The instantaneous nature of interpretation services may result in difficulty to objectively and consistently assess the performance of interpreters thereby potentially leading to variations in the quality of services. | DGACM tries to strike a balance between quality and cost. This is also mandated.<br><br>A monitoring and evaluation mechanism is being implemented by DGACM (MERS) | Human Resources | Possible | High | Higher Risk | |
| | D(i) Financial constraints may place pressure on the quality of interpretation services. There is a need to achieve the right balance between financial and quality considerations. | DGACM continuously strives for a balance between costs and quality. | Financial | Possible | Medium | Moderate Risk | |

# Risk Assessment of : Department for General Assembly and Conference Management

| No | Focus Area: | Property and Facilites Management | | Possible | High | Higher Risk |
|---|---|---|---|---|---|---|
| 9 | Interview/Review Summary (Description of risk) | OIOS Assessment | Risk Category | Likeli-hood | Impact | Overall Risk |
| I | Property and Facilities Management | | | Possible | High | Higher Risk |
| | E(i) Limitations in terms of availabity of space for ad-hoc, non-mandated meetings could lead to cancellation of meetings, and switching of meeting rooms and low client satisfaction.<br><br>E(ii) A reduction in the number of spaces available to the General Assembly during the CMP implementation may result in low client satisfaction. | DGACM has a prioritization system based on mandates of the General Assembly and they operate within this framework. | Operational | Possible | High | Higher Risk |

# Risk Assessment of :  Department for General Assembly and Conference Management

| No | | Focus Area: | Safety and Security | | Likely | Medium | Higher Risk |
|----|----|----|----|----|----|----|----|
| 10 | | | | | | | |
| No | Interview/Review Summary (Description of risk) | OIOS Assessment | | Risk Category | Likeli-hood | Impact | Overall Risk |
| I | Safety and Security | | | | Likely | Medium | Higher Risk |
| | E(i) Concern of the safety of staff during the construction phase of the CMP (e.g. asbestos) | DGACM has been consulted on the CMP process and provides input to the process. | | Operational | Likely | Medium | Higher Risk |

# Focus Areas

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

1  Strategic Management and Governance
2  Financial Management
3  Human Resources Management
4  Procurement and Contract Administration
5  Logistics Management
6  Information Technology Management
7  Programme and Project Management
8  Conference and Documents Management
9  Property and Facilities Management
10 Safety and Security
11 Other areas (for areas not included in 1 to 10)

Each focus area may be broken down into sub-focus areas. Examples of sub-focus areas are listed below.

| No. | Focus Areas | Examples of Sub Focus areas relating to principal focus |
|---|---|---|
| 1 | Strategic Management and Governance | Strategic planning and monitoring, Mandate and mission, Organizational structure and functions, Start up planning, Liquidation planning, Risk management, Policies and procedures, Governing/Legislative bodies, High level committees, Top level offices. |
| 2 | Financial Management | Accounting and financial reporting, Results-based Budgeting, Cash management, Treasury, Contributions, Fund raising, Payroll |
| 3 | Human Resources Management | Recruitment, Training, Conduct and discipline, Entitlements and allowances, Performance appraisal system and Medical Services, Use of short term staff (consultants, gratis personnel etc |
| 4 | Procurement and Contract Administration | Procurement planning, Procurement process, Local contracts committee, Administration of major contracts such as for fuel, rations, airfield services, medical supplies etc. |
| 5 | Logistics Management | Travel services, Transport operations, Air operations, Movement control, Fleet Management and Maintenance |
| 6 | Information Technology Management | Management of ICT infrastructure, software development, Communications services, ICT operations, Business continuity and disaster recovery, IT Security |
| 7 | Programme and Project Management | Management of programmes such as Rule of Law, Human Rights, Child Protection, Public Information, Disarmament, Demobilization and Reintegration, Mine action, Protection of Civilians, Military and Civilian Police operations, and Logistics; Management of projects such as technical cooperation and quick impact projects |
| 8 | Conference and Documents Management | Records management, Publications, Editorial services, Conference management, Translation and interpretation services, Web sites |
| 9 | Property and Facilities Management | Management of office premises and facilities, Contingent-owned equipment, Expendable and non-expendable property, Building Services, Inventory management, Local Property Service Board |
| 10 | Safety and Security | Security of UN staff and installations, Contingency planning, Evacuation procedures and drills, Occupational safety |
| 11 | Other areas | This is for illustration purposes only and is not a comprehensive audit and is included for any other focus areas not specified in 1-10. This may include general office administration, executive offices and common services etc. |

# Risk Categories

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

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

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

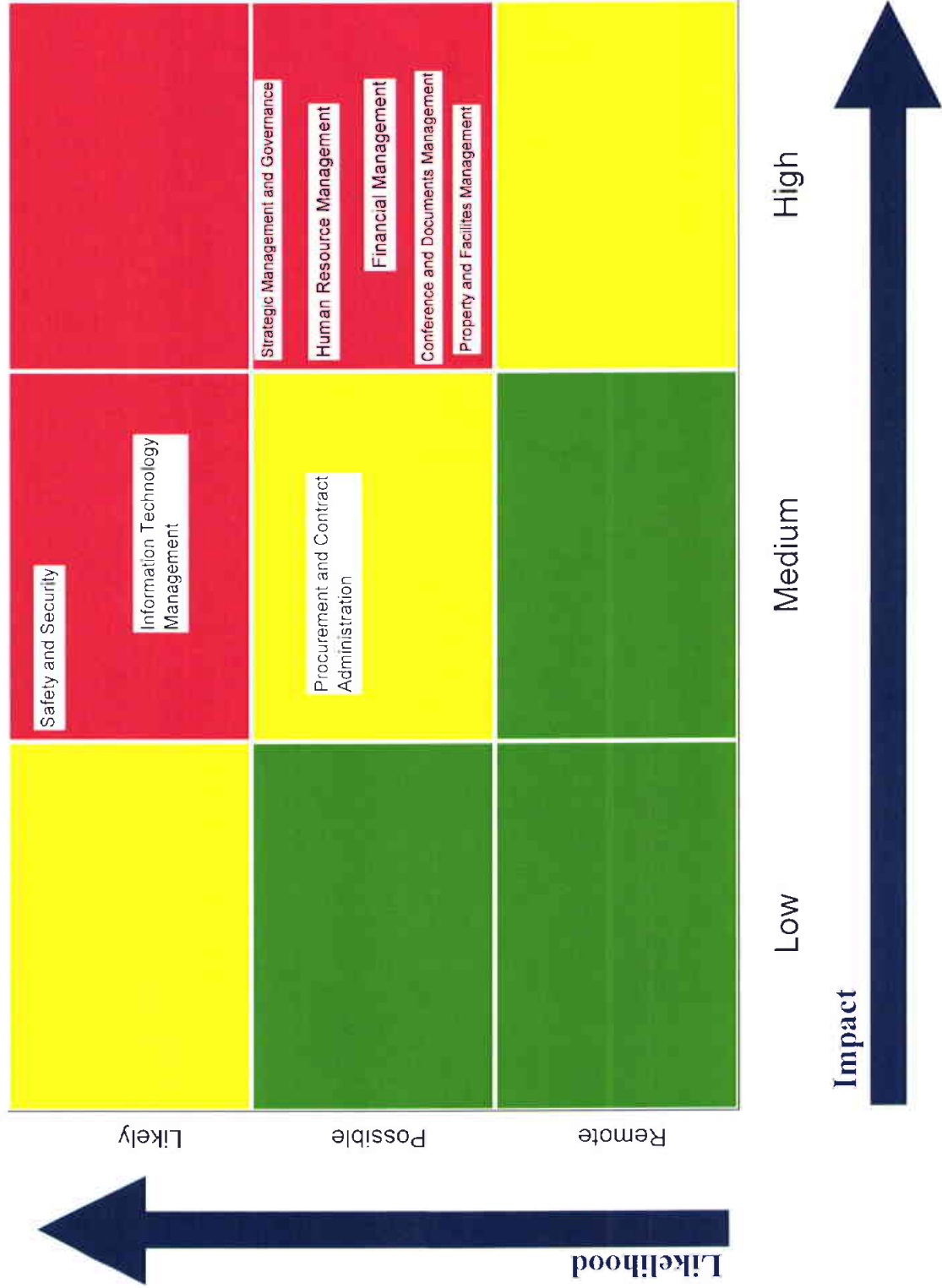| No. | Risk Category | Description |
|---|---|---|
| A | Strategy | Impact on mandate, operations or reputation arising from inadequate strategic planning, adverse business decisions, improper implementation of decisions, a lack of responsiveness to changes to the external environment, or exposure to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

# Risk Assessment Ratings

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

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

| Risk Likelihood | |
|---|---|
| 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 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 Combinations Impact and Likelihood | |
|---|---|
| Higher Risk | The identified issue represents the following likelihood and impact combinations:<br>• Likely and high<br>• Likely and medium<br>• Possible and high |
| Moderate Risk | The identified issue represents the following likelihood and impact combinations<br>• Likely and low<br>• Possible and medium<br>• Remote and high |
| Lower Risk | The identified issue represents the following likelihood and impact combinations<br>• Possible and low<br>• Remote and low<br>• Remote and medium |

RISK SUMMARY PROFILE (Focus Area)

30/05/2008

Impact

Likelihood

Likely / Possible / Remote

Low / Medium / High

Safety and Security

Information Technology Management

Procurement and Contract Administration

Strategic Management and Governance
Human Resource Management
Financial Management
Conference and Documents Management
Property and Facilites Management

# RISK SUMMARY PROFILE (Sub Focus Area)

30/05/2008

|  | **Low** | **Medium** | **High** |
|---|---|---|---|
| **Likely** | (yellow) | IT: Information Management<br>IT: Information Technology Management<br>Safety: Safety and Security | HR: Succession Planning |
| **Possible** | (green) | HR: Use of Contractors | Strategic: Overall Mandate Implementation<br>Fin: Financial Rules, Regulations, Policies and Processes<br>Proc: Procurement<br>HR: Recruitment, Entitlements and Benefits<br>Strategic: Governing/Legislative Bodies<br>Prop: Property and Facilities Management<br>HR: Training<br>Strategic: Internal Governance |
| **Remote** | (green) | (green) | (yellow) |

**Likelihood**

**Impact**