



Office of Internal Oversight Services

## **INTERNAL AUDIT DIVISION**

# **RISK ASSESSMENT**

---

**United Nations Assistance Mission for  
Iraq**

**30 May 2008**

**Assignment No. AP2007/812/08**

---

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

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

TO: Mr. Staffan de Mistura  
A: Special Representative of the Secretary-General  
United Nations Assistance Mission for Iraq

DATE: 30 May 2008

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

REFERENCE: IAD: 08- 01360



SUBJECT: **Assignment No. AP2007/812/08 - Risk Assessment of UNAMI**

OBJET:

1. I am pleased to present OIOS' risk assessment of the United Nations Assistance Mission for Iraq (UNAMI) which was carried out in October 2007, for your information. While we do not require a formal response to this report, you are welcome to discuss any of the issues raised further.

2. OIOS encourages UNAMI 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. Milan Trojanovic, Chief of Mission Support, UNAMI  
Mr. Iswari Bhattarai, Chief Resident Auditor, UNAMI

---

## INTERNAL AUDIT DIVISION

---

### **FUNCTION**

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

---

### **CONTACT INFORMATION**

#### **DIRECTOR:**

Dagfinn Knutsen, Tel: +1.212.963.5650, Fax: +1.212.963.2185,  
e-mail: [knutsen2@un.org](mailto:knutsen2@un.org)

#### **DEPUTY DIRECTOR:**

Fatoumata Ndiaye: Tel: +1.212.963.5648, Fax: +1.212.963.3388,  
e-mail: [ndiaye@un.org](mailto:ndiaye@un.org)

#### **CHIEF, PEACEKEEPING AUDIT SERVICE:**

Eleanor Burns: Tel: +1.917.367.2792, Fax: +1.212.963.3388,  
e-mail: [burnse@un.org](mailto:burnse@un.org)

---

## PARTICIPANTS

The OIOS risk assessment team conducted workshops and interviews with the following staff members of UNAMI, 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	<ul style="list-style-type: none"> <li>• Mr. Ashraf Jehangir Qazi, SRSG</li> <li>• Mr. Michael von der Schulenburg, Principal D/SRSG</li> <li>• Mr. David Shearer, D/SRSG for HRD</li> <li>• Mr. Farid Zarif, COS</li> </ul>
Program and Project Management	<ul style="list-style-type: none"> <li>• Mr. Richard Wilcox, Principal Political Affairs Officer</li> <li>• Mr. Said Arikat, Spokesman, PIO</li> <li>• Mr. Guy Siri, Deputy R&amp;H Coordinator</li> <li>• Mr. Milton Moreno, Head, RC/HCO</li> <li>• Ms. Pamela Husain, Head, PSO and OIC, UNDG ITF SCSO</li> <li>• Ms. Sandra Mitchell, Chief, Electoral Assistance Unit</li> <li>• Ms. Hania Mufti, CHRO</li> <li>• Mr. Sven Spengemann, OIC, Constitutional Support</li> </ul>
Financial Management	<ul style="list-style-type: none"> <li>• Mr. Milan Trojanovic, CAO</li> <li>• Mr. Dan Dankwa, CFO</li> <li>• Mr. Adityavikram Pachisia, CBO</li> </ul>
Human Resources Management	<ul style="list-style-type: none"> <li>• Ms. Rubina Khan, Senior Planning Officer</li> <li>• Mr. Firmino Balangtaa, OIC Personnel Section</li> <li>• Ms. Christina Montaiuti, Staff Counselor</li> <li>• Dr. Bernhardt Lennartz, CMO</li> <li>• Mr. Peter Porter, Training Officer</li> <li>• Mr. Samuel Baidoo, RAO, Amman</li> </ul>
Procurement Management	<ul style="list-style-type: none"> <li>• Mr. David McCullie, OIC, AS</li> <li>• Mr. Brian Erskine, CPO</li> <li>• Mr. Mladen Mladenov, PO</li> </ul>
Information Technology Management	<ul style="list-style-type: none"> <li>• Mr. Jason Mayordomo, Chief, CITS</li> <li>• Mr. Allan Canonizado, CITS</li> </ul>
Property and Facilities Management	<ul style="list-style-type: none"> <li>• Mr. Derek Coggon, OIC, General Services</li> <li>• Mr. Alfred Keschl, Chairperson, TOC</li> <li>• Mr. Carlos Ortiz, Chief, PCIU</li> </ul>

---

Focus Area	Name and Functional Title
Logistics Management	<ul style="list-style-type: none"><li>• Mr. Elie Rizkallah, Project Coordinator</li><li>• Mr. Ashley Lynn, OIC Logistics</li><li>• Mr. Quentin Adams, Chief Aviation Officer</li><li>• Mr. James Phelan, Chief Travel Officer</li><li>• Mr. Laith Haddadin, CEO</li><li>• Mr. Vladimir Danileyko, CSO</li><li>• Mr. Satyendra Kumar, CTO</li></ul>
Safety and Security Management	<ul style="list-style-type: none"><li>• Mr. Richard Manlove, PSA</li><li>• Ms. Lolita Villareal, Chief, R&amp;I</li><li>• Mr. Wernfried Stuhlfarrer, FSU Representative</li><li>• Mr. Graeme Membrey, CSA</li></ul>

---

## 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**

<b>Focus Area</b>	<b>Overall Risk</b>
i. Program and Project Management ii. Strategic Management and Governance iii. Procurement and Contract Administration iv. Human Resources Management v. Property and Facilities Management vi. Information Technology Management vii. Safety and Security	<b>Higher Risk</b>
i. Logistics Management ii. Financial Management	<b>Moderate Risk</b>
	<b>Lower Risk</b>

## **RISK REGISTER**

## Risk Assessment of : UNAMI

1	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p><b>Mission and mandate</b></p> <p>A (i) Insufficient cooperation between the Iraqi Government and the Multinational Forces in Iraq (MNF-I), the level of cooperation with the Mission and the lack of support by the local population to its Government may hamper the Mission's ability to achieve its mandate.</p> <p>A (ii) The possible early withdrawal/reduction of coalition troops may not be in line with the Secretary-General's intention to expand UNAMI's role in Iraq and may affect the Mission's ability to expand activities.</p> <p>A (iii) The expectation gap between what the Mission is mandated to do in Iraq and the Iraqi people and government's expectation from the Mission may lead to public frustration and anger toward the UN.</p> <p>A (iv) The lack of political space and reliance by the government of Iraq on the MNF-I may hamper the Mission's ability to play an expanded role in the national reconciliation efforts and this may cause frustration to the Iraqi population.</p> <p>A (v) The inability of the Iraqi people to distinguish the mandate and objectives of MNF-I and UNAMI, as a</p>	<p>The UN and the Iraqi Government launched the international compact/strategy for economic and social development, and the Expanded Ministerial Conference. The Expanded Ministerial Conference formed three working groups to address the issues of border security, fuel and energy, and refugees.</p> <p>The Public Information Office is monitoring the events on the ground through its network of information sources.</p> <p>A plan is underway to engage an international management firm to measure the impact of UNAMI's national reconciliation efforts.</p> <p>Through press releases, publications and the UNAMI website, the Mission tries to inform the public of its activities in Iraq.</p>	Strategy	Likely	High	Higher Risk
	(continuation) result of the heavy dependence of UNAMI on the MNF-I for example in security, may affect the missions ability to promote dialogue and reconciliation with the people.					



1	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B (i) The strict control of the Mission's policy decisions by UNHQ may result in the Mission's inability at the local level to make substantive and operational proposals for mandate implementation.</p> <p>B (ii) The lack of clear vision for the Mission may result in the inability to formulate work plans resulting in the absence of detailed operational plans.</p> <p>B (iii) The lack of final concept of operations for UNAMI may impede the Mission's ability to develop an operational plan to implement its mandate.</p> <p>B (iv) The lack of clarity of the terms of reference for the Chief of Staff, showing the position's responsibility/authority limits etc, may result in the lack of or ineffective collaboration between the Mission's substantive and administrative components.</p>	<p>The UNAMI Budget Unit prepares the annual budget based on various sections/units' plans.</p> <p>UNAMI has developed a comprehensive operational plan based on past experience. UNAMI's budget include work plans, indicators of achievement, outputs, etc. that Mission managers can use to guide their operations.</p> <p>The SRSG has sent numerous directives to all staff members to address this shortcoming.</p>	Governance	Possible	Medium	Moderate Risk
	<p>F (i) The security situation in Iraq becoming extremely dangerous may result in the reduction in the authorized number of staff that can be deployed to UNAMI as well as inadequate staff residence.</p> <p>F (ii) The high staff turnover may lead to inadequate staffing levels, thereby affecting the implementation of the work programmes.</p>	<p>UNAMI has completed the construction of the overhead protection in the Tamimi staff residence. The construction of side protection for this residence is underway. It will take at least 2 years for the proposed new HQ in Baghdad building to be constructed.</p> <p>UNAMI advertises and fills vacant posts on a regular basis. Also, the Mission has two offices in Kuwait and Amman, Jordan, which allows UNAMI to continue to operate despite the security situation in Iraq.</p>	Human Resources	Likely	High	Higher Risk

1	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
No ii	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p><b>Planning</b></p> <p>A (i) If the Government is not yet fully functional, the UN agencies' reconstruction efforts' focusing on training activities for the Iraqi Government/people, on constitution, elections, human rights, civil service, etc. may be misdirected and not appropriate at this time, resulting in waste of resources and time.</p>		Strategy	Possible	Medium	Moderate Risk
	<p>B (i) Iraqi governing bodies may choose not to seek political help or advice from UNAMI, but from other entities in Iraq, limiting the effectiveness of the Mission's operations.</p>		Governance	Possible	High	Higher Risk
	<p>E (i) The high rate of civil servants leaving the government after having been trained may result in the loss of capacity and institutional memory.</p>		Operational	Possible	Medium	Moderate Risk

## Risk Assessment of : UNAMI

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	Finance			Possible	Medium	Moderate Risk
	<p>D (i) Fraudulent activities relating to financial transactions, e.g., forgery of documents, claims, signatures, etc., may result in loss of funds.</p> <p>D (ii) The use of the electronic payments system of Chase Manhattan Bank, may make it difficult to retrieve the funds if payments were erroneously made, e.g., to the wrong account or inaccurate amounts.</p> <p>D (iii) The Finance Section staff may use incorrect vendor banking details, leading to payments to wrong accounts/persons.</p>	<p>Bank signatories, approving and certifying officers are required to stamp and sign all documents to evidence their action on them.</p> <p>Signatories of Disbursement Vouchers are also required to write their full names against their signatures.</p> <p>The Mission is putting the date to execute the transaction three days ahead to enable retrieval/cancellation in case errors are discovered within those three days.</p> <p>Controls are in place to ensure the validity and accuracy of payments, e.g., approving officers, cashier and authorized bank signatories. All documents are provided to them for review before they can approve the payment or sign the cheques.</p> <p>The Finance Section's Vendor Payments Unit double checks with the Procurement Section the banking information provided on the purchase order to ensure that the payee's banking details are those of the company that actually delivered the goods or services to the Mission.</p>	Financial	Possible	Medium	Moderate Risk



2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (i) Delays in the receipt of telephone bills, especially for satellite telephones assigned mostly to personal security details, could lead to difficulties in recovering the cost of personal calls made by staff members leaving the UN system.</p> <p>E (ii) Controls over the payment of relocation allowances to national staff may be inadequate, leading to fraudulent claims and losses to the Organization.</p> <p>E (iii) Delays in the submission of travel claims by staff members after the completion of official travel may result in the incorrect representation of accounts receivables and travel expenses for those staff members who may have taken travel advances.</p>	<p>UNAMI withholds \$1,000 from staff members leaving the UN system for a period of up to two months. No funds are withheld for staff members leaving on reassignment or appointment to other UN missions and recovery of telephone bills through the intermission billing system is not efficient and cost-effective for small value amounts.</p> <p>The drafting of SOPs for the processing of relocation allowances is underway. Once this is completed, the Chief Administrative Officer will approve it for implementation.</p> <p>The Mission does not strictly enforce the policy on the submission of travel claims within 14 days upon the staff's arrival back at the duty station.</p>	Operational	Possible	Medium	Moderate Risk
II	<p><b>Budget</b></p> <p>E (i) The budget may not be prepared by some offices in accordance with the RBB framework, resulting in the delayed submission to and/or approval by UNHQ.</p>	<p>The Chief of Staff initiated a training session on budget preparation for substantive components. The Budget Unit is holding consultations with section chiefs to plan a training on budget preparation. The Budget Unit ensures that the budget conforms to the RBB framework before it is submitted to UNHQ.</p>	Operational	Possible	Low	Lower Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
III	<p><b>Mail and Pouch</b></p> <p>D (i) There is a growing cost of sending pouch to UNHQ, Erbil, Baghdad and Amman via commercial courier leading to increased costs.</p>	<p>The OIC, General Services checks pouches that are abnormally heavy/bulky.</p>	Financial	Remote	Low	Lower Risk
	<p>C(i) Staff members sending personal parcels through the official/diplomatic pouch could lead to financial loss to the Organization.</p>	<p>The OIC, General Services checks pouches that are abnormally heavy/bulky.</p>	Compliance	Remote	Low	Lower Risk

## Risk Assessment of : UNAMI

3	Focus Area:	Human Resource Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	<p><b>Human resources management</b></p> <p>B (i) The SRSG's role and authority may be undermined affecting his leadership of the Mission's operations, e.g., the limits imposed on the SRSG's ability to select senior Mission staff and security officers.</p> <p>E (i) The lack of proper assessment and management of the staff ceiling (i.e., the maximum number of staff that may be deployed inside Iraq) may result in the deployment of non-essential staff in Iraq.</p> <p>E (ii) Interview panel members may not be trained in conducting competency-based interviews, resulting in inefficiencies and ineffectiveness in recruiting staff.</p> <p>E (iii) The absence of a promotion policy in DPKO may result in some staff in UNAMI being appointed to higher levels without merit.</p>	<p>The SRSG is informed of appointments at the deputy SRSG level. The Mission have to accept DSS' preferred candidates.</p> <p>The Safety and Security Unit controls the deployment of staff in Iraq.</p> <p>The Chief Administrative Officer has issued a circular indicating that all interview panel members must be trained in the competency-based interviewing skills.</p> <p>The Mission ensures that at least three candidates are invited to interviews for vacant posts.</p>	<p>Possible</p> <p>Possible</p> <p>Possible</p>	<p>High</p> <p>High</p> <p>Medium</p>	<p>Higher Risk</p> <p>Higher Risk</p> <p>Moderate Risk</p>
	<p>G (i) The use of different databases by the Mission and UNHQ to manage the staffing table may result in staff being reflected against incorrect post numbers and units. This situation could cause discrepancies and result in inaccurate reports.</p>	<p>The Personnel Section regularly reviews the staffing table, in consultation with UNHQ.</p>	<p>Possible</p>	<p>Medium</p>	<p>Moderate Risk</p>



3	Focus Area:	Human Resource Management			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>F (i) The recruitment of personal security ( the SRSG and other senior officials) may not be transparent and competitive, resulting in the recruitment of candidates who may not be the best qualified for the position.</p> <p>F (ii) Security threats against national staff and their families may result in a large number of national staff in Iraq resigning. This situation, coupled with the limitation on the number of staff that can be deployed in UNAMI, reduces the potential human resources that UNAMI could employ, negatively affecting the delivery of administrative services in Iraq.</p>	<p>The Safety and Security Unit is trying to recruit security personnel internationally, through a competitive process.</p> <p>The Mission has introduced the use of special Iraq allowances for local staff. Also, UNHQ has approved the increase in the number of staff that can be deployed in Iraq.</p>	Human Resources	Possible	High	Higher Risk	
	<p>C (i) The recruitment of staff on temporary duty (TDY), without regard to established recruitment procedures, against vacant posts they are currently encumbering, may compromise the integrity of the recruitment process.</p> <p>C (ii) The recruitment of staff without the required competencies may result in the Mission spending funds to train them in skills that they are expected to possess at the time of recruitment, e.g., driving.</p>	<p>The Chief Administrative Officer approves the TDY posting of staff members in UNAMI and their recruitment to permanently fill vacant posts.</p> <p>Recruitment policies and procedures are in place to review and validate applicants' qualifications/skills.</p>	Compliance	Possible	Medium	Moderate Risk	
II	<b>Conduct and discipline</b>						
	<p>C (i) The absence of a Conduct and Discipline Unit to monitor staff and management's compliance with the Organization's code of conduct may result in non-compliance with the code of conduct.</p> <p>B (i) Staff members may be afraid to report irregularities, which may result in misconduct and irregularities going unchecked and unreported.</p>	<p>The recruitment of a Conduct and Discipline Officer is underway.</p> <p>Secretary-General Bulletin 2005/21 (protection against retaliation for reporting misconduct and for cooperating with duly authorized audits and investigations)</p>	Compliance	Likely	Medium	Higher Risk	
			Governance	Likely	High	Higher Risk	

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
III	<p><b>Staff entitlement</b></p> <p>C (i) Staff entitlement to occasional recuperation breaks (ORB) may be abused/misused, leading to financial loss to the Organization and increased security risks. This situation could also lead to essential staff not being able to enter Iraq because of the mandated staff ceiling when staff overstay for ORB purposes.</p>	<p>The CAO has recently issued a reminder for all staff to strictly observe the 28-day ORB cycle and arrange to leave Iraq upon completion of the ORB cycle.</p>	Compliance	Possible	Low	Lower Risk
IV	<p><b>Medical services</b></p> <p>E (i) The shortage of staff in the Medical Unit could result in the delayed delivery of medical services, especially during emergencies, in all four Mission locations.</p> <p>E (ii) The Mission's reliance on MNF-I's medical capacity may hamper UNAMI's ability to build capacity to sustain itself.</p>	<p>Another doctor has been recruited and will be posted in Erbil.</p> <p>Staff located in Kuwait and Jordan have access to good medical facilities in those countries.</p> <p>The work of the Staff Counselling Unit has been integrated with the Medical Unit to attend to psychological issues, but a more qualified counsellor is needed.</p> <p>The Medical Unit is co-located with the military medical team to enhance services to the staff.</p>	Operational	Possible	High	Higher Risk



3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>(continuation)</p> <p>E (iii) The slow procurement process may result in the delayed receipt of medical equipment and supplies, which could be detrimental to staff safety and health.</p> <p>E (iv) UNAMI may not be prepared to provide full medical support to its own staff in the event of an unanticipated withdrawal or reduction of MNF-I troops.</p>	<p>The Mission's higher-level (i.e., more complex or critical medical cases) medical needs are addressed by the MNF-I.</p> <p>The procurement of two armoured ambulances is in progress.</p> <p>There is a systems contract in place for the procurement of pharmaceuticals.</p> <p>There are ongoing negotiations with the MNF-I for the provision of medical facilities that may be vacated in the international zone as a contingency measure.</p> <p>UNAMI's budget proposal for 2008 reflects the upgrade of the Medical Unit in order to compensate for a possible withdrawal and coverage of all UNAMI office locations within Iraq.</p>				
	<p>D (i) The absence of the Medical Unit's oversight on the processing of medical insurance plan (MIP) claims for the national staff in Kuwait and Amman, may result in the approval of unauthorized or fraudulent claims.</p>	<p>The National Staff Unit staff member processing the medical claims, contacts at least three doctors and three pharmacies to determine whether the charges reflected by the staff members on the claims are reasonable. However, the expected departure of the nurse in the CMO's office in Baghdad may impact the ability of the Medical Unit to determine the reasonableness of MIP claims.</p>	Financial	Possible	Medium	Moderate Risk
	<p>F(i) Lack of staff to conduct the training could reduce the capability of staff to deal with a mass casualty scenario.</p>	<p>The Medical Unit is planning to give different levels of first aid training to all staff, including contractors.</p>	Human Resources	Possible	High	Higher Risk

Focus Area:		Human Resource Management		Possible		Higher Risk	
Interview/Review Summary (Description of risk)		OIOS Assessment		Likelihood		Overall Risk	
No		Risk Category		Impact			
V	<p><b>Training</b></p> <p>F (i) Unplanned external training courses could put a strain on UNAMI's resources and may impact on the ability of the Mission to fulfil its original training work plan.</p> <p>G (i) The lack of a database containing the inventory of staff skills may result in the non-monitoring of staff development activities. This situation could lead to the duplication of training for some staff and frustration and demoralization for those unable to avail of training opportunities.</p>	Human Resources	The Mission now conducts most training activities in Amman.	Possible	Low	Lower Risk	Lower Risk
VI	<p><b>Staff counselling</b></p> <p>F (i) UNAMI's new mandate may call for an increase in staff strength which may result in an increased requirement for the Staff Counsellor's attention. The Unit may not be adequately staffed to provide the needed services.</p> <p>F (ii) The inappropriate handling by supervisors of stress experienced by staff may affect their motivation, which may lead to poor performance.</p> <p>F (iii) There could be a potential overlap between the Staff Counsellors Unit and the Medical Unit's handling of physical and mental health issues. This situation could lead to inefficiencies, ineffectiveness and duplication of functions.</p>	Information Resources	Section chiefs review and nominate staff members to attend training courses.	Possible	Low	Lower Risk	Lower Risk
VII	<p><b>Performance appraisal</b></p> <p>F (i) The performance evaluation system (ePAS) may not be used in monitoring and evaluating staff performance, resulting in the retention of staff members with low productivity or unsatisfactory performance.</p>	Human Resources	<p>One staff counsellor has been hired.</p> <p>The Staff Counselling Unit is in place to provide counselling services.</p> <p>There are no standard operating procedures (SOP) specifying the roles of each Unit, as well as the coordination and information-sharing practices to coordinate their work.</p> <p>The extension of staff members' appointment is dependent upon a satisfactory performance evaluation. However, the ePAS system is not being used consistently and objectively to assess staff performance.</p>	Possible	Low	Lower Risk	Moderate Risk
		Human Resources		Possible	Medium	Moderate Risk	Moderate Risk



## Risk Assessment of : UNAMI

4	Focus Area:	Procurement and Contract Administration	Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	<p><b>Procurement activities</b></p> <p>E (i) The failure of the Procurement Section to involve the Legal Advisor in the procurement process, particularly in the drafting of contracts, could result in legal disputes.</p> <p>E (ii) The stringent security measures imposed by the Multinational Forces in Iraq (MNF-I) on vendors may make it difficult for local (Iraqi) vendors to access the international zone, limiting UNAMI's ability to transact with local vendors and resulting in the procurement of higher priced goods.</p> <p>E (iii) The lengthy procurement process may delay the procurement of goods and services affecting the operations of the requisitioning sections.</p> <p>E (iv) There may be delays in the United Nations Headquarters' approval of the proposed construction of UNAMI Headquarters in Baghdad, which could negatively affect project planning and implementation, especially if construction is rushed in the event of an untimely/unplanned MNF-I withdrawal from Iraq.</p>	<p>The Legal Advisor is consulted on some contracts.</p> <p>UNAMI is developing strategies to mitigate the risk of not being able to obtain goods and services from the local market.</p> <p>A 2006 OIOS procurement audit showed weaknesses in the conduct of procurement activities.</p> <p>The decision to build the new HQ in Baghdad has been delayed while the options of where to construct the new building are being evaluated. OIOS will be conducting an audit of the procurement and construction process for the HQ building in Iraq.</p> <p>A 2006 OIOS procurement audit showed weaknesses in the conducting of procurement activities.</p>	<p>Possible</p> <p>Possible</p>	<p>High</p> <p>High</p>	<p>Higher Risk</p> <p>Higher Risk</p>
	<p>F (i) The Procurement Section may not have qualified staff to handle the delegation of authority to procure goods and services, resulting in the ineffective and/or inefficient performance of procurement activities.</p>	<p>Human Resources</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>

4	Focus Area:	Procurement and Contract Administration		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	C (i) The procurement process may not be performed in accordance with the provisions of the Procurement Manual and the United Nations Financial Regulations and Rules. This situation could compromise the integrity of the procurement process and may result in irregularities.	A 2006 OIOS procurement audit showed weaknesses in the conduct of procurement activities.	Compliance	Possible	High	Higher Risk
II	<p><b>Contract management</b></p> <p>E (i) The Mission's failure to provide detailed specifications for goods or services to be purchased may lead to the acceptance of wrong goods or services.</p> <p>E (ii) The Mission's failure to monitor vendors' performance may lead to the acceptance of poorly performed vendor services.</p> <p>E (iii) Contractors' performance may not be objectively assessed. This situation could result in the retention or re-hiring of non-performing contractors.</p>	<p>A 2006 OIOS procurement audit showed weaknesses in the conduct of procurement activities.</p>	Operational	Possible	High	Higher Risk

## Risk Assessment of: UNAMI

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<b>Air operations</b>			Possible	Medium	Moderate Risk
	<p>E (i) There may be delays in the movement of personnel and goods within Iraq due to the absence of a dedicated aircraft for the Mission's air transportation and reliance on the MNF-I for the provision of air transportation services for the movement of personnel and goods within Iraq. This situation may impede the Mission's operations and also compromise staff security in the event of an evacuation.</p>	<p>UNAMI encourages staff to make reservations two to three weeks in advance to minimize the risk of not being able to travel on their desired schedules.</p> <p>UNAMI sometimes uses courier services for the transportation of goods.</p> <p>UNAMI has started moving cargo into Amman by road using internal resources, which is a more reliable and less costly option and can be implemented with minimal delay.</p> <p>In the event of an evacuation of Mission staff from Iraq, the Mission has a contingency plan to bring in a United Nations aircraft, but this can take up to three days for the plane to arrive and special DSS clearance would be needed.</p>	Operational	Possible	Medium	Moderate Risk
	<p>F (i) The inadequacy of training resources in the Air Transport Section may lead to its inability to conduct planned training courses.</p>		Human Resources	Possible	Medium	Moderate Risk



5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
No				Possible	Medium	Moderate Risk
II	<p><b>Ground transportation</b></p> <p>E (i) Fires in the international zone could reach UNAMI vehicles, resulting in increased staff safety and security risks and losses to the Organization.</p> <p>E (ii) The absence of a contract for the supply of vehicle spare parts in Baghdad could hamper transport operations.</p> <p>E (iii) Operating soft skin water trucks and ambulances that are not armoured exposes the drivers and patients to injuries and possibly death in the event they are targeted and attacked using gunfire.</p>	<p>Vehicle parking is spread in three parking lots so that if one parking lot is affected by fire, vehicles in other parking lots would be spared.</p> <p>Damage to glass on soft skin vehicles is common. The Transport Section plans to buy a set of glasses for each vehicle type and keep them in Baghdad to meet urgent needs.</p> <p>The Transport Section is in the process of procuring two armoured ambulances and an armoured truck.</p>	Operational	Possible	Medium	Moderate Risk Moderate Risk

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No III	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p><b>Logistics and supply</b></p> <p>E (i) Inadequate reserve of combat ration stocks could affect the Mission's ability to operate should food supply be cut off.</p> <p>E (ii) The movement of Turkish troops to the border of Northern Iraq could paralyze the Mission's Erbil operations if oil resources are attacked.</p> <p>E (iii) The Mission's reliance on the MNF-I to meet its fuel requirements in Baghdad could affect the continuity of the Mission's Baghdad operations in case of the MNF-I's withdrawal from Iraq.</p> <p>E(iv) Lack of a contingency plan to ensure the continuity of fuel supply may affect operations, especially in case of a crisis situation.</p> <p>E (v) The geographical dispersion of the Mission into four regions in three countries could result in operational and logistical challenges.</p> <p>E (vi) The absence of fuel consumption monitoring mechanisms may result in the Mission's inability to monitor and detect fuel misuse/theft.</p>	<p>The vendor providing catering services maintains 14-day food reserves.</p> <p>The Mission maintains fuel reserves in tanks in its Erbil compound, which could sustain emergency operations.</p> <p>A 2006 OIOS audit of fuel management in UNAMI showed that the Mission does not have a contingency plan to ensure the continuity of fuel supply.</p> <p>The plan to consolidate the Kuwait office in Amman will reduce this risk.</p> <p>UNAMI does not have sufficient equipment to monitor fuel consumption. The CarLog system is not installed in some vehicles.</p>	Operational	Possible	High	Higher Risk

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IV	<p><b>Commercial air travel</b></p> <p>E (i) Absence of travel contracts, which does not allow the Unit to have access to electronic fares and routes, may result in the Travel Unit not being able to effectively and efficiently conduct its operations.</p>	<p>The Travel Unit seeks quotations from three travel agencies and selects the lowest bidder. A travel contract, which commenced on 21 October 2007, was put in place and the contracted travel agent will install equipment at the Travel Unit that will give UNAMI access to electronic fares and routes and allow the Mission to review and select most economical routes/fares.</p>	Operational	Possible	Medium	Moderate Risk



## Risk Assessment of : UNAMI

6		Focus Area:	Information Technology Management		Possible	High	Higher Risk
No		Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	IT activities				Possible	High	Higher Risk
	G (i) The unauthorized disclosure of sensitive information through the handling of code cables (i.e., official communication between the USG-DPKO/DFS and the Mission) by unauthorized staff in some UNAMI offices, may result in key and sensitive information getting in the wrong hands.  G (ii) Unauthorized persons or staff may know the password to access backup Lotus Notes email files/tapes for all units and staff, including the SRSG and the Safety and Security Unit leading to the unauthorized disclosure of sensitive information.	The SRSG decides to whom code cables are shared within the Mission. Other than the code of conduct provisions on the handling of official, sensitive information, there are no controls to prevent the sharing of information to unauthorized individuals.  Passwords to access backup tapes containing sensitive information are changed frequently.	Information Resources	Possible	High	Higher Risk	
	E (i) The transfer of the Kuwait office to Amman may not be adequately planned and coordinated with CITS, as regards ICT issues, such as data migration, connection to ICT facilities, etc which could affect the Mission's operations.	CITS has appointed a focal point to work with and coordinate the ICT activities relating to the transfer of the Kuwait office to Amman with the overall project coordinator. UNAMI will take advantage of ICT contractors as they can come on short notice. Their role will be to provide an interim operational ICT service support system during the transition phase, with the main purpose of freeing up other UNAMI international CITS staff for project-related activities. UNAMI has already started recruiting ICT experts to assist during the migration period.	Operational	Possible	High	Higher Risk	
	F (i) The shortage of CITS staff may cause delays in the implementation of ICT projects, so affecting operations relying on ICT.	Because of the limited staff ceiling, only 3 international staff members in Baghdad and 10 national staff members are relied upon to perform daily technical and administrative ICT. Staff ceiling in Baghdad is to be increased soon.	Human Resources	Possible	High	Higher Risk	

6		Focus Area:	Information Technology Management		Possible	High	Higher Risk
No		Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II		Telephone Billing			Possible	Medium	Moderate Risk
		<p>D (i) International telephone access codes may not be adequately protected resulting in difficulties in recovering costs in case of disputed international calls.</p> <p>D (ii) The loss of mobile phones that have international/roaming access may result in unauthorized individuals placing international calls resulting in financial losses to the Mission.</p>	<p>UNAMI restricts access to international phone lines and advises staff to protect their international access codes.</p> <p>Staff members are advised to immediately report loss of mobile phones.</p>	Financial	Possible	Medium	Moderate Risk
		IT disaster recover and business continuity			Possible	High	Higher Risk
		E (i) The lack of review and testing of the disaster recovery and business continuity (DRBC) plan for information and communication technology (ICT) may affect the Mission's ability to recover and continue ICT operations within an acceptable period after a disaster.	UNAMI indicated that it has a DBRC plan developed in 2005 and that the plan is updated on a semi-annual basis. The Mission also indicated several technical fail-over mechanisms in case of systems failure.	Operational	Possible	High	Higher Risk



## Risk Assessment of : UNAMI

7		Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)		OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p><b>Humanitarian development and coordination</b></p> <p>E (i) The volatile security situation in Iraq could pose difficulties to the Mission in gaining access to various locations where humanitarian projects are being implemented affecting the Mission's ability to effectively inspect/monitor projects being implemented.</p>	<p>The Office meets with government and NGOs on a daily basis, and receives progress reports on project implementation from local NGOs and government ministries. The Office compares information received from these sources to corroborate progress reported.</p>	Operational	Possible	Medium	Moderate Risk	
	<p>A (i) Unprioritized objectives may result in UNAMI focusing more on infrastructure building, and not paying attention to the development of weak government institutions.</p>			Strategy	Possible	Medium	Moderate Risk
	<p>B (i) The multiple roles of the DSRSG could negatively affect the delivery of the Humanitarian Development and Coordination Section's services.</p>	<p>The D/SRSG has four roles, i.e., UNDP Resident Representative, Resident Coordinator for 17 UN agencies, Humanitarian Coordinator and D/SRSG of UNAMI.</p>		Governance	Possible	Medium	Moderate Risk
	<p>F (i) The high vacancy rate and inadequate staff skills in the Office of the Deputy SRSG (D/SRSG) could negatively affect the delivery of humanitarian development and coordination services.</p>	<p>There is a 60 per cent vacancy rate in the Office of the D/SRSG. This situation could be compounded with D/SRSG's four roles, i.e., UNDP Resident Representative, Resident Coordinator for 17 UN agencies, Humanitarian Coordinator and D/SRSG of UNAMI.</p>		Human Resources	Possible	Medium	Moderate Risk
II	<b>Trust fund programme support</b>				Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B (i) Operational obstacles could present challenges in the monitoring and measurement of the impact of projects implemented through the ITF.</p> <p>B (ii) A high turnover of government officials may necessitate the repetition of some of the capacity building activities/projects (funded by the ITF) to familiarize/train new officials.</p> <p>B (iii) The absence of an independent review of the ITF could result in poor governance and oversight of the trust fund.</p> <p>B (iv) A conflict of interest between the agencies can arise if roles and responsibilities of the fund are not clear.</p>	<p>The SCSSO, through the MDTF Office in NY, is recruiting a staff whose function will be to assist in the monitoring of the ITF.</p> <p>An audit conducted by an international public auditing firm identified weaknesses relating to the risks identified.</p>	Governance	Possible	High	Higher Risk
	<p>D (i) Inadequate management and monitoring of the Iraq trust fund (ITF) could result in losses to the Organization.</p> <p>D (ii) The agencies' projects may be driven by the availability of funds, instead of the needs of the Iraqi people.</p>	<p>An audit conducted by an international public auditing firm identified weaknesses relating to the risks identified.</p>	Financial	Possible	High	Higher Risk
	<p>G (i) The lack of information sharing between the multi-donor trust fund (MDTF) Office, the Steering Committee Support Office (SCSSO) and the D/SRSG could hinder the monitoring of the implementation of projects funded through the ITF. This situation could also result in overlap or duplication of projects.</p>	<p>Discussions are underway to develop an evaluation and monitoring capacity to enable the tracking of projects implemented, assess their impact, ensure compliance with the strategic directions of the government of Iraq and the United Nations Country Team, and to determine where the risks might be.</p>	Information Resources	Possible	High	Higher Risk



7	<b>Focus Area:</b>	<b>Programme and Project Management</b>		Possible	High	Higher Risk
No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	F (i) A shortage of staff to monitor projects could result in the delivery of substandard projects.	The Programme Support Office (PSO) in Amman has only two staff members who review projects from 16 agencies.	Human Resources	Possible	High	Higher Risk
	E (i) Long periods of time required to implement projects may result in delays. E(ii) External evaluating firms may be reluctant to work in Iraq.	The UNCT has had to rely upon national contractors and NGOs to provide monitoring support, and this may not be adequate.	Operational	Possible	High	Higher Risk
III	<b>Human rights programme</b> E (i) HRO's inability to report independently on human rights issues relating to MNF-I's activities, may result in the unwillingness of the MNF-I to grant the Human Rights Office (HRO) unsupervised access to its detention facilities. B (i) The Government's lack of support for the enactment/enforcement of laws on missing and displaced persons, as well as the high turnover of relevant Government officials, may hamper the implementation of missing/displaced persons laws. B (ii) The dual reporting structure of the Chief, HRO to the Department of Field Support and the Office of the High Commissioner for Human Rights may lead to conflicts in the interpretation and reporting of human rights issues as the two bodies (DFS and OHCHR) apply different reporting standards.	HRO staff interview community leaders and people on the ground to verify and validate the reports on human rights violations as reported by human rights activities, local media, NGOs and distinguished and reliable sources. The establishment of an HR Commission was not supported by the incoming minister, which resulted in the withdrawal of the law from the parliament and in unacceptable amendments to relevant laws. Delay in the parliament's enactment of relevant laws resulted in the diversion of funds earmarked for the initiative (for the missing/displaced persons) to other projects.	Operational	Likely Possible	Medium High	Higher Risk Higher Risk
IV	F (i) The shortage of HRO staff may negatively affect the HRO's capacity to provide accurate and validated reports as strained resources pose difficulties in undertaking primary/direct research by interviewing victims and not relying solely on third party information.		Human Resources	Possible	High	Higher Risk
	<b>Public information</b>			Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (i) Limitations on the Public Information Office (PIO) staffs access to the Iraqi population may have an impact on the PIO's media outreach campaigns and limit coverage of events as they occur, as a result of the difficult and complex operating Mission environment in terms of security, political, religious, cultural and social issues .</p> <p>E (ii) The lack of cooperation from the Iraqi people and coalition forces, the Mission's reliance on MNF-I for escorts to meetings, may affect the Iraqi people's support of the proposed expansion of UNAMI's role in Iraq if they are not adequately informed.</p>	<p>Due to movement restrictions, the PIO invites the media into the international zone (IZ), but the public's access into the IZ is very strenuous.</p> <p>PIO has a network of information sources in the other areas in Baghdad who assist in information monitoring and call UNAMI for any news developments.</p>	Operational	Possible	High	Higher Risk
V	<b>Electoral support</b>			Possible	Medium	Moderate Risk
	<p>B (i) The Electoral Commission may lack independence as a result of the influence of Iraqi political parties on the recruitment of its members.</p> <p>B (ii) The lack of cooperation between the Electoral Commission and the Council of Representatives may delay the enactment of election laws, which could delay future elections.</p>	<p>In case of any election irregularities, the Mission can withhold the endorsement of election results and/or complain with the Council of Representatives, oversight body for the Electoral Commission.</p>	Governance	Possible	Medium	Moderate Risk
	<p>F (i) The high turnover of electoral officials and staff that had been trained may lead to the loss of institutional memory and requiring retraining of new officials.</p>	<p>UNAMI provide support for the training of new election officials.</p>	Human Resources	Possible	Medium	Moderate Risk



7	<b>Focus Area:</b>	<b>Programme and Project Management</b>		Possible	High	<b>Higher Risk</b>
No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	<p>E(i) Delays in the presentation of draft legislation on elections to the parliament may result in delays in the enactment of the legislation.</p> <p>E(ii) Enactment of election laws by the parliament may delay the preparation of the voter registry, without which elections cannot take place.</p> <p>E (iii) It may be difficult to prepare or update the voter registry because of the the current humanitarian situation in Iraq, where many people have been displaced.</p> <p>E (iv) It may be difficult for the Mission to provide electoral support services to the government of Iraq because of the insistence of the Kurds on a referendum on Kirkuk using the 1957 population statistics. This may result in the disqualification of many people to vote in the referendum.</p>	<p>UNAMI monitors the progress made by the Iraqi Government in enacting election laws.</p> <p>The database on food ration distribution (to the public) will be used to update/prepare voter registry.</p>	Operational	Possible	Medium	<b>Moderate Risk</b>
VI	<b>Political affairs</b>			Possible	Medium	<b>Moderate Risk</b>

7	Focus Area:	Programme and Project Management			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>A (i) It may be difficult for the Mission to achieve the reconciliation aspect of the Mission's mandate as access to players in the negotiation of internal boundaries is a complex exercise and could hamper reconciliation efforts.</p> <p>A (ii) The political environment UNAMI is operating in could be significantly altered as a result of the possibility of the constitution not being ratified by the Iraqi people.</p> <p>A (iii) The Iraqis may associate UNAMI to the MNF-I as a result of UNAMI's reliance on the MNF-I for access to political parties.</p>	<p>Negotiating internal boundaries involves several parties, e.g., Kurdistan, the central government, including all political blocks in the government. Dealing with several parties is complex as the loss of contact with any particular group may delay reconciliation efforts.</p> <p>UNAMI press releases, website and publications distinguish UNAMI activities from those of the MNF-I.</p>		Strategy	Possible	High	Higher Risk
	<p>G (i) The Mission's reliance on informal networks to gather information may result in uncorroborated information.</p>	<p>The Political Affairs Office holds dialogue with informal networks, e.g., advisors, when access to the Prime Minister is denied. According to the Office, this alternative mechanism has been working well.</p>		Information Resources	Possible	Medium	Moderate Risk



7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B (i) Different roles that other substantive sections have to play in the political process may conflict with the role of the Political Affairs Office and may result in an impasse.</p> <p>B(ii) Reports issued by the Human Rights Office (HRO) may result in the Iraqi Government's refusal to cooperate with UNAMI if the reports are critical of the government. Any stalemate in the political process may take time and may result in the Mission losing access to the government and other players and affect the Office's operations.</p> <p>B (iii) The high turnover of government officials and other players may result in the loss of institutional memory, resulting in the Political Affairs Office taking additional time to restart political initiatives or develop relationships with new officials.</p> <p>B (iv) Some parties may want UNAMI to influence the political process as against being a facilitator of the political process resulting in unmet expectations.</p>	<p>The Political Affairs Office cannot manipulate or interfere with the reporting requirements of the HRO as the objectivity of HRO reporting gives credibility to UN activities.</p> <p>UNAMI promotes dialogue with all concerned political parties to explain the Mission's role and the need for the Mission to adhere to its role as a facilitator to maintain its neutrality.</p>	Governance	Possible	High	Higher Risk

## Risk Assessment of : UNAMI

9	Focus Area:	Property and Facilities Management	Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Asset management		Possible	Medium	Moderate Risk
	<p>E (i) The lack of a proper asset management function may lead to the ineffective tracking of assets</p> <p>E (ii) There may be delays in the SSU's investigation on lost assets, so hindering the timely processing of asset disposal cases resulting from the loss.</p>	<p>PCIU has advised SAUs to confirm assets which cannot be traced for over 12 months and to report to SSU for investigation so that write-off action can be initiated, if required.</p> <p>The Claims Unit continuously follows up security reports with the SSU.</p>	Possible	High	Higher Risk
	<p>F (i) The shortage of PCIU staff caused by the resignation of national staff due to security reasons, may negatively affect the effectiveness of the Unit in carrying out its functions.</p>	<p>PCIU is following up the recruitment of national staff in Baghdad.</p> <p>General Service Section staff in Baghdad are being trained on PCIU functions, to augment the staff shortage.</p>	Possible	Medium	Moderate Risk
	<p>C (i) The failure of end-users to report asset losses may result in the ineffective accounting of assets and the Mission's inability to recover financial losses.</p> <p>C (ii) The failure of SAUs to update the Galileo system to reflect the actual and current asset location may result in difficulties in tracking assets.</p>	<p>In its 2006 audit of property control and inventory management, OIOS found that there was an inadequate mechanism (i) to track the location of staff who have been assigned portable assets such as mobile phones, laptops, radios; and (ii) for the self-accounting units (SAUs) to inform PCIU of the movement of assets within and outside the Mission.</p>	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Likely	High	Higher Risk
No II	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p><b>Office Facilities</b></p> <p>E (i) The relocation of the UNAMI Kuwait office to Amman may not be adequately planned resulting in logistical and operational challenges.</p> <p>E (ii) The failure to consider the impact of the relocation plan on pertinent Mission needs, such as office and residential accommodation, ease of shipment of goods, ease of access into and from Baghdad through the MNF-I, etc., may affect the Mission's operations.</p> <p>E (iii) The inadequate planning and failure to involve other relevant sections such as the Engineering Section and the SSU in the plan to move, may result in obtaining premises in Jordan that are either substandard or are not easy to partition to accommodate the Mission's needs.</p> <p>E (iv) The planning and construction of the new UN Headquarters in Baghdad may not be properly performed and monitored resulting in cost overruns and delays.</p> <p>E (v) The absence of power backup systems, such as generators, may affect the continuity of operations in the event of a power outage.</p>	<p>The Mission will conduct a cost-benefit analysis of the consolidation of UNAMI operations in Amman.</p> <p>A survey team, which includes the Engineering Section and the Safety and Security Unit, has been created to evaluate the new office locations/sites.</p> <p>A survey team, which includes the Engineering Section and the Safety and Security Unit, has been created to evaluate the new office locations/sites.</p> <p>A feasibility study is being conducted on the development of facilities at this location. In addition, a Security Risk Assessment will be conducted to define security requirements. The initial option presented to the ACABQ and Fifth Committee, will be put on hold pending the results of the study at the new site.</p> <p>The plan to install generators was halted because of the planned relocation of offices from Kuwait to Amman.</p> <p>The proposed new office in Amman will have full capacity standby generators.</p>	Operational	Likely	High	Higher Risk Higher Risk



## Risk Assessment of : UNAMI

10	Focus Area:	Safety and Security	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Security	Risk Category	Possible	High	Higher Risk
	<p>E (i) The Mission may not be prepared or be able to continue its Baghdad's operations in the event that the MNF-I withdraws from Iraq. This risk could increase in case construction of the new UN Headquarters in Baghdad is not completed by the time the international zone, where the new UN Headquarters in Baghdad is situated, is turned over to the Iraqi Government.</p> <p>E (ii) A complete or significant reduction in the current bilateral arrangements to support the Mission's operations, including hostage recovery, medical evacuation, air support between the international zone and the Baghdad International Airport, mass casualty support could affect the SSU's capacity to provide security to the Mission staff.</p> <p>E (iii) The volatile security situation in Baghdad and UNAMI's reliance on MNF-I's support for its Baghdad operations could affect the Mission's plans/schedules in conducting its operations, resulting in inefficiencies and non-achievement of objectives.</p>	<p>The Principal Security Advisor is supported by UN Military Advisors and is included in the MNF-I planning process and attends sensitive planning meetings which gives him access to information regarding any possible withdrawal or reconfiguration of the MNF-I.</p> <p>The Mission has contingency plans for partial or full relocation of UN staff should the MNF-I stop providing support to UNAMI.</p>	<p>Possible</p> <p>Possible</p>	<p>High</p> <p>High</p>	<p>Higher Risk</p> <p>Higher Risk</p>
	<p>(continuation) E (iv) UNAMI staff may not be the MNF-I's priority in the event of an evacuation, posing higher safety and security risks to UNAMI staff.</p>	<p>In the event of an evacuation of Mission staff from Iraq, the Mission has a contingency plan to bring in a United Nations aircraft, but this can take up to three days for the plane to arrive and special DSS clearance would be needed.</p>			

10	Focus Area:	Safety and Security	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
II	<b>Safety</b> E (I) The Mission may not give adequate attention/priority to occupational safety and health issues, increasing staff safety risks.		Possible	Medium	Moderate Risk
		Operational	Possible	Medium	Moderate Risk

## **Focus Areas**

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

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

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

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



## Risk Categories

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

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

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

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

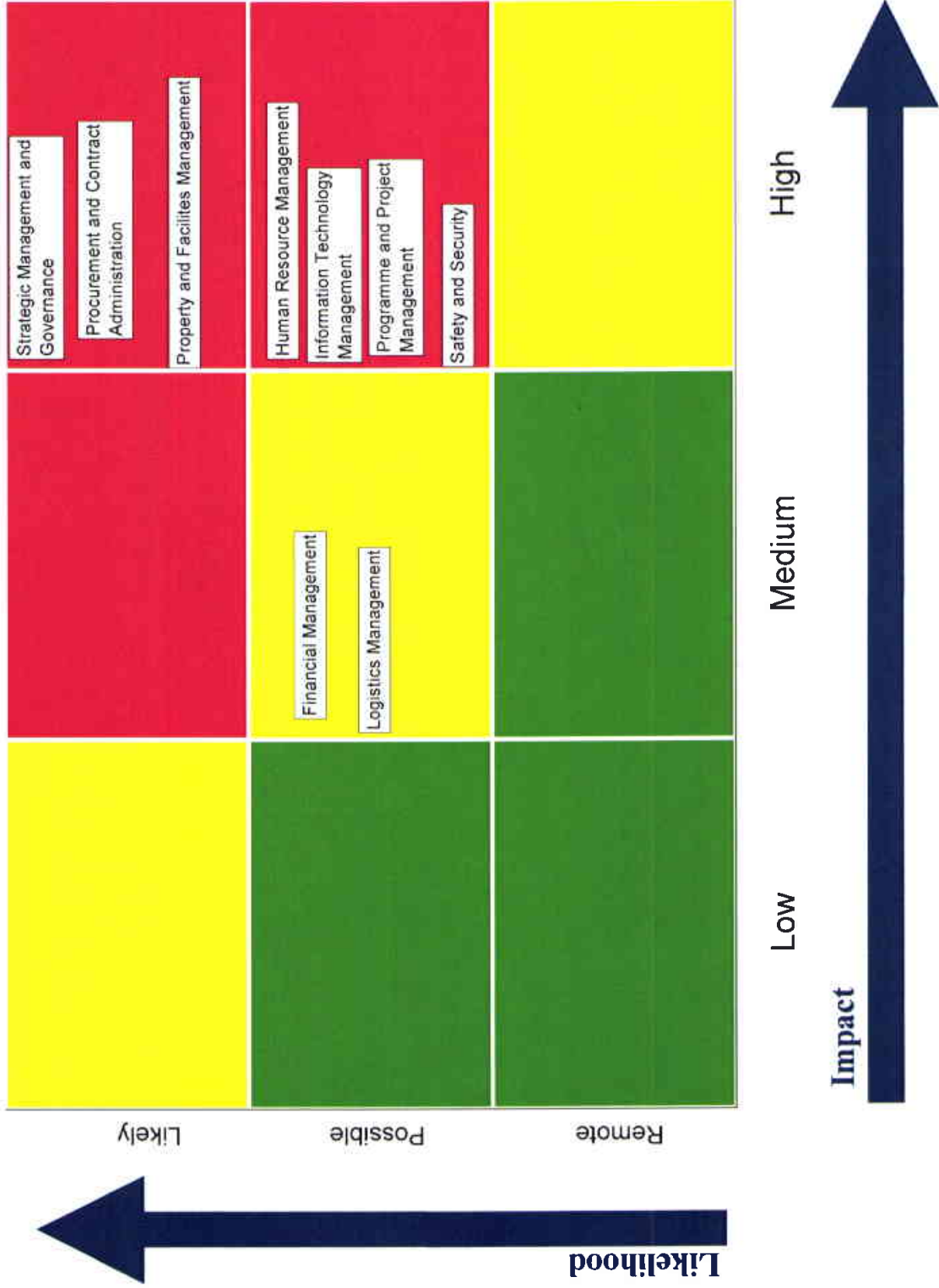


## Risk Assessment Ratings

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

Risk Likelihood	
Likely	Conditions within our environment indicate that an event is expected to occur in most circumstances
Possible	Conditions within our environment indicate that an event will probably occur in many circumstances
Remote	Conditions within our environment indicate that an event may occur at some time
Risk Impact	
High	Serious impact on operations, reputation, or funding status
Medium	Significant impact on operations, reputation, or funding status
Low	Less significant impact on operations, reputation, or funding status
Overall Risk Combinations Impact and Likelihood	
Higher Risk	The identified issue represents the following likelihood and impact combinations: <ul style="list-style-type: none"> <li>• Likely and high</li> <li>• Likely and medium</li> <li>• Possible and high</li> </ul>
Moderate Risk	The identified issue represents the following likelihood and impact combinations: <ul style="list-style-type: none"> <li>• Likely and low</li> <li>• Possible and medium</li> <li>• Remote and high</li> </ul>
Lower Risk	The identified issue represents the following likelihood and impact combinations: <ul style="list-style-type: none"> <li>• Possible and low</li> <li>• Remote and low</li> <li>• Remote and medium</li> </ul>

# RISK SUMMARY PROFILE (Focus Area)



# RISK SUMMARY PROFILE (Sub Focus Area)

