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INTEROFFICE MEMORANDUM

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INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

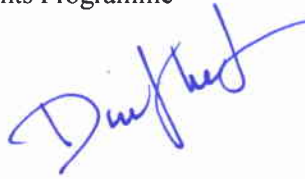
OFFICE OF INTERNAL OVERSIGHT SERVICES - BUREAU DES SERVICES DE CONTRÔLE INTERNE

TO: Ms. Anna Tibaijuka, Executive Director
A: United Nations Human Settlements Programme

DATE: 5 May 2008

REFERENCE: IAD: 08-01302

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



SUBJECT: **Assignment No. AA2007/250/02 - UN-HABITAT Risk Assessment**
OBJET:

1. I am pleased to present OIOS' risk assessment of the United Nations Human Settlements Programme (UN-HABITAT), which was carried out with the assistance of the consulting services of Deloitte from December 2007 to January 2008, 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 UN-HABITAT to use the results of this risk assessment to put in place appropriate risk mitigation measures. OIOS will update the risk assessment periodically, based on subsequent audits or additional information obtained.

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

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

PARTICIPANTS

The OIOS risk assessment team conducted workshops and interviews with the following staff members of United Nations Human Settlements Programme (UN-HABITAT), to gain an understanding of existing organizational relationships, risks, controls and process issues.

Table 1: List of participants

Focus Area	Name and Functional Title
Strategic Management and Governance	<p>Ms. Anna Tibaijuka, Executive Director (Under Secretary General)</p> <p>Ms. Inga Bjork-Klevby, Deputy Executive Director</p> <p>Mr. Paul Taylor, Chief, Office of the Executive Director</p> <p>Mr. Nicholas You, Senior Advisor, Policy & Strategic Planning</p> <p>Mr. Martin Barugahare, Chief, Monitoring & Evaluation Unit</p> <p>Mr. Antoine King, Director, Programme Support Division</p> <p>Mr. Thomas Kjaergaard, Special Advisor to the Deputy Executive Director</p> <p>Mr. Rolf Wichmann, Chief, External Relations and Inter-Governmental Affairs</p> <p>Mr. Mohamed El Sioufi, Chief, Shelter & Sustainable Human Settlement Development Division, Shelter Branch</p> <p>Mr. Badiane Alioune, Chief, Regional & Technical Cooperation Division/Regional Office for Africa & the Arab States</p> <p>Mr. Daniel Adom, Chief, Technical Advisor</p> <p>Mr. Lars Reutersward, Director, Shelter & Sustainable Human Settlement Development Division</p> <p>Mr. Oyebanji Oyelaran-Oyeyinka, Director, Monitoring & Researching Division</p> <p>Mr. Subramonia Ananthkrishnan, Chief, Partners & Youth Section</p> <p>Ms. Kiwala Lucia, Chief, Gender Mainstreaming Unit</p> <p>Mr. Nefise Bazoglu, Chief, Monitoring Systems Branch</p> <p>Ms. Naison Mutizwa-Mangiza, Chief, Policy Analysis, Synthesis & Dialogue</p>

Focus Area	Name and Functional Title
	Branch Mr. Toshiyasu Noda, Director, Regional Office for Asia & Pacific Mr. Daniel Biau , Director, Regional and Technical Cooperation Division Mr. Mohamed Halfani, Chief & Officer in Charge, Urban Development Ms. Felista Ondari, Acting Chief, Management Support Programme Mr. Rai Markandey, Human Settlements Officer
Financial Management	Ms Angela Mwai, Project Finance Advisor Mr. Brian Williams, Human Settlements Officer Ms. Dorothy Mutizwa Mangiza, Human Settlements Officer
Human Resources Management	Mr. Rafael Tuts, Chief, Training & Capacity Building Branch Mr. Lars Ludvigsen, Human Resources Liaison Officer Mr. Gulelat Kebede, Training Officer
Procurement and Contract	Mr. Fuuad Alkizim, Programme Management Officer Ms. Bonnie B Sandra, Legal Officer Mr. Frigyik Sandor, Programme Management Officer
Logistics Management Property and Facilities Management	Ms. Sugumi Tanaka, Programme Officer
Information Technology Management	Ms. Jane Nyakairu, Chief, Information Services Section Mr. Nicholas Odhiambo, Acting IT Officer Ms. Hellen Nyabera , Acting Information Management Officer Ms. Mariam Yunusa, Coordinator, World Urban Forum
Programme and Project Management	Mr. Bert Diphorn, Acting Director, Human Settlement Financing Division Ms. Dorothee Von Brontano, Coordinator, Iraq Programme Unit Mr. Ahmed Sharif, Climate Change Specialist Ms Tatiana Roskosnaya, Inter- regional Officer Mr. Eric Verschuur, Programme Management Officer Ms. Rosemary Kiragu, Programme Management Officer

Focus Area	Name and Functional Title
	<p>Ms. Ruiwei Zhao, Associate Programme Management Officer</p> <p>Mr. Abdalla Abbas, Programme Coordinator, Office of Executive Director, Geneva</p> <p>Ms. Christine Auclair, Human Settlements Officer</p> <p>Ms. Gulen Muftuoglu, Associate Programme Management Officer</p> <p>Mr. Karl Guenter, Human Settlements Officer</p>
<p>Conference and Documents Management</p>	<p>Ms. Jacqueline Macha, Programme Management Officer</p> <p>Mr. Marcellus Chegge, Programme Management Officer</p>
<p>Safety and Security</p>	<p>Ms. Rumana Naquib, Associate Programme Officer</p> <p>Ms. Shova Khatry, Programme Management Officer</p>

SUMMARY OF RISK RATINGS

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

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

Table 2: Summary of identified risks

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