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INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE

OIOS · BSCI

TO: Mr. B. Lynn Pascoe, Under-Secretary-General
A: Department of Political Affairs

DATE: 23 October 2007

REFERENCE: AUD-7-1-2: (07- 00652

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

SUBJECT: **AP2007/560/01: Risk assessment of the Department of Political Affairs**
OBJET:

1.   I am pleased to present, for your information, OIOS' risk assessment of Department of Political Affairs which was carried out from May to July 2007. While we do not require a formal response to this report, you are welcome to discuss any of the issues raised further.

2.   OIOS encourages Department of Political Affairs to use the results of this risk assessment to put in place appropriate risk mitigation measures. OIOS will update the risk assessment periodically, based on subsequent audits or additional information obtained.

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

cc: Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS

INTERNAL AUDIT DIVISION

OFFICE OF INTERNAL OVERSIGHT SERVICES

RISK ASSESSMENT

Department of Political Affairs

23 October 2007
Assignment No. AP2007/560/01

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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PARTICIPANTS

The OIOS risk assessment team conducted survey workshops and interviews with the following staff members of DPA to gain an understanding of existing organizational relationships, risks, controls and process issues. Also, the results of OIOS audits and evaluations have been used in the risk assessment.

Focus Area	Name/Functional Title
Strategic Management and Governance, Information Technology Management Safety and Security	Ms. Karina Gerlach, Political Affairs Officer Mr. Steven Siqueira, Political Affairs Officer Mr. Luis Jimenez, Political Affairs Officer Ms. Eiko Ikegaya, Political Affairs Officer Mr. Axel Wennman, Political Affairs Officer
Programme and Project Management	Ms. Laura Vaccari, Deputy Director Ms. Martha Dogget, Deputy Director Mr. Oleksander Matsuka, Team leader Mr. Wilke Detrick, Team leader Mr. James Sutterlin, Political Affairs Officer Ms. Stefani Di Paola, Political Affairs Officer Mr. Deryck Fritz, Political/Electoral Affairs Officer Mr. Armando Martinez, Political/Electoral Affairs Officer Ms. Maggy Blain Wallace, Political/Electoral Affairs Officer Ms. Isabel Marcal, Political/Electoral Affairs Officer Mr. Yuri Gourov, Chief Mr. Wofgang Grieger, Secretary to Committee Mr. Vladimir Shveitser, UNISPAL focal point, IT Officer
Human Resources Management, Procurement and Contract Administration, Financial Management Logistics Management Property and Facilities Management	Ms. Ann De la Roche, Executive Officer Ms. Magali Gutierrez, Administrative Assistant Ms. Patsy Schultz, Administrative Assistant

GLOSSARY

ACABQ	Advisory Committee on Administrative and Budgetary Questions
ASG	Assistant Secretary-General
CTED	Counter-Terrorism Executive Directorate
DESA	Department of Economic and Social Affairs
DGACM	Department for General Assembly and Conference Management
DM	Department of Management
DO	Desk Officer
DPA	Department of Political Affairs
DPR	Division of Palestinian Rights
DPKO	Department of Peacekeeping Operations
DSS	Department of Safety and Security
DU	Decolonization Unit
EAD	Electoral Assistance Division
EG	Expert Group
EIRPP	Exercise of the Inalienable Rights of the Palestinian People
EO	Executive Office
EOSG	Executive Office of the Secretary-General
HR	Human Resources
IMDIS	Integrated Monitoring and Documentation Information System
IT	Information Technology
MSU	Mediation Support Unit
NGO	Non-Governmental Organization
OHCHR	Office of the United Nations High Commissioner for Human Rights
OHRM	Office of Human Resources Management
OIOS	Office of Internal Oversight Services
OLA	Office of Legal Affairs
OUSG	Office of the Under-Secretary-General
P	Professional Staff
PAS	Performance Appraisal System
PBSO	Peacebuilding Support Office
PS	Procurement Service
PPU	Policy Planning Unit
RBB	Results Based Budgeting
RD	Regional Division
SCAD	Security Council Affairs Division
SC	Security Council
SG	Secretary-General
SOP	Standard Operating Procedures

SPM	Special Political Mission
SRSG	Special Representative of the Secretary-General
ToR	Terms of Reference
UNAMI	United Nations Assistance Mission in Iraq
UNAMA	United Nations Assistance Mission in Afghanistan
UNDP	United Nations Development Programme
UNISPAL	United Nations Information System on the Question of Palestine
UNMIN	United Nations Mission in Nepal
UNOWA	United Nations Office in West Africa
USG	Under-Secretary-General

SUMMARY OF RISK RATINGS

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

Focus Area	Overall Risk
i. Strategic management and governance ii. Programme and project management iii. Human resources management iv. Safety and Security	Higher Risk
i. Financial management ii. Information Technology management iii. Logistics management	Moderate Risk
i. Procurement and contract administration ii. Property and facility management	Lower Risk

RISK REGISTER

Risk Assessment of : Department of Political Affairs

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	Products definition, quality and relevance		Possible	High	Higher Risk
	A(i). Mandated objectives are too broad and ambitious that DPA may not be able to deliver quality outputs. A(ii). A lack of effective governance and strategy to prioritize DPA's effort may adversely affect the quality and timeliness of DPA outputs.	DPA is mandated to provide political coverage for countries (global portfolio) and is expected to address conflict prevention and peaceful resolution of conflicts by supporting the Secretary-General (SG), which is a daunting challenge and involves a broad range of activities. Also, DPA services the Security Council meetings and provides electoral assistance to member states. However, a clear strategic focus on ensuring timeliness and quality of DPA's products was missing. The quality of DPA outputs was inconsistent, from very good to very poor, and needed improvement. In most cases, the impact of DPA's work was difficult to measure.	Strategy	Likely	Medium	

	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
1	D(i). Resources unmatched the mandate, due to budget constraints, may negatively affect the quality of the work. D(ii). Lack of flexible funding mechanism to meet surges in operations may undermine effectiveness of DPA's response.	A majority of DPA divisions and units strongly expressed that they were under-resourced. DPA desk officers were typically tasked to cover more than 5 countires at the same time, which hindered quality of country coverage. Some desk officers were tasked to manage and support special political missions and the Envoys, in addition to their country portfolio. Managers shared with OIOS that they found it very difficut to provide adequate supervision for desk officers because of large portfolios and diverse issues. In one case, a D-1 manager was tasked to manage more than 100 countries. DPA needs to find a way to priotize its global portfolio coverage to explore efficiency gains. For mediation and SG's "good office" activities, DPA's mandate often started very small but then evolved, requiring a rapid injection of resources. However, DPA has no flexible funding mechanism similar to the DPKO's Support Account.	Financial	Possible	High	Higher Risk

Focus Area: Strategic Management and Governance

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
				Possible	High	Higher Risk
1	B(i). Lack of active involvement in the decision making process concerning political issues may result in the question of relevance.

B(ii). Due to the nature of DPA's work, some of the stakeholders do not clearly understand nor appreciate the value of DPA's outputs and accomplishments; which may result in compromising the effectiveness of DPA. | The main customer for the products of DPA Regional Divisions is the Secretary-General's (SG) office. It was a general consensus that the previous senior management of UN had not often relied on DPA for highly valued political decision making but frequently used DPA for less value added tasks such as note taking. Staff stated that their work has been rarely translated into actions taken by the Executive Office of the Secretary-General (EOSG). However, the new DPA management has made a significant improvement to link DPA closer to the new SG. For example, the DPA USG now attends daily meetings with the SG. Another issue that could make DPA's work seem less visible and valuable is the political and diplomatic nature of its tasks. DPA's efforts are usually behind the scenes; e.g. before subject conflict cases are publicized or the Security Council (SC) resolutions are issued. This makes it difficult to openly demonstrate DPA's successes and accomplishments, e.g. compared to those of DPKO. | Governance | Possible | High | Higher Risk |

	Focus Area:	Strategic Management and Governance					
				Possible	High		Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
1	B(iii). "Competitors" such as DPKO, The Executive Committee on Peace and Security (ECPS), Peacebuilding Support Office (PBSO), UNDP may take away DPA's roles of peacemaking, peacebuilding, conflict prevention, electoral assistance etc. due to its inability to deliver more visible results. B(iv). A lack of clear delineation of roles and responsibilities with other departments and UN agencies may result in duplication and overlapping of tasks and efforts.	Like any entity, DPA faces competition and may lose its market share to "competitors". Some of the roles and funtions carried out by DPA are also performed by other entities as shown below: a. The Executive Committee on Peace and Security (ECPS), which was designed to be the top decision-making body of the Secretariat on peace and security issues and chaired by the USG DPA, is widely considered to have lost its prominence to the Policy Committee of the SG and the Committee on Programme Coordination. b. Managing the Special Political Missions (SPM) is one of DPA's mandates. However, DFS provides logistical support to the SPM, while DPKO leads substantive operations in some SPMs. c. DPA mandate states that it is the focal point for peacebuilding. However, Peacebuilding Support Office (PBSO) with separate functions in peacebuilding was inaugurated in 2006. d. UNDP and DESA cover electoral assistance and issues of governance and democracy. e. EOSG may further extend its role in appointing and managing Envoys and Special Representatives of the Secretary-General (SRSGs continued below					
		Boundary with these entities is not always clear to prevent duplication. Interactions with them are not systematic.					

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
Focus Area:		**Strategic Management and Governance**		**Possible**	**High**	**Higher Risk**
1						
II	**Departmental culture**			**Possible**	**High**	**Higher Risk**
	B(i). Lack of leadership and guidance to promote shared culture and vision may hamper effectiveness. B(ii) Lack of clear communication of DPA's mission and vision statement may make it difficult for staff to understand what the Department's vision and mission are, and how they fit into the bigger picture.	DPA conducts annual retreats where goals, trends and new directions are discussed. As a result, for example, DPA identified a need for more focusing on mediation efforts. However, staff perceived a lack of leadership and guidance in promoting a shared culture and vision for the Department. DPA staff mentioned that they were not sure how their divisions/units fit into the larger department, or reported a feeling of isolation from their DPA colleagues.	Governance	Possible	High	Higher Risk
	B(iii). General management capability may be weak, due to a tendency/culture to ignore or downgrade importance of human resource and administrative management. B(iv). Mistrust between staff and managers may adversely impact staff morale and working culture. B(v). Low staff morale and lack of belongingness/ loyalty to the Department may result in a loss of talented staff and erosion of the DPA capacity. B(vi). Overcentralization in decision-making process, combined with a shortage of communication, may create perception of a lack of transparency among staff.	There is a widespread view among staff that some managers do not possess adequate human resource management skills. Staff reported some instances of inadequate and unprofessional management style: a lack of appreciation; making decision without any prior consultation; denying previous instructions; mocking in front of other staff; shouting etc. Some staff reported that these issues have been existing and have been well known for a long time period but unheeded. Staff morale is reported chronically low. There were many vacant leadership posts at division level and it would be an opportunity to enhance the management skills if the recruitment criteria called for the right skill sets.				

		Higher Risk		Possible	High	

Focus Area: Strategic Management and Governance

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	G(i). Confidential or sensitive information might be leaked to unauthorized recipients, due to lack of an appropriate ethics policy that could compromise operations.	DPA has no ethics policy for information handling or media policy specific to DPA. DPA staff are subject to the United Nations ethical standards, which may not be adequate to address a higher risk imposed on the politically and diplomatically sensitive nature of DPA functions.	Information Resources	Possible	Medium	**Moderate Risk**
III	Strategic planning and monitoring of performance			Possible	Medium	**Moderate Risk**
	A(i). Lack of a formal strategic plan to direct and organize DPA activities may lead to ineffective and inefficient operations.	Results-based-budgeting framework (RBB) is in place. The bi-annual RBB process addresses strategic planning, although it mainly concerns financial resources. The new management has been promulgating the strategic direction and plan, especially in mediation area.	Strategy	Possible	Medium	**Moderate Risk**

No	Focus Area:	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
					Possible	High	Higher Risk
1	**Strategic Management and Governance**						
		B(i). Lack of effective monitoring of the work of the Department can lead to ineffective and inefficient operations. B(ii). Difficulty of developing measurable and adequate performance indicators may result in DPA's accomplishments not being sufficiently recognized. B(iii). Lack of feedback from EOSG may lead to weaknesses in strategic planning and monitoring.	There is a layer of managers, Office of the Under-Secretary-General (OUSG), Assistant Secretary-General (ASG) and Directors whose tasks are to monitor the performance of the Department. Integrated Monitoring and Documentation Information System (IMDIS), a Secretariat-wide tool to manage outputs, is also being used. Although DPA has provided major contributions for successful conflict resolution, the political nature of its work is often intangible and difficult to measure. In addition, for some cases, not advertising DPA's contribution serves the best interest of the Organization. These factors render DPA's accomplishments less visible. Feedback from the major client, EOSG, for DPA's work is critical to develop strategic plans and would be a powerful monitoring tool. Although EOSG rarely provides formal feedback, the new management has already implemented a much improved working relationship with EOSG. Now feedback is provided both verbally at meetings with the SG, and in writing, from the Chief of Staff, EOSG.	Governance	Possible	Medium	**Moderate Risk**
IV	**Risk management and knowledge management**				Likely	High	**Higher Risk**
		A(i). Management may not be aware of the risks DPA is exposed to, due to lack of a formal risk management mechanism.	There is no systematic risk management mechanism at DPA. However, DPA accepted an OIOS audit recommendation to implement the Enterprise Risk Management concept.	Strategy	Likely	High	**Higher Risk**

	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	B(i). Lack of culture and system for knowledge management and sharing can lead to loss of good practices or lessons learned.	OIOS evaluation found that DPA staff rarely documented and shared ideas, information and experience that might be useful to others. While there is some knowledge-sharing between divisions, it is largely ad-hoc in nature. In addressing this problem, DPA has begun to implement systems and databases at each unit level.	Governance	Likely	Medium	Higher Risk

Risk Assessment of : Department of Political Affairs

Focus Area: Financial Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
2				Possible	Medium	**Moderate Risk**
1	**Budget controls**			**Possible**	**Medium**	**Moderate Risk**
	E(i). Inadequate preparation process within DPA may negatively affect quality of its budget and delay submission of budget to the legislative bodies. E(ii). Accountability for resources allocated to SPMs may be weak, due to lack of formal approval procedures at division level. E(iii). Unclear terms of reference for consultants may cause disputes over amount of payments. E(iv). Ineffective budget controls may fail to alert unauthorized spending requests.	DPA has recently strengthened the budget preparation process, including establishment of a Working Group under OUSG. DPA, in consultation with DM, issued the directive for budget preparation requiring its initiation one month earlier than the previous timeline. There is a review of procedures at division level. However, directors do not formally sign off SPM budgets under their responsibility. Certain terms of reference for consultants were not clear; e.g. a case was noted where a consultant had filed a complaint over payment terms. Effective budget controls were not in place.	Operational	Possible	Medium	**Moderate Risk**
	F(i). Approved budgets may be underutilized, due to weaknesses in budget monitoring. F(ii). Incorrect estimation or inadequate justification of budgets might occur due to lack of expertise of DPA staff in budgeting issues.	DPA EO staff as well as staff of substantive divisions are involved in budget and financial management. However, staff of substantive divisions are political affairs officers and their skill sets and capacity may not be appropriate for budget and financial management. DPA has provided training on RBB for staff of substantive divisions.	Human Resources	Possible	Medium	**Moderate Risk**

No	2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	**Trust Funds**			Possible	Medium	**Moderate Risk**
	E(i). Lack of clarity in responsibilities between Department of Filed Service (DFS) and DPA can lead to ineffective and inefficient use of trust funds. E(ii). Lack of clearly defined roles and responsibility in managing and using Trust Funds can cause problems between EO and desk officers which can negatively affect administration of trust funds. E(iii). Lack of clear allocation criteria for funds raised from donors may lead to loss of credibility and consequent loss of donor funding.	In DPA's retreat in 2006, it was mentioned that the management of Trust Funds of SPMs was weak. DPA had limited operational capacity to provide administrative support; however, DPKO was reluctant to take over the responsibility for administration of trust funds. According to DPA's self-assessment study in 2002, only a strengthened EO in DPA could reverse the trend towards "desk officers becoming finance officers", administering Trust Funds and reporting to donors, making financial arrangements for SRSGs.	Operational	Possible	Medium	**Moderate Risk**
	F(i). Lack of necessary skill sets could result in low quality reporting which donors may not accept. F(ii). Lack of human resources can hinder fund-raising activities or a systematic effort.	At DPA's retreat meeting in 2006, it was highlighted that the capacity of the Executive Office should be strengthened, particularly with regard to the management of trust funds. In parallel, there should be training for staff in the preparation of project proposals and other resource management areas. Similarly, at DPA's retreat, it was stated that their relations with donors had been very important, given their extra-budgetary resource needs. Yet DPA did not have a single person working on donor relations.	Human Resources	Possible	Medium	**Moderate Risk**

Risk Assessment of : Department of Political Affairs

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	Focus Area:	**Human Resource Management**		Possible	High	Higher Risk
				Possible	High	Higher Risk
1	**Staff resources, recruitment and promotion**					
	C(i). Recruitments and promotions processed by DPA are not perceived as transparent either due to unawareness of the rules or overriding of the recruitment rules by management. C(ii). Current practices in managing the experts roster for the Sanctions Committees may not comply with the UN rules.	EO of DPA is well aware of the UN rules and OHRM reviews DPA's recruitment and promotion proceedings. However, there is a widely held view within DPA that transparency in recruitment and promotion is lacking especially at division level. The recent OIOS audit concluded that the management of the experts roster has been improved and was in compliance with the rules. However, there is a practice of predominant reliance on referrals when submitting candidates for consideration.	Compliance	Possible	High	Higher Risk
	E(i). Ineffective coordination with DPKO may delay recruitment for the field SPM staff . E(ii). Terms of reference in selection of experts for the Sanctions Committees may be too general, resulting in ineffective monitoring of their performance and misunderstanding of their duties.	In general, there is effective coordination between DPKO/DFS and DPA. However, frequent changes in DPKO/DFS personnel in charge of the recruitment process results in recruitment delay. ST/AI/1999/7 requires the preparation of detailed Terms of References (ToRs) specifying the work to be performed by consultants. However, DPA generally relies on information contained in the pertinent SC resolutions, which are too general.	Operational	Possible	Medium	Moderate Risk
	F(i). A shortage of staff resources, due to budget constraint, may undermine effectivenes of operations.	The legislative bodies have recently provided some additional resources, but these may meet only incremental needs. There was no comprehensive work load analysis to explore efficiency gains and to match staff skill sets with current demands.	Human Resources	Possible	High	Higher Risk

Focus Area:	Human Resource Management			Possible	High	Higher Risk
3 No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
II	**Human resource management and leadership**			Possible	High	Higher Risk
	F(i). High staff turnover at management level may create a vacuum in leadership or inconsistency in operations.

F(ii). There may be less optimal utilization of supervisory staff resources due to DPA's practice of not utilizing P-5 staff for managerial tasks.

F(iii). Current staff performance evaluation mechanism may be inadequate in providing feedback to staff and serving as a basis for promotion or contract extension. | One Division had 3 directors in the past 3 years. Most of P-5 staff of DPA, unlike in other departments, do not perform managerial duties but perform the same tasks of P-3 and P-4 level staff. Cases were noted where goals indicated in the Performance Appraisal System (PAS) were not sufficiently linked with the actual work of the staff. Further, most staff do not view PAS as an adequate tool for providing and obtaining meaningful feedback on work performance and for facilitating staff development. | Human Resources | Possible | High | Higher Risk |
| | F(iv). Insufficient staff rotation may limit opportunities for better information flow and new initiatives.

F(v). Lack of structrured career development framework and training may adversely affect staff performance

F(vi). Insufficient induction process for new staff or staff assigned for new assignments may affect the ability to efficiently and effectively perform their functions.

F(vii). Lack of field experience of the staff may negatively affect the quality of their performance. | With the exception of the newly created posts in the Policy Planning Unit (PPU) and Mediation Support Unit (MSU), there are little staff rotations. However, the new management is strongly advocating the staff rotation, which has a significant implication on career development. There are very few training opportunities. Many staff members reported that they had not been well briefed on their tasks when joining DPA or changing to new functions. PPU recently organized an induction course for new staff. Among a sample of desk officers in charge of field operations, less than 50 per cent of desk officers had field experience. | | | | |

Risk Assessment of : Department of Political Affairs

					Remote	Medium	Lower Risk
4	**Focus Area:**	**Procurement and Contract Administration**					
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**		**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
					Remote	Medium	Lower Risk
1	**Planning and Coordination**						
	E(i) DPA staff who are unaware of the prescribed procedures, may initiate procurement actions without involvement of the Procurement Service, DM. E(ii) Lack of effective acquisition planning can lead to delays in procurement. E(iii) Inadequate coordination with Procurement Service may lead to delays in procurement.	DPA is not authorized to process procurement contracts and is required to request Procurement Service (PS)/DM to initiate all procurement activities of goods and services they require. As DPA operations involve very low volume of procurement activities, DPA staff may not be aware of the requirement to request PS. Also, absence of aquisistion planning and effective coordination with PS can delay the procurement process. With regard to the requirements of field SPMs, DFS would coordinate with PS/DM.		Operational	Remote	Medium	Lower Risk

Risk Assessment of : Department of Political Affairs

No	Focus Area:	Logistics Management			Possible	Medium	Moderate Risk
5	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk	
1	**Travel**			Possible	Medium	**Moderate Risk**	
	D(i). Inability of desk political officers to effectively perform their functions due to inadequate travel funds.	There is a department-wide view that travel budgets are very low. DPA's core budget is the only source of funding and there is no flexible source of funding similar to DPKO's Support Account.	Financial	Possible	High	**Higher Risk**	
	E(i). Unauthorized travel resulting in waste of resources or non-compliance with the UN rules and regulations. E(ii). Excessive administrative requirements might delay planned travel which could undermine operations.	Executive Office (EO) reviews details of travel requests and issues authorizations. In addition, DM reviews the details for compliance to existing rules and regulations. Some Divisions complained about a lengthy processing time. However, EO stated that the requests need to come early enough so that they could process them on time.	Operational	Possible	Medium	**Moderate Risk**	
	F(i). Lack of staffing may cause delays in processing travel requests.	OIOS is of the view that lack of staffing in EO could also be another source of the delays.	Human Resources	Possible	Medium	**Moderate Risk**	

Risk Assessment of : Department of Political Affairs

6				Possible	Medium	Moderate Risk
Focus Area:	**Information Technology Management**					
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	IT Strategy			Possible	Medium	Moderate Risk
	A(i). Lack of a department-wide information management strategy may lead to redundancy in IT resources.	DPA has established a department-wide IT focal point under OUSG to oversee IT related efforts of DPA and to develop the IT strategy.	Strategy	Possible	Medium	Moderate Risk
	G(i). Underutilization of IT systems for knowledge management may undermine DPA's efforts for developing a knowledge management framework. G(ii). Inadequate access controls may result in uploading or updating the Departments website with unauthorized information which may cause reputation risks.	DPA has embarked on many initiatives to strengthen knowledge management through Information Technology (IT), recognizing many advantages that IT can offer. As the divisions and units are developing their own websites and databases, there is a need for a centralized policy for investment in IT resources as well as the management of website content.	Information Resources	Possible	Medium	Moderate Risk

Risk Assessment of : Department of Political Affairs

Focus Area: Programme and Project Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7				Likely	High	Higher Risk
1	**Global portfolio management**			Likely	High	Higher Risk
	A(i). Regional Divisions' (RD) global portfolio coverage may not be effective for sudden conflict situations.	Current conflict situations in Somalia, Chad, Central African Republic etc. showed a need of a strategy to cope with conflict situations that suddenly take place. So far, Regional Divisions have reacted with ad-hoc and reactive responses to such situations.	Strategy	Likely	High	
	A(ii). Not clearly defined operational strategy on conflict prevention and peacebuilding may hamper effectiveness of RDs' coordination with partners.	There is often no consensus on what conflict prevention practically means on the ground and how it differs in policy and operational terms from 'normal' development interventions that aim to address vulnerability, exclusion, and participation among various United Nations partners. Such ambiguity has been the source of some tension among UN agencies resulting in limited acceptance of DPA and the regional divisions by the rest of the Organization as a focal point and source of guidance. The regional divisions have made good efforts to strengthen their relationships with other United Nations entities but most of these relationships remain fragile and are not institutionalized.				
	B(i). Inadequate organization structure for "mega-sized divisions" may undermine the quality and depth of desk officers' work for each particular country. B(ii). RDs' effectiveness may suffer from low quality products, due to poor management at division level.	Two RDs are considered to be mega-sized and tasked to cover too many countires: over 50 countries per division and 5-10 countries per desk officer. The quality and depth of work for each country could suffer. Managers also expressed a concern about difficulties in providing proper supevision. Some suggested that the mega Divisions need to be split.	Governance	Likely	High	Higher Risk

	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7	E(i). RDs may not be able to fulfill their early warning function due to incompetence and/or lack of resources, which may result in inadequate or delayed response by the Organization to serious conflicts.	There were some recent examples, where, despite alarming information on looming crisis provided by the desk officers (DOs), the management of the Division decided not to have a proactive approach and thus did not provide the full picture of the situation to either the Head of the Department or EOSG. By the time the crisis had developed, the United Nations found itself in a reactive mode. Some clients of DPA expressed their views that DPA products bear uneven quality and are not always timely.	Operational	Likely	High	Higher Risk
	E(ii). Excessive approval steps for DPA products and poor workload management may lead to delay while not improving quality. E(iii). Unrealistic lead-time outside DPA's control could hinder quality and timeliness of RDs' outputs. E(iv). Usefulness of RDs' service may be limited only to low value added activities, resulting in ineffective use of resources.	Staff survey indicated that too much time was spent on simply getting analysis through the chain. OIOS audit found that there are six to nine approval steps for DPA products to reach EOSG. DPA staff expressed frustration with the disproportionate time spent on and value gained from the approval processes. EOSG and DPKO sometimes request DPA's input at the last minute. Interface with EOSG and DPKO is an important part of DPA's work process and should be fully considered in the design of workload process management. While RDs' work was not often fed into the policy-making chain, a significant portion of RDs staff time was dedicated to preparing talking points and notes taking for the SG, which normally carry less value than policy making.				

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	Focus Area:	**Programme and Project Management**		Likely	High	Higher Risk
7	G(i). Work processes may not achieve efficiency and effectiveness due to lack of modern technology tools.	There are some websites and databases but, in general, there is limited usage of modern IT technology in the work.	Information Resources	Possible	Medium	**Moderate Risk**
	G(ii). Inefficient and ineffective way of gathering information for political analysis may negatively affect the RDs ability to meet their early warning mandate.	Access to timely and detailed information is lacking and unsystematic, which undercuts the RDs ability to meet their early warning mandate.				
II	**Special Political Mission (SPM)**		Strategy	Likely	High	Higher Risk
	A(i). Initial design/structure of DPA might not have been intended for managing field operations, which may result in ineffective management of SPMs.	Some DPA staff suggested that DPA was never intended nor designed to carry out "operations in the field." There is a lack of structured strategy to launch SPMs, especially those launched by the SG initiatives. Planning capacity for establishment, funding, administrative management (HR, finance, procurement, etc.; DFS provides processing service but DPA makes related decisions), guidance for political and substantive issues, reporting lines, standard operating procedures (SOPs), exit strategy of SPMs were not provided for in the launch strategies. In the case of United Nations Office in West Africa (UNOWA), it took two years for the mission to be operational.				Higher Risk
	A(ii). A lack of a launch strategy for special political missions (SPMs) can negatively affect readiness and success of SPMs and regional offices.					
	A(iii) RDs commitment and sense of accountability may be inadequate or vary depending on each SPMs, resulting in inconsistent level of support to SPMs.					
	A(iv). RDs' budget controls for SPM resources may be inadequate, which might compromise effective monitoring and oversight.	The General Assembly had requested OIOS to review DPA's ability to manage SPMs. OIOS audit found that RDs' budget controls were inadequate and the senior managers of RDs did not sign off the proposed budgets of SPMs that they are assigned to manage. Further, there is a tendency for the senior managers to show different levels of commitment for different SPMs. RDs need to be accountable for all SPMs that they are managing.				

7	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	A(v). Lack of clarity of the "lead department" policy may cause RDs to lose its existing mandate of managing SPMs to DPKO/DFS.	Currently, DPKO is managing four of 14 field SPMs. OIOS audit found that the "lead department policy" of SG for assigning the management responsibility for SPMs to either DPA or DPKO lacked clear criteria and was not consistently applied. The SG's Policy Committee will be revewing the lead department policy.				
	A(vi). There may be waste of resources and unfavourable outcomes if the exit strategy for SPM is absent or not clearly defined.	OIOS recommended and the RDs accepted to develop an exit strategy for each SPM				
	B(i). Lack of appropriate performance indicators may lead to ineffective performance monitoring of the SPMs by the RDs.	SPM mandates often include political tasks with intangible outputs, resulting in difficulties in developing meaningful RBB indicators.	Governance	Likely	Medium	Higher Risk
	F(i).RDs may not have management capacity for SPMs due to inappropriate competence and skill sets.	DPA SPM managers are political affairs officers who may not be expected to possess budget, financial and other general management skills required to manage SPMs.	Human Resources	Possible	Medium	Moderate Risk

		Focus Area:	Programme and Project Management		Likely	High	Higher Risk
No	**7**	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
		E(i). Inadequate coordination with DFS on logistical support to SPMs may compromise the effectiveness of services provided. E(ii). Existing rules and regulations for large field operations may not be commensurate with the nature of SPM field operations, resulting in cumbersome administrative burden.	Since 2005 January, DPKO (DFS since July 2007) is the administrative service provider. Although DPKO provides, in general, satisfactory services the delineation of roles for certain functions at working level of DPA and DPKO/DFS were unclear, despite an audit recommendation. For example, a disagreement in which of the two Departments should administer trust funds for SPMs resulted in the situation where one SPM could not utilize its trust fund on time. A majority of DPA staff perceived that DPKO/DFS would give priority to DPKO-led missions rather than DPA SPMs. The recent restructuring of DPKO may present an opportunity for DPA SPMs to receive better support from DFS. SPMs are to comply with DPKO/DFS field manuals as well as the UN financial rules. However, some of these rules are intended for large field operations and do not meet the situation of small SPMs.	Operational	Possible	High	Higher Risk

No	Interview/Review Summary (Description of risk)	Focus Area: Programme and Project Management — OIOS Assessment	Risk Category	Likely — Likeli-hood	High — Impact	Higher Risk — Overall Risk
7	E(iii). Lack of policies and guidelines may affect RDs' support and management for SPMs. E(iv). Current performance indicators to measure effectiveness of RDs' management of SPMs may not be adequate, resulting in lack of accountability and poor management.	There were no SOPs available to SPM managers and it was largely up to individual SPM managers to decide how to support and manage SPMs. Some SPMs expressed dissatisfaction with the RDs' responsiveness to their requests for substantive policies. DPA has recently started developing SOPs for field SPM management. The Department currently measures its effectiveness in providing political and substantive direction for SPMs by the number of complaints from the missions about the effectiveness of its support, which, however, is not a sufficient indicator. The Performance Appraisal System (PAS) of SPM managers responsible for managing missions generally lacked specific evaluation criteria.				

	Higher Risk		Likely	High	

Focus Area: Programme and Project Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7	E(v). Assigning the responsibility of his/her country to a senior staff/desk officer might lead to conflict of interest situations.	Exposure of staff to conflict of interest is somewhat contained because there are multiple management layers at DPA. However, DPA relies only on the UN-wide ethics standards, while there is a need to develop a policy specific to DPA, considering politically sensitive information and tasks that DPA staff handle.				
	E(vi). Internal controls in the field may be weak, which may lead to lack of transparency, waste, irregularities or fraud.	The total of SPM field resources for 2006 was $350 million, which is exposed to an inherent risk of fraud and waste. DPKO/DFS provides some level of internal controls but the SPM field personnel may not have had the capacity or received proper training. DPKO's internal controls framework may not be appropriate for smaller SPMs. For example, although the delegation of authority is a requisite for local procurement, two SPMs had carried out local procurement without delegation of authority. Although there are resident auditors at large SPMs such as United Nations Assistance Mission in Iraq (UNAMI) and United Nations Assistance Mission in Afghanistan (UNAMA) and the Board of Auditors also provides audit coverage, smaller SPMs need to be regulary audited to prevent such irregularities to be undetected for a prolonged period.				

No	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
7						

III	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	Support for the Envoys			**Possible**	**High**	**Higher Risk**
	B(i). DPA may fail in guiding the Envoys due to a mismatch of the ranks and reporting lines of the Envoys. This may adversely affect the work of Envoys. B(ii). RDs' monitoring of the Envoys' performance may not be adequate due to an absence of effective performance measurement system of the Envoys' work. B(iii). Some Envoys' work may not serve the best interest of the Organization if they do not comply with Organization's policies. ; and lack of adequate monitoring by DPA may fail to ensure that envoys' actions are in compliance with the Organization. B(iv). The lack of monitoring by DPA may negatively affect the proper implementation of the mandates.	Envoys report directly to the SG, and through the SG to the Security Council. DPA is responsible for their management and support. While the USG of DPA is of equal rank to most Envoys, the rest of DPA senior managers and desk officers rank below them, making their oversight and management challenging. While current RBB indicators represent an encouraging move towards a more results-based framework, the expected accomplishments and indicators do not sufficiently reflect the reality of situations, nor are the outcomes under the direct control of the Envoy or DPA. Also, DPA faces significant challenges in translating Security Council mandates into operational performance indicators. DPA staff mentioned that the outsourcing of mediation to Envoys had certain risks: Envoys may be less loyal to the system, they are not UN staff and they may believe that the UN Envoy mission is their personal mission and legacy.	Governance	Possible	High	Higher Risk

	Focus Area:	Programme and Project Management				Higher Risk
				Likely	High	Overall Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7	E (i). Lack of transparency in selecting Envoys may damage the credibility of the Organization and negatively affect participation of the parties involved in the peace process.	OIOS evaluation noted that there were no published criteria defining the competencies against which Envoys were appointed, leading to a perception among some Member States and UN staff that the current selection process lacked transparency. OIOS evaluation concluded that a transparent process of appointment, including the identification of desirable skills and experience for particular appointments before they were announced was necessary to secure the buy-in of all parties. The SG, not DPA, makes Envoy appointments.	Operational	Possible	Medium	Moderate Risk
	E(ii). Lack of coordination with EOSG could undermine effectiveness of RDs' support for the Envoys. E(iii). Inadequate RDs' support systems for the Envoys can negatively affect the achievement of mandates. E(iv). Lack of knowledge management mechanism could result in failure of disseminating good practices and lessons learned.	Sometimes, especially when the SG has particular knowledge and interest of an issue or region, EOSG serves as the first port of call for those Envoy missions rather than the relevant RDs' desk officer. This has resulted in an ad-hoc pattern of management, with different functions fulfilled by different actors/offices, rather than a coherent management system. DPA's support to envoys is reactive; leaving little time or opportunity for strategic thinking on how to enhance substantive support to Envoys and to maximize the Envoys' effectiveness. The substance and comprehensiveness of briefings given to Envoys by DPA, when and if they occur, depend largely on the desk officer and on the initiative of the Envoy themselves. continued				

7	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
		DPA is cognizant of these shortcomings and has made significant improvements: The existing DPA Desk Officer Handbook is currently being updated. Also, the Mediation Support Unit (MSU) was established under OUSG, DPA to build capacity and provide a resource for United Nations and non-United Nations mediators by establishing a comprehensive knowledge based on mediation. As a result, the Peacemaker website has been launched.				
	E(v). Current administrative and budgetary rules and procedures may not be flexible enough to support Envoy missions.	Current administrative and budgetary rules and procedures, which were not designed to support Envoy missions, could delay and constrain substantive work.				

			Likely	High	**Higher Risk**
Higher Risk					
		Risk Category	**Likeli-hood**	**Impact**	**Overall Risk**
					Moderate Risk
			Possible	Medium	

Focus Area: Programme and Project Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7						
IV	**Security Council Affairs**					
	A(i). Expanded interpretation of mandate may interfere with the work of the Security Council. Too narrow interpretation, on the other hand, may undermine readiness of the Security Council Affairs Division.	OIOS evaluation found that Division's overall role of providing support to the Security Council and its subsidiary organs is clear to SC members and staff. However, some Security Council Affairs Division (SCAD) staff and the SC members have different interpretation on boundary of roles and responsibilities of SCAD as to whether the Division should strictly provide secretarial/ procedural or more substantive services to the SC. Ambiguity in scope and comprehensiveness of roles and responsibilities may lead to failure in meeting the SC expectations. On the other hand, provision of substantive support to the SC may be misconstrued as intervening too much in the SC affairs which may also lead to loss of SCAD's impartiality.	Strategy	Possible	Medium	**Moderate Risk**
	A(ii). Loss of institutional knowledge in protocols and procedural precedents of the Security Council meetings may hamper mandate implementation of the Division.	Storing staff knowledge is inadequate and undocumented. It is concentrated with a few individuals decreasing the likelihood that this knowledge will be sustained. This was raised as a particular concern by several SC members. Further, only a few instances of senior staff briefing junior staff on the context and particularities of Council meetings were noted, and subsequent debriefings occurred only on a sporadic basis. Notwithstanding, SCAD has successfully met the General Assembly mandate to produce the Repertoire of the Practice of the Security Council.				

No	Focus Area: Programme and Project Management				Likely	High	Higher Risk
7	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	B(i). Coordination between the three branches in SCAD may be inadequate, resulting in a redundancy in the work performed and lack of synergy.	Staff survey results showed that they did not consistently rate internal lines of communication highly and that the Division had neither culture of information-sharing, nor formal forums for doing so. SCAD management has scheduled cross-cutting initiatives for June 2007, including inter-branch meetings on field missions, the annual report and the Repertoire. Some guidelines have been developed and efforts taken to develop a shared database for the whole Division.	Governance	Possible	Medium	**Moderate Risk**
	B(ii). Establishment of separate secretariats for subsidiary bodies of the SC may present duplication with SCAD.	The SC established Counter-Terrorism Executive Directorate (CTED) and Peacebuilding Support Office (PBSO) to support its relevant Sub-Committees. SCAD is the secretariat for all aspects of the SC meetings and there is a likelihood that the work of SCAD may duplicate those of CTED and PBSO.				
	B(iii). Improper allocation of tasks within SCAD may cause ineffective use of resources.	Task allocation within SCAD was not always efficient and cases of redundancies in the work of SCAD were noted. In OIOS evaluation, it was suggested that the two full-time staff members of the Military Staff Committee Secretariat might not be needed to perform the tasks of that office. They might be assigned with the work in the Division.				

Focus Area:	Programme and Project Management		Likely	High	Higher Risk
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
7	E(i).The credibility and effectiveness of the Sanctions Committees of the SC may be undermined by low quality reports and work of the Experts Groups (EGs). E(ii). SCAD guidance for EG may be inadequate, undermining effectiveness of EG. E(iii) Lack of comprehensive methodological standards for EG reports might result in inconsistencies in reports and other outputs.	Member States have questioned the rigor of the evidentiary standards used by EGs, undermining the credibility of reports and increasing the vulnerability of the UN and EGs to legal challenges. EG working practices have been developed in an ad-hoc manner, with a lack of formalized common standards on gathering evidence. It is noted that SCAD has been providing initial briefing to EGs.	Operational	Possible	Medium	**Moderate Risk**
	E(iv). Cumbersome processes and rigidity of UN consultancy contractual terms may negatively affect effectiveness of the EGs and lead to failure in meeting deadlines. E(v). Lack of full security and limited access to areas of review may adversely affect the EG's performance in countries subject to investigation of Sanctions Committes.	SCAD maintains an experts roster, which OIOS audit found full compliance with the rules. However, OIOS evaluation reported that there is a predominant reliance on referrals and effectiveness of the EGs would be further enhanced by systems ensuring competency-based recruitment. This is an inherent risk dealing with the countries subject to the investigation of the Sanctions Committees. When the investigation sites are located in countries where the UN peacekeeping missions are deployed, DPKO is contacted for security and logistical support.				

	Higher Risk		Likely	High	

Focus Area: Programme and Project Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F(i). Increased requirements of servicing the SC, coupled with the lack of human resources, may result in compromising the quality and timeliness of services. F(ii). A high turnover rate at the management level may affect continuity in mandate implementation.	Requirements of servicing the SC have been increased: the number of subsidiary bodies of the SC increased more than twice; more frequent meetings - 10 meetings per month prior to 1999 and 40 meetings per month since 2000; increased number of experts serving for the Sanctions Committes; and a trend that the bodies deal with much more complex issues. However, the resource level at SCAD remains the same. The Division is seeking for a way to improve efficiency. All three branch chiefs have been recently appointed. Continuity could be undermined, at least in the short term, as the knowledge management and institutional memory is not well kept.	Human Resources	Possible	Medium	Moderate Risk
	F(iii) Experts picked from the roster may not have the right skill sets or may be otherwise unsuitable if the roster is not updated in a timely manner. F(iv). Recruitment process of experts may not be competency-based or transparent, which could undermine independence and impartiality of EGs/Sanction Committees.	Experts are recruited under consultant (SSA) contracts, some of the terms and conditions of which experts consider incompatible with what they are required to do. Also, the SC sometimes requires one-month deadline to establish particular EGs, which is extremely challenging under the existing United Nations rules and processes. DPA Executive Office also comments that resolving these incompatibilities would make their job of providing administrative support easier. Despite several meetings between the OHRM, EO and Office of Legal Affairs (OLA) to address these anomalies, they remain unresolved.				

Focus Area:	Programme and Project Management					
				Likely	High	**Higher Risk**
No V	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
Electoral Assistance				Possible	High	**Higher Risk**
	A(i). Outdated electoral assistance strategy may undermine adaptability and relevance of the Division to the contemporary electoral processes. A(ii). Broad interpretation of mandates may result in loss of focus on electoral assistance delivery. A(iii). A tendency to mix electoral assistance with other substantive areas such as democracy, good governance etc. may diffuse focus on the election itself.	Although users - national electoral authorities - report high levels of satisfaction with the Division's expertise in electoral assistance, they point out the need for it to adapt to the changing priorities and challenges, such as the introduction of electronic voting, the refinement of legal electoral systems and the further promotion of transparency. Electoral Assistance Division (EAD) is currently undergoing an internal restructuring process to address emerging and relevant electoral matters. There is a tendency to mix electoral assistance with other themes such as democracy, good governance and peaceful resolution of conflicts.	Strategy	Possible	High	**Higher Risk**

7

No 7	Focus Area: Programme and Project Management			Likely	High	Higher Risk
Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
A(iv). Lack of coordination and communication with other electoral assistance service providers - UNDP and regional organizations - may cause duplication and undermine effectiveness of the system-wide UN electoral assistance.	Partner and staff interviews cited the lack of a substantive consultative process between EAD and UNDP, which sometimes leads to disagreements on the nature of electoral assistance activities within a project. The two have often been conducting their pre-assessment missions separately. However, a full-scale duplication is avoided by EAD focusing on planning and overall strategy while UNDP focuses on operational delivery. EAD's restructuring promulgated some measures to improve coordination with UNDP, which need to be institutionalized.				
A(v). Diminished impartiality and transparency at EAD, or such perception, may result in loss of legitimacy of UN electoral assistance engagement.					
A(vi). Sudden deterioration of political and security environment and political imperatives of the member states concerned may shrink impact of EAD's service.					
A(vii). The country counterparts - national electoral authorities - may not have appropriate capacity or impartiality.	Impartiality and transparency are critical elements for successful UN electoral assistance. EAD has been fully aware of this and has been trying to emphasize importance of transparency. Further, EAD has identified the importance of working with the media. There has been no reported problems or indications on ethical behavior of staff members in this regard.

It is an inherent risk that EAD has to work under unstable political and security environment and political imperatives of the member states concerned. Also, not all the national electoral | | | | |

		Higher Risk		High	Likely		
7	**Focus Area:**	**Programme and Project Management**					**Lower Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**	
		authorities have appropriate capacity or impartiality.					
	A(viii). EAD's engagement planning for a country may not contain sufficient consideration of the operational environment specific to the country, resulting in difficulties during executions.	EAD's assistance for an election could be undermined if the Division's strategy does not successfully incorporate a clear understanding of the operating environment, which is determined by factors such as security, internal politics, historical legacy of transparency, literacy rates, working with media, general administrative capacity of the host country.					
	A(ix). Failure to capture institutional memory due to a lack of knowledge management framework could undermine efficiency and effectiveness of operations.	Division staff acknowledged the lack of a system to capture institutional memory; a formal system to collect, share and disseminate experiences in electoral assistance. EAD is addressing this issue by designating "policy/institutional memory" as one of the three pillars of the Division restructuring.					
	D(i). EAD may not be able to attract trust funds, due to a high overhead cost, which may result in limiting the scope/number of electoral assistance to member states.	Trust funds donors would prefer UNDP which charges 5-6 per cent for overhead. EAD charges 13 per cent for overhead, bound by the UN financial rules.	Financial	Remote	Medium		

				Likely	High	Higher Risk
No	**Focus Area:** Programme and Project Management					
7	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
	F(i). Slow recruitment process and other administrative constraints can delay deployment of electoral assistance experts and diminish effective use of electoral assistance experts.	While certain established procedures and practices guide expert-selection processes, the current personnel and administrative systems are not flexible enough to deploy experts on short notice. Experts are hired on special service assignment contracts which preclude them from working with the Secretariat for six months after their contract has lapsed. The length of the recruitment process takes, on average, two months, which is faster than normal UN practices. However, this may not be fast enough for electoral assistance requirements.	Human Resources	Possible	High	Higher Risk
	F(ii). Lack of a web-based experts roster/related data can hinder the recruitment process for hiring experts.	The expert roster is intended to fulfill the needs of electoral experts in both UNDP and the Secretariat (DPA and DPKO). This requirement poses a challenge in selecting an electronic database system accessible to all organizations and integrating each organization's different recruitment procedures. Further, not all roster-related data on experts have been converted into electronic format. The Division is currently in the process of addressing this concern.				

No	7	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
		Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
		E(i). Repeated use of same experts can hinder the Organization's ability to and access to a wider pool of potentially qualified candidates.	The Division's practice of using the same experts repeatedly offers an advantage of strengthening the delivery of electoral assistance by building on past experiences from other contexts and countries.	Operational	Possible	High	Higher Risk
		E(ii). Lack of documentation and standardization in reviewing electoral assistance requests from member states could raise concerns about transparency and consistency.	When reviewing electoral assistance requests, staff use their own criteria/methodology, which are not documented.				
		E(iii). Inadequate operational guidelines to carry out the Division's work, due to a lack of rationalization in internal work processes, could lead to inefficient and ineffective operations.	Operational guidelines to carry out the Division's work are inadequate. In response to past staff concerns about the equity of portfolio and workload allocations, the Division is undertaking a restructuring process.				

7	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(iv). Lack of consultation and information sharing between desk officers of EAD and DPA regional divisions can lead to ineffective EAD country assistance.	EAD's new management is promoting enhanced internal partnerships within the DPA. The Division desk officers regularly consult with their regional division colleagues to produce notes, obtain information on a political situation, or decide on a course of action.				
	E(v). Lack of agreements and tools between EAD and DPKO can lead to inefficiency and ineffectiveness in field operations.	An OIOS audit recommended a policy framework for cooperation, and clear division of labour and costs, as well as procedures for resolving any conflicts in the area of electoral assistance projects between EAD and DPKO on an urgent basis. EAD and DPKO staff members stated that the effectiveness of electoral assistance would increase through: (a) clearly established responsibilities among the parties offering assistance; and (b) greater coordination between the EAD and the Best Practices Section of DPKO in the identification of best practices in electoral assistance.				
	E(vi). Lack of cooperation with OHCHR and DESA could lead to a situation that EAD does not fully utilize capabilities available.	During recent DPA retreat, EAD stressed the importance of working more closely not only with UNDP and DPKO but also with OHCHR, as OHCHR had a real capability for assisting in constitution making. DESA's role in the area of electoral assistance has somewhat decreased, as the roles in technical cooperation that DESA used to play are now performed by UNDP and the United Nations Office for Project Services. DESA is now interested in working on very specific issues, such as the prevention of pre- and post-electoral violence, an area in which it is currently conducting research. Cooperation between DESA and EAD is limited.				

Focus Area: Programme and Project Management

	Higher Risk					
7				Likely	High	Overall Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Lower Risk
VI	**Decolonization**			Possible	Low	
	A(i). As the decolonization process has been completed, DU's relevance may be questioned.	Speeding up the decolonization process is not directly under DU's control. DU's immediate mandate is to support the Special Committee on the Situation with regard to the Implementation of the Declaration on the Granting of Independence to Colonial Peoples and to conduct research in this area. With the decolonization process being completed, DU's relevance may be questioned.	Strategy	Possible	Low	Lower Risk
	B (i). Lack of relevant performance indicators in RBB of DU can hinder measurement of DU's effectiveness.	Due to the completion of the decolonization process, DU's RBB objective "to promote the decolonization process" seemsto be irrelevant. The Unit's sole indicator of achievement for 2006/2007 is that at least 95 per cent of parliamentary documents are submitted within deadlines. However, the indicator does not sufficiently measure the Unit's effectiveness. A stronger indicator would incorporate some assessment of these documents' relevance, quality and utility. In 2006, all 16 working papers were produced on time.	Governance	Possible	Low	Lower Risk

				Likely	High	Higher Risk

Focus Area: Programme and Project Management

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7	E(i). Quality of the main outputs of DU, annual production of 16 working papers on the Non-Self-Governing Territories, may be low, due to ineffective methodology. As a result, these working papers may not be regarded as meaningful working tools by the Committee in its deliberations. E(ii) Split of Special Committee support functions between DU and DGACM, where administrative support is provided by DGACM and substantive support is provided by DU, may cause duplication and inefficiency.	While a majority of the Special Committee survey respondents rate DU's working papers highly, some mention they could be more analytical, and a few raise questions about the adequacy of sources used. Some working papers for four different Territories revealed little variation overall in the documents from one year to the next, such as a paper length, titles of main sections and background information. The reports have limited analysis and no clear methodology for corroborating and validating data sources, which were pointed out by several Committee survey respondents. The papers are not typically read in detail by Committee members, casting some question over the extent to which they are regarded as meaningful working tools by the Committee in its deliberations. The separation of support functions for the Special Committee is not always clear and efficient. However, OIOS evaluation found that there has never been a formal document on the division of labour.	Operational	Possible	Low	Lower Risk

No 7				Likely	High	Higher Risk
Focus Area:	**Programme and Project Management**					
Interview/Review Summary (Description of risk)	**OIOS Assessment**	**Risk Category**		**Likeli-hood**	**Impact**	**Overall Risk**
E(iii). Lack of cooperation between DU and desk officers of RDs in preparation of the working papers can diminish their effectiveness. E(iv). Lack of integration of DU with DPA may cause underutilization of resources and demotivate DU staff.	Producing 16 working papers require coordination and collaboration with the Unit's internal DPA partners, specifically with RDs' desk officers assigned to the same geographic region in which the territory is located. Such coordination generally works well. However, the work of the Unit is highly cyclical and does not have equal demands on their time throughout the year. Therefore, opportunities exist for greater integration of the Unit within DPA. In this regard, the Unit staff felt that they had been isolated from the rest of the Department, which limits their professional development opportunities, and stated that staff in the Unit "should be rotated, shared and moved in and out of the Regional Divisions to ensure the best use of resources and the mainstreaming of the issues."					

	Focus Area:	**Programme and Project Management**		**Likely**	**High**	**Higher Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
VII	**Policy Planning & Medication Support**			Possible	Medium	**Moderate Risk**
	A(i). Policy Planning Unit (PPU)-Mediation Support Unit (MSU) may focus and spend its resources on less relevant issues, due to a lack of exposure to OUSG, RDs and academia, which may result in compromising their effectiveness.	PPU-MSU is charged to develop department-wide/cross-cutting policies on emerging issues. To do this, PPU-MSU should ensure exchange of ideas and information at OUSG, RDs and academia. The Unit has weekly meetings with OUSG and RDs, if not more frequent. The Unit has identified emerging issues such as mediation, natural resources and climate change. During 2006, the Mediation Support Unit was established in Policy Planning Unit to develop a comprehensive knowledge base on mediation.	Strategy	Possible	Medium	**Moderate Risk**

	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
7						
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
	E(i). Ineffective coordination with RDs may cause RDs not to utilize policies developed by PPU-MSU and that there may be a duplication of efforts between the Unit and RDs.	RDs are tasked with day-to-day management and information gathering on conflict prevention and support for Envoys and SPMs. However, regional divisions expressed a concern that they were not well-informed about PPU's policy development and their non-involvement in this process. On the other hand, PPU may be inadequately appraised of the work of the RDs. RDs has not established focal points for mediation effort by the MSU. However, the majority of PPU-MSU staff were from RDs and had good working relationship with RDs. As for MSU, ACABQ and the Fifth Committee commented that DPA was on the right track, but felt the concept and Unit's relationships with the RDs regarding mediation Envoys should be further developed. The Unit has launched the Peacemaker website that contains many practical information on mediation. Also, the Unit is in the process of launching a mediation stand-by team.	Operational	Possible	Medium	**Moderate Risk**
	E(ii). The Unit's work may be too theoretical and not provide a pract					
	F(i). Vacancies at the management level may undermine effectiveness of the Unit.	The former Chief of the Unit has left to join the EOSG. This post is critical for the work of the Unit and should be filled as soon as possible.	Human Resources	Possible	High	**Higher Risk**
	D(i). Funding source for PPU-MSU may not provide continuity in developing policies on cross-cutting and thematic issues for the whole DPA.	The Unit has received five professional posts in addition to existing three professional posts. However, the five posts are funded from trust funds, which provides less continuity than regular budgetary resources.	Financial	Possible	Medium	**Moderate Risk**

Focus Area: Programme and Project Management

				Likely	High	Higher Risk
				Possible	Medium	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
VIII	**Palestinian Rights**			Possible	Medium	**Moderate Risk**
	A(i). Unpredictable political situation (and positions of some member states) could negatively affect mandate implementation.	DPA does not control many factors in raising international awareness and international support for the rights of the Palestinian people and implementing the peaceful settlement of the question of Palestine.	Strategy	Possible	Medium	**Moderate Risk**
	E(i). Unqualified NGOs may be accredited, due to a lack of or outdated accredition criteria.	There is a certain level of controls in that the Bureau of the Committee on EIRPP reviews the accredition process. However, criteria for NGO accredition was established by the member states in 1984 and may require a revision.	Operational	Possible	Medium	**Moderate Risk**
	E(ii). DPR may not effectively increase the number of NGOs accredited, due to a lack of systematic methodology, which may adversely affect the achievement of their goal to share the Committee's insights and reports, and to promote the regular exchange of information with the NGO community on current an planned activities.	DPR has not established internal benchmarks for annual targets for accredition. DPR's accredition database was not updated.				
	E(iii). Lack of systematic collection of feedback from the meeting/conference participants may result in DPR's effectiveness not being adequately assessed.	The collection of feedback from the meeting participants is not systematic. DPR mentioned that it communicated with NGO groups and groups of the Civil Societies to receive feedback.				

No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
7	**Focus Area:**	**Programme and Project Management**		Likely	High	**Higher Risk**
	G(i). Insufficient use of IT tools for outreach may undermine effort of disseminating information and raising international awareness. G(ii) Lack of not publisizing the outputs in local languages may result in ineffective outreach to the local communities.	DPR has developed its website called United Nations Information System on the Question of Palestine (UNISPAL) containing a reference database. A focal point to maintain the website was designated. It may be useful to post information on UNISPAL in Arabic or Hebrew language. However, according to DPR, English is sufficient for its publications in the website and member states have not requested use of Arabic or Hebrew language.	Information Resources	Remote	High	**Moderate Risk**
	F(i). Limited staff rotation with the rest of DPA may affect opportunities for innovation and staff members' career development.	Staff members felt isolated from the rest of the Department and had limited opportunities for professional development and skills enhancement. There was limited opportunity for innovation, since they had essentially been doing the same activities in the same manner for many years, and that this had resulted in the lack of creativity.	Human Resources	Possible	Medium	**Moderate Risk**
	B(i). Effectiveness of Division of Palestinian Rights' (DPR's) work may not be measured, due to a difficulty to develop clear and specific performance indicators.	The performance indicators do not sufficiently measure DPR's effectiveness and address only a part of work programme components on supporting the Committee on the Excercise of the Inalienable Rights of the Palestinian People (EIRPP) and meeting arrangements. It is difficult to quantify how DPR contributed to heightened international awareness and international support for the rights of the Palestinian people and the peaceful settlement of the question of Palestine.	Governance	Possible	Medium	**Moderate Risk**

No		Focus Area:	Programme and Project Management		Likely	High	Higher Risk
7							
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IX	**Administrative support**			Possible	High	Higher Risk
	B(i). Lack of established working procedures between EO and substantive divisions may cause delay, low quality and compliance problems in administrative operations.	Respective responsibilities of EO and the substantive divisions at operational level should be established to avoid confusion and misunderstanding. Most of Divisions and EO acknowledged many problems associated with unrealistic or incorrect expectations of each other's role. There is a perception at some divisions that administrative tasks such as finance, budget, HR matters, travel processing entirely rest with EO and that EO is not considered as a partner in substantive operation. There were some instances where the divisions made unauthorized commitments on HR or financial matters without EO's or DM's approval.	Governance	Possible	High	Higher Risk
	B(ii). EO's working mode may be reactive to crisis, due to the lack of resources or capacity, depriving EO of the opportunity to develop a strategy to be proactive. B(iii). The legislative bodies may not approve additional resources, due to the lack of understanding of operational needs.	Many divisions believed EO's service should be improved. EO staff stated that they are reactive to crises and have no time to think about how to improve EO's services. A prior OIOS audit determined that DPA EO was underresourced compared to other departments. DPA in fact carries out many and a wide range of activities, other than political analysis, such as support of SPMs, EG, Envoys etc., that increases demand on administrative processes and tasks, although dollar volume tends to be low. Flexible resource mechanism similar to DPKO's Support Account may help ease the resource problem.				

No	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
7	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E(i). Inadequate lead time to conduct timely and quality delivery of EO's work may undermine operational efficiency.	Sufficient lead time is critical for timely and quality delivery of EO's work. Certain divisions do provide sufficient lead time as much as they can but others do not. In addition, there is an inherent risk that requirements for SPM, EG, Envoys and other SG's good office functions are often unpredictable and impose a very short response time.	Operational	Possible	High	Higher Risk
	C(i).Difficulties in following UN standard rules that do not adversely support DPA processes may adversely affect the effectiveness of the mandate implementation at DPA Headquarters as well as in the field missions, especially during the start-up phases of the short-term political missions.	Many DPA staff stated that the UN standard rules cannot adequately support requirements for EG, Envoys and other SG's good office functions. This concern has been raised some time ago but has not yet been addressed. In the cases of EG's recruitment, EO met with OHRM and OLA but no results have been produced. The recent OIOS audit of United Nations Mission in Nepal (UNMIN) showed that there was a need to develop a specific mechanism for starting up the short-term political missions with high reputation risk to the Organization.	Compliance	Possible	High	Higher Risk
	D(ii). Lack of budget resources may adversely affect the performance of the Executive Office.	A prior OIOS audit determined that DPA EO was underresourced compared to other departments.	Financial	Possible	High	Higher Risk

Risk Assessment of : Department of Political Affairs

No	Focus Area:	Property and Facilites Management		Possible	Low	Lower Risk
9	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	**Property Management**		Possible	Possible	Low	Lower Risk
	E(i). Lack of monitoring the use of UN property may lead to misuse of resources and waste.	The total value of assets in DPA's custody is low. DPA and DM work together in carrying out the asset management procedures. In the case of SPMs, DFS is responsible for asset management under established standard procedures.	Operational	Possible	Low	Lower Risk
	E(ii). Inadequate inventory counts may lead to a failure of identifying discrepancies.					
	E(iii). Lack of clear guideliness in asset management can result in inaccurate inventory reports.					

Risk Assessment of : Department of Political Affairs

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
1	Safety and Security			Possible	High	Higher Risk
	E(i). Insufficient security coverage for the personnel in the field SPMs may expose them to physical danger including theft and burglary. E(ii). Inadequate guidelines or training for the Headquarters staff and experts might expose them to physical danger while traveling to the field. E(iii). Lack of clear accountability framework and lack of effective coordination between DPA and Department of Safety and Security (DSS) with respect to safety and security of staff in SPMs may result in security flaws. E(iv) Lack of monitoring of the implementation of the security implementation policy may lead to security flaws.	The nature of work in the field always has inherent risk in terms of security and safety. However, the host countries are supposed to provide sufficient security to UN staff (as formally agreed). DSS also requires a mandatory training on security for staff in the field. The implementation of the security training policy, however, should be monitored to ensure compliance. There is no clear accountability framework for safety and security issues of SPMs. Delineation of roles and responsibilities between DPA and DSS with respect to safety/security of field missions are not clearly defined.	Operational	Possible	High	

Focus Areas

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

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

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

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

Risk Categories

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

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

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

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

Risk Assessment Ratings

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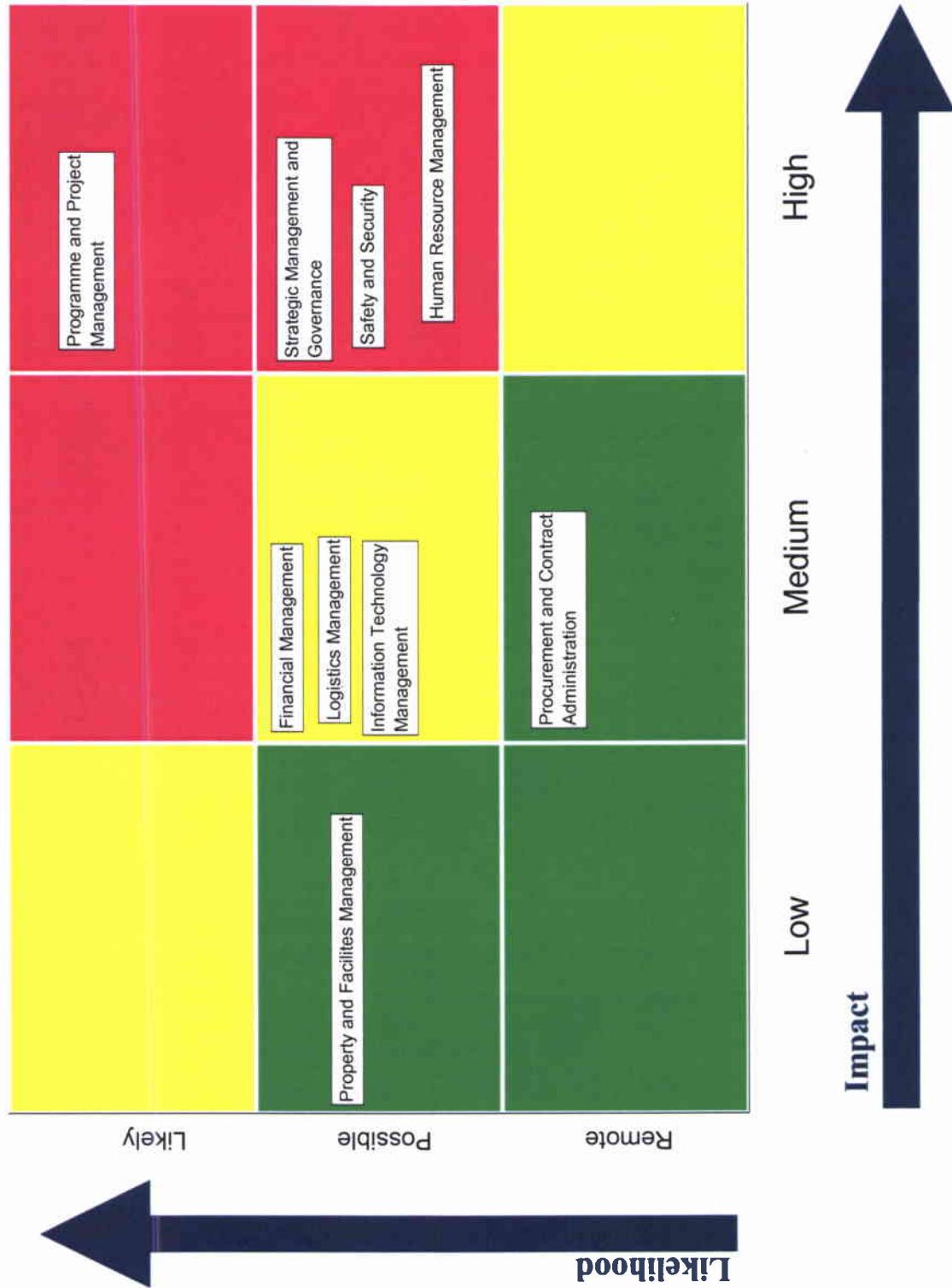
Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used is show below:

Risk Likelihood	
Likely	Conditions within our environment indicate that an event is expected to occur in most circumstances
Possible	Conditions within our enviroment 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 Liklihood	
Higher Risk	The identified issue represents the following likelihood and impact combinations: • Likely and high • Likely and medium • Possible and high
Moderate Risk	The identified issue represents the following likelihood and impact combinations • Likely and low • Possible and medium • Remote and high
Lower Risk	The identified issue represents the following likelihood and impact combinations • Possible and low • Remote and low • Remote and medium

RISK SUMMARY PROFILE (Focus Area)

Likelihood	Low	Medium	High
Likely		Programme and Project Management	
Possible	Financial Management / Logistics Management / Information Technology Management	Strategic Management and Governance / Safety and Security / Human Resource Management	
Remote	Property and Facilites Management	Procurement and Contract Administration	

Impact →

Likelihood →

RISK SUMMARY PROFILE (Sub Focus Area)

	Low	Medium	High
Likely		Strategic: Risk management and knowledge management Prog: Global portfolio management Prog: Special Political Mission (SPM)	Strategic: Products definition, quality and relevance HR: Staff resources, recruitment and promotion HR: Human resource management and leadership Prog: Electoral Assistance Strategic: Departmental culture Prog: Administrative support Prog: Support for the Envoys Safety: Safety and Security
Possible	Prog: Decolonization Prop: Property Management	Strategic: Strategic planning and monitoring of performance Fin: Trust Funds Fin: Budget controls IT: IT Strategy Logistics: Travel Prog: Policy Planning & Medication Support Prog: Palestinian Rights Prog: Security Council Affairs	
Remote		Proc: Planning and Coordination	

Likelihood →

Impact →