



INTERNAL AUDIT DIVISION

OFFICE OF INTERNAL OVERSIGHT SERVICES

RISK ASSESSMENT

UNITED NATIONS INTEGRATED MISSION IN TIMOR LESTE

3 October 2007

Assignment No. AP2007/682/06

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR


INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE

OIOS · BSCI

TO: Mr. Atul Khare, SRSG
A: United Nations Integrated Mission in Timor Leste (UNMIT)

DATE: 3 October 2007

REFERENCE: AUD-File no. (07-00569)

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



SUBJECT: **Assignment No. AP2007/682/06 - Risk Assessment of UNMIT**

OBJET:

1. I am pleased to present OIOS' risk assessment of the United Nations Integrated Mission in Timor Leste (UNMIT) which was carried out during July and August 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 UNMIT 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. Eric Huck Gim Tan, DSRSG Security Sector and Rule of Law, UNMIT
Mr. Finn Reske-Nielsen, DSRSG Governance Support, Development and Humanitarian Coordination, UNMIT
Mr. Hubert Price, Chief Administrative Officer, UNMIT
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

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).

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Property and Facilities Management	<ul style="list-style-type: none"> • Michael Barnes, Chief, General Services and OIC, Administrative Services • Ladislav Kadlec, Chief Engineer
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Strategic Management and Governance	<ul style="list-style-type: none"> • Colin Stewart, Chief Political Affairs • Mike Dora, Chief, Integrated Support Services

Focus Area	Name and Functional Title
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TABLE OF ABBREVIATIONS

UNMIT	United Nations Integrated Mission in Timor-Leste
SRSG	Special Representative of the Secretary-General
CoS	Chief of Staff
ISF	International Security Forces
CMLO	Chief Military Liaison Officer
MIP	Mandate Implementation Plan
CIPU	Communication and Public Information Unit
UN	United Nations
SOPs	Standard Operating Procedures
CAS	Chief Administrative Services
CAO	Chief Administrative Officer
IMIS	Integrated Management Information System
UNHQ	United Nations Headquarters
CCPO	Chief Civilian Personnel Officer
MSA	Mission Subsistence Allowance
AME	Aero-Medical Evacuation
MedEvac	Medical Evacuation
MOSS	Minimum Operating Security Standard
MORSS	Minimum Operating Residential Security Standard
OIOS	Office of Internal Oversight Services
SEA	Sexual Exploitation and Abuse
DSRSG GSDHC	Deputy Special Representative of the Secretary-General, Governance Support, Development and Humanitarian Coordination
DSRSG SSR&ROL	Deputy Special Representative of the Secretary-General, Security Sector Reform and Rule of Law
HCC	Headquarters Committee on Contracts
LCC	Local Committee on Contracts
OIC	Officer-in-Charge
CISS	Chief Integrated Support Services
RBB	Results Based Budgeting
POL	Petroleum, Oil and Lubricants
FPU_s	Formed Police Units
MEFAS	Mission Electronic Fuel Accounting System
ICAO	International Civil Aviation Organization
MOVCON	Movement Control
ICT	Information and Communication Technology
CITS	Communication and Information Technology Section
UNLB	United Nations Logistics Base
IT	Information Technology
PNTL	Policia Nacional de Timor-Leste (national Police of Timor- Leste)
UNPOL	United Nations Police
CPD	Civilian Police Division
CNE	Comissao Nacional Eleitoral
STAE	Secretariat for Technical Administrative Election

ICG	International Crisis Group
UNVs	United Nations Volunteers
SCIT	Serious Crimes Investigation Team
NGOs	Non-Governmental Organizations
UNDP	United Nations Development Programme
UNICEF	United Nations Children's Fund
F-FDTL	Falintal-Forças Armadas de Defesa de Timor-Leste
MOU	Memorandum of Understanding
COE	Contingent Owned Equipment
SAU	Self Accounting Unit
LPSB	Local Property Survey Board
HPSB	Headquarters Property Survey Board
PCIU	Property Control and Inventory Unit

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

RISK REGISTER

Risk Assessment of : UNMIT

1	Focus Area:	Strategic Management and Governance	Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Political Affairs	Risk Category	Possible	High	Higher Risk
	<p>A(i). Inability to forge good contacts with Timorese authorities, political parties and civil society organisations leads to ineffectiveness of the SRSG in fulfilling his role in respect of the mandate.</p> <p>A(ii). The inability to facilitate regular contact between key national and international actors and not being able to maintain regular liaison with the diplomatic community and Government Officials due to lack of credibility as honest and good brokers results in inability to influence political developments.</p> <p>A(iii). The provision of good offices function of the Mission is ineffective in getting the State and Government Institutions, political parties and community organisations working together due to lack of credibility.</p> <p>A(iv). Advice provided by the Political Affairs Office is not accepted by the SRSG, who may have a completely different viewpoint leading to problems for the Mission in mandate achievement.</p> <p>A(v). Relationships with the Political Parties breaks down beyond repair and thereby causes bottlenecks in moving the country forward in its attempt at governance and reform.</p>	<p>The Office appears to have good contacts with the Timorese authorities, political parties and appears to have credibility as honest brokers.</p> <p>The Office appears to have good contacts with the Timorese authorities, political parties key national and international actors and appears to have credibility as honest brokers.</p> <p>The Office appears to have good contacts with the Timorese authorities, political parties key national and international actors and appears to have credibility as honest brokers.</p> <p>The Office can only provide advice which may or may not be taken on board by the SRSG. Ultimately, it is the SRSG's decision.</p> <p>The Office appears to have credibility among the political players and the fact that the parties are talking to each other after the elections process is testament to the level of credibility.</p>	<p>Possible</p> <p>Possible</p>	<p>High</p> <p>High</p>	<p>Higher Risk</p> <p>Higher Risk</p>

1	Focus Area:	Strategic Management and Governance		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Inability to provide up-to-date and accurate advice on the political developments in Timor Leste due to the ineffectiveness of monitoring, analysis and reporting by the Office thereby leading senior management to make ineffective decisions affecting the mandate.</p> <p>E(ii). Inaccessibility of some parts of the country during periods of rain and bad weather when roads get cut off thereby reducing the ability of the PAO to effectively carry out its mandate.</p>	<p>The provision of up-to-date information through regular meetings with various political players have facilitated the work of the SRSG and the Mission.</p> <p>In conjunction with other sections, decisions are made in respect of places that the officers can go to. The Logistics side of the Mission takes care of roads and ensuring that officers can travel to areas where they are needed.</p>	Operational	Possible	Medium	Moderate Risk
	F(i). Lack of qualified and experienced staff to carry out the functions of the office effectively and low level of staffing at this stage of the Mission resulting in failure to achieve the requirements of the UNMIT mandate.	Somewhat of an issue but being resolved.	Human Resources	Possible	High	Higher Risk
	B(i). Matters of concern to the Office are not raised at a sufficiently high level within the Mission to allow corrective action to be taken on a timely basis.	The Chief of the Section reports to the CoS who reports directly to the SRSG and effectively runs the SRSG's office and therefore has the ability to raise matters of concern directly.	Governance	Remote	Low	Lower Risk
II	Legal Affairs			Remote	Low	Lower Risk
	F(i). Staffing level and lack of personnel with a thorough understanding of the Timorese Constitution and its nuances could lead to misinterpretation of Timorese Law and the provision of wrong advice to Mission management for decision making.	This is a problem throughout the Mission. Since the Constitution of Timor is new, there are very few experts in this area. An aggressive recruitment campaign beginning to yield results.	Human Resources	Possible	Medium	Moderate Risk

1	Focus Area:	Strategic Management and Governance		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	E(i). Legal opinions provided are not accepted by the Timorese government thereby eroding the credibility of the SRSG. E(ii). The section may become bogged down with administrative matters and therefore not be able to respond to more substantive issues.	Considered opinions provided which are acceptable. A credible work plan in place.	Operational	Remote	Low	Lower Risk
	E(iii). Matters of concern to Legal Affairs may not be raised at a sufficiently high management level for corrective action to be taken.	The Chief of Legal Affairs reports directly to the SRSG thereby providing a forum to raise any matters of concern.	Governance	Remote	Low	Lower Risk
III	Chief Military Liaison Activities			Remote	Medium	Lower Risk
	B(i). Relationships with the Military especially ISF break down to a level where it becomes unhealthy and causes the Mission to lose traction. B(ii). Matters of concern to the CMLO may not be raised at a sufficiently high level for corrective action to be taken.	The Liaison Officer has been successful in ensuring continuing dialogue. The CMLO reports to the DSRSG Security Sector and Rule of Law and is able to access him directly.	Governance	Remote	Medium	Lower Risk
	A(i). Premature pulling out of ISF forces from the country without consultation with the SRSG or the Security Council.	ISF Commander has shown commitment to consult. However if they pull out, without a suitable replacement, it will be a huge risk to the Mission.	Strategy	Remote	Medium	Lower Risk
	G(i). The Military concept of operations, which is markedly different from the civilian concept leads to tensions between the Military and Civilian staff of the Mission thereby impacting on cooperation between the ISF and the Mission. ISF provide a number of functions in support of the Mission.	The CMLO keeps information flowing both ways.	Information Resources	Remote	Low	Lower Risk

1	Focus Area:	Strategic Management and Governance		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IV	Planning and Best Practice			Possible	Low	Lower Risk
	A(i). Mandate Implementation Plan and other crucial documents are not prepared and produced in a timely manner to drive the vision of the Mission.	The MIP is still not yet up to date but it appears that action has been taken by the SRSG to ensure that the vision is clear and the vision is also articulated through regular meetings with the substantive offices of the Mission by the SRSG.	Strategy	Possible	Medium	Moderate Risk
	E(i). Best Practices are not captured and made available in a timely manner resulting in inefficient practices continuing to be implemented to the detriment of the Mission.	A bit of a problem for a mission which is at start-up stage but is operating like a mature mission. The elections have forced people to have other priorities.	Operational	Remote	Medium	Lower Risk
	F(i). Inability to fulfill its tasks and by implication, the mandate due to low staffing level and lack of qualified and experienced personnel.	The staffing problem cuts across the whole Mission.	Human Resources	Possible	Low	Lower Risk
	B(i). Matters of concern to the section are not raised at a sufficiently high level to ensure corrective action is taken	The section reports to the Chief of Staff who has direct access to the SRSG	Governance	Possible	Low	Lower Risk

1	Focus Area:	Strategic Management and Governance		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
V	Joint Operations G(i). Lack of correct and reliable information from UNPOL, MLG and other areas including CIPU prevent the section from being effective. G(ii). The section provides inaccurate information which is relied on by the Mission causing the Mission to lose credibility and its ability to influence governmental decisions. G(iii). The Joint Operations Centre relies on receiving correct information from UN Police, Military Liaison Group, International Security Forces and other players. If these players provide incorrect information, Mission decision making may be based on such wrong information leading to ineffectiveness of the Mission.	Coordination role performed by a very experienced Administrative Officer. Information is checked and cross-checked through various sources but every now and then it could be incorrect. Information is checked and cross-checked through various sources but every now and then it could be incorrect.	Information Resources	Remote Remote	Medium Medium	Lower Risk Lower Risk
	F(i). Staffing and lack of qualified and experienced staff. The section also relies on staff seconded from UNPOL, MLG and other parts of the Mission. B(i). Matters of concern are not raised at a sufficiently high level to ensure corrective action is taken in a prompt manner.	The staffing issue is a problem for the whole mission. The Chief reports to the CoS who reports directly to the SRSG.	Human Resources Governance	Possible Possible	Low Low	Lower Risk Lower Risk
VI	Joint Mission Analysis E(i). Analysis proves to be incorrect and thereby resultant decision-making is flawed. F(i). Low level of staffing and lack of qualified and experienced staff leading to ineffective analysis, which is relied on by the Mission management for decision-making. B(i). Matters of concern are not raised at a sufficiently high level to ensure corrective action is taken in a prompt manner.	Could be a problem but this has not been a source of any concern so far within the mission. The staffing issue is a problem for the whole mission. The Chief reports to the CoS who reports directly to the SRSG.	Operational Human Resources Governance	Possible Remote Possible	Low Medium Low	Lower Risk Lower Risk Lower Risk

Risk Assessment of : UNMIT

2	Focus Area:	Financial Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	Finance			Likely	Medium	Higher Risk
	<p>B(i). An inappropriate structure and procedures could lead to delays in processing of staff payments as well as collections of receivables for the Mission. Where procedures are not followed, this could lead to potential fraudulent activity occurring without prompt detection.</p> <p>B(ii). Matters of concern to Finance Section may not be raised at a sufficiently high level for corrective action to be taken promptly.</p>	<p>Organisational structure exists with clear delineation of functions and responsibilities.</p> <p>The Chief Financial Officer reports to the Chief Administrative Services and also attends weekly CAO Section Chiefs meetings.</p>	Governance	Possible	Medium	Moderate Risk
	<p>C(i). Limited understanding of UN regulations and rules and lack of advanced finance knowledge by some Programme Managers may have an adverse effect on operations of the section.</p> <p>C(ii). Other sections may bring pressure to bear on Finance to make urgent payments and increase the use of direct purchasing authorities. These may also include cases of last minute payments to staff checking out of the Mission. This could result in the incorrect amounts being paid and/or the creation of receivables that may never be recovered.</p>	<p>SOPs, policies and procedures in place. To some extent, education of staff is performed in their day to day interaction with the Finance section.</p> <p>This has already happened to a certain extent due to delays in the procurement process at a time when the Mission needed to run at full pace.</p>	Compliance	Likely	Medium	Higher Risk
	<p>G(i). Lack of effective interfaces between the various information systems (Sun Business, Sun Accounts, Progen, Mercury) leads to ineffective controls to prevent duplication and fraud.</p>	<p>Some controls exist within the various systems although the use of different systems can cause difficulties.</p>	Information Resources	Likely	Medium	Higher Risk

2	Focus Area:	Financial Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) Loss/theft of cash and/or fraud in the absence of a fraud control and prevention plan.</p> <p>E(ii). In case of evacuation, UNMIT staff might not be able to get out funds held at banks within the country, leading to disenchantment with the Mission.</p> <p>F(i). Low level of staffing makes it difficult to properly service the Mission. Where staff proceed on leave, it could be difficult to get back-up staff to take over their roles. This may imply that at times segregation of duties could be difficult.</p>	<p>To the extent possible, segregation of duties is effective. Officers have clearly spelt out roles and certifying and authorising officers are clearly separated. No fraud control and prevention plan or training though. Staff are paid mainly through the bank with limited cash handled by the cashier.</p> <p>This is an inherent risk which staff are encouraged to avoid by keeping only cash that they require in the banks within the country.</p>	Operational	Possible	Medium	Moderate Risk
	<p>F(i). Low level of staffing makes it difficult to properly service the Mission. Where staff proceed on leave, it could be difficult to get back-up staff to take over their roles. This may imply that at times segregation of duties could be difficult.</p>	<p>Efforts are made to ensure segregation of duties at all times but sometimes this is impossible to achieve although such times are few and far between.</p>	Human Resources	Likely	Medium	Higher Risk
	<p>D(i). Use of Chase Insight to make payments carries an inherent risk that when the button is pressed funds are instantly credited to the payees account. This has a drawback if a mistake is made in that the funds cannot be recalled immediately.</p> <p>D(ii). Untimely preparation of reconciliation and accounts leads to delays in finding errors and recovery of any misapplied funds or mispayments.</p>	<p>Finance staff dealing with the Chase Insight payments have been trained thoroughly and will continue to have in-house training from time to time.</p> <p>Bank reconciliations are prepared and reviewed monthly and all outstanding items cleared by the following month where possible. Accounts are prepared and produced monthly.</p>	Financial	Likely	Medium	Higher Risk
II	<p>Budgets</p> <p>E(i). An inappropriate structure of the budget section may mean not enough attention given to streamlining the budgetary process. Inappropriate procedures could result in inaccurate budgets being sent to Headquarters and delays in passing the budget of the Mission.</p>	<p>Organisational structure exists with clear delineation of functions and responsibilities.</p>	Operational	Possible	Medium	Higher Risk Moderate Risk

2	Focus Area:	Financial Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>G(i). Use of spreadsheets for budgeting in place of an integrated system leads to inefficiencies and creates opportunities for data entry and calculation errors. This could be magnified in a small mission.</p> <p>G(ii). Lack of effective interfaces between the various information systems (Sun Business, Sun Accounts, Progen and Mercury), leads to inefficient operations, human intervention and the resultant possibility of mistakes being made.</p>	<p>SOPs, policies and procedures in place. Staff are encouraged to understand this as the underpinning of decision making. Proforma budget spreadsheets are used to reduce the risk of human error. A funds monitoring tool which pulls data from SUN, Mercury and IMIS is also in place.</p>	Information Resources	Likely	Medium	Higher Risk
	<p>D(i). Untimely response by UNHQ to Mission's queries on assumptions for budget creation could lead to late approval for budgets thereby affecting the efficiency of operations. Where there is late approval of budgets, Mission spending tends to be adhoc in nature and not well planned.</p> <p>D(ii). Increased spending at the end of the year to ensure that budgets are met without a clear need for the spending.</p>	<p>This is an issue. There is a disconnect between when the decision to have a mission is made and when the budgets are approved thereby leading to amounts being approved in a piecemeal way until a final budget gets approved.</p> <p>A potential problem especially since there has been a history of money being returned.</p>	Financial	Likely	Medium	Higher Risk
	<p>B(i). Matters of concern to Budget may not be raised at senior management level in order for corrective action to be taken.</p>	<p>Weekly meetings with the CAO serve as a forum to address any issues raised. In addition the Budget Officer has access to the CAO on a daily basis.</p>	Governance	Possible	Medium	Moderate Risk

Risk Assessment of : UNMIT

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	CCPO activities			Possible	Medium	Moderate Risk
	<p>F(i). Slow recruitment process and low level of staffing at UNMIT means that the Mission mandate may not be achieved in a timely manner.</p>	<p>An aggressive recruitment drive has been put in place thereby lifting the staffing numbers to 60%. Continuous monitoring of vacancies and evaluation of exit questionnaires are now part of check-out process.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>F(ii). Inadequate staffing resources within Personnel to meet the needs of a mission which has the characteristics of start-up but is considered to be operating as mature.</p>	<p>Staff are being brought in as fast as possible but due to the nature of the Mission, it is difficult to be totally effective (the Mission was at Liquidation before a new Mission was started). Geographical location is also an issue for some staff.</p>				
	<p>F(iii). Risk of burn-out of staff due to overwork thereby further slowing down the recruitment process.</p>	<p>The CCPO and other Personnel officers are being allowed to take breaks/holidays to refresh.</p>				
	<p>F(iv). Limited/non-existent specialist training for Personnel Officers thereby reducing their effectiveness.</p>	<p>Training is being planned but has not yet been implemented.</p>				
	<p>D(i). Risk of overpayments of MSA due to error in personnel records.</p>	<p>Checks performed by Personnel Officers and sign-off by CCPO before attendance records are sent to Finance.</p>	Financial	Possible	Medium	Moderate Risk
	<p>B(i). Issues relating to CCPO section may not be raised at an appropriate level for corrective action to be taken.</p>	<p>Weekly meetings with CAS and CAO to discuss matters of concern and to provide a forum for addressing issues.</p>	Governance	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	Likelihood	Impact	Overall Risk
II	Medical Services			Possible	Medium	Moderate Risk
	<p>E(i). Complications arising from medical care provided at UNMIT clinic could lead to litigation thereby costing the Mission. A Lack of awareness of health issues could hamper the effectiveness of the Medical Clinic.</p> <p>E(ii). Procurement of Medical Supplies is time consuming and lengthy at a time when supplies are urgently needed resulting in potential fatalities within the Mission area. Delays in replenishing vaccines could have a similar effect on the Mission.</p> <p>E(iii). Prevailing endemic Malaria and Dengue Fever in Timor-Leste throughout the year could lead to staff being sick and ineffective in their work. Lack of infrastructure and proper referral medical facilities in Timor-Leste results in frequent Medical Evacuations to Darwin. The remoteness of the country militates against getting medical supplies on a timely basis.</p>	<p>Some SOPs in place to ensure consistency of treatment and standards. The section issues health advisories to staff on a regular basis.</p> <p>Procurement process being streamlined and advanced planning for medical supplies is now focused on. Requisitions are to be raised early enough to ensure that adequate time for delivery is given.</p> <p>Provision of prophylaxis medicine against Malaria and disseminating of information regarding preventive measure. promotion of the use of insecticides, repellents, bed nets etc.</p>	Operational	Possible	Medium	Moderate Risk

Risk Assessment of : UNMIT

1	Focus Area:	Strategic Management and Governance		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	Political Affairs			Possible	High	Higher Risk
	<p>A(i). Inability to forge good contacts with Timorese authorities, political parties and civil society organisations leads to ineffectiveness of the SRSG in fulfilling his role in respect of the mandate.</p> <p>A(ii). The inability to facilitate regular contact between key national and international actors and not being able to maintain regular liaison with the diplomatic community and Government Officials due to lack of credibility as honest and good brokers results in inability to influence political developments.</p> <p>A(iii). The provision of good offices function of the Mission is ineffective in getting the State and Government Institutions, political parties and community organisations working together due to lack of credibility.</p> <p>A(iv). Advice provided by the Political Affairs Office is not accepted by the SRSG, who may have a completely different viewpoint leading to problems for the Mission in mandate achievement.</p> <p>A(v). Relationships with the Political Parties breaks down beyond repair and thereby causes bottlenecks in moving the country forward in its attempt at governance and reconstruction.</p>	<p>The Office appears to have good contacts with the Timorese authorities, political parties and appears to have credibility as honest brokers.</p> <p>The Office appears to have good contacts with the Timorese authorities, political parties key national and international actors and appears to have credibility as honest brokers.</p> <p>The Office appears to have good contacts with the Timorese authorities, political parties key national and international actors and appears to have credibility as honest brokers.</p> <p>The Office can only provide advice which may or may not be taken on board by the SRSG. Ultimately, it is the SRSG's decision.</p> <p>The Office appears to have credibility among the political players and the fact that the parties are talking to each other after the elections process is testament to the level of credibility.</p>	Strategy	Possible	High	Higher Risk

1	Focus Area:	Strategic Management and Governance			Possible	Low	Lower Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
No	<p>E(i). Inability to provide up-to-date and accurate advice on the political developments in Timor Leste due to the ineffectiveness of monitoring, analysis and reporting by the Office thereby leading senior management to make ineffective decisions affecting the mandate.</p> <p>E(ii). Inaccessibility of some parts of the country during periods of rain and bad weather when roads get cut off thereby reducing the ability of the PAO to effectively carry out its mandate.</p>	<p>The provision of up-to-date information through regular meetings with various political players have facilitated the work of the SRSG and the Mission.</p> <p>In conjunction with other sections, decisions are made in respect of places that the officers can go to. The Logistics side of the Mission takes care of roads and ensuring that officers can travel to areas where they are needed.</p>		Operational	Possible	Medium	Moderate Risk
	<p>F(i). Lack of qualified and experienced staff to carry out the functions of the office effectively and low level of staffing at this stage of the Mission resulting in failure to achieve the requirements of the UNMIT mandate.</p>	Somewhat of an issue but being resolved.		Human Resources	Possible	High	Higher Risk
	<p>B(i). Matters of concern to the Office are not raised at a sufficiently high level within the Mission to allow corrective action to be taken on a timely basis.</p>	The Chief of the Section reports to the CoS who reports directly to the SRSG and effectively runs the SRSG's office and therefore has the ability to raise matters of concern directly.		Governance	Remote	Low	Lower Risk
II	Legal Affairs				Remote	Low	Lower Risk
	<p>F(i). Staffing level and lack of personnel with a thorough understanding of the Timorese Constitution and its nuances could lead to misinterpretation of Timorese Law and the provision of wrong advice to Mission management for decision making.</p>	This is a problem throughout the Mission. Since the Constitution of Timor is new, there are very few experts in this area. An aggressive recruitment campaign beginning to yield results.		Human Resources	Possible	Medium	Moderate Risk

1	Focus Area:	Strategic Management and Governance		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	E(i). Legal opinions provided are not accepted by the Timorese government thereby eroding the credibility of the SRSG. E(ii). The section may become bogged down with administrative matters and therefore not be able to respond to more substantive issues.	Considered opinions provided which are acceptable. A credible work plan in place.	Operational	Remote	Low	Lower Risk
	E(iii). Matters of concern to Legal Affairs may not be raised at a sufficiently high management level for corrective action to be taken.	The Chief of Legal Affairs reports directly to the SRSG thereby providing a forum to raise any matters of concern.	Governance	Remote	Low	Lower Risk
III	Chief Military Liaison Activities B(i). Relationships with the Military especially ISF break down to a level where it becomes unhealthy and causes the Mission to lose traction. B(ii). Matters of concern to the CMLO may not be raised at a sufficiently high level for corrective action to be taken.	The Liaison Officer has been successful in ensuring continuing dialogue. The CMLO reports to the DSRSG Security Sector and Rule of Law and is able to access him directly.	Governance	Remote	Medium	Lower Risk
	A(i). Premature pulling out of ISF forces from the country without consultation with the SRSG or the Security Council.	ISF Commander has shown commitment to consult. However if they pull out, without a suitable replacement, it will be a huge risk to the Mission.	Strategy	Remote	Medium	Lower Risk
	G(i). The Military concept of operations, which is markedly different from the civilian concept leads to tensions between the Military and Civilian staff of the Mission thereby impacting on cooperation between the ISF and the Mission. ISF provide a number of functions in support of the Mission.	The CMLO keeps information flowing both ways.	Information Resources	Remote	Low	Lower Risk

1	Focus Area:	Strategic Management and Governance		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IV	Planning and Best Practice			Possible	Low	Lower Risk
	A(i). Mandate Implementation Plan and other crucial documents are not prepared and produced in a timely manner to drive the vision of the Mission.	The MIP is still not yet up to date but it appears that action has been taken by the SRSG to ensure that the vision is clear and the vision is also articulated through regular meetings with the substantive offices of the Mission by the SRSG.	Strategy	Possible	Medium	Moderate Risk
	E(i). Best Practices are not captured and made available in a timely manner resulting in inefficient practices continuing to be implemented to the detriment of the Mission.	A bit of a problem for a mission which is at start-up stage but is operating like a mature mission. The elections have forced people to have other priorities.	Operational	Remote	Medium	Lower Risk
	F(i). Inability to fulfill its tasks and by implication, the mandate due to low staffing level and lack of qualified and experienced personnel.	The staffing problem cuts across the whole Mission.	Human Resources	Possible	Low	Lower Risk
	B(i). Matters of concern to the section are not raised at a sufficiently high level to ensure corrective action is taken	The section reports to the Chief of Staff who has direct access to the SRSG	Governance	Possible	Low	Lower Risk

1	Focus Area:	Strategic Management and Governance		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
V	Joint Operations			Remote	Medium	Lower Risk
	G(i). Lack of correct and reliable information from UNPOL, MLG and other areas including CIPU prevent the section from being effective.	Coordination role performed by a very experienced Administrative Officer.	Information Resources	Remote	Medium	Lower Risk
	G(ii). The section provides inaccurate information which is relied on by the Mission causing the Mission to lose credibility and its ability to influence governmental decisions.	Information is checked and cross-checked through various sources but every now and then it could be incorrect.				
	G(iii). The Joint Operations Centre relies on receiving correct information from UN Police, Military Liaison Group, International Security Forces and other players. If these players provide incorrect information, Mission decision making may be based on such wrong information leading to ineffectiveness of the Mission.	Information is checked and cross-checked through various sources but every now and then it could be incorrect.				
	F(i). Staffing and lack of qualified and experienced staff. The section also relies on staff seconded from UNPOL, MLG and other parts of the Mission.	The staffing issue is a problem for the whole mission.	Human Resources	Possible	Low	Lower Risk
	B(i). Matters of concern are not raised at a sufficiently high level to ensure corrective action is taken in a prompt manner.	The Chief reports to the CoS who reports directly to the SRSG.	Governance	Possible	Low	Lower Risk
VI	Joint Mission Analysis			Possible	Low	Lower Risk
	E(i). Analysis proves to be incorrect and thereby resultant decision-making is flawed.	Could be a problem but this has not been a source of any concern so far within the mission.	Operational	Remote	Medium	Lower Risk
	F(i). Low level of staffing and lack of qualified and experienced staff leading to ineffective analysis, which is relied on by the Mission management for decision-making.	The staffing issue is a problem for the whole mission.	Human Resources	Possible	Low	Lower Risk
	B(i). Matters of concern are not raised at a sufficiently high level to ensure corrective action is taken in a prompt manner.	The Chief reports to the CoS who reports directly to the SRSG.	Governance	Possible	Low	Lower Risk

Risk Assessment of : UNMIT

2	Focus Area:	Financial Management	Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Finance		Likely	Medium	Higher Risk
	<p>B(i). An inappropriate structure and procedures could lead to delays in processing of staff payments as well as collections of receivables for the Mission. Where procedures are not followed, this could lead to potential fraudulent activity occurring without prompt detection.</p> <p>B(ii). Matters of concern to Finance Section may not be raised at a sufficiently high level for corrective action to be taken promptly.</p>	<p>Organisational structure exists with clear delineation of functions and responsibilities.</p> <p>The Chief Financial Officer reports to the Chief Administrative Services and also attends weekly CAO Section Chiefs meetings.</p>	Possible	Medium	Moderate Risk
	<p>C(i). Limited understanding of UN regulations and rules and lack of advanced finance knowledge by some Programme Managers may have an adverse effect on operations of the section.</p> <p>C(ii). Other sections may bring pressure to bear on Finance to make urgent payments and increase the use of direct purchasing authorities. These may also include cases of last minute payments to staff checking out of the Mission. This could result in the incorrect amounts being paid and/or the creation of receivables that may never be recovered.</p>	<p>SOPs, policies and procedures in place. To some extent, education of staff is performed in their day to day interaction with the Finance section.</p> <p>This has already happened to a certain extent due to delays in the procurement process at a time when the Mission needed to run at full pace.</p>	Likely	Medium	Higher Risk
	<p>G(i). Lack of effective interfaces between the various information systems (Sun Business, Sun Accounts, Progen, Mercury) leads to ineffective controls to prevent duplication and fraud.</p>	<p>Some controls exist within the various systems although the use of different systems can cause difficulties.</p>	Likely	Medium	Higher Risk

2	Focus Area:	Financial Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	E(i). Loss/theft of cash and/or fraud in the absence of a fraud control and prevention plan. E(ii). In case of evacuation, UNMIT staff might not be able to get out funds held at banks within the country, leading to disenchantment with the Mission.	To the extent possible, segregation of duties is effective. Officers have clearly spelt out roles and certifying and authorising officers are clearly separated. No fraud control and prevention plan or training though. Staff are paid mainly through the bank with limited cash handled by the cashier. This is an inherent risk which staff are encouraged to avoid by keeping only cash that they require in the banks within the country.	Operational	Possible	Medium	Moderate Risk
	F(i). Low level of staffing makes it difficult to properly service the Mission. Where staff proceed on leave, it could be difficult to get back-up staff to take over their roles. This may imply that at times segregation of duties could be difficult.	Efforts are made to ensure segregation of duties at all times but sometimes this is impossible to achieve although such times are few and far between.	Human Resources	Likely	Medium	Higher Risk
	D(i). Use of Chase Insight to make payments carries an inherent risk that when the button is pressed funds are instantly credited to the payees account. This has a drawback if a mistake is made in that the funds cannot be recalled immediately. D(ii). Untimely preparation of reconciliation and accounts leads to delays in finding errors and recovery of any misapplied funds or mispayments.	Finance staff dealing with the Chase Insight payments have been trained thoroughly and will continue to have in-house training from time to time. Bank reconciliations are prepared and reviewed monthly and all outstanding items cleared by the following month where possible. Accounts are prepared and produced monthly.	Financial	Likely	Medium	Higher Risk
II	Budgets E(i). An inappropriate structure of the budget section may mean not enough attention given to streamlining the budgetary process. Inappropriate procedures could result in inaccurate budgets being sent to Headquarters and delays in passing the budget of the Mission.	Organisational structure exists with clear delineation of functions and responsibilities.	Operational	Possible	Medium	Higher Risk Moderate Risk

2	Focus Area:	Financial Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>G(i). Use of spreadsheets for budgeting in place of an integrated system leads to inefficiencies and creates opportunities for data entry and calculation errors. This could be magnified in a small mission.</p> <p>G(ii). Lack of effective interfaces between the various information systems (Sun Business, Sun Accounts, Progen and Mercury), leads to inefficient operations, human intervention and the resultant possibility of mistakes being made.</p>	<p>SOPs, policies and procedures in place. Staff are encouraged to understand this as the underpinning of decision making. Proforma budget spreadsheets are used to reduce the risk of human error. A funds monitoring tool which pulls data from SUN, Mercury and IMIS is also in place.</p>	Information Resources	Likely	Medium	Higher Risk
	<p>D(i). Untimely response by UNHQ to Mission's queries on assumptions for budget creation could lead to late approval for budgets thereby affecting the efficiency of operations. Where there is late approval of budgets, Mission spending tends to be adhoc in nature and not well planned.</p> <p>D(ii). Increased spending at the end of the year to ensure that budgets are met without a clear need for the spending.</p>	<p>This is an issue. There is a disconnect between when the decision to have a mission is made and when the budgets are approved thereby leading to amounts being approved in a piecemeal way until a final budget gets approved.</p> <p>A potential problem especially since there has been a history of money being returned.</p>	Financial	Likely	Medium	Higher Risk
	<p>B(i). Matters of concern to Budget may not be raised at senior management level in order for corrective action to be taken.</p>	<p>Weekly meetings with the CAO serve as a forum to address any issues raised. In addition the Budget Officer has access to the CAO on a daily basis.</p>	Governance	Possible	Medium	Moderate Risk

Risk Assessment of : UNMIT

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	CCPO activities			Possible	Medium	Moderate Risk
	F(i). Slow recruitment process and low level of staffing at UNMIT means that the Mission mandate may not be achieved in a timely manner.	An aggressive recruitment drive has been put in place thereby lifting the staffing numbers to 60%. Continuous monitoring of vacancies and evaluation of exit questionnaires are now part of check-out process.	Human Resources	Possible	Medium	Moderate Risk
	F(ii). Inadequate staffing resources within Personnel to meet the needs of a mission which has the characteristics of start-up but is considered to be operating as mature.	Staff are being brought in as fast as possible but due to the nature of the Mission, it is difficult to be totally effective (the Mission was at Liquidation before a new Mission was started). Geographical location is also an issue for some staff.				
	F(iii). Risk of burn-out of staff due to overwork thereby further slowing down the recruitment process.	The CCPO and other Personnel officers are being allowed to take breaks/holidays to refresh.				
	F(iv). Limited/non-existent specialist training for Personnel Officers thereby reducing their effectiveness.	Training is being planned but has not yet been implemented.				
	D(i). Risk of overpayments of MSA due to error in personnel records.	Checks performed by Personnel Officers and sign-off by CCPO before attendance records are sent to Finance.	Financial	Possible	Medium	Moderate Risk
	B(i). Issues relating to CCPO section may not be raised at an appropriate level for corrective action to be taken.	Weekly meetings with CAS and CAO to discuss matters of concern and to provide a forum for addressing issues.	Governance	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	Likelihood	Impact	Overall Risk
II	Medical Services		Operational	Possible	Medium	Moderate Risk
	<p>E(i). Complications arising from medical care provided at UNMIT clinic could lead to litigation thereby costing the Mission. A Lack of awareness of health issues could hamper the effectiveness of the Medical Clinic.</p> <p>E(ii). Procurement of Medical Supplies is time consuming and lengthy at a time when supplies are urgently needed resulting in potential fatalities within the Mission area. Delays in replenishing vaccines could have a similar effect on the Mission.</p> <p>E(iii). Prevailing endemic Malaria and Dengue Fever in Timor-Leste throughout the year could lead to staff being sick and ineffective in their work. Lack of infrastructure and proper referral medical facilities in Timor-Leste results in frequent Medical Evacuations to Darwin. The remoteness of the country militates against getting medical supplies on a timely basis.</p>	<p>Some SOPs in place to ensure consistency of treatment and standards. The section issues health advisories to staff on a regular basis.</p> <p>Procurement process being streamlined and advanced planning for medical supplies is now focused on. Requisitions are to be raised early enough to ensure that adequate time for delivery is given.</p> <p>Provision of prophylaxis medicine against Malaria and disseminating of information regarding preventive measure. promotion of the use of insecticides, repellents, bed nets etc.</p>				

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(iv). Lack of Air Ambulance and Emergency Team including Air Medical Evacuation (AME) Team could lead to unnecessary fatalities of Mission staff for conditions that could have been saved if timely intervention had occurred. The medical resources are overstretched and the Mission has no properly trained MedEvac Team and no AME capacity in terms of helicopters.</p> <p>E(v). The Medical Clinic was set up as a Level 1 Facility with approach to Level 2 but does not have the capacity and staff to do so. There is no Level 2 Hospital yet in place resulting in many cases being referred to Darwin with its attendant costs in terms of financial and time.</p> <p>E(vi). Frequent requests by in-country doctors (not necessarily UN) for assistance puts pressure on already stretched resources especially with respect to MedEvac.</p>	<p>Verbal friendly agreement reached with ISF to provide evacuation during the night.</p> <p>Still not yet resolved.</p> <p>Not yet resolved.</p>				
	<p>A(i). Preparedness for Avian Flu Pandemic is not well progressed.</p>	<p>UN wide preparedness plan has been prepared but needs to be put in place in Timor-Leste especially because of its proximity to Indonesia.</p>	<p>Strategy</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>
	<p>B(i). Issues related to Medical Services may not be raised at a sufficiently senior management level for prompt corrective action to be taken.</p>	<p>Weekly meetings with CAS and CAO serve as forum to discuss any concerns.</p>	<p>Governance</p>	<p>Possible</p>	<p>Medium</p>	<p>Moderate Risk</p>

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
III	Regional Administration			Possible	Medium	Moderate Risk
	<p>F(i). Slow recruitment process and low level of staffing at UNMIT including Regions leads to inability of Mission to complete mandate.</p> <p>F(ii). Overwork and risk of burn-out due to limited staff. Slow turnaround on staff related matters could lead to low staff morale.</p>	<p>Staffing level is now about 60% after an aggressive recruitment drive. This is still quite low for a Mission operating as a mature one. The Mission has done quite well considering that it only started in August 2006.</p> <p>Staff are allowed to take leave when requested without impacting the Mission negatively.</p>	Human Resources	Likely	Medium	Higher Risk
	<p>E(i). Accessibility to the regions is cut off in times of continued rainfall as road infrastructure is not very good resulting in inability of staff to work efficiently towards mandate achievement.</p> <p>E(ii). Fragile nature of peace in Timor Leste could put staff at risk in times of unrest. There is a higher security risk in the districts and lack of access to current and updated security information on an on-going basis could put staff lives at risk.</p>	<p>MOSS in place. Roads are repaired as soon as information of inaccessibility comes to light. MLG provides constant reports to the JOC for reporting to management.</p> <p>MORSS in place and various security initiatives are in place. Training provided to staff on use of radios and security updates through phones, SMS, broadcasts, advisories etc. Basic and Advanced security in the field training is compulsory for all staff.</p>	Operational	Possible	Medium	Moderate Risk
	<p>B(i). Problems in the regions may not be raised at a sufficiently high level for corrective action to be taken.</p>	<p>Attendance at weekly CAO meetings serves as a forum to raise matters of concern.</p>	Governance	Possible	Medium	Moderate Risk
IV	Conduct and Discipline Unit			Possible	Low	Lower Risk
	<p>C(i). The absence of OIOS means that the unit takes a lead role in investigating issues (with the help of security) relating to category one offences whereas they may not have the capability to properly investigate such matters to a level acceptable by the courts.</p>	<p>The Chief of the section consults with OIOS in New York on category one cases and seeks input on how to proceed. This is still a problem though.</p>	Compliance	Possible	Medium	Moderate Risk
	<p>F(i). Staffing levels are not sufficient and there is a lack of qualified and experienced officers to ensure proper and effective operation.</p>	<p>This is a problem across the Mission.</p>	Human Resources	Possible	Low	Lower Risk

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	B(i). Matters of concern to the section may not be raised at a sufficiently high level to ensure corrective action is taken promptly thereby reducing the effectiveness of the section..	The Chief of the section reports directly to the Chief of staff who reports directly to the SRSG	Governance	Possible	Low	Lower Risk
	E(i). The section may be overwhelmed with cases thereby reducing its effectiveness in performing its role.	The level of cases have been manageable and the SRSG has indicated a zero tolerance policy which serves as an example to all staff. There is compulsory induction training for all staff in respect of SEA.	Operational	Remote	Medium	Lower Risk
	E(ii). Increase in SEA and misconduct cases within the Mission may impugn the reputation of the Mission and its level of acceptance by the beneficiary population. This could result in an inability to fulfill the Mission's mandate.					
V	HIVAIDS Unit			Remote	Medium	Lower Risk
	E(i). Inability to disseminate information on HIV/AIDS due to lack of transparent medium to do so leading to inability to fulfill HIV/AIDS part of the mandate.	Reliance on other sections for forum to develop the programme effectiveness. Included as part of the compulsory induction programme for the mission.	Operational	Remote	Medium	Lower Risk
	E(ii). Inability to influence Timorese public/society due to lack of medium to perform effectively e.g. radio broadcasts etc. This is one of the mandates of the Mission.					
	G(i). Sensitivity of information held by the section and the risk of compromise leading to the Mission and for that matter the UN being sued.	Experienced Chief of Section who can ensure that the operations of the section is performed in a professional manner.	Information Resources	Remote	High	Moderate Risk
	F(i). Ineffectiveness due to low staffing and lack of qualified and experienced personnel. This leads to inability to achieve mandate.	The staffing problem cuts across the whole mission.	Human Resources	Possible	Low	Lower Risk
	B(i). Matters of concern to the section may not be raised at a sufficiently high level to ensure corrective action is taken promptly.	The chief of section reports to the DSRSG Governance Support, Development and Humanitarian Coordination and has the ability to raise any matters of concern.	Governance	Possible	Low	Lower Risk

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No VI	<p>Interview/Review Summary (Description of risk)</p> <p>Gender Affairs</p> <p>F(i). No Chief of section yet on board therefore no credible work plan yet in place at time of assessment.</p> <p>F(ii). Low staffing level and lack of qualified staff at the time of the assessment implies that the gender mainstreaming part of the Mission's mandate may not be achieved leading to inefficient practices.</p> <p>E(i). Gender related issues may not be mainstreamed within the Mission, leading to an inability of the Mission to achieve this part of the mandate.</p>	<p>OIOS Assessment</p>	<p>Risk Category</p>	<p>Possible Likelihood</p>	<p>Impact</p>	<p>Overall Risk</p>
		<p>A continuing problem.</p>	<p>Human Resources</p>	<p>Possible Likely</p>	<p>Low</p>	<p>Lower Risk</p> <p>Moderate Risk</p>
		<p>Gender Mainstreaming has been part of the UN system for a while so it is expected that it will be inbuilt anyway.</p>	<p>Operational</p>	<p>Remote</p>	<p>Medium</p>	<p>Lower Risk</p>

Risk Assessment of : UNMIT

4	Focus Area:	Procurement and Contract Administration	Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Procurement	Risk Category	Likely	Medium	Higher Risk
	<p>E(i). Procurement has traditionally a problem area for Peacekeeping Missions in terms of fraudulent activity, abuse and misuse of power and misconduct. SRSG has specifically asked for an audit of procurement.</p> <p>E(ii). The changing political landscape in the country could restrict vendor performance, including the availability of vendors to bid for UNMIT procurement contracts, thereby leading to non-competitive practices in procurement.</p> <p>E(iii). Late and/or unplanned or sketchily detailed requisitions resulting in reduced value for the organisation, less opportunity for range of offers to be received, higher failure rate of respondees and overall ineffectiveness of procurement process.</p> <p>E(iv). Major operational developments in UNMIT's Mandate Implementation Plan and changes that produce necessarily late requirements which can nonetheless have the same impact as bad planning in procurement. This could lead to increased costs for the Mission because competitive processes are not followed.</p>	<p>A very experienced Chief of Procurement who is committed to ensuring that UN rules are complied with.</p> <p>Use of Global contracts to overcome this problem. However it is questionable if better outcomes could not be achieved by buying from within the geographical proximity due to timing issues with shipments from Europe.</p> <p>Training is provided to requisitioners. It appears that there is some frustration with delays in procurement which in reality stems from delayed requisitions as well as matters beyond the control of the procurement section, including shipments from Europe taking along time to arrive in the country.</p>	<p>Likely</p> <p>Likely</p>	<p>Medium</p> <p>Medium</p>	<p>Higher Risk</p> <p>Higher Risk</p>

4	Focus Area:	Procurement and Contract Administration		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(vi). Poor performance by vendors and poor response to bids by vendors resulting in non-competitive bids and higher prices being paid by UNMIT.</p> <p>C(i). Delays in procurement lead requisitioners to resort to direct purchase authorities and petty cash purchases in order to keep the Mission moving whilst the procurement process is in train and its resulting higher prices being paid.</p> <p>C(ii). Pace of procurement review process at the Headquarters Committee on Contracts and also possible delays at the Local Committee on Contracts cause items procured to arrive long after they were needed to perform critical functions of the Mission.</p> <p>C(iii). Misunderstanding of the requisitioner's role with the possibility of the requisitioners inappropriately communicating with potential vendors thereby compromising the procurement process and leading to cancellations of procurements at late stages and its resultant frustration both for UNMIT and the Vendors.</p> <p>C(iv). Risk of inappropriate relationships with vendors and passing off of sensitive bid information to favorites thereby compromising the whole procurement process, its security and credibility.</p>	<p>Vendor performance reports to be implemented as Mission matures.</p> <p>This is happening to an extent but has been inevitable due to the fact that the mission needs to keep running and things like the elections require urgent attention.</p> <p>The Local Committee on Contracts meets regularly to expedite the processing of procurement cases within its mandate. There is follow up of HCC cases performed by the Chief of Section.</p> <p>Training is provided to requisitioners in respect of their roles and the do's and don'ts of the Procurement Manual.</p> <p>There is strong leadership and commitment from the Chief of the Section to ensure that UN rules are complied with. A credible bid process is also in place.</p>	Compliance	Likely	Medium	Higher Risk

4	Focus Area:	Procurement and Contract Administration		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	F(i). Excess workload on buyers affects morale and the low level of staffing increases pressure on procurement thereby increasing the risk of cutting corners rendering the whole procurement process compromised.	Still an issue.	Human Resources	Possible	Medium	Moderate Risk
II	<p>Supply (Excluding Fuel)</p> <p>A(i). There is a limited number of qualified contractors in the country resulting in higher costs for the Mission.</p> <p>A(ii). The road and weather conditions are often bad thereby cutting off parts of the country. As a result, supplies to the outlying areas could be delayed thereby causing delays to work that is required in those Districts.</p> <p>A(iii). The conduct of elections and the supply of election related materials may take focus away from normal operations causing delays to major programmes because of a lack of supplies.</p>	<p>Use of Global Contracts to overcome this problem. However it is questionable if better outcomes could not be achieved by buying from within the geographical proximity e.g. Australia, New Zealand and Indonesia due to timing issues with shipments from Europe.</p> <p>Use of helicopters or flights where required to ensure supplies get to areas of need.</p> <p>Elections are largely finished now and there is little likelihood of new elections immediately.</p>	Strategy	Possible	Medium	Moderate Risk
	E(i). Acquisition planning is at a starting stage whereas the mission is operating as a mature mission. Delays in receiving supplies under the Global contracts have an impact on operations including the use of direct purchase authorities and petty cash in order to ensure the mission does not come to a standstill. Issues relating to effectiveness of Global Contracts in Timorese setting in terms of geography, timing and operations.	Meetings are being scheduled to prioritise acquisition planning. Delays in Global contracts are still an issue.	Operational	Possible	Medium	Moderate Risk

4	Focus Area:	Procurement and Contract Administration		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Lack of qualified and experienced personnel especially in the area of rations at a time when the Mission has Formed Police Units. This could lead to the provision of culturally insensitive rations which could in turn lead to morale issues.</p> <p>F(ii). Limited training and capacity building for staff especially in respect of Galileo system. There is an acute shortage of staff with Galileo experience thereby leading to potential errors in the system and therefore in financial reports as well.</p>	<p>Aggressive recruitment drive by the CCPO for the whole of the Mission. Numbers are now about 60%.</p> <p>Use of staff on temporary duty from other Missions as a short term measure whilst recruitment efforts are underway.</p>	Human Resources	Likely	Medium	Higher Risk
	<p>B(i). Supply related problems may not be raised at the management level and adequately addressed as a result.</p>	<p>Continuous reporting through RBB process. Weekly meetings with CISS and CAO to discuss any matters of concern. Monitoring of staff performance through ePAS.</p>	Governance	Possible	Medium	Moderate Risk
	<p>D(i). Some medical supplies were received in February 2007 and were sent to Medical Section directly although they were being shown as located in the Warehouse. This could call into question the integrity of information in the Galileo system and could lead to a lack of appropriate audit trail for such items, potentially causing inaccurate financial reporting.</p> <p>D(ii). There is a history of handing budget allotments back due to inability to stop allotments not needed by the Mission in the previous budget period leading to a perception of inaccurate estimation of budgetary requirements.</p>	<p>Tightening up of procedures in place by OIC Supply to ensure that all items are received and accounted for.</p> <p>Tightening up of procedures in place by OIC Supply to ensure that accurate budgeting is performed.</p>	Financial	Possible	Medium	Moderate Risk

4	Focus Area:	Procurement and Contract Administration		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>C(i). There is a potential health risk at warehouse due to the use of asbestos roof, the slippery nature of the floor, which could lead to health problems for staff and also the potential for litigation against the Mission.</p> <p>C(ii). The Headquarters Committee on Contracts had not yet approved the head contract at the time of this assessment. The new Rations contract had become operational but had not yet been signed leading to potential litigation difficulties if such litigation occurs.</p>	<p>Report issued by Medical but no change has as yet occurred. This is a health hazard for staff.</p> <p>Efforts intensified to get HCC approval and signing of Rations contract.</p>	Compliance	Likely	Medium	Higher Risk
iii	<p>Fuel Cell (Part of Supply Section)</p> <p>A(i). There is not enough competition among POL suppliers in the country thereby leading the Mission to pay higher prices for such supplies.</p> <p>A(ii). The roads and weather conditions in Timor Leste are bad. This in conjunction with the isolated nature of the country could mean a lack of shipping traffic thereby reducing the ability to acquire fuel from overseas promptly.</p>	<p>The price paid for fuel is based on covering fixed costs plus a profit margin generally accepted.</p> <p>New fuel contract comes into effect in September 2007.</p> <p>A new fuel contract is being implemented.</p>	Strategy	Likely	Medium	Higher Risk
	<p>C(i). In some areas of the country, fuel depots may not meet international standards thereby causing problems of environmental damage leading to potential fines/penalties.</p> <p>C(ii). Possible damage to the environment due to spillage of POL at UN or Contractor sites and UN generator sites as well as mismanagement of hazardous waste thereby leading to fines/penalties for environmental damage.</p>	<p>This only applies to a couple of sites in the regions but efforts are being made to upgrade them.</p> <p>There is a fuel stock management system in place for stations run by UNMIT. SOPs are being developed to deal with environmental issues.</p>	Compliance	Possible	Medium	Moderate Risk

4	Focus Area:	Procurement and Contract Administration		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) The management/mismanagement of Fuel has traditionally been a problem area for a lot of Peacekeeping Missions. The SRSG has specifically asked for an audit of fuel.</p> <p>E(ii) There is a risk of unauthorised use of vehicles by staff and also the abuse of vehicle usage in the absence of a Car-Log system and also MEFAS.</p> <p>E(iii). FPU's have Contingent Owned Equipment (COE) which require fuelling. In a number of Missions the fuelling of COEs has generally heightened the issues of fraud/abuse and in some cases unauthorised re-selling of such fuel.</p> <p>E(iv) Fraud/Theft and sale of POL by either Contractor personnel or UNMIT staff.</p>	<p>Fuel Unit organisational structure is designed to meet the operational requirements of UNMIT. Well defined job descriptions being implemented.</p> <p>Car-Log is being implemented soon and MEFAS is being looked at for deployment in the Mission.</p> <p>Monitoring of fuel usage is conducted by the Fuel Cell in respect of both FPUs and other staff vehicles.</p> <p>Monitoring of fuel usage by the Fuel Cell.</p>	Operational	Possible	High	Higher Risk
	<p>F(i). Low staffing/manpower reduces ability to effectively monitor fuel use and inspection of bulk fuel loads for generators.</p>	<p>Aggressive recruitment drive by the CCPO for the whole of the Mission. Numbers are now about 60%.</p>	Human Resources	Likely	Medium	Higher Risk

Risk Assessment of : UMIT

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>Transport</p> <p>C(i). Vehicle to staff ratios at the start-up stage of the Mission are incidentally high potentially leading to a perception of over-resourcing.</p> <p>C(ii). Inappropriate and unauthorised use of UN vehicles leading to accidents and costs of repairs. Incidence of drunk-driving could lead to resentment by the host population and attacks on UN staff.</p>	<p>This is due to the size and nature of the mission. The small number of staff means that individuals have to do most things on their own and need vehicles to do so.</p> <p>The Car-Log system is being introduced soon. UN Security in conjunction with UNPOL conduct spot checks and testing for drunk-driving.</p>	Compliance	Possible	Low	<p>Moderate Risk</p> <p>Lower Risk</p>

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). High number of motor vehicle accidents in Dili involving UN staff. Small size of Dili (and its resultant decrease in speed limits and lack of respect for vehicular traffic) causes frustration for some UN drivers thereby increasing the number of accidents involving UN vehicles. The local population's reaction to accidents tends to be aggressive thereby increasing the risk of attack of UN staff.</p> <p>E(ii). Locals generally pay no respect to vehicles and animals are left to roam the roads posing risks to UN staff members driving such vehicles. General driving skills in Dili and driving etiquette is almost non-existent thereby increasing the potential for more accidents involving UN vehicles, which could also increase resentment by the host population.</p> <p>E(iii). Incidence of stone throwing at UN vehicles and shooting of darts at some of them. The UN vehicles may serve as a source of frustration for some locals in a generally poor country with UN staff becoming targets for attack.</p>	<p>Induction programme and driver education programme in place for all new starters in the Mission. Occasional defensive driving and 4 wheel driving workshops for staff in the regions. Testing is also performed prior to the issue of driver's permits.</p> <p>Induction programme and driver education programme in place for all new starters in the Mission. Occasional defensive driving workshops conducted.</p> <p>Changes to windows and windscreens of vehicles to provide added security. Mesh has been added to some Police vehicles.</p>	Operational	Possible	Medium	Moderate Risk
	<p>E(iv). Frequent shortages of spare parts and tires and long delays in getting parts and tires into the country leading to transportation difficulties for the Mission and therefore bringing the work of the Mission to a stand-still or slowing down its tempo.</p>	<p>Being dealt with under Global contracts</p>				
	<p>B(i). Issues relating to transport may not be reported in a timely manner to senior management for corrective action to be taken.</p>	<p>Weekly meetings with CISS and CAO serve as forum to discuss any issues.</p>	Governance	Possible	Medium	Moderate Risk

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	Aviation		Compliance	Possible	Medium	Moderate Risk
	C(i). Frequent technical problems with some air assets which could have a negative impact on staff morale.	Air Charter contracts are very comprehensive in dealing with issues arising out of technical problems. This may not necessarily address the morale issue though.		Possible		
	C(ii). Delayed replacement for unserviceable/unsuitable aircraft/parts leads to unexpected grounding of aircrafts and therefore a halt to staff travel.	Air Charter contracts are very comprehensive in dealing with issues arising out of technical problems. This may not necessarily address the morale issue though.				
	C(iii). There is no dedicated independent Aviation Safety Unit as yet set up within the Mission. The absence means that there is no independent check of events impacting on safety of aviation.	The technical Compliance Unit within Aviation focuses on safety issues but there is still a need for an independent aviation safety unit.				
	C(iv). Operational inefficiency and ineffectiveness due to lack of proper standards for proper functioning and running of aviation assets. Non-compliance with UN and ICAO rules, policies, procedures and standards could lead to exposure in respect of insurance.	The UN has an Aviation Manual and an Aviation Safety Manual which are used within the Mission. These Manuals, if followed, should ensure compliance with ICAO standards and other UN rules, policies and procedures.				
	E(i). Risk of Aviation fuel theft.	Monitoring performed by fuel cell.	Operational	Possible	Medium	Moderate Risk
	F(i). Lack of specialist training for Aviation staff thereby leading to bottlenecks in operations and limiting staff travel for important Mission work.	On the job and specialised training is prescribed in the UN Aviation Manual. Monitoring of staff performance is done through ePAS and supervision is provided.	Human Resources	Possible	Medium	Moderate Risk
	B(i). Issues related to Aviation may not be reported to senior management on a timely basis for corrective action to be taken.	Weekly meetings with the CISS and CAO serve as a forum to discuss any issues relating to Aviation.	Governance	Possible	Medium	Moderate Risk

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No III	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
III	MOVCON			Possible	Medium	Moderate Risk
	E(i). There is a risk of human error in the database created for efficient and accurate manifesting of passengers and cargo leading to inaccuracies in the database and therefore level of load for aircrafts. Errors may also lead to difficulties in locating staff in cases of emergency.	Work Plan is being developed and SOPs and policies/procedures are in place. Still there is a chance of human error.	Operational	Possible	Medium	Moderate Risk
	E(ii). The Movement of personnel may not be done in a way that is sensitive to gender related issues leading to accusations of discrimination.	Gender mainstreaming is now commonplace within the UN.				
	E(iii). Risk associated with movement of personnel and cargo from place to place including potential loss of cargo, pilferage etc leading to loss for the Mission.	Work plan is being developed including SOPs and procedures to provide guidance.				
	E(iv). Delays in moving personnel, cargo etc may result in financial penalties/costs/loss for the Mission.	Monitoring of staff performance and supervisory control in place.				
	F(i). Low staffing level impacts on delivery of service to staff. Lack of specialised training for MOVCON staff.	Aggressive recruitment drive to fill vacant posts. Training for dangerous goods, ground handling, safety etc is planned for the section.	Human Resources	Likely	Medium	Higher Risk
	B(i). Issues related to MOVCON may not be reported to senior management on a timely basis for corrective action to be taken.	Weekly meetings with the CISS and CAO serve as a forum to discuss any issues relating to MOVCON.	Governance	Possible	Medium	Moderate Risk

Risk Assessment of: [Department/Unit]

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
1	<p>Communication and Information Technology</p> <p>F(i). Low level of staffing and lack of qualified and experienced personnel, leading to frequent disruptions to communications within the Mission.</p> <p>G(i). Inability to meet ICT needs of the Integrated Mission especially in respect of the agencies due to lack of equipment and delays in getting much needed equipment leading to bottlenecks in the Mission's operations. Delayed procurement of needed items.</p> <p>G(ii). Unauthorised access to key equipment, hacking, instigated jamming and general internet related security issues in respect to computers cause the system to malfunction and brings the work of the Mission to a standstill.</p> <p>G(iii). Loss or obsolescence of CITS assets due to lack of proper management thereby reducing the communications and information technology functionality within the Mission. Breakdown of communications and IT network.</p> <p>G(iv). Key CITS equipment failure resulting in inability to service the Mission effectively and causing bottlenecks in Mission's operations.</p>	<p>This is a major problem but the section has a very experienced Chief of CITS who has been trying to recruit staff who have proven themselves in other missions.</p> <p>SOPs, policies and procedures in place. Project plans with clear objectives, scope, timelines, expected outcomes and accountabilities in place. Continued push to procure items although some resort to direct purchasing authorities has been made.</p> <p>Password system in place and use of anti-virus software. Only people set up as administrators can execute programs on computers.</p> <p>Experienced asset managers in place to mitigate this risk with support from New York and Brindisi.</p> <p>Experienced asset managers in place to mitigate this risk with support from New York and Brindisi.</p>	<p>Human Resources</p> <p>Information Resources</p>	<p>Possible</p> <p>Likely</p> <p>Possible</p>	<p>Medium</p> <p>Medium</p> <p>Medium</p>	<p>Moderate Risk</p> <p>Higher Risk</p> <p>Moderate Risk</p>
	<p>B(i). Issues related to CITS may not be raised at the senior management level for corrective action to be taken.</p>	<p>Weekly meetings with CISS and CAO serve as a forum to discuss any matters of concern and have them resolved.</p>	<p>Governance</p>	<p>Possible</p>	<p>Medium</p>	<p>Moderate Risk</p>

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Impact of fire and/or flood on CITS operations could lead to complete malfunctioning of communications and information technology assets. Security of CITS assets.</p> <p>E(ii). Some surplus assets due to chaotic nature of start-up stage of Mission leading to inefficient usage /management of resources.</p> <p>E(iii). Possible errors in telephone billing and misappropriation/abuse of telephone services leading to financial loss.</p>	<p>Reliance on National Fire Service and UNMIT's own operations for fire and flood response. Good security exists within O brigado but there could be problems in the regions.</p> <p>Experienced asset managers in place to mitigate this risk.</p> <p>Checks at various levels including supervisory review and approval of telephone bills.</p>	Operational	Possible	Medium	Moderate Risk

Risk Assessment of: UNMIT

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>UN Police</p> <p>A(i). Possibility of new Government when formed not agreeing with some aspects of PNTL reform/training/restructuring thereby delaying or cancelling gains made in the process.</p> <p>A(ii). Possible political interference in the recruitment, vetting and selection process for the PNTL. There is the possibility of some persons of ill-repute slipping through the vetting process and qualifying as PNTL, later bringing the whole PNTL into disrepute. There may be reluctance on the part of some PNTL personnel to perform functions effectively due to inappropriate links within the community, causing the host population to question the effectiveness of the Mission.</p> <p>A(iii). Low morale among the PNTL due to low salaries and possible delays in payment when due. UNMIT is responsible for the reform, rebuilding and restructuring of the PNTL, so the efforts of UNMIT could be thwarted if the PNTL are not motivated and continuously absent themselves from duty.</p>	<p>Ensuring agreement on the programme and approval by the Timorese government. Continuous process of consultation and interaction with relevant authorities/bodies.</p> <p>A consistent approach that reiterates the UNPOLs' mandated responsibilities and reflects the independence of the Police. Engagement with the PNTL in sharing office buildings etc and colocation of UNPOL and PNTL to foster mentoring.</p> <p>This is mainly a Timorese government responsibility but has an impact on UNMIT since it cannot be effective if the people to be reformed are absent.</p>	Strategy	Likely Possible	Medium High	Higher Risk Higher Risk

7	Focus Area:	Programme and Project Management			Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>A(iv). Developments in the Corrections and the Judicial/Legal system may lag behind the Police thereby negating gains made in Policing. For example Police may arrest offenders but may have to release them due to inability to take them through the legal process on time or lack of remand facilities leading to a continuation of the culture of impunity.</p> <p>A(v). Impact of the actions and movements of Major Alfredo Reinado (former Head of Timorese Military Police who led a revolt with a group of armed supporters and for whom a process of dialogue is being developed) and Petitioners on the credibility or otherwise of the Police. The activities of these people could continue to cause destabilisation of the country and seriously challenge the effectiveness of UNMIT and the UN Police.</p>	<p>Consistent approach that reiterates the UNPOL's mandated responsibilities and reflects independence of the Police. Engagement with the PNTL in sharing office buildings etc. A cooperative approach to Security Sector and Rule of Law through the DSRSG SSR and ROL.</p> <p>This is a potential problem that if not handled properly by the Timorese Government would have a significant effect on UNMIT.</p>		Strategy	Likely	Medium	Higher Risk
	<p>A(vi). The strategic role of UNPOL in achieving the mandate of UNMIT may not be fully recognised, articulated and inputs and outputs may not be logically linked. There may not be an adequate mechanism for monitoring the achievement or otherwise of mandated responsibilities. This could result in a questioning of the role of UNPOL in Timor Leste.</p>	<p>The role is clearly recognised within UNMIT and therefore given due cognisance by SRSRG and Senior Management Team. The RBB Performance Reporting assists to report and monitor performance.</p>		Strategy	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Uncontrolled civil disturbance/disorder could cause bad publicity for the Mission. Increase in the number of personal attacks on civilians by criminal elements could undermine the effectiveness or at least the public perception of the Mission, particularly UNPOL.</p> <p>E(ii). Impact of the Military/ISF/FPUs on the acceptance of Community Policing by the beneficiary population. There is a likelihood that the host population may see all of them as similar and therefore any action by the ISF/Military/FPU could lead to resentment of the UNPOL.</p> <p>E(iii). The dynamic nature of violence hotspots in Timor Leste may mean constant changes to deployments and movement of UNPOL which may not be in line with the Policies of the Civilian Police Division.</p>	<p>Increase in size of FPU's and also deployment of UNPOL. Tactical deployment to known hotspots.</p> <p>A consistent approach has been adopted that reiterates the UNPOL's responsibilities and reflects the independence of the Police. There is sharing of knowledge and understanding of the Military through the Military Liaison Officers.</p> <p>The UNPOL concept of operations is well defined and constant refinement of deployment is made as new information comes to hand.</p>	Operational	Likely	Medium	Higher Risk
	<p>B(i). Financial constraints may have an impact on the effectiveness and pace of the training programme. An inappropriate training programme could undermine the effectiveness of the Mission Mandate implementation.</p>	<p>The Police Commissioner reports to the DSRSG Security Sector and Rule of Law and also attends Senior Management meetings which provide a forum to raise any issues relating to budget etc.</p>	Governance	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No II	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Electoral</p> <p>A(i). The strategic nature of this programme could mean that any failure could be interpreted as a failure of the whole mission. If elections are flawed or marred by violence, some blame may be placed on UNMIT. There is a need for credibility of elections process.</p> <p>A(ii). Lack of goodwill on the part of certain elements within the electorate and parties involved could undermine the elections process leading to claims that UNMIT has failed in the implementation of a good chunk of its mandate.</p> <p>A(iii). Risk of the National Elections Commission (CNE) deciding to conduct the elections on its own without assistance from UNMIT leading to a flawed elections process. There is also a risk of political interference in the electoral process including the printing of ballot papers and security of the papers/boxes leading to the whole elections being brought into question and UNMIT losing credibility.</p>	<p>Proper recognition given to the importance of the election process. The Chief of UNMIT Electoral Division reports directly to the DSRSG Governance Support, Development and Humanitarian Coordination as well as attending various Senior Management meetings. SRSG expressed importance of elections to all staff and the priority that should be attached to it. Additionally election observers were present to determine the credibility of the elections.</p> <p>Constant dialogue was conducted with various parties to ensure a smooth process of communication and transparency. Worked with the CNE to decongest political rally schedules.</p> <p>Worked with CNE and had a bit of history with the Presidential elections thereby fostering acceptance of credible and unbiased process. Use of serially numbered ballot papers and ballot boxes that were sealable.</p>	Strategy	Likely	High	Higher Risk
	<p>A(iv). There is the possibility that election results may not be fully accepted by all parties, leading to call for new elections and its attendant mobilisation of resources challenges that such a move will entail.</p>	<p>This is a potential problem but the election results were accepted by all parties.</p>				

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Staffing issues including long time for recruitment of election experts whose job is only short-term in nature and delays in arrival of chosen persons for the election process could cause serious delays to the election process.</p>	<p>A problem area but appropriately dealt with. The elections were held successfully. UNVs were used in this exercise</p>	<p>Human Resources</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>
	<p>E(i). Various ICG reports indicating that elections would most likely not be successful, which could be a major setback for UNMIT.</p> <p>E(ii). Logistical issues including lack of support from other sections of UNMIT. The bad weather conditions and road conditions could mean that some areas of the country could be completely cut off thereby causing delays and potential questions over the results of the elections.</p> <p>E(iii). Threat of violence in some areas including reports of intimidation of voters leading to low voter turnout and loss of credibility. There have also been various Embassies reporting threats of violence, which they claim could undermine the credibility of the elections.</p>	<p>Violence and threats monitored and reported with swift action by security/UNPOL/ISF where required. The presence of UNPOL reduced tension in various locations.</p> <p>Use of aircrafts to fly ballot papers into areas which were inaccessible by road. Urgent repairs were made to road infrastructure where possible.</p> <p>UNPOL and ISF responded effectively to any threats where required.</p>	<p>Operational</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>
		<p>The elections were held successfully. There was no clear winner and efforts are underway to form government. This is a separate process from the elections. The implementation of various controls ensured that this higher risk programme was successful. Since the elections have been held, the residual risk is considered to be low but can become high again if new elections are required within the year.</p>				

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No III	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Serious Crimes Investigation</p> <p>Completion of the investigations is delayed and the SCIT does not commence its investigative tasks on time as a result of recruitment issues. The SCIT is criticized for its indolence.</p>		Human Resources	Likely	Medium High	Higher Risk Higher Risk
	<p>E(i). The SCIT is unable to establish a fully functioning office in Dili and also in the regions. For example there are no suitable offices in Baucau, Maliana and Suai. As a result, it is unable to carry out its mandate.</p> <p>E(ii). Results of investigations may not be satisfactory for political leaders since they may cover potential crimes also committed by some powerful people leading to a process of attacks on the work of the SCIT.</p> <p>E(iii). Investigators may be exposed to violence by potential perpetrators who want to avoid investigations especially from the Districts where they may have the support of family and friends. This could lead to attacks on the investigators as well as damage to UN property and the non-achievement of the Serious Crimes Investigation mandate.</p>	<p>There is cooperation with UNMIT recruitment and Personnel Section to speed up the recruitment process. Aggressive recruitment drive underway.</p> <p>Various requests made but lack of offices could hamper the investigative tasks of the SCIT. It may well be that they may have to operate from Dili, which will once again hamper progress in cases that involve regional visits.</p> <p>Proper explanation of the role of the SCIT is required to ensure a proper understanding by the public and to garner public support.</p> <p>Cooperation with security forces including UNPOL and PNTL to provide security for investigators. In some cases, this may not be enough and the Team may require more robust support.</p>	Operational	Likely	High	Higher Risk
	<p>D(i). The SCIT is unable to set up a fully functional Forensic Laboratory to enhance the performance of exhumations and identification of remains in a timely manner. Lack of funding for the construction and facilitation of the laboratory.</p>	<p>Requests made but funds not yet available and the building of a fully functional laboratory does not appear to be feasible in the short term. Could be a major issue for the UN.</p>	Financial	Likely	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	A(i). Investigations are not completed before the UNMIT mandate expires thereby resulting in the UN being criticized for not meeting its promises and fulfilling its functions.	Evaluation of resources needed to complete tasks and a credible work plan are needed to ensure that the Team can meet its mandated responsibilities. This may include appropriate budgets for ensuring the programme meets set timelines.	Strategy	Possible	High	Higher Risk
IV	Human Rights and Transitional Justice A(i). Lack of needed will and cooperation from counterparts of the Government and civil society leading to a continuation of the current culture of impunity. A(ii). The culture of impunity continues within the country therefore leading to suggestions that the Mission has failed in the implementation of its Human Rights mandate. A(iii). Corrections may not have the priority that it deserves within the government due to the fact that it deals with prisoners thereby causing bottlenecks in the administration of justice.	Coordination with UN Agencies, International Organisations and NGOs to ensure that human rights and transitional justice remains an issue of currency within Timor Leste. Working with other offices like the Provider for Human Rights to build capacity of the various institutions within the country. Corrections Officer included within the Administration of Justice Support Unit to keep track of issues relating to corrections and to give those issues currency within the Mission.	Strategy	Possible	Medium	Moderate Risk
	D(i). Lack of good human rights budget and/or adequate funding for programmes/activities including training on human rights.	Major problem for the section especially in respect of the pursuit of various programmes.	Financial	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Uncontrolled violation of human rights in the country may bring bad publicity to the Mission especially if parts of the Mission have some involvement.</p> <p>E(ii). Lack of satisfactory support and assistance from other UNMIT sections. The duality of reporting (Human Rights and Transitional Justice section reports both to the SRSG and to the Office of the High Commissioner for Human Rights - Geneva) may cause other sections to isolate the Unit leading to ineffectiveness in operations.</p>	<p>Human Rights induction programme included in the compulsory induction for all staff. Continued education is required outside of the Mission as well.</p> <p>The section reports to the DSRSG Security Sector and Rule of Law which provides a high level means of championing causes of the section.</p>	Operational	Possible	Medium	Moderate Risk
	B(i). Issues related to human rights and transitional justice may not be raised at a sufficiently high level for corrective action to be taken.	Regular meetings with the DSRSG on matters of concern.	Governance	Possible	Medium	Moderate Risk
	<p>F(i). Long delays in filling vacant positions due to time consuming UN process of identifying candidates to the issuing of contracts. Long delays in the arrival of selected candidates to take up vacant posts. These lead to a lack of progress in the implementation of a credible workplan.</p> <p>F(ii). In periods of heightened tension and violence, there is a risk that Human Rights and Transitional Justice staff in their bid to monitor and cover events may sustain injuries or be targeted and attacked causing the Mission significant negative publicity.</p>	<p>This is an issue for most sections in UNMIT.</p> <p>The staff only attend events in conjunction with UNPOLs and FPU's where necessary.</p>	Human Resources	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
V	Communications and Public Information			Possible	Medium	Moderate Risk
	<p>E(i). Possibility of civil unrest flaring up, preventing the section from carrying out its mandated programmes.</p> <p>E(ii). Delays in procurement of essential technical equipment reduces the effectiveness of the section in implementing its mandated programmes aimed at engaging the host population.</p> <p>E(iii). Inability to reach out to the Timorese people to properly explain the work of UNMIT and with messages that promote peace, enhancing awareness about UNMIT-led campaigns such as anti-rape, gender based violence, sexual exploitation and abuse thereby reducing the effectiveness of mandate achievement.</p> <p>E(iv). Possibility of SEA cases becoming the focus, if they occur, thereby limiting the ability to focus on other parts of the mandate.</p>	<p>The security section and UNPOL have mitigating plans in place to reduce the risk of civil unrest. These are also linked with the efforts of the ISF, MOSS and MORSS in place within Timor Leste.</p> <p>This has been an issue across the board in UNMIT and has been due to a number of factors including the Mission being at start-up stage but expected to behave as mature.</p> <p>Community campaigns promoting community policing and wide coverage of the on-going security sector reform and electoral work.</p> <p>The Conduct and Discipline Unit (CDU) has played a lead role in dealing with staff induction. SEA training is compulsory for all staff. Such programmes should be on-going and the CIPU needs to be more engaged in this process.</p>	Operational	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Dearth of production and technical personnel at UNMIT CIPU to meet the continuous demand for services required for the Mission. The lack of dearth could mean that important communication and information work may not be carried out thereby reducing the effectiveness of the mandate achievement.</p> <p>F(ii). Lack of sufficient skilled and qualified staff due to the low level of manpower within the unit and in the Mission as a whole.</p>	<p>Aggressive recruitment drive in place.</p> <p>Aggressive recruitment drive in place.</p>	Human Resources	Likely	Medium	Higher Risk
	<p>B(i). Lack of a credible workplan that sets out clear goals and responsibilities of various units and individuals to ensure accountability for programmes leading to lack of accountability and inability to achieve mandate.</p> <p>B(ii). Matters of concern to the Unit may not be raised at a sufficiently high level within the Mission to ensure that prompt corrective action is taken.</p>	<p>A workplan is in place.</p> <p>The Chief of CIPU reports directly to the Chief of Staff and so has direct access to raise any matters of concern.</p>	Governance	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management			Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
VI	Administration of Justice Support			Strategy	Likely	Medium	Higher Risk
	<p>A(i). Uneven pace of development of Justice system in relation to other components e.g. Police may cause the whole program of the Mission to fail. People arrested by the Police may have to be released because of the inability of the Justice system to deal with cases in an expeditious manner. Poor planning resulting in overcrowding of the correctional system and security incidents in the prisons undermine credibility e.g prisoners escaping from lawful custody.</p> <p>A(ii). Over-expectation/misunderstanding of the role of the Administration of Justice Support section (assistance only and no executive powers, depending exclusively on the willingness of external Timorese parties), leads to a perception that the section is not effective and that adequate progress has not been made in mandate achievement.</p>	<p>The section appears to be working in coordination with other actors e.g UNDP, UNICEF etc to ensure that the pace of development is evened out as much as possible. This is a daunting task though.</p> <p>There is the potential that the Government could take credit for things that go well but shift blame to the section for the things that fail. An education plan to counter this should be developed.</p>		Strategy	Likely	Medium	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	E(i). Criticism due to the inability of the Justice system to deal with cases in a timely manner.	The Prosecutor-General has slowly started to get on top of the number of cases that have been outstanding but this is still a problem area that needs constant follow-up and monitoring.	Operational	Possible	High	Higher Risk
	E(ii). Lack of support and low profile of corrections sector in relation to other sectors like Police F-FDTL etc could lead to failure to adequately fund it. Disinterest for Judicial/Corrections reform among major political stakeholders resulting in lack of support including budgetary support thereby further worsening the situation on the ground. A lack of cooperation from the Government or Legislature in respect of crucial legislation or budget leading to limited progress in respect of Justice Support.	Continuous coordination and meetings with other actors/players to ensure a concerted effort towards addressing any profile issues. The unit provides input to the SRSG through the DSRSG for meetings with the Prime Minister and the President. Whilst the issue of funding is a local issue, the section can assist by pointing out the limitations caused by any lack of funding.				
	E(iii). Continued violation of human rights of persons processed by the Judicial/Corrections systems could undermine the credibility of the section leading the host population to determine not to rely on the section for assistance.	This is a problem area in a country where a culture of impunity appears to exist although things are starting to improve.				
	B(i). Issues relating to Administration of Justice Support may not be raised at a sufficiently high level to ensure that prompt corrective action is taken.	Meetings held with the DSRSG Security Sector Reform and Rule of Law serve as a means to address any issues of concern.	Governance	Possible	Medium	Moderate Risk
	F(i). Low manpower level could lead to delays in meeting objectives. Long delays in the filling of vacant positions within the unit lead to a dulling of its effectiveness.	Aggressive recruitment drive in place.	Human Resources	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
VII	<p>Security Sector Support</p> <p>F(i). As at the time of the risk assessment, no Chief of Section was yet on Board, which implied that the DSRSG Security Sector and Rule of Law had to do without a key adviser in performing his role. A new Chief has since arrived but is in start-up mode thereby reducing the effectiveness of the section to date.</p> <p>F(ii). There is a low staffing level and a lack of qualified and experienced personnel leading to reduced effectiveness of the section.</p>	<p>A Chief has been identified and arrived in the Mission soon after the fieldwork for the risk assessment was performed.</p> <p>This is a problem across the Mission.</p>	Human Resources	Likely	High	Higher Risk

7	Focus Area:	Programme and Project Management	Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>A(i). The inability to complete security sector reform impacts hugely on the proposed duration of the Mission. If the Security sector in Timor is unable to stand on its feet, any withdrawal by the Mission could lead to the country imploding on itself again.</p>	<p>This could be an issue of major impact on the timing of the Mission.</p>	Possible	High	Higher Risk
	<p>A(ii). The Timorese Government may not be receiving the assistance that has been mandated by the Security Council in terms of security sector reform, leading to a questioning of the effectiveness of the whole Mission.</p>	<p>This was a problem for the Mission due to the long delay in staffing the Unit, although the DSRSG held the fort till the arrival of the new Chief of Section.</p>			
	<p>A(iii). Possibility of the new Government not agreeing to some aspects of reform leading to delays, frustration or complete abandoning of the process altogether.</p>	<p>This is an unknown factor but us dependant upon performance, credibility as well as political factors.</p>			
	<p>A(iv). Possible heavy resistance by F-FDTL to any reform that impacts on them and the possibility that the Police and the Military may not be able to work together in cooperation due to past differences leading to further conflict.</p>	<p>A review of the roles of the Police/Military is underway and steps are being taken to ensure that the two institutions are not politicised leading to conflict.</p>			
	<p>A(v). A similar conflict erupts between Military and Police as happened in April/May 2006 leading to a perception of complete failure by the Mission to achieve its mandate.</p>	<p>Working linkages have been identified between the Ministry of Defence and Ministry of Interior as a basis for moving forward.</p>			
	<p>B(i). No credible workplan in place to ensure the achievement of mandated work.</p>	<p>The arrival of the Chief will help to alleviate this issue to an extent.</p>	Possible	High	Higher Risk
	<p>B(ii). Matters of concern to security sector reform unit may not be raised at a sufficiently senior management level for corrective action to be taken promptly.</p>	<p>The Chief of the section reports directly to the DSRSG Security Sector and Rule of Law thereby providing a forum to raise any matters of concern.</p>			

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	E(i). Failure to achieve expected reform will adversely affect success story of UN in Timor Leste.	A Crisis Management Plan is being developed to bring together the four components of the security sector to jointly manage any crisis.	Operational	Possible	High	Higher Risk
VIII	Democratic Governance Support B(i). Clarity of Mandate in respect of Democratic Governance Support especially as it relates to limits and boundaries of support to be provided. No measurable output document has been developed and approved yet.	A work plan is being developed but one can sense that the role is not altogether clear enough.	Governance	Possible	Medium	Moderate Risk
	E(i). A number of International and Bilateral Players in the field. The Unit has to determine the level of interaction and involvement with these players. Some of these players have been operating in the country for long periods and will remain in the longer term.	Meetings involving the other players in order to promote acceptance and teamwork.	Operational	Possible	Medium	Moderate Risk
	E(ii). Lack of support from other players who may see the Democratic Governance Support Unit of UNMIT as a hindrance due to its short-term nature as against the long-term focus of other players.	Meetings involving other players in order to promote acceptance and teamwork under the auspices of the DSRSG.				
	F(i). Staffing issues relating to timing of deployment of staff and availability to progress work.	Aggressive recruitment drive underway.	Human Resources	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	Medium	Higher Risk
No IX	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Humanitarian Affairs</p> <p>E(i). Non-acceptance of the section by the long-term players in the field who have been in Timor for longer periods and who perceive the section as a short-term player thereby leading to duplication in efforts.</p> <p>E(ii). Finding an appropriate role that is acceptable to all the players both within the UN family and outside it. Without this the section runs the risk of not being accepted and therefore not being able to coordinate humanitarian affairs within the country.</p>	<p>All of the UN Agencies report to the DSRSG Governance Support, Development and Humanitarian Coordination thereby providing unity of command. The one UN policy has been implemented to ensure focus is maintained.</p>	Operational	Remote	Medium	Lower Risk Lower Risk
	<p>B(i). Matters of concern to the section may not be raised at an appropriate level for corrective action to be taken.</p>	<p>The section reports to the DSRSG directly.</p>	Governance	Possible	Medium	Moderate Risk
	<p>F(i). Low level of staffing and lack of qualified personnel could lead to ineffective humanitarian work and therefore criticism of the Mission as a whole.</p>	<p>This is still a problem area for the Mission.</p>	Human Resources	Possible	Low	Lower Risk

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9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>Engineering and Property Management</p> <p>B(i). Absence of a clear cut MOU with the Timorese Government in respect of aspects that the UNMIT will be responsible for in terms of limits/boundaries of support may mean that UNMIT may be requested to fix more things especially where it is needed to enhance operations such as elections or where UNMIT and Local personnel share the particular infrastructure thereby taking UNMIT outside its focus.</p>	<p>Clear guidelines and manageable objectives set by the section and approved by the CISS. SOPs, policies and procedures in place for engineering activities from the first day of the Mission.</p>	Governance	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Delays in payment made to local contractors could lead to an undermining of the integrity of the Mission for payment of services rendered thereby causing local contractors to shun working for the Mission and causing delays in Engineering and Property Management works.</p> <p>E(ii). Delays in the procurement process and time taken to get engineering supplies could cause significant delays in the finalisation of work leading to staff frustration and disenchantment further putting a strain on an already low staffing situation and negatively impacting the mandate.</p> <p>E(iii). Short notice work requests from other sections with unrealistic deadlines places pressure on the section to deliver and encourages cutting corners leading to either shoddy or unsatisfactory work and its attendant frustration of staff members/low morale.</p> <p>E(iv). Frequent changes in project priorities may lead to work not being done at all and could mean long delays in some work order implementations leading to frustration of staff in an already low staffing situation.</p>	<p>Increased training capability helps to address this. Financial rules apply so it is critical that the section ensures that they understand the rules and that all requests for payment are in accordance with the rules.</p> <p>This is a concern but the procurement rules have to be followed. There is scope for better acquisition planning to make this process more effective.</p> <p>Education of staff is being done. There have been circulars issued to staff relating to the work order process to give them a better understanding of the process.</p>	Operational	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(v). Possible loss of material through theft/pilferage between stores and project sites causing delays and loss to the Mission.</p> <p>E(vi). Constraints of the budget may mean that some engineering activities may not be able to be performed.</p> <p>E(vii). Payments made for Contingent Owned Equipment that do not exist or are unserviceable or surplus to requirements thereby causing financial loss to the Mission.</p> <p>E(viii). Costs associated with Contingent Owned Equipment that do not reflect the actual usage of COE eg fuel usage which is outside the normal capacities of Equipment causing loss to the Mission.</p>	<p>Constant site supervision all over project sites.</p> <p>Weekly meetings with the CISS and CAO serve as a forum to raise any budgetary constraints.</p> <p>COE section monitors the equipment and does periodic reviews to ensure that UNMIT only pays for COEs in use.</p> <p>Monitoring of fuel usage is done through the fuel cell.</p>				
	F(i). Lack of resources (personnel and materials) to support the operation of programs and/or activities could hamper the progress of UNMIT.	Staffing is an issue which is being addressed through an aggressive recruitment campaign.	Human Resources	Possible	High	Higher Risk
	B(i). Matters of concern to Engineering may not be raised at a sufficiently senior management level for prompt corrective action to be taken.	Weekly meetings with the CISS and the CAO serve as a forum to raise matters of concern to Engineering.	Governance	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	General Services		Operational	Possible	Medium	Moderate Risk
	<p>E(i). Potential for adverse publicity for UNMIT due to long delays in processing claims from the public.</p> <p>E(ii). Delays by Self Accounting Units in writing off UN property resulting in inaccuracies in financial reporting for the Mission.</p> <p>E(iii). Delays by the Local/Headquarters Property Survey Board in settling write-off and assessments leading to inaccurate financial reporting.</p> <p>E(iv). Flights not being available in high season or personnel unable to travel because of delays in approval of visas leading to loss for the Mission. There could also be overcharging by the travel agency utilised by the Mission leading to financial inefficiency.</p> <p>E(v). Asset locations not being accurate on the system used by PCIU because of frequent movement of assets without corresponding change in underlying records.</p> <p>E(vi). Problems associated with insurance claims which are complex and take a long time to resolve thereby leading to frustration on the part of all stakeholders and could bring negative publicity to the Mission.</p>	<p>Monitoring of Section Plans, Unit work plans, performance indicators, client satisfaction surveys. Staff are held accountable by Chief of Section.</p> <p>There are very few write-offs at this stage of the Mission as most supplies are yet to arrive.</p> <p>There are very few write-offs at this stage of the Mission.</p> <p>The Travel Unit monitors travel quotes by checking other sources to ensure the lowest fare is quoted.</p> <p>There is continuous monitoring of assets and also stock take process to locate all assets.</p> <p>Supervisory controls in place. Some SOPs and policies/procedures in place.</p>	Operational	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	D(i). Probable loss or poor accounting for stamps leading to financial loss or inaccurate financial reporting.	Immaterial and controls are in place.	Financial	Possible	Low	Lower Risk
	D(ii). Theft/loss/damage to unaccompanied shipments leading to financial loss for staff/Mission.	Shipments are kept in a secure area.				
	F(i). Inadequate/low staffing resources as well as slow recruitment process leads to delays in providing services.	Aggressive recruitment campaign in progress leading to 60% staffing but more work needs to be done.	Human Resources	Possible	High	Higher Risk
	B(i). Concerns of general services are not raised at a sufficiently high level to ensure corrective action is taken.	Weekly meetings with CAS and CAO serve as forum to discuss any concerns.	Governance	Possible	Medium	Moderate Risk

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10	Focus Area: Safety and Security			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>Security</p> <p>A(). It is clear that Timor Leste is mainly calm due to the presence of ISF and UN. There is a risk that any withdrawal of these organisations may send a country that remains fragile and volatile into reverse and violence if not timed appropriately. Whilst the situation is generally calm now, the previous 10 months were volatile and violence cannot be ruled out without the presence of ISF and UN.</p>	<p>The reports of the SRSG to the Security Council reflect this position. Ultimately if the security council decides to pull out staff or ISF decides to withdraw at a time when the security agencies within the country are not yet able to stand on their own feet and maintain security, the Mission could be another failure for the UN.</p>	Strategy	Possible	High	Higher Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Inadequate allocation of resources could hamper the operations of the section and also potentially put lives at risk.</p> <p>E(ii). There have been a number of accidents involving UN vehicles as well as rock throwing incidents aimed at UN vehicles. There has been an increased number of incidents of violence in the lead up to the parliamentary elections. These incidents could put staff lives at risk.</p> <p>E(iii). Staff security in the light of issue with petitioners and relative uncertainty in respect to formation of government and which party will form government vis-a-vis the reaction of supporters of other parties may result in violence. There is a risk that staff may be caught up in any violence that occurs.</p> <p>E(iv). The Country and Area Security plans may not be up to date and practised thereby increasing the danger to staff if real acts of violence occur in the areas of abode/work.</p>	<p>The Security Adviser reports directly to the SRSG and has the ability to ensure that issues such as the lack of resources are considered at the highest levels.</p> <p>There is continuous review of the Country and Area security Plans. In the lead up to the elections, various scenario planning occurred.</p> <p>MOSS and MORSS in place as well as compulsory Basic and Advanced Security in the Field Training for all staff of the Mission. Various advisories and broadcasts sent to staff. The International Security Clearance System is now in place.</p> <p>The Country and area security plans are up to date and working.</p>	Operational	Possible	High	Higher Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B(). Security related issues may not be raised at a sufficiently high level within the Mission to ensure that corrective action is taken on a timely basis.</p>	<p>The Security Adviser reports directly to the SRSG and has the ability to ensure that issues such as the lack of resources are considered at the highest levels.</p> <p>This is a moderate risk only in light of the presence of ISF and UNMIT. Any withdrawal at this stage will push this risk back to Higher Risk. Additionally this risk is very dynamic and needs to be constantly monitored in the light of the fluid nature of events in the country.</p>	Governance	Possible	Medium	Moderate Risk

Focus Areas

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

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

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

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

Risk Categories

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

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

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

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

Risk Assessment Ratings

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

Risk Likelihood	
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

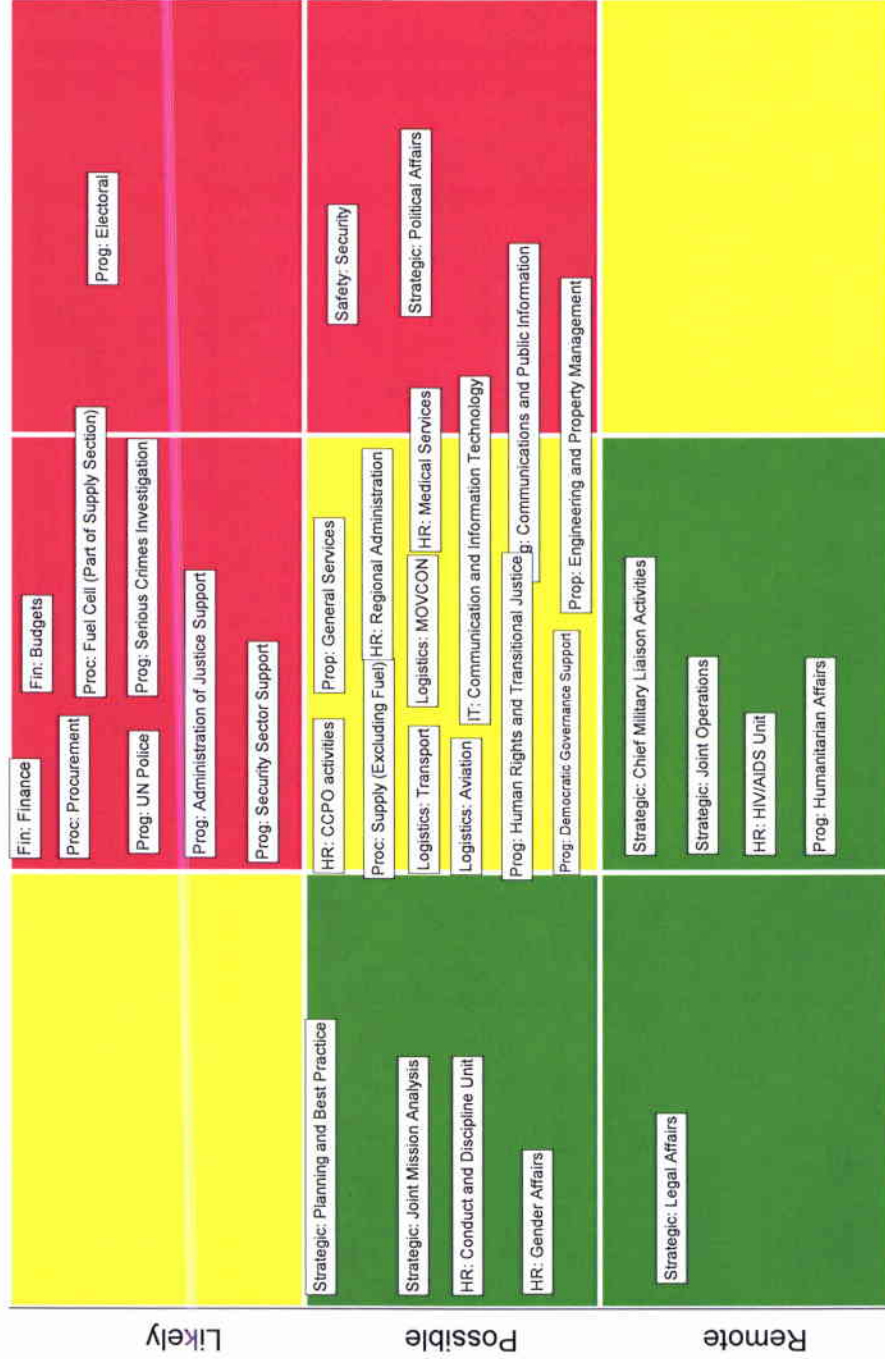
Risk Impact	
High	Serious impact on operation, reputation, or funding status
Medium	Significant impact on operations, reputation, or funding status
Low	Less significant impact on operations, reputation, or funding status

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

RISK SUMMARY PROFILE (Focus Area)



RISK SUMMARY PROFILE (Sub Focus Area)



Likelihood ↑

Impact ↑