



OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

RISK ASSESSMENT

International Criminal Tribunal for Rwanda

23 June 2008

Assignment No. AA2008/260/01

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. Adama Dieng, Registrar
A: International Criminal Tribunal for Rwanda

DATE: 23 June 2008

REFERENCE: IAD: 08- 01444

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

SUBJECT: **Assignment No. AA2008/260/01 - ICTR Risk Assessment**
OBJET:

1. I am pleased to present OIOS' risk assessment of the International Criminal Tribunal for Rwanda (ICTR) which was carried out in February 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 ICTR 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
Ms. Sarah Kilemi, Chief, Division of Administrative Support Services, ICTR (Focal Point)

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

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PARTICIPANTS

The OIOS risk assessment team conducted workshops and interviews with the following staff members of the International Criminal Tribunal for Rwanda, 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"> • Judge Dennis Byron – President of the International Criminal Tribunal for Rwanda • Judge Rachid Khalida Khan – Vice President of the International Criminal Tribunal for Rwanda • Mr. Adama Dieng – Registrar, Office of the Registrar • Mr. Everard O’Donnell – Deputy Registrar, Office of the Registrar • Ms. Sarah Kilemi – Chief, Division of Administrative Support Services, Office of the Registrar • Mr. Hassan Bubacar Jallow – Prosecutor, Office of the Prosecutor • Mr. Bongani Majola – Deputy Prosecutor, Office of the Prosecutor • Ms. Silvana Arbia – Chief of Prosecutions, Office of the Prosecutor • Dr. Alex Obote Odora – Chief, Appeals and Legal Advisory Division, Office of the Prosecutor • Mr. Murtaza Jaffer – Policy Coordinator, Acting Advisor to the Prosecutor, Office of the Prosecutor • Ms. Elsie Effange-Mbella – Gender Advisor, Office of the Registrar • Ms. Emily Langston – Associate Legal Officer, Chambers Section
Financial Management	<ul style="list-style-type: none"> • Mr. Saviour Kuzhinapurathu – Chief, Finance Section • Mr. Danilo Carlos – Chief, Budget Unit • Ms. Beatrice Akatch – OFFICER IN CHARGE, Payroll Unit • Mr. Mahmud Chowdhury – Chief, Accounts Unit • Mr. Philip Opiyo – Chief, Payments

Focus Area	Name and Functional Title
	Unit <ul style="list-style-type: none"> • Ms. Nabiha Sherif – Cashier, Cash Office • Mr. Hudson Mbunya – Finance Assistant, Payments Unit • Ms. Monica Magaro – Finance Assistant, Payments Unit, Kigali
Human Resource Management	<ul style="list-style-type: none"> • Mr. Esono Anguesomo – Special Advisor to Chief, Division of Administrative Support Services • Mr. Sergey Cherepko – Chief, Staff Recruitment Unit • Mr. Omar Camara – Chief, Staff Administration Unit • Ms. May Nwanze – Human Resources Officer, Staff Administration Unit • Mr. Jerry Mhuri – Legal Officer, Division of Administrative Support Services • Ms. Edith Ndirangu – Human Resources Assistant, Staff Administration Unit • Mr. Jovenales M. Njuguna – Acting Head Training Unit • Ms. Vivian Ntoko – Training/Staff Welfare Assistant, Training Unit
Procurement and Contract Management	<ul style="list-style-type: none"> • Mr. Carl Gunnar-Harstrup – Chief, Procurement Section • Ms. Musonda Kasonde – Procurement Officer, Procurement Section • Ms. Audry Coke-Mendez – Procurement Assistant, Procurement Section
Information Technology Management	<ul style="list-style-type: none"> • Mr. Lamin Demba – Chief Information Technology Support Section • Mr. Eric Peereman – Head Communications/Audio Visual Unit • Mr. Abraham Saadeh – Chief, Electronic Data Processing Unit • Mr. James Ngungu – Programme Analyst, Electronic Data Processing Unit • Mr. Dharma Gurung – Telecommunications Technician,

Focus Area	Name and Functional Title
	<p>Communications Unit</p> <ul style="list-style-type: none"> • Mr. David Nkoma – Communications/Audio Visual Help Desk • Mr. Eric Semboni – Audio Visual/Visual Transmission Conference Technician, Audio Visual Unit • Mr. John Divinagracia – Head Information Technology Support Section, Kigali • Mr. Clement Kilassa – Telecommunications Technician, Telecommunications Unit • Mr. Jagmohan Singh Rawat – Telecommunications Technician, Telecommunications Unit • Mr. Felix Niyomugaba – Telephone Technician, Telecommunications Unit
Programme and Project Management	<ul style="list-style-type: none"> • Mr. Everard O'Donnell – Deputy Registrar, Office of the Deputy Registrar • Ms. Wanda Carter – Legal Officer, Office of the Deputy Registrar • Mr. Chile Eboe-Osuji – Chief of Chambers Support Section • Ms. Alice Leroy – Legal Officer, Chambers Support Section • Mr. Constant Hometowu – Legal Officer, Court Management Section • Ms. Sylvie Van Dressche – Head of French Court Reporters Unit • Ms. Aminatta N'gum – Legal Officer, Court Management Section • Ms. Martha Hunt – Audio-Visual Archivist, Court Management Section • Mr. Timothy Godfrey – Associate Records Officer, Court Management Section • Ms. Félicité Talon- Legal Officer , Court Management Section • Mr. Roger Kouambo – Legal Officer, Court Management Section • Mr. Nouhou Diallo – Legal Officer, Court Management Section

Focus Area	Name and Functional Title
	<ul style="list-style-type: none"> • Mr. Randolph Tebbs – Network Support, Court Management Section • Mr. Saidou Guindo – Commander, United Nations Detention Facility • Mr. Jean-Pele Fomete – Chief ad interim, Defense Counsel & Detention Management Section • Mr. Isaac Endeley – Legal Officer, Defense Counsel & Detention Management Section • Mr. Dunstain Mwau Ngulu – Legal Officer, Defense Counsel & Detention Management Section • Mr. Aleki Chigwenembe – Security Officer, United Nations Detention Facility • Mr. Ellis Odjurhe – Officer in Charge Operations, United Nations Detention Facility • Mr. Isidore Anthony Nyangezi – Acting Deputy Commander, United Nations Detention Facility • Ms. Sylvie Becky – Chief, Witness & Victims Support Section • Mr. Charles Kalumo – Head Security & Movement, Witness & Victims Support Section • Mr. Joseph Essombe-Edimo – Head Support Unit, Witness & Victims Support Section • Mr. Itsouhou-Mbadinga M – Legal Officer, Witness & Victims Support Section • Mr. Daff Adama – Associate Witness Support Officer, Witness & Victims Support Section • Mr. Ndionga Diop – Security Movement Coordinator, Witness & Victims Support Section • Ms. Florence Iraki – Administrative Assistant, Witness & Victims Support Section • Mr. Emmanuel Onoja – Protection Officer, Witness & Victims Support Section • Ms. Mary Murage – Security Officer, Witness & Victims Support Section

Focus Area	Name and Functional Title
	<ul style="list-style-type: none"> • Ms. Catherine Akida – Nurse, Witness & Victims Support Section • Mr. Roland Amoussouga – Spokesperson and Chief, External Relations and Strategic Planning Section • Mr. Straton Musonera – Programme Officer, External Relations and Strategic Planning Section • Mr. Bocar Sy – Chief Press Unit, External Relations and Strategic Planning Section • Ms. Rachida Draguendoul – External Relations Assistant – External Relations and Strategic Planning Section • Ms. Rani Dogra – Editorial Assistant, External Relations and Strategic Planning Section • Mr. Innocent Kamanzi – Associate Information Officer, External Relations and Strategic Planning Section, Kigali • Mr. Jonas Mutwaza – Associate Library Officer, External Relations and Strategic Planning Section Kigali • Ms. Ayo Fadugba – Chief, Information and Evidence Support Section - Office of the Prosecutor • Mr. Louis Edouard Ndiaye – Documents Control Officer, Information and Evidence Support Section - Office of the Prosecutor • Mr. Hassan Jaffary – Information Network Assistant, Information and Evidence Support Section - Office of the Prosecutor • Mr. Frederick Nyiti – Research Officer, Information and Evidence Support Section - Office of the Prosecutor • Mr. Theo Nkembe – Archivist, Information and Evidence Support Section - Office of the Prosecutor • Mr. Meer Bhandari – Programme Analyst, Information and Evidence Support Section - Office of the

Focus Area	Name and Functional Title
	<p>Prosecutor</p> <ul style="list-style-type: none"> • Mr. Kioko Kamula – Data Entry Operator, Information and Evidence Support Section - Office of the Prosecutor • Ms. Mary Kibisu – Information Management Assistant, Information and Evidence Support Section - Office of the Prosecutor • Ms. Tolulope Olowoye – Documents Control Officer, Information and Evidence Support Section - Office of the Prosecutor • Ms. Esther Tawe – Documents Control Assistant, Information and Evidence Support Section - Office of the Prosecutor • Ms. Jegede Olufunke – Documents Control Assistant, Information and Evidence Support Section - Office of the Prosecutor • Mr. Emmanuel Falaye – Information Systems Assistant, Information and Evidence Support Section - Office of the Prosecutor • Ms. Alexandra Dautovic – Team Assistant, Information and Evidence Support Section - Office of the Prosecutor • Mr. Jean-Yves Mazard – Information Technology Officer, Information and Evidence Support Section - Office of the Prosecutor • Mr. Priscilla Tango – Intern, Information and Evidence Support Section - Office of the Prosecutor • Ms. Lucy Wambui Gitau – Intern, Information and Evidence Support Section - Office of the Prosecutor • Mr. Alfred Kwende – Head of Investigations Division Office of the Prosecutor, Kigali • Mr. Arouna Traore – Head of Tracking Team, Investigations Division Office of the Prosecutor • Mr. David Wagala – Coordinator Investigation Team 2, Investigations Division Office of the Prosecutor

Focus Area	Name and Functional Title
	<ul style="list-style-type: none"> • Mr. Rajesh Neupane – Coordinator Investigation Team 1, Investigations Division Office of the Prosecutor • Mr. Mamadou Kone – Coordinator Witness Management Team, Investigations Division Office of the Prosecutor • Mr. Theophile Nkembe – Archivist Investigations Division Office of the Prosecutor • Mr. Samuel Dankyi – Financial Reviewer, Investigations Division Office of the Prosecutor
Conference and Documents Management	<ul style="list-style-type: none"> • Ms. Justine Ndongo-Keller – Chief Language Services Section • Mr. Francois Bembatoum – Translator/Interpreter, Language Services Section • Ms. Angeline Diampou – Chief, Legal Library and Reference Section • Ms. Juja Chakarova – Associate Librarian, Legal Library and Reference Section • Mr. Louis Ndiaye – Information Network Officer, Legal Library and Reference Section • Ms. Spès Ndabahagamyè – Bilingual Secretary, Legal Library and Reference Section
Property and Facilities Management Logistics Management	<ul style="list-style-type: none"> • Mr. Speraty Ngemera – Supervisor Supply Warehouse, General Services Support Section • Ms. Ana Pavic Stefanova – Officer in Charge Property Control Inventory Unit • Mr. David John – Building Management Services Assistant • Mr. Deogratias Mrosso – Property Control Clerk, Property Control and Inventory Unit • Ms. Alyson Ratney – Property Assistant, Property Control and Inventory Unit, Kigali • Mr. Apolo Kagwa – Officer in Charge, General Services Support Section, Kigali • Mr. Anthony Munguti – Officer in Charge, Asset Management Unit

Focus Area	Name and Functional Title
	<ul style="list-style-type: none"> • Mr. Archie Bernard – Officer in Charge, Transport Services Unit • Mr. Daniel Msangi – Photocopier Technician, Property Control Inventory Unit • Mr. Awawdeh Ziad – Receiving & Inspection Assistant, Shipping Unit • Mr. Mitesh Bhatt – Travel Assistant, Shipping Unit, Kigali • Mr. Marcel Gakuba – Receiving & Inspection Clerk, Shipping Unit, Kigali • Mr. Irwin Carrera – Building Management Assistant Kigali, Building Management Services Unit • Mr. Jean Claude Muhigirwa – Supply Clerk, Property Control Inventory Unit, Kigali • Mr. James Nteziryayo – Driver, Property Control Inventory Unit, Kigali • Mr. Jean Bosco Mushime – Transport Store Clerk, Transport Services Unit, Kigali • Mr. Kelvin Mburu – Supervisor – Central Registry Unit • Mr. S.Wathugala – Chief, Building Management Services Unit • Mr. Milton Correia – Facilities Management Assistant, Building Management Services Unit • Mr. Shiva Paudel – Associate Building Management Services Officer, Building Management Services Unit • Mr. Hussein Mvungi – Building Management Services Assistant, Building Management Services Unit • Mr. Francis Kinabo – Building Management Services Assistant, Building Management Services Unit • Mr. Richard Lipscombe – Telecoms Operator, Central Registry Unit • Ms. Rehema Mfuru – Registry Clerk, Central Registry Unit • Mr. Shaban Labiah – Foreman, Building Management Services Unit • Mr. Moussa Sane – Chief, Travel

Focus Area	Name and Functional Title
	<p>and Shipping Unit</p> <ul style="list-style-type: none"> • Mr. Jubilate Kimaro - Shipping Clerk, Shipping Unit • Mr. Waziri Waziri – Shipping Clerk, Shipping Unit • Ms. Agnes Mutua – Travel Assistant, Travel Unit • Ms. Marystella Mariki – Travel Assistant, Travel Unit
Safety & Security	<ul style="list-style-type: none"> • Mr. Djiby Diop – Chief, Security & Safety Section • Mr. Wayne Hull – Operations Officer, Security & Safety Section • Mr. C.A Okpala – Fire & Safety Officer, Security & Safety Section • Mr. Richard Tarpeh - Training Officer, Security & Safety Section

SUMMARY OF RISK RATINGS

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

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

Table 2: Summary of identified risks

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

RISK REGISTER

Risk Assessment of: ICTR

1	Focus Area:	Strategic Management and Governance	Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Strategic planning and monitoring	Risk Category	Likely	High	Higher Risk
	<p>A(i). Failure to secure the support of enough states willing to take those persons sentenced / convicted by the ICTR into their prison systems, could impact on the execution of the court judgement.</p> <p>A(ii). Lack of cooperation between the Government of Tanzania and the Tribunal could hinder the Tribunal from being able to fully function as the safety of the staff could be affected.</p> <p>A(iii). Failure to secure the support of enough states willing to take those persons acquitted by the ICTR could adversely affect the reputation and legacy of the Tribunal.</p> <p>A(iv). Proper planning may be difficult due to unpredictable factors and the intrinsic difficulties in estimating when the Tribunal will finish work.</p> <p>A(v). Lack of understanding of the operations of the Tribunal by UN Headquarters could impact on the Tribunal getting the required support resulting in its not completing trial and appeal cases.</p> <p>A(vi). Lack of awareness or interest by the community in ICTR may hinder the Tribunal from obtaining support needed by the local government.</p>	<p>The Tribunal, through the Registrar has already negotiated several enforcement agreements with a number of countries and the matter is under constant review to have more countries agree to enforce ICTR sentences.</p> <p>A Facilitation Committee has been established with the Government of Tanzania to enhance the cooperation and coordination between the Tribunal and the Government of Tanzania.</p> <p>Under the host country agreement, acquitted individuals must leave Tanzania. However, in many circumstances, it is not safe for the individuals to return to their homes.</p>	Likely	High	Higher Risk

1	Focus Area:	Strategic Management and Governance	Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>G(i). Inadequate security in the information technology area could result in attacks to the system.</p> <p>G(ii). Thefts of publications and other Tribunal IT assets could impair operations or result in a loss to the Tribunal.</p> <p>G(iii). Lack of communication of the work and the achievements of the Tribunal to external parties, could result in the positive aspects of the Tribunal's legacy being diminished.</p> <p>G(iv). Inadequate communications with diplomatic missions could result in the work of the Tribunal not being disseminated and perceived as not important and meaningful.</p>	<p>A Disaster Recovery and Business Continuity Plan is in place.</p> <p>The Tribunal has an extensive library collection of materials on genocide.</p>	Possible	High	Higher Risk

1	Focus Area:	Strategic Management and Governance	Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Impact	Overall Risk
	<p>B(i). High-level personnel changes in the Tribunal could negatively affect the operations.</p> <p>B(ii). Lack of accountability of the President, Prosecutor and Registrar to the stakeholders, namely the Security Council and the General Assembly, could result in the Tribunal losing focus or not achieving its targeted objectives.</p> <p>B(iii). The hybrid nature of the law practiced at the Tribunal that tries to balance the common law and civil law systems could cause lack of clarity, delays and higher costs to the Tribunal.</p> <p>B(iv). Insufficient coordination among the three main organs of the Tribunal (Chambers, the Registry, and the Office of the Prosecutor) may result in inefficiency and lack of smoothness in the operations, which ultimately could affect the ability of the Tribunal to complete trials in a timely manner.</p> <p>B(v). The finite life of the Tribunal could place pressure on Judges, which might compromise quality of their work by not delivering proper rulings, and could result in inefficiencies and financial losses to ICTR.</p> <p>B(vi). The lack of a formal risk management programme could result in the Tribunal being unprepared for or unable to anticipate and manage risks, challenges and developments impacting adversely on its operations.</p>	<p>The President is required to submit annual reports to the Security Council and General Assembly on the activities of the Tribunal. In addition, the President and the Prosecutor also report every six months to the Security Council on the progress towards the completion strategy. ACABQ reviews the Tribunal request for resources and makes recommendations to the 5th Committee. The Tribunal reports through the Secretary General to GA accounting for the use of its financial resources on a yearly basis.</p> <p>The law practiced at the Tribunal is a blend of common and civil law systems.</p> <p>There is a mechanism for high level coordination between the principal organs in the form of coordination councils that are to be attended by the President, Prosecutor and the Registrar.</p>	Governance	Possible	High
					Higher Risk

1	Focus Area:	Strategic Management and Governance			Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment			Likelihood	Impact	Overall Risk
	<p>D(i). The lack of funding for victim support structures could hinder the operations of the Tribunal.</p> <p>D(ii). Assets may be poorly managed, which could result in thefts or financial losses to the Tribunal.</p>	<p>Funding for victim support structures is primarily extra budgetary funding.</p>	Financial	Possible	Medium	Moderate Risk	
	<p>E(i). Natural disasters such as a volcanic eruption could occur, which could hinder the operations of the Tribunal.</p> <p>E(ii). Unreliability of UN aircraft that may not meet safety standards could result in loss of lives of staff members.</p> <p>E(iii). Multiple challenges facing the Tribunal, such as the scale of the cases being adjudicated, the passage of time since the alleged crimes, the large number of victims, difficulties in gathering evidence and protecting witnesses, may hinder the Tribunal from achieving targeted milestones.</p>	<p>The UN operates a flight between Arusha, Tanzania and Kigali, Rwanda.</p>	Operational	Possible	High	Higher Risk	

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>F(i). Functioning without a human resources chief could hinder the Tribunal from hiring appropriate staff to meet its needs.</p> <p>F(ii). Inadequate security for Judges, the Prosecutor, the Registrar and other Tribunal staff could result in injury or loss of life.</p> <p>F(iii). Departure of staff would result in loss of institutional knowledge and experience.</p> <p>F(iv). The difference in compensation packages between interim and permanent judges could result in poor morale and possible resignation of judges.</p> <p>F(v). Feelings of insecurity for positions of staff under GTA contracts doing similar work to staff in the Professional category could result in poor employee morale.</p>	<p>The Tribunal is in the process of hiring a human resources chief.</p> <p>The Tribunal provides security for the judges and the heads of the organs of the Tribunal.</p> <p>ICTR is currently looking at possible incentives to retain key staff.</p>	Human Resources	Possible	High	Higher Risk

Focus Area:		Strategic Management and Governance			Likely	High	Higher Risk
Interview/Review Summary (Description of risk)		OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
1					Likely	High	Higher Risk
No					Likely	High	Higher Risk
II	<p>Liquidation planning</p> <p>A(i). Not observing targeted timeframes (2008 and 2010) could result in the legacy of the Tribunal being viewed negatively especially considering that the process has been ongoing since 1995 and still has not been completed.</p> <p>A(ii). The lack of residual mechanism being in place or being adequate to meet the needs of the Tribunal could negatively affect the legacy of ICTR and the manner in which it will be viewed by historians and legal experts.</p> <p>A(iii). Failure to provide for witness protection measures after the closure of the Tribunal could negatively affect the legacy of the Tribunal.</p> <p>A(iv). Uncertainty regarding what will happen to victim support mechanisms after the closure of the Tribunal could create anxiety among the victims.</p> <p>A(v). None apprehension of the fugitives remaining at large and trial before the Tribunal closes, could be viewed negatively and ultimately diminish the achievements of the Tribunal.</p>	<p>Both the President and the Prosecutor report periodically to the Security Council on the progress of the Tribunal in achieving its completion strategy.</p> <p>The Tribunal is seeking direction from the Security Council on the residual mechanism.</p> <p>The issue of witness protection is part of the residual mechanism to be put in place.</p> <p>The Tribunal provides social support to the victims such as medical care and food when necessary. The support structure will be considered in the development of the residual mechanism. If funding is available, the structure could be integrated into national mechanisms.</p>	Strategy	Likely	Medium	Higher Risk	
	<p>A(vi). Arresting the remaining fugitives near the closing of the Tribunal may result in the Tribunal not having the necessary resources to try the individuals which could greatly affect the legacy and reputation of the Tribunal.</p>						

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>D(i). Inability to meet the completion targets could result in Member States restricting the finances provided to the Tribunal if they view the work of the Tribunal in a negative way.</p> <p>D(ii). Lack of acceptance of proposed budgets by the Tribunal and lack of timely provision of financial resources could cause the Tribunal to experience difficulties in completing both trial and appeal processes.</p> <p>D(iii). Fraudulent activities may occur as staff will be losing their positions when the Tribunal nears completion, which could result in a loss of ICTR resources.</p>	<p>The External Relations Strategic Planning Section (ERSPS) is responsible for the nurturing relationships with the international community.</p> <p>The budget is reviewed by the Office of Program Planning Budget and Accounts (OPPBA) prior to presentation to the Advisory committee on Administrative and Budgetary Questions (ACABQ). Questions raised by the Committee are addressed and then they are submitted to the General Assembly for approval.</p> <p>Whenever a fraudulent activity is discovered, the Investigations Unit of the Security and Safety Support Section is immediately notified.</p>	Financial	Possible	High	Higher Risk

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>E(i). Delays in transferring arrested accused to ICTR could result in the delay of trials, and ultimately hinder ICTR from meeting its targeted completion dates.</p> <p>E(ii). Cases referred to national jurisdictions (11 bis) could be returned to the Tribunal, which could lead to an increase in the amount of work that will need to be undertaken at the Tribunal.</p> <p>E(iii). Refusal to accept the Prosecutor's application by the Chambers may result in referring a particular case to national jurisdiction under Rule 11 bis, which could increase the burden on the Tribunal.</p> <p>E(iv). Additional indictments made by the Prosecution could substantially hinder the Tribunal from meeting its targeted deadlines.</p> <p>E(v). Unavailability of courtrooms may hinder trials from proceeding as this compels Chambers to hold short sittings and judges have to be mindful that other trials are also competing for the same space, which could affect the ability of the Tribunal to complete trials in a timely manner.</p> <p>E(vi). Inadequate capacity to address all upcoming appeals by the appeals chamber may hinder the Tribunal from meeting its completion targets.</p>	<p>The Court Management Section is responsible for processing the documentation required for the transfer of arrested accused - this is sometimes done in collaboration with the External Relations and Strategic Planning Section.</p> <p>The availability of courtrooms is under constant and regular review to ensure effective utilisation of the four courtrooms at ICTR.</p>	Operational	Possible	Medium	Moderate Risk

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>F(i). Lack of security of tenure or position could compel staff to leave, which could greatly hinder or halt operations.</p> <p>F(ii). Inadequate gender representation as the Tribunal downsizes could result in poor employee morale.</p> <p>F(iii). Inadequate arrangements in the process of deciding which posts or staff to retain, may not be seen as transparent and fair as the Tribunal nears the end of its mandate.</p> <p>F(iv). Inadequate understanding of the stress levels under which staff have to work, may result in poor management judgement and so result in poor quality of work and low employee morale, which could negatively affect the reputation and the legacy of the Tribunal.</p>	<p>The contracts of ICTR staff are presently up to end of December 2008.</p> <p>A newly recruited staff counsellor is now in place.</p>	Human Resources	Likely	High	Higher Risk
	G(i). Lack of confidentiality of victim information after the closure of the Tribunal could affect the security of persons involved in the trial process and portray the Tribunal negatively.	The Witness and Victims Support Section (WVSS) is expected to address the confidentiality issue as part of the residual mechanism.	Information Resources	Possible	High	Higher Risk

Risk Assessment of : ICTR

No	Focus Area:	Financial Management	Risk Category	Possible Likelihood	Impact	Moderate Risk
2	<p>Interview/Review Summary (Description of risk)</p> <p>Payments</p> <p>D(i). Inadequate controls over checks may result in forged checks being presented and not identified by the bank, which could result in a financial loss to the Tribunal.</p> <p>D(ii). Irregular submission or unauthorized supporting documentation may be received from staff, which could result in an overpayment.</p> <p>D(iii). Duplicate copies of invoices may be presented to ICTR, which could result in a duplication of payment.</p> <p>D(iv). Payments may not be made to the intended confidential sources, which could result in a loss of Tribunal resources.</p> <p>D(v). Inaccurate amounts for ticket costs reimbursed to a staff member could result in an overpayment or underpayment to the staff member.</p>	<p>OIOS Assessment</p> <p>Following recent incidents of forged cheques being submitted to the bank, the Cash Office under close supervision of Chief Finance Officer and strict coordination with Account Unit has enhanced its controls and regularly reconciles issued cheques.</p> <p>ICTR requires that original invoices be submitted to the Tribunal. In the case where the original invoice cannot be submitted, the copy must be certified as being valid.</p> <p>Some payments are made to confidential sources such as witnesses or informants. In such cases, the actual identity of the individual is kept confidential by OTP/MVSS by using pseudonyms and the supporting documentation where the names appear are redacted/wiped out before presented to the finance department.</p>	Financial	Possible	High	Higher Risk
	<p>E(i). Limitations of the Sun system in detecting errors could result in the manual verification of data entry, leading to inaccuracies affecting the integrity of information from the system.</p>		Operational	Possible	Medium	Moderate Risk
	<p>G(i). An error may occur when entering data into the information system, which could result in inaccurate records.</p>		Information Resources	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
II	Accounts			Possible	Medium	Moderate Risk
	C(i). Inadequate or untimely guidance on implementation of IPSAS may result in the Tribunal implementing IPSAS with delays or in a different manner as compared to NY Headquarters.	NY Headquarters is to determine when and how to implement IPSAS as well as provide guidance and the tools to implement.	Compliance	Remote	Medium	Lower Risk
	D(i). Weaknesses in controls may lead to receivables not being recovered, which could result in a financial loss to ICTR. D(ii). Not clearing Inter Office Vouchers (IOVs) correctly or not processing them in a timely manner could result in the Finance Section records being inaccurate. D(iii). Not preparing financial statements properly or timely by the Finance Section through the SUN system could result in management decisions being made without all necessary information.	A system of monthly reporting on receivables is in place which helps to settle existing receivables in a timely manner. A number of long outstanding receivable are being followed-up by the Accounts Unit towards settlement. The IOV information is verified to source documents. The Board of Auditors performs an annual review of the financial statements of ICTR.	Financial	Likely	Medium	Higher Risk
	E(i). Inadequate or insufficient information provided by the various sections of the Tribunal could hinder the operations of the section.		Operational	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>F(i). Qualified staff may depart from the Tribunal as completion nears, which could hinder the operations of the Finance section.</p> <p>F(ii). Turnover in staff and untrained staff could result in items delayed in recording or not recorded correctly in the accounting system, which could lead to wasted time and efforts in trying to solve problems.</p>	<p>A manual review of recording items is done. Staffs need high level knowledge of coding system and procedures.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>G(i). The current version of the SUN system may not be able to meet IPSAS reporting and accounting requirements and reprogramming SUN system may be problematic, which could hinder ICTR in implementing IPSAS.</p>	<p>ICTR is using the latest version of SUN system.</p>	Information Resources	Possible	Medium	Moderate Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No III	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	Payroll D(i). Receiving personnel action documents late could result in an overpayment to a staff member. D(ii). Delays by NY Headquarters in installing the staff member in the system may result in salary advances not being properly cleared. D(iii). Education grant advances may not be fully recovered if a staff member leaves the Tribunal earlier than anticipated. D(iv). Remaining salary to be paid to a departing staff member may not cover the amount owed to the Tribunal. D(v). Documentation submitted for payment (such as medical claims or education allowances) could be false, which could result in a loss of Tribunal resources. D(vi). Delays in submission of the Personnel Action to the Payroll section, may lead to an employee not receiving entitlements in a timely manner, which could result in poor employee morale.	All action taken by the payroll section must be initiated by a Personnel Action form created by the Human Resources and Planning Section (HRPS). For professional staff, overpayments can be recuperated from the entitlement payments. Finance Section has taken measures with Payroll Section UN Headquarters to settle salary advances in a timely manner. To ensure the recovery of education grants in a timely manner from the departing staff member proper documentation has to be sent by human resources to finance prior to the check-out of the staff member. Every effort is made to recover the outstanding dues if the staff member departs to another UN organ. HRPS conducts proper review of supporting documents and certifies the same prior to submission to the Finance Section for processing. All documents are vetted by Finance Section before the release of such payments. It is the responsibility of HRPS to timely submit the Personnel Action form (PAF).	Financial	Possible	Medium	Moderate Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
No IV	Cash management			Remote	Medium	Lower Risk
	<p>D(i). Theft could occur during the periodic trips to the bank, resulting in losses to ICTR.</p> <p>D(ii). Petty cash or checks may be stolen or misused, which would result in a loss of the Tribunal's resources.</p> <p>D(iii). Counterfeit notes may be accepted by the Tribunal, which could result in a loss of financial resources.</p> <p>D(iv). Exposure to fluctuating exchange rates could affect the availability of cash and also possibly impact operations.</p> <p>D(v). Incorrect forecasting of cash requirements may result in insufficient or excess cash on hand, which could potentially halt operations or result in possibly theft.</p>	<p>A system is in place to have a UN vehicle and Security Officer accompany any cash being transferred to and from the bank.</p> <p>Cash counts and reconciliations to bank statements are performed regularly.</p> <p>The Tribunal uses a machine to detect counterfeit notes. If any doubt exists on the validity of a note, the payee is directed to the bank to deposit the money into the account directly.</p> <p>A monthly forecast is prepared based on the report of disbursement of the previous month and the forecast received from different units to avoid any such situation.</p>	Financial	Possible	Medium	Moderate Risk
	E(i). Insufficient cash on hand due to incorrect forecasting of requirements could halt Tribunal operations.	Requirements are reviewed daily, weekly, and monthly.	Operational	Remote	Medium	Lower Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No V	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	Budget		Compliance	Remote	Medium	Lower Risk
	<p>C(i). Failure to adhere to donor's stringent reporting requirements could hinder future funding from donors.</p> <p>D(i). Failure to receive funds under the regular budget could severely jeopardize the Tribunal's operations making it unable to function as difficulties are experienced in attracting extra-budgetary funding.</p> <p>D(ii). Insufficient requests for resources given the unpredictability of the Tribunal's activities such as the capture of remaining fugitives, may delay court schedules and departure of key staff.</p> <p>D(iii). The possibility of the reversion to annual budgets as a result of the uncertainty of the completion of the Tribunal's mandate could create difficulties in planning and signing contracts.</p> <p>D(iv). Omission to plan and inclusion of all required activities in the budget could result in insufficient resources to carry out necessary operations.</p> <p>D(v). Posts may be incorrectly authorized and expenditures may be over the allocated amounts resulting in activities that were not authorized by the General Assembly being financed. This could lead to the Tribunal losing credibility.</p> <p>D(vi). Reverting to annual budgets could create additional work for the finance section as the financial statements are based on a 2-year period and result in inefficient operations.</p>	<p>The budget is prepared based on the present situation and on the basis of assumptions that are known at a particular point in time.</p> <p>UN budgets are prepared on a biennium basis.</p> <p>The budget process is well established and ICTR issues guidelines to program managers on budget formulation for the divisions, program and sub-programs.</p> <p>The budget is submitted to the Office of Program Planning Budget and Accounts (OPPBA) for review and this is presented before the Advisory Committee on Administrative and Budgetary Questions (ACABQ). Questions raised by the Committee are addressed and then it is submitted to the General Assembly for approval.</p> <p>ICTR strictly complies with the budgetary allocations.</p>	Financial	Remote	High	Moderate Risk

Risk Assessment of : ICTR

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
I	<p>Recruitment</p> <p>B(i). Current recruitment process may be seen as bureaucratic and cumbersome resulting in candidates being lost before the process is finalised.</p> <p>B(ii). Perceptions may exist that recruitment of senior managers are based on favouritism, cronyism, nepotism and nationalism, which may lead to low morale among the workforce.</p> <p>C(i). Managers may by-pass qualification requirements for a post as well as gender and geographical distribution rules when short term staff is hired in lieu of going through the lengthy recruitment process to fill a regular post.</p> <p>C(ii). Lack of adherence to the recruitment process by programme managers in favour of preferred candidates and the unfair evaluation of candidates could result in poor quality recruitment and a lack of transparency and integrity in the recruitment process.</p>	<p>ICTR undertakes recruitment in accordance with UN rules and some delegation on approval has been granted.</p>	Governance	Likely	High	Higher Risk
		Individual contractors (ICs) have been recruited to deal only with reference and background checks.	Compliance	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
	<p>E(i). Lack of monitoring by HRPS of reference and background checks could result in the recruitment of unsatisfactory candidates which could hinder operations.</p> <p>E(ii) Hardship nature of the duty station and the imminent closure of the Tribunal may make it difficult to attract international staff, impairing operational effectiveness.</p> <p>E(iii). Lack of background checks for security officers may expose the organisation to risks of hiring wrong staff.</p> <p>E(iv). Delays in receiving notification of upcoming vacancies from clients could prolong the recruitment process.</p> <p>E(v). Urgent or unreasonable demands, lack of follow-up or delays in the review of applicants may further delay the recruitment process, giving the impression that HRPS is not client oriented.</p> <p>E(vi). A lengthy recruitment process could cause a gap between the time an employee leaves and the recruitment of a replacement, which could cause disruptions in activities leading to inefficient and ineffective operations.</p>	<p>Reference checks are at times conducted before the staff member comes on board.</p> <p>ICTR has taken steps to address the issue by employing qualified spouses.</p> <p>The final report on the criteria to be used by program managers has been endorsed by the heads of the three organs of the Tribunal.</p> <p>Program managers are currently undertaking a comparative review of the staff requirement of his/her section.</p>	Operational	Likely	High	Higher Risk

Focus Area:		Human Resource Management		Possible		High		Higher Risk	
Interview/Review Summary (Description of risk)		OIOS Assessment		Likelihood		Impact		Overall Risk	
Risk Category		Human Resources		Likely		High		Higher Risk	
3	<p>F(i). Inadequate attention to the retention of staff could lead to the high turnover of the Tribunal's staff, which could hinder or halt the operations.</p> <p>F(ii). ICTR may experience difficulty in recruiting staff given the limited life of the Tribunal which could hinder the Tribunal from completing its mandate.</p> <p>F(iii). Lack of job security could cause personnel to leave ICTR for more secure positions, which could result in a loss of institutional knowledge that is critical to the operations of the Tribunal.</p>	<p>ICTR established a staff retention task force to develop criteria to be used to make an objective comparative analysis of the staff performing the similar functions, with a view to determining the number of staff and the needed competencies required for effective completion of the work of ICTR.</p> <p>ICTR has proposed measures to retain staff such as the granting of special post allowance, use of roster candidates for selection without re-advertising etc.</p>	Human Resources	Likely	High	Possible	High	Higher Risk	Higher Risk
	<p>G(i). The Galaxy system may no longer be the right tool to support the recruitment needs of the UN.</p>	<p>Galaxy system is useful to promote vacancies and to serve as a repository of applications for vacancies.</p>	Information Resources	Possible	Medium	Possible	Medium	Moderate Risk	Moderate Risk
II	<p>Staff Administration</p> <p>A(i). Excessive political pressure and the budget constraints (post cuts, downgrading of staff levels) may drive the process rather than independent, strategic and objective planning, which could lead to less than optimum results and impact the Tribunal.</p> <p>B(i). Downsizing of the Tribunal especially in staffing matters may not be seen by all staff as fair and impartial, which could result in poor employee morale which in turn could affect the efficiency and effectiveness of ICTR's operations.</p>	<p>The 2008 and 2010 deadlines are the benchmarks against which trials and appeals are measured.</p> <p>Retention indicators have been developed by the staff retention task force that includes criteria such as competence to perform the remaining tasks, multi-functionality and continuity, length of service, gender, geographical distribution and pension eligibility.</p>	Strategy	Possible	High	Possible	High	Higher Risk	Higher Risk
			Governance	Possible	High	Possible	High	Higher Risk	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>D(i). Inconsistent application of staff entitlements could lead to subsequent retroactive payments, possibly involving large sums and could result in poor employee morale and financial losses to the Tribunal.</p> <p>E(i). The evaluation process may suffer from gender discrimination, non-communication of poor performance, poor performance not adequately documented, absence of formal evaluation standards with which to evaluate performance, all of which could hinder the efficiency and effectiveness of the organization.</p>	<p>The Tribunal follows UN HR policies and procedures.</p> <p>Every new ICTR employee is given an induction package on the evaluation process. The UN has policies, procedures, formal evaluation standards, and a rebuttal procedure to ensure that the evaluation process is fair and adequate.</p>		Financial	Possible	Medium	Moderate Risk
				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>F(i). A significant decrease in the attrition rate at ICTR could result in too many people being employed in the closing years of the Tribunal which could affect the financial resources of the Tribunal.</p> <p>F(ii). A conservative rating in the e-pas from the ICTR may be viewed negatively by other UN organizations that give more liberal ratings. This could affect ICTR staff in their quest for obtaining future positions after closure of the Tribunal.</p> <p>F(iii). Limited career development opportunities (some staff get stuck on one grade/level for long periods) could lead to low staff morale and possibly affect the quality of work.</p> <p>F(iv). The inability to accurately forecast the requirements for temporary assistance could lead to excessive expenditures or inability to deliver some required services for the section.</p> <p>F(v). Delays in financial processing of entitlements and benefits could result in low staff morale and reputational damage to the organisation.</p>	<p>Programme managers are currently undertaking a comparative review of the staff requirement of his/her section so as to enable them to meet their reduction requirements.</p> <p>ICTR follows the current UN guidelines when evaluating employee performance.</p>	Human Resources	Possible	High	Higher Risk

3	Focus Area:	Human Resource Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	Risk Category	Likelihood	Impact	Overall Risk
III	Training D(i). Budgetary constraints for training may result in staff members not updating their skills.	Financial	Likely	Medium	Higher Risk
	F(i). Lack of training other than on-the-job for staff members undertaking new jobs on the rules and regulations affecting their duties may create steep learning curve and extended period of inefficiency and increase the risk of non compliance of operational, financial, and reputation damage to the organisation.	Operational	Possible	Medium	Moderate Risk
	G(i). Insufficient bandwidth in compound at ICTR could hamper on-line training options.	Information Resources	Likely	High	Higher Risk

Risk Assessment of : ICTR

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>Procurement and Contract Administration</p> <p>G(i). Information required from other sections may be delayed, insufficient, or inaccurate, which would hinder the operations of the procurement section.</p>	<p>The Local Vendor Database Officer evaluates vendors based on information provided through the Vendor Registration Package provided by the procurement unit. Losses are limited since payments are not made to a vendor unless the goods are first received and checked to be satisfactory by the Tribunal.</p> <p>The Government of Tanzania requires the completion of a PRO6 form to allow goods to be imported duty free.</p>	<p>Likely</p> <p>Likely</p>	<p>High</p> <p>High</p>	<p>Higher Risk</p> <p>Higher Risk</p>
	B(i). Host government requirements may cause delays of the procurement activities.	Governance	Likely	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration	Likely	High	Higher Risk	
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk	
	<p>D(i). The best value for money may not be obtained when not adhering to procurement procedures in acquiring goods or services, which could result in wasted Tribunal resources.</p> <p>D(ii). Delays due to external parties, could result in delayed payments to vendors, which could result in higher prices during future use of the vendor.</p> <p>D(iii). An inefficient procurement system may result in higher prices to be paid by the Tribunal.</p> <p>D(iv). In the absence of adequate internal controls and oversight, fraud and other risks such as bid rigging, kickbacks, etc. could occur during the procurement process, which could result in loss of ICTR financial resources.</p> <p>D(v). Inadequate or low vendor response rates could result in higher prices paid or lower quality of goods and services received.</p> <p>D(vi). Blanket purchase orders may be abused or the limit may be exceeded without the procurement section being aware.</p> <p>D(vii). Lack of adequate controls may result in payments being made to vendors whose contracts have expired.</p> <p>This may result in financial losses to the UN.</p>	<p>ICTR follows UN procurement policies and guidance in the awarding of contracts.</p> <p>International goods must clear customs, which can be a delayed process. In general, ICTR does not pay vendors until goods are received and inspected, which cannot happen until they are released from customs.</p> <p>ICTR has modified previous blanket orders when questions about their usage have arisen.</p> <p>Rule 105.5 of the Financial Regulations and Rules of the UN governing Certifying Authority.</p>	Financial	Likely	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration	Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). Procurement timeliness could be delayed due to the processing and approval time for cases sent to NY Headquarters for approval, which could hinder the operations of the Tribunal.</p> <p>E(ii). The bidding process may be seen as impartial and unfair, which could negatively affect the reputation of the Tribunal.</p> <p>E(iii). Insufficient monitoring of contracts could result in insufficient and inefficient use of resources.</p> <p>E(iv). Lack of an exit plan for the Tribunal could hinder the procurement section from being able to properly manage and plan the use of procurement resources as the Tribunal nears completion of its mandate.</p> <p>E(v). Lack of clarity as to when disposal of assets should begin, may hinder operations at the end of the life of the Tribunal.</p> <p>E(vi). A few vendors with information that does not satisfy all United Nations criteria, may result in contracting vendors whose performance turns out to be poor. This may result in financial losses to the Tribunal.</p>	<p>Internal controls are in place to minimize the exposure to fraud. The procurement section has undergone an audit recently by OIOS, and weaknesses identified are being addressed.</p> <p>The section is now using UN-wide vendor database.</p> <p>ICTR sends procurement authorization requests to NY Headquarters for approval in accordance with UN guidelines.</p> <p>Bids are opened by a tender committee in order to avoid the appearance of biased or unfair decision.</p> <p>Contracts are monitored on a regular basis and monthly status meetings are held.</p>	Possible	High	Higher Risk

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
	<p>E (vii). Receipt of funds and allotments towards the end of the biennium may result in rushed procurement activities that may not be efficient or cost effective.</p> <p>E (viii). The procurement rules may not provide the flexibility for the unit to achieve the target results in getting the right products/assistance.</p> <p>E (ix). There could be fraud in the procurement process leading to reputational damages to the Tribunal.</p>	<p>The UN Financial Rules and Regulations do not allow the carrying forward of unused funds to the next biennium.</p>					
	<p>F(i). Due to the limited life-span of the Tribunal, procurement staff could leave the Tribunal for positions with greater job security, which could result in a loss of institutional memory and reduce the efficiency of the operations of the section.</p> <p>F(ii). Members of the Local Committee on Contracts (LCC) may not be sufficiently trained to perform their tasks.</p>	<p>The majority of LCC members were trained and certified in January 2008.</p>		Human Resources	Possible	High	Higher Risk
	<p>C(i). Non-compliance with acquisition plans may result in the procurement of goods/services not needed. This could result in losses to the UN through excessive/obsolete inventory, theft and abuse.</p> <p>C(ii). Should the procurement unit not follow procurement rules the Organisation may be exposed to potential litigation and reputation damage.</p>	<p>Self accounting units are required to prepare acquisition plans that are linked to their respective budgets. The procurement unit is not involved at this early stage.</p> <p>The procurement unit follows UN regulations and rules.</p>		Compliance	Possible	Medium	Moderate Risk

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5	Focus Area:	Logistics Management		Remote	Medium	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>Travel and Shipping</p> <p>D(i). Failure to get reimbursement for unused tickets due to staff member negligence in submission, could lead to financial losses to the organization.</p>	<p>Partially used tickets are non-refundable. F10 claim provides proof whether travel was undertaken or not or ticket is returned. Debit advice is sent to the staff member.</p>	Financial	Remote	Medium	Lower Risk
	<p>E(i). Lack of insurance on home leave shipping can lead to loss of goods and property of staff members.</p>	<p>Most staff use the lump sum option which reduces the risk as staff members are then required to manage their own shipping arrangements.</p>	Operational	Remote	Low	Lower Risk
	<p>F(i). Inadequate number of staff to conduct travel arrangements may hinder the effective delivery of Tribunal's work.</p>		Human Resources	Possible	Medium	Moderate Risk
II	<p>Transport Services</p> <p>E(i). Failure to address long standing entitlements may affect staff morale and compromise the productivity of the Tribunal.</p> <p>E(ii). Failure by staff to pay Rwanda Revenue Authority for the use of UN plates at the end of their contracts may lead to difficulties for ICTR in securing such plates in the future and affects the reputation of the Tribunal.</p>	<p>Early compilation and approvals at various levels is required.</p> <p>Checkout forms will be signed only upon surrendering plates and proof of fees payment.</p>	Operational	Possible	Low	Lower Risk

5	Focus Area:	Logistics Management		Remote	Medium	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Inadequate number of staff may hinder the effective delivery of services and impact on the operations of ICTR.</p> <p>F(ii). Uncertainty concerning the exit strategy leads to anxiety over jobs and affects the ability of drivers to function safely and properly.</p>		Human Resources	Possible	Medium	Moderate Risk
	G(i). Lack of proper communication between the Transport sections in Arusha and Kigali affects the efficient and effective operations of the Tribunal.	Arusha and Kigali transport sections are in communication by email and telephone on regular basis.	Information Resources	Possible	Low	Lower Risk

Risk Assessment of : ICTR

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>Communications</p> <p>D(i). Inadequate billing systems for private telephone calls by staff members may result in financial losses to the organization.</p> <p>F(i). The loss of key staff who are not immediately replaced may adversely affect operations and reduce the effectiveness and efficiency of the Tribunal.</p> <p>G(i). Failure to update the communication system could affect the efficient and effective functioning of the Tribunal which could in turn affect the reputation of the Tribunal.</p>	<p>All calls start as private call and only on identification by the staff member and certification by the supervisor does a call become official.</p> <p>The Asset Manager's position is currently vacant and in the process of being filled.</p> <p>A technical evaluation was recently done of the communication systems which led to the purchase of some new equipment.</p> <p>The Asset Manager's position is currently vacant and in the process of being filled.</p>	Financial	Possible Remote	Medium Medium	Moderate Risk Lower Risk
	<p>E(i). Lack of adequate knowledge and/or training on asset management may lead to failure to properly input asset data into the system, making it difficult to account for assets and hence hinder the Tribunal's operations.</p>	<p>The Asset Manager's position is currently vacant and in the process of being filled.</p>	Human Resources	Possible	Medium	Moderate Risk
			Information Resources	Possible	Low	Lower Risk
II	<p>Electronic Data Processing</p> <p>B(i). Inability to do forward planning due to inadequate information from departments and the failure to submit clear and timely requests may affect the ability to respond appropriately and impact on operations of the Tribunal.</p> <p>B(ii). Lack of an appropriate mechanism for the management of the archives may adversely affect the operations and legacy of the Tribunal.</p>	<p>Tapes for court sessions once recorded are handed over to archives immediately.</p>	Operational	Possible	Medium	Moderate Risk
			Governance	Likely Likely	High High	Higher Risk Higher Risk

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>D(i). Lack of adequate budget or funding may result in requests by other departments being declined and ultimately result in inefficient and ineffective operations.</p> <p>D(ii). Failure by procurement to supply equipment on time due to slow procurement process in late deliveries of equipment, could result in items being obsolete and no longer useful resulting in financial losses and low productivity to ICTR.</p>	<p>Mechanisms are in place to follow up on procurement actions to avoid delays.</p>	Financial	Likely	Medium	Higher Risk

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Incidences of data corruption, data theft (such as hacking) and other related incidences could lead to the leak of vital information and compromise the running of the Tribunal.</p> <p>E(ii). Lack of adequate preparation for incidences of fire, earthquakes and other natural disasters may lead to the loss of vital information, disruption in operations and impact the achievement of the Tribunal's objectives.</p> <p>E(iii). Unauthorized access to IT systems may lead to the inappropriate use of confidential and sensitive information, adversely affecting the reputation of the Tribunal.</p> <p>E(iv). Dependency on support from other sections who do not understand the technical requirements such as need for more bandwidth from satellite, may compromise operations of the Tribunal.</p> <p>E(v). Inadequate number of suppliers who do not keep specialized items rendering it difficult and costly to obtain the right kind of equipment.</p> <p>E(vi). Lack of adequate guidelines on what is expected of EDP staff can make it difficult to deliver when faced with numerous requests and expectations from users.</p> <p>E(vii). Delays in the standard procurement process due to weaknesses in the procurement system, limited suppliers or far away suppliers, may hinder operations.</p>	<p>A disaster recovery and business continuity plan exists for implementation in the event of contingencies.</p> <p>Access controls in place include: Physical and electronic access policies, limited access to the server and the use of security cameras amongst others.</p> <p>Currently only eight suppliers for EDP equipment are in use - these often do not stock specialised equipment.</p>	Operational	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>F(i). Loss of experienced and talented staff who are difficult to replace, a long and protracted recruitment process and limited influence in recruitment by programme managers may result in inefficiency and ineffectiveness of operations.</p> <p>F(ii). A general lack of computer literacy at ICTR may lead to increased requests and result in more workload in the backdrop of already stretched and limited resources.</p>	<p>The workload is partially supplemented by the use of interns.</p>	Likely	High	Higher Risk
III	<p>Audio Visual</p> <p>D(i). Lack of an adequate budget to recruit replacement of staff for essential services (or hire consultants) may hinder operations.</p> <p>D(ii). Lack of finances for additional communication links to transmit/record court sessions could limit the capacity of the Tribunal to operate effectively.</p> <p>B(i). Lack of adequate delivery mechanisms may lead to delays in the delivery of audio-visual equipment which may result in ineffective and inefficient operations.</p> <p>B(ii). Lack of an appropriate mechanism for the management of the AV archives may adversely affect the operations and legacy of the Tribunal.</p>		Possible	Medium	Moderate Risk
		<p>Financial</p> <p>Governance</p> <p>Tapes for court sessions once recorded are handed over to archives immediately.</p>	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Lack of experienced staff due to the failure to recruit staff with the right technical experience may result in inefficiency of operations of the Tribunal.</p> <p>F(ii). Inadequate training of new staff due to limitation of resources may affect operations.</p> <p>F(iii). Due to the uncertainty surrounding the completion strategy, a number of staff members in key functions are seeking alternative employment.</p>	<p>The new strategy expected to be used is to have adequately experienced staff already on board.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>G(i). Disruptions to the communication links may require operations to be conducted on a manual basis and may lead to the loss of all or parts of court sessions and impact on the effectiveness and efficiency of the Tribunal.</p>	<p>A generator is available at ICTR to enhance power outages in the offices.</p>	Information Resources	Possible	Medium	Moderate Risk
	<p>E(i). Inadequate capacity for video-conferencing to manage the number of conferences taking place may affect efficiency and impact on the reputation of the Tribunal.</p>	<p>Courts are given priority when video-conferencing facilities are needed - currently ICTR has not instituted systems to manage more than one conference at a time.</p>	Operational	Possible	Medium	Moderate Risk

Risk Assessment of: ICTR

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>Chambers and Chambers Support Section</p> <p>A(i). Multiple challenges facing the Tribunal, such as the scale of the cases being adjudicated, the passage of time since the alleged crimes, the large number of victims, difficulties in gathering evidence and protecting witnesses, may hinder the Tribunal from achieving its mandate.</p> <p>A(ii). Lack of clarity on who will undertake residual monitoring of cases referred to national jurisdictions (11 bis) after the conclusion of mandate, could result in transferred cases not being properly monitored.</p> <p>A(iii). The remaining fugitives may try to evade capture until the Tribunal closes down and their cases could be referred to national jurisdictions.</p>	<p>ICTR will not compromise due process and the rights of the accused.</p> <p>This issue will be discussed as part of the residual mechanism.</p> <p>The Tribunal pursues this issue vigorously with countries.</p>	Strategy	Likely Likely	High High	Higher Risk Higher Risk
	<p>B(i). Dependence of chambers on other sections to get its work done leaves it prone to not achieving its objectives based on external factors.</p> <p>B(ii). Lack of an effective organization-wide disaster recovery plan can lead to loss of lives, assets and information which could compromise continued operations.</p>	A Disaster Recovery and Business Continuity Plan as well as a Security Emergency plan are in place.	Governance	Remote	High	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>D(i). Lack of assured funding needed to continue operations beyond 2010 may result in the Tribunal not completing its objectives.</p> <p>D(ii). Reliance by the Tribunal on voluntary contributions as the primary source of funding could create additional difficulties as the onus would be on the Tribunal to look for and compete for scarce funding. This may also result in loss of independence as these countries may be seen as influencing the Tribunal's proceedings.</p>	<p>A contingency funding provision allows for additional funds when key suspects are captured.</p> <p>ICTR continues to seek alternative sources of funding from donor agencies.</p>	Financial	Likely	Medium	Higher Risk
	<p>E(i). Absence or non-availability of defence counsel and co-counsel may delay proceedings.</p> <p>E(ii). Complications could be created by accused who may use measures to slow things down as the Tribunal faces the challenging task of completing its mandate within a compressed time schedule.</p> <p>E(iii). Cases referred to national jurisdictions (11bis) could be returned to the Tribunal, which could lead to increase in the work that will need to be undertaken at the Tribunal.</p> <p>E(iv). The long procurement process and dependency on self accounting units for the ordering of equipment may lead to delays in obtaining the equipment needed impacting on the work of the Tribunal.</p>	<p>Given the length of some of these trials, it is to be expected that from time-to-time counsel may have commitments which will require them to be away.</p> <p>The Registry has addressed this by ensuring a lead and co-counsel in each case, which is the best that can be done given the limitations on funds for counsel assignments.</p>	Operational	Likely	High	Higher Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Likelihood	Impact	Overall Risk
	<p>F(i). The use of interns for only a short period of time means that they may leave when they have just started to become useful to the section, impacting on the efficiency and productivity of the Tribunal.</p> <p>F(ii). Absence of judges from the court due to ill-health may delay proceedings.</p> <p>F(iii). Delays in replacements, particularly of judges, can be time consuming and a tedious process and given the complexity of cases, any new appointments would naturally take time to come up to speed, which could hinder the Tribunal from meeting its completion targets.</p> <p>F(iv). General uncertainty about residual issues may manifested itself in the Tribunal's inability to satisfactorily plan well in advance for and resolve important residual and legacy issues.</p>	<p>The Secretary General is responsible for the appointment of judges and this is endorsed by the Security Council.</p> <p>The extension of the current judges mandate for one year is presently under consideration.</p>	Human Resources	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
II	Office of the Prosecutor (OTP) - Prosecutions		Likely	High	Higher Risk
	<p>A(i). The downsizing exercise as part of the overall completion strategy of the Tribunal could adversely affect the staffing resources required for dealing with new arrests. It could also lead to a loss in institutional memory.</p> <p>A(ii). Lack of adequate and timely planning measures on legacy issues could impact on the completion targets of the Tribunal.</p> <p>A(iii). The uncertainty of capturing the remaining 12 fugitives impacts on the continuation of the Tribunal beyond 2010.</p> <p>A(iv) A late decision by the Security Council on the residual measures and the legacy framework of the Tribunal could result in delays in implementation of the Tribunal's completion strategy.</p>	<p>The General Assembly has promised to make provision for extraordinary budgetary measures in case new arrests are made. However, the tribunal may find it difficult to replace experienced staff in the short term.</p> <p>Given the current trial schedule, the capture of any of the fugitives may lead to an extension of the mandate of the Tribunal beyond 2010. Mechanisms are in place to review the budget and resource requirements should the arrests take place. However this is not automatic. The Security Council may nevertheless not extend the mandate. It must also be noted that some fugitives are earmarked for referral to national jurisdictions. So, arrest alone will not necessarily necessitate extending the mandate provided the arrestees' cases are successfully referred.</p> <p>The Tribunal's half yearly report in June 2008 could help trigger the Security Council to make further decisions and clarify issues affecting the closure of the Tribunal.</p>	Likely	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>D(i). Failure by member states to continue providing financial support could hinder the operations of the Tribunal and impact the completion of its mandate.</p> <p>D(ii). Funding sources may become scarce if the Tribunal does not meet the target completion dates set out previously for trials and appeals.</p>	<p>According to OTP, certain donor countries had earlier indicated that if trials go beyond 2008 they may have to be funded from voluntary contributions. This mood appeared, however, to have changed by December 2007.</p> <p>So far the Security Council, GA and the ACABQ as well as member states have generally been supportive of ICTR's mission.</p>	Financial	Likely	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). Failure by the UN to recognize the special nature of the Tribunal may affect funding streams which could impact on the effective and efficient completion of the Tribunal's mandate.</p> <p>E(ii). The withdrawal or disqualification of judges from cases could result in the Tribunal not meeting its completion targets.</p> <p>E(iii). Defence non-participation in the coordination meetings which involves the prosecution, registry and chambers may impact on the trial's perception being viewed as a free and fair process.</p> <p>E(iv). Interference with witnesses both inside and outside the Tribunal could impact on the integrity of the Tribunal's process.</p> <p>E(v). Suitable courts may not be found to take over the cases of the Tribunal as a change of their jurisdiction would require a change in the statutes of the country. This could result in the Tribunal not achieving its completion strategy.</p> <p>E(vi). Court of appeal ordering a retrial would hinder the Tribunal from meeting its current milestones for closure of the Tribunal.</p>		Operational	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>E(vii). Inability of Trial Support staff to provide the required level of support may cause the Trial chambers to function inefficiently.</p> <p>E(viii). Uncertainties with witnesses (will the witness show up, will they speak frankly, etc.) are developments that could lead to loss of time and also affect the strength of the Prosecution's case.</p> <p>E(ix). Disclosing protected witnesses at an early stage could jeopardize the security of the witness.</p> <p>E(x). A change in presiding judge may result in the judge taking some time to understand the case which could lead to the inefficient use of time and resources since the matter will have to be presented once again by the prosecution section.</p> <p>E(xi). The lack of control over scheduling of cases could result in ineffective operations of the Prosecution Division.</p>	<p>Witness protection is accorded high priority by the Tribunal.</p> <p>Planning is improved through trial scheduling.</p> <p>ICTR cannot control the testimony provided by witnesses.</p> <p>Witness protection is accorded high priority by the Tribunal.</p> <p>Efforts are being made to ensure as far as possible that this does not happen.</p>	Operational	Possible	Medium	Moderate Risk	
	<p>B(i). Failure to secure cooperation from member states in arrests, transfers of prisoners and relocation of witnesses could hinder the Tribunal from completing its mandate.</p> <p>B(ii). Failure by member states to accept transfer of cases once transfers have been initiated will result in recall of suspects by ICTR and impact on the completion targets of the Tribunal.</p>	OTP is responsible for dealing with arrests.	Governance	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>F(i). Staff turn-over could severely hinder or halt the operations of the Prosecution Division.</p> <p>F(ii). Hiring new staff in the event of dramatic staff turnover could result in inefficient operations for the Prosecution Division.</p> <p>F(iii). Staff burn-out as a result of increasing workload could result in inefficient and ineffective operations of the Prosecution Division.</p> <p>F(iv). Increased workloads of the Prosecution Division, especially during trials may require additional efforts from staff and the need for overtime by the Trial Support staff who may not be well understood by management outside of OTP.</p> <p>F(v). Lack of adequate security arrangements for the prosecution team members after trials are completed could result in injury and loss of life.</p>	<p>ICTR has now opened a gym on its premises to assist staff members in stress management and has employed a Staff Counsellor.</p>	<p>Human Resources</p>	<p>Likely</p>	<p>High</p>	<p>Higher Risk</p>

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
No III	<p>Office of the Prosecutor (OTP) - Investigations</p> <p>A(i). Bureaucratic hurdles in obtaining information from governments may lead to delays in the presentation of evidence to ICTR courts.</p> <p>B(i). Lack of clarity in the respective roles of the witness management team of Investigations Division vis-à-vis the Witness and Victims Support Section (WVSS) may lead to conflicts between these two sections of the Tribunal and a loss of effectiveness and efficiency of the witness protection process.</p> <p>B(ii). Failure to clearly distinguish between defence and prosecution witnesses can lead to breach of confidential information to the other side and miscarriages of justice.</p> <p>C(i). Breach in confidentiality of sources, by unlawful disclosure and hacking of the witnesses database could result in injury and loss of life of witnesses.</p> <p>C(ii). Exposure of investigators by use of UN registered vehicles in the performance of their duties could result in injury and loss of life.</p>	<p>ICTR has an External Relations Section headed by a spokesperson who reports to the Registrar. This department is supposed to provide ICTR with the diplomatic channels needed to obtain cooperation from governments.</p> <p>A system of different colour badges was introduced and since then such incidences have reduced.</p> <p>ICTR investigation team follows a strict code of conduct to protect informants and witnesses. Access controls to the witness database is restricted to the witness team alone.</p>	<p>Strategy</p> <p>Governance</p> <p>Compliance</p>	<p>Possible</p> <p>Possible</p> <p>Possible</p>	<p>High</p> <p>High</p> <p>High</p>	<p>Higher Risk</p> <p>Higher Risk</p> <p>Moderate Risk</p> <p>Higher Risk</p>

7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>D(i). Failure to manage the Special Operations Cash Fund properly may lead to the compromising of the operations of the Investigations Division.</p> <p>D(ii). Investigators spending money out of pocket which is not reimbursable under the UN financial rules may result in the loss of morale by the investigation team.</p> <p>D(iii). Delays in processing Daily Subsistence Allowance of investigators going on mission may impact adversely on the operations and act as a demotivating factor to staff.</p> <p>D(iv). Lack of financial provisions for potential witnesses may lead to low motivation to cooperate with investigators, which could result in the objectives of the investigation teams not being achieved.</p>	<p>A financial reviewer was hired in Kigali who has helped to streamline the implementation of the fund, improve controls and provide guidance to investigators on financial matters relating to the fund.</p> <p>Investigators have strict internal guidelines as to what is reimbursable by ICTR.</p>	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Likelihood	Impact	Overall Risk
	<p>E(i). Failure to get the best witnesses, misinformation by witnesses or breakdown of witness testimony can result in the prosecution not achieving its objectives.</p> <p>E(ii). Witness tampering as a result of manipulation or bribery can hamper the investigation and court process.</p> <p>E(iii). Tampering of the crime scene may prevent the investigation teams from meeting their objectives.</p> <p>E(iv). Hazards related to travel to and within dangerous areas could result in injury and loss of life.</p> <p>E(v). The loss of or theft of important original documents may adversely affect the building of cases at the Tribunal.</p> <p>E(vi). Witnesses may get medical problems which could compromise the effectiveness and efficiency of the court process.</p> <p>E(vii). The inability to delegate the certifying function to some officers may hamper the smooth running of operations within the Investigations Division.</p> <p>E(viii). The use of pseudonyms by informants and witnesses may render the work of the Tribunal difficult</p>	<p>The success of the trial hinges upon the availability of original documents to the prosecutor. Every effort is made to keep these in a secured environment.</p>	Operational	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>and make it difficult to pay allowances under the UN financial rules.</p> <p>E(ix). Inadequate management of witnesses may compromise the work of investigations division.</p>					
	<p>F(i). Lack of integrity of staff can lead to failure to achieve the objectives of the prosecution and hence the Tribunal.</p> <p>F(ii). Lack of adequate security measures for informants and their respective families may lead to injury and loss of life.</p> <p>F(iii). Uncertainties surrounding the general completion process may cause anxiety and affect staff morale.</p> <p>E(iv). Failure to ensure optimum working conditions for investigators may lead to loss of staff morale and result in a loss of efficiency and effectiveness of the investigation team.</p>	<p>The Investigation Division proposes the introduction of an oath that needs to be sworn by all members of the investigation team and can act as a deterrent to unethical behaviour.</p> <p>ICTR makes every effort to ensure the safety and security of its informants.</p>	Human Resources	Remote	High	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
IV	<p>OTP - Evidence and Information Support</p> <p>A(i). Lack of a decision/strategy regarding what will be done with the huge volumes of evidence held by the OTP could affect future use of the evidence.</p> <p>E(i). An inaccurate translation or interpretation could lead to wasted resources as the inaccuracy would need to be rectified.</p> <p>E(ii). Translations that are not performed timely could hinder OTP operations as trials could be delayed.</p> <p>E(iii). Pertinent evidence may not be identified in a timely manner, which could hinder the case of the prosecution or the defence counsel.</p>	<p>Solutions to residual issues are being considered by Tribunal management.</p> <p>The large volumes of requests are now being channelled through the newly created request unit within the section.</p>	Strategy	Possible	Medium	Moderate Risk
			Operational	Remote	Medium	Lower 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>F(i). Lack of human resources could prevent the unit from meeting crucial deadlines, which would negatively affect OTP operations.</p> <p>F(ii). Lack of job security could cause personnel to leave ICTR for more secure positions, which would result in a loss of institutional knowledge that is critical to the operations of the section.</p> <p>F(iii). The Tribunal may experience difficulties in recruiting staff due to the impending closure of the Tribunal.</p> <p>F(iv). Lack of a downsizing plan could result in a shortage of staff during the final phases of the Tribunal.</p> <p>F(v). The digitizing of evidence may not be completed within the required timeframe, which could result in an incomplete set of evidentiary information.</p>	<p>OTP trial teams draw on the resources of the section, which magnifies the issue of insufficient staffing resources.</p> <p>ICTR has set up a task force to look into the downsizing of staff in line with the completion strategy.</p> <p>All evidence is being digitized to prevent the loss of usefulness.</p>	Operational	Remote	Medium	Lower Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Likelihood	Impact	Overall Risk
	<p>G(i). Unauthorized access to information could lead to sensitive material being used in a manner that could negatively affect the reputation of the ICTR.</p> <p>G(ii). A fire in one of the vaults could destroy original documents and artefacts, leading to the loss of crucial evidence.</p> <p>G(iii). Information technology could collapse or malfunction, which could halt the work of the section and in turn, the entire OTP.</p> <p>G(iv). Inadvertent release of confidential information could have detrimental consequences for the Tribunal.</p> <p>G(v). Providing information to external parties could result in misuse or unauthorized release of sensitive or confidential information.</p>	<p>The Tribunal uses very specific systems dealing with evidence with built-in security features.</p> <p>Fire detectors and extinguishers are in place throughout the premises of the Tribunal.</p> <p>ICTR has put into place controls to mitigate the risk such as off-site storage of back-ups.</p> <p>All efforts are made by ICTR to secure confidential information.</p> <p>Foreign governments often request case-related information provided directly by the OTP.</p>	Information Resources	Possible	Medium	Moderate Risk
	<p>G(vi). Dependency on other information technology systems could hinder the operations of the section if the other systems fail.</p> <p>G(vii). During the archiving process, important documentation/evidence may not be assessed as such, and therefore may not be included in the final archiving database.</p> <p>G(viii). Lack of a consolidated storage space for documents could result in the final archiving to be incomplete.</p>	<p>OTP relies on the infrastructure and backbone of the Tribunal, which is maintained by EDP.</p> <p>Staff are required to determine which documentation should be included in the archives.</p> <p>Some ICTR documents are located in The Hague.</p>				

7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
V	Witness and Victims Support - WVSS		Remote	Medium	Lower Risk
	<p>A(i). After the closure of the Tribunal, relocated witnesses may not be properly serviced under the residual mechanism, which could affect the safety and security of the witnesses.</p> <p>A(ii). Bureaucratic procedures in obtaining entry and exit visas from the host government for witnesses may cause delays in court proceedings.</p> <p>A(iii). Inadequate understanding within the United Nations, of witness protection programs may result in the program not being properly implemented, which could have disastrous consequences for the Tribunal.</p>	<p>ICTR is aware of the need for a residual mechanism in place to service the needs of relocated witnesses.</p> <p>Dissemination of information internally and externally falls under the ambit of the external relations department, ERSPS.</p>	Possible	Medium	Moderate Risk
	D(i). Lack of appropriate funding may result in witnesses not being properly cared for and looked after.	Funding is provided for under the budget and witnesses have access to the health facilities at ICTR and external medical facilities if required.	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>E(i). Witnesses may not be physically or mentally fit enough to go on trial which could hinder the operations of the Tribunal.</p> <p>E(ii). Witnesses may not be brought to the Tribunal on time for the trial which could delay the trial.</p> <p>E(iii). Protected witnesses may not be relocated in a timely manner which could result in witnesses not being willing to give evidence in sensitive cases.</p> <p>E(iv). Protected witnesses' preference to stay in hotel accommodation instead of in the recommended safe house facilities could jeopardize their security.</p> <p>E(v). Poor planning may result in witnesses staying longer than necessary in Arusha.</p> <p>E(vi). Witnesses could be targeted when they return home or witnesses could be harmed while under the witness protection program which could result in other witnesses not providing testimony.</p>	<p>Witnesses have access to health facilities and a counsellor.</p> <p>A system is in place to ensure timely transport of witnesses from the safe houses to the courts.</p> <p>Protected witnesses who opt to stay at a hotel are required to sign a waiver.</p> <p>The Tribunal does its best to ensure the safety and security of witnesses in and out of the country in which they reside.</p>	Operational	Remote	High	Moderate Risk
	<p>F(i). Lack of skilled personnel to assist the witnesses to be mentally prepared for trial e.g. trauma counsellors, etc could hinder progress on the prosecution and defence cases.</p>	<p>Staff counsellors are now on board in both Arusha and Kigali.</p>	Human Resources	Remote	Low	Lower Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Likelihood	Impact	Overall Risk
	<p>G(i). Adequate procedures and controls may not be in place to restrict access to sensitive and confidential documents which could compromise the security of the witnesses.</p> <p>G(ii). After the closure of the Tribunal, access to the sensitive and confidential information may not be properly controlled and regulated, either by controlled access or not giving access to appropriate people therefore compromising the security of witnesses.</p>	<p>ICTR is aware of the risks and makes every effort to safeguard confidential information.</p> <p>This will be discussed as part of the residual mechanism.</p>	Information Resources	Remote	High	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
VI	Defence Counsel and Detention Management Section (DCDMS)-United Nations Detention Facility			Possible	High	Higher Risk
	A(i). Failure to secure speedy trials for convicted persons may result in a denial of justice to such persons and affect the reputation of the Tribunal. B(i). Incidences of human rights violations may impact on the fairness of the trial process and affect the reputation of the Tribunal.		Strategy	Likely	High	Higher Risk
			Governance	Remote	High	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>E(i). Incidences of natural disasters such as earthquakes, fires and volcano eruptions may lead to the flight of detainees affecting the trial process.</p> <p>E(ii). Lack of armoured vehicles and traffic jams increase the chances of detainee convoys being ambushed which could result in the escape of detainees being transported.</p> <p>E(iii). Visitors of detainees could smuggle dangerous objects to the detainees which can compromise the security of the Detention Facility and lead to injury or loss of life.</p> <p>E(iv). Security personnel (regularly in contact with the detainees) and their families may not be adequately secured leading to injury or loss of human life.</p> <p>E(v). Lack of adequate security measures can increase the possibilities of terrorist attacks leading to the injury of persons and possible flight of detainees hindering the trial process.</p> <p>E(vi). Inadequate supply of medical attention may lead to the unchecked spread of contagious diseases, affecting the trial-worthiness of detainees leading to delays in the trial process hence hindering operations.</p> <p>E(vii). Lack of adequate safety measures for detainees</p>	<p>A volcano update programme is in place.</p> <p>Route surveys are conducted prior to travel and during travel there is increased security vigilance. An armoured vehicle is not yet in use.</p> <p>Regular searches are conducted, electronic detectors are used.</p> <p>Standard operating procedures are in place.</p> <p>Staff are trained and supervised.</p> <p>ICTR ensures that adequate security measures are always in place to safeguard the Tribunal and its staff.</p> <p>Medical care (nurses) available at the facility to attend to detainees.</p> <p>International standards and conditions are observed for things such as water, toilets, food, physical exercise, access to visitors, to lawyers, dispatch and receipt of letters and so on.</p> <p>Visits by the International Federation of the Red Cross and Red Crescent every six months to inspect conditions at the Detention Facility.</p>	Operational	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>and security personnel may lead to the injury of persons or escape of detainees hence affecting operations and the reputation of the Tribunal.</p> <p>E(viii). Lack of adequate capacity at the Detention Facility may cause crowding and congestion. The Detention Facility has a capacity of 78 cells and is currently inhabited by 56 detainees.</p>		Operational	Possible	High	Higher Risk
	<p>F(i). Insufficient security personnel/staffing due to anxiety over downsizing and the Tribunal's completion strategy affecting the safety of detainees and reputation of the Tribunal.</p>		Human Resources	Possible	High	Higher Risk
	<p>G(i). Lack of adequate communication systems such as radios may lead to inefficient and ineffective security operations.</p>	<p>The observation towers are equipped with cameras however they lack other equipment such as shields. In addition there is a lack of a proper perimeter wall.</p>	Information Resources	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
VII	Defence Counsel and Detention Management Section (DCDMS)-Defence Counsel Unit			Possible	Medium	Moderate Risk
	<p>A(i). Lack of adequate cooperation from the Government of Rwanda may affect the transfer of witnesses and hinder the operations of the Tribunal.</p> <p>A(ii). Lack of cooperation from the Government of Rwanda in dealing with requests for security clearance may lead to members of the defence team involved in the genocide being employed thus affecting the reputation of the Tribunal.</p> <p>A(iii). Lack of a residual mechanism at the completion of the trials adversely affects the completion strategy.</p>	<p>The external relations section of ICTR is in discussions with the Government to contain these risks.</p> <p>Lack of a residual mechanism affects fugitives or convicted persons awaiting transfer to national jurisdictions.</p>	Governance	Possible	Medium	Moderate Risk
	<p>D(i). Further decline of the United States dollar may affect Counsel's willingness to continue working at the same hourly rate.</p> <p>D(ii). Inadequate procedures in place for reviewing and approving of invoices submitted by defence team members could lead to over or underpayments to defence team members.</p>	<p>The hourly rate may have to be revised.</p> <p>A legal officer is responsible for reviewing the invoices for reasonableness and accuracy prior to forwarding to the finance section.</p>	Financial	Remote	Low	Lower 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). Failure to keep defendants' documents confidential after the trial may lead to loss of human life and affect the reputation of the Tribunal.</p> <p>E(ii). Fee splitting arrangements might exist between members of the defence team and their clients or relatives of their clients which might prejudice the administration of justice.</p> <p>E(iii). Uncertainty on the future of the Tribunal may lead to the failure to secure lawyers to take on assignments resulting in hindering operations.</p> <p>E(iv). Counsel may be unwilling to continue with cases after the trial stage of the proceedings.</p> <p>E(v). As the Tribunal comes to a close prisoners who have passed the appeal stage may want to have their cases reviewed.</p> <p>E(vi). The accused may change the lead counsel and the lead counsel may change the co-counsel resulting in delays.</p>	<p>ICTR has introduced a number of initiatives to minimize the risks of fee-splitting.</p> <p>Issues of concern have been brought to the attention of the Security Council.</p> <p>ICTR aims at retaining counsel up to the end of the trial stage.</p> <p>Sufficient budget will have to be allocated for reviews by the Prosecutor and the Registry.</p>	Operational	Possible	High	Higher Risk
	<p>E(vii). Conflicts of interest in the appointments of counsel and co-counsel for individual cases may hinder the operations of the defence and affect the perception of free and fair trials at the Tribunal.</p> <p>E(viii). The indiscriminate changing of lawyers during trials may lead to the delay in the trial process and affect the effectiveness and efficiency of operations.</p>	<p>Care is taken that no instructions are taken from the Office of the Prosecutor to avoid conflicts of interest between the defence and prosecution.</p> <p>The Registrar is responsible for the appointment of defence counsel and the smooth running of the courts.</p>				

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
No				Possible	Medium	Moderate Risk
VIII	External Relations		Financial	Possible	Medium	Moderate Risk
	<p>D(i). Lack of adequate funding for special projects of the Tribunal can impact on the sustainability of those projects which can affect the Tribunal in the achievement of its objectives.</p> <p>D(ii). The United Nations Financial rules and regulations may not be sufficiently donor friendly leading to delays or refusal by donors to fund the Tribunal's projects.</p> <p>A number of the Tribunals projects have built-in programme support costs as high as 13% which donors are reluctant to finance and the UN controller is unwilling to bring down. This has contributed to the onset of donor fatigue.</p> <p>D(iii). The change in donor approach from a project approach to a country programme approach may affect the funding of projects. Under the country programme approach projects are not financed directly but through a country programme increasing the difficulties in obtaining project funding.</p>	<p>The Special Projects cluster of the External Relations and Strategic Planning Section (ERSPS) runs a number of projects such as information management projects in court reporting and evidence management. The projects are dependent on voluntary contributions from donors.</p>				

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). Excessive bureaucracy in obtaining cooperation from member states and official bodies can cause delays in getting things done, affect the image of the Tribunal and impact on the Tribunal's achievement of its objectives.</p> <p>E(ii). Leaks in confidential information such as on the capture or arrest of suspects may cause embarrassment to the Tribunal during press releases when the information is already public hence affecting the image of the Tribunal.</p> <p>E(iii). Delays in translation may further delay responses from member states impacting on the level of cooperation achieved from member states.</p>	<p>The Tribunal's success hinges on the cooperation from member states in the transfer of witnesses and suspects and the transfer of cases to national jurisdictions.</p> <p>Member states often do not respond until they obtain communication in their official national languages.</p>	Operational	Possible	High	Higher Risk
	F(i). Uncertainties over the closing of the Tribunal may lead to loss of experienced staff with institutional memory, which could cause delays in the external relations function, as new staff lack familiarity.		Human 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>G(i). Weaknesses in website management can cause delays in the dissemination of public information or release confidential information to the public domain. Effective website management also relies on adequate financial support which is not always forthcoming.</p> <p>G(ii). Project managers may not have access or be familiar with the Tribunal's financial reporting system which can impact on the monitoring and management of the project.</p> <p>G(iii). Other sections at the Tribunal may have links to the website making it more difficult to secure confidential information.</p>	<p>Project managers of the section do not have access to the financial system to access financial reports for their projects. The reports description and contents are not always clear and clarifications are sought on regular basis.</p>	<p>Information Resources</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>

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
IX	Court Management Section			Possible	High	Higher Risk
	<p>A(i). Lack of clarity on the completion strategy and when the Tribunal will complete its work may cause anxiety, reduced productivity and render planning difficult.</p> <p>A(ii). State courts may not receive adequate support after the Tribunal's closure, which could affect their capacity to function effectively.</p>	<p>ICTR has to date provided training for the judiciary in Rwanda.</p>	Strategy	Likely	High	Higher Risk
	<p>B(i). Dependence of chambers on other sections to get its work done leaves it prone to not achieving its objectives based on external factors.</p> <p>B(ii). Lack of an effective organization-wide disaster recovery plan can lead to loss of lives, assets and information which could compromise continued operations.</p>	<p>A Disaster Recovery and Business Continuity Plan as well as a Security Emergency plan are in place.</p>	Governance	Remote	High	Moderate Risk
	<p>D(i). Lack of assured funding needed to continue operations beyond 2010 may result in the Tribunal not completing its objectives.</p> <p>D(ii). Over-reliance by the Tribunal on voluntary contributions as the primary source of funding could create additional difficulties as the onus would be on the Tribunal to look for and compete for scarce funding. This may also result in loss of independence as these countries may be seen as influencing the Tribunal proceedings.</p>	<p>A contingency funding provision allows for additional funds when key suspects are captured.</p> <p>ICTR continues to seek alternative sources of funding from donor agencies.</p>	Financial	Likely	Medium	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
	E(i). Failure for witnesses to appear before court may result in delays in proceedings.	There is a security classification system in place	Operational	Possible	Medium	Moderate Risk
	E(ii). Failure to properly secure the judicial archives may lead to a breach in confidential information and result in the Tribunal not achieving its objectives.					
	E(iii). Ineffective court management may delay proceedings and affect court productivity.					
	G(i). Lack of an external off-site back-up system can lead to a loss of vital case information and result in the Tribunal not achieving its mandate. The loss of information on cases may also adversely impact on the legacy of the Tribunal.	The back-up site currently being used is within the ICTR premises and does not therefore qualify as off-site.	Information Resources	Remote	High	Moderate Risk
	G(ii). Incidences of fire affecting the ICTR server or other ICTR facility, electric shorts or crash of the ICTR server, can lead to the loss of critical information, disrupt operations of the Tribunal and impact the achievement of its objectives.	Such equipment has in the past included audio-visual equipment which is critical in recording of the trial process.				
	G(iii). Delays in the procurement process leading to non-availability of vital equipment can have an adverse impact on the work of the Tribunal.					

Risk Assessment of : ICTR

8	Focus Area:	Conference and Documents Management	Remote	Medium	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	<p>Legal Library and Reference Section</p> <p>B(i). Failure to establish standards for the working conditions at the library, can result in damage to the health of staff and the non-achievement of ICTR's objectives.</p>	<p>ICTR physical space is not suitable for library operations.</p>	<p>Remote</p>	<p>Medium</p>	<p>Lower Risk</p>
	<p>E(i). Unstable or overloaded shelves might fall leading to accidents or injury.</p> <p>E(ii). Incidences of fire can lead to the loss of library resources, disrupt operations, and impact the legacy of ICTR.</p> <p>E(iii). Roof leakage may cause computers to malfunction or destroy books affecting the achievement of ICTR's objectives.</p> <p>E(iv). Incidences of natural disasters such as earthquakes can destroy the organization's records affecting the legacy of the Tribunal.</p> <p>E(v). Inadequate book tracking systems or failure of existing systems may lead to loss of books.</p>	<p>The Tribunal has fire sensors, fire extinguishers and smoke detectors (these are not tested however). However, some emergency doors are reported to be blocked by wires.</p> <p>There are no fire sirens to alert library staff of fire drills.</p>	<p>Remote</p>	<p>High</p>	<p>Moderate Risk</p>
	<p>G(i). Lack of regular updates for backups, system failure of web applications and contracting of computer viruses through external flash disks may, lead to loss of critical information, compromising operations and legacy of the Tribunal.</p>	<p>An Integrated Library Management System exists, however, system failures have occurred in the past. Kigali has been reported to have lost contact with the library catalogue due to system weaknesses and systems failure.</p>	<p>Likely</p>	<p>Medium</p>	<p>Higher Risk</p>

8	Focus Area:	Conference and Documents Management			Remote	Medium	Lower Risk
No II	Interview/Review Summary (Description of risk)	OIOS Assessment			Likelihood	Impact	Overall Risk
	Language Section		Risk Category	Remote	Medium	Lower Risk	
	A(i). Lack of adequate planning by other sections that provide work to the language section, may result in impossible deadlines impacting on quality, mental health and effectiveness of staff.	Strategy		Remote	Medium	Lower Risk	
	E(i). Inadequate safety on the two hour Beechcraft flight (small aircraft) between Arusha and Kigali may discourage staff from taking the flight or result in injury or loss of life. E(ii). Lack of appropriate working conditions such as obsolete computers without ultra violet protectors, air conditioners not properly maintained, and lack of adequate working space can impact on health, productivity and confidentiality aspects resulting in the Tribunal not achieving its objectives.	Operational		Remote	High	Moderate Risk	
	F(i). Lack of adequate staff with increasing workload can result in increased delays, reduced quality and motivation.	Human Resources		Possible	Medium	Moderate Risk	
	G(i). Breach in security may lead to indiscriminate access by unauthorized individuals and may result in loss of confidential information or even loss of human life and property.	Information Resources		Remote	High	Moderate Risk	

Risk Assessment of : ICTR

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	Asset Management			Possible	Medium	Moderate Risk
	<p>E(i). Assets may be stolen, go missing or unaccounted for resulting in these assets not being available for use by ICTR leading to loss to the organization.</p> <p>E(ii). Delays in posting of assets to the system could lead to asset records not being up-to-date resulting in reporting wrong figures in the financial statements.</p> <p>E(iii). Inadequate mechanisms to identify obsolete items could result in the overstatement in the value of useful assets and delays in the disposal of obsolete assets.</p>	<p>The renewal of issue vouchers to end users for ICTR assets and the introduction of monthly spot checks has increased control over assets. Reports are submitted to the Security and Safety Section for investigations on assets which are suspected to have been stolen or cannot be physically located for identification and verification.</p> <p>Assets are posted to the respective self accounting units immediately upon possessing of the receiving and inspection report in FACS and the management units concerned are required to receive the goods in the system and issue them to end users with the appropriate documentation fully completed.</p> <p>Physical inventory of non-expendable property and attractive assets is carried out on an annual and regular basis and records in FACS are updated for assets which are located. Assets which are located and may not have been recorded in FACS earlier are also incorporated into the system.</p> <p>The management units for assets in the Tribunal evaluates the working condition of Non-expendable Property within their jurisdiction and makes recommendations in FACS for write-off</p>	Operational	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likeli- hood	Impact	Overall Risk
	<p>of assets which are lost or whose life expectancy has expired and are no longer economical in sustaining their required purpose. Expendable assets which may have become obsolete in the course of time is identified during regular stock taking and are recommended for write-off and disposal.</p> <p>E(iv). Inadequate insurance coverage could result in inadequate compensation in case of thefts leading to financial losses to the organization.</p> <p>E(v). The cannibalization of assets prior to reaching the buyer means that buyers are paying for something they have not received resulting in loss of credibility of ICTR.</p> <p>E(vi). Lack of adequate procedures for the write-off and disposal of assets could lead to incomplete and incorrect inventory which may result in misreporting of assets.</p>	<p>Assets in the Tribunal have insurance coverage against fire, burglary and possible terrorism attacks.</p> <p>All efforts are being made to ensure that assets recommended for commercial sale or donation are in a condition which may attract interested buyers or agencies/organizations receiving the property being donated. Bidders for assets which are advertised for sale are allowed to view the property before making any financial commitment to the organization.</p> <p>Guidelines and instructions have been made and distributed to Programme Managers who deal in the management of assets within the Tribunal. The guidelines enable the respective managers to initiate write-off of assets within their jurisdiction as required. Cases for assets</p>			

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(vii). Delays in implementing Local Property Survey Board decisions and delays in receiving responses from the Headquarters Property Survey Board could result in assets pending disposal becoming obsolete, getting stolen or unaccounted for resulting in loss to the organization.</p> <p>E(viii). Limitations of the staff check out form may not adequately control the return of assets under the responsibility of staff members leaving the Tribunal, which could result in losses to ICTR.</p>	<p>recommended for write-off are presented to the Local Property Survey Board for approval in a timely manner. Assets are disposed of as per the recommendations of the Board and the records of such assets are updated in FACS accordingly.</p> <p>Follow-up is usually made with HPSB on write-off cases which may be pending for approval.</p> <p>The check-out form has provisions for Asset Managers to verify and recover assets which have been assigned to staff members who are departing from the organization.</p>			

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Staff may not be adequately trained and informed of policies and guidelines on asset management, which may cause problems in implementation of policies.</p> <p>F(ii). High turnover of staff due to uncertainties surrounding the exit strategy could lead to loss of human resources to the organization.</p>	<p>Guidelines and instructions on property management in the Tribunal are distributed to staff members dealing in day to day activities related to assets management. Staff members are also trained on the job to get better skills and knowledge in the management of assets within their areas of responsibility. In house courses are also conducted to enable staff to acquire additional skills and abilities in managing and maintaining records of assets in FACS within the respective self accounting units.</p> <p>Incentives for staff retention have been developed.</p>	Human Resources	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>G(i). Lack of a centralized asset management system may lead to discrepancies not being identified, documented and resolved in a timely manner resulting in inefficiencies and loss to the organization.</p>	<p>Assets within the Tribunal are managed by various Self Accounting Units which include EDP, Communications, Building Management Services, Transport and Supply. Each Self Accounting unit maintains its own records of assets in the Field Assets Control System (FACS) and carries out periodic physical inventories of assets within their areas of responsibility.</p> <p>The Property Control and Inspection Unit conducts annual and regular physical inventory of all non-expendable assets and attractive items and compiles discrepancy reports for assets which have not been physically located etc. The discrepancy reports are forwarded to the respective self accounting units for necessary action. PCIU monitors the Assets data base for Non-expendable Property in FACS on a daily basis and informs the Self Accounting Units concerned on any discrepancy identified.</p> <p>PCIU updates records of all assets for the Tribunal in FACS and discrepancies on assets are identified and information is usually conveyed to the management units concerned to address the inaccuracies which are observed.</p>		Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	Building Management Services (BMS)			Possible	Medium	Moderate Risk
	<p>A(i). Due to unforeseen/unexpected developments, the lease period mentioned in the rental agreements may not match with the life span of the Tribunal. If the life of the Tribunal extends past 2010 and the buildings are sold, ICTR would have to move to new premises close to the end of the mandate which would cause numerous problems.</p>	<p>The current lease agreement with Arusha International Conference Centre (AICC) where ICTR is located ends at on 31 December 2008 and the lease agreement is renewed annually. In Kigali the contract for rental of the Amahoro compound has been extended to 31 December 2008 and further extensions will be reviewed before then. HCC has, however, recommended that the contract can be extended through to 31 December 2009.</p>	Strategy	Possible	Medium	Moderate Risk
	<p>D(i). Delays in payments for supplies may cause vendors' refusal to supply to the organisation, leading to more expensive purchases and a hindrance to ICTR's operations.</p> <p>D(ii). The use of blanket purchase orders resulting in the purchase of overpriced goods may result in financial loss to the organisation.</p>		Financial	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). Interruptions to power supply arising from power fluctuations or power outages, can lead to damaging of ICTR equipments.</p> <p>E(ii). Failure to obtain qualified and experienced contractors, may cause poor workmanship which can result in financial loss, injury or loss of human life.</p> <p>E(iii). Delays in the procurement process can affect the efficient and effective delivery of services and the ability of the Tribunal to function properly.</p> <p>E(iv). Lack of a policy on issues on what can be plugged into the office electrical outlets (such as permitting staff to operate kettles and microwave ovens) and any other official goods without prior consultation with BMS, could result in an overloading of the electrical system and cause outages, which disrupts operations.</p> <p>E(v). Fire or other hazards to the premises may cause loss to persons/property.</p>	<p>ICTR has a generator and makes every effort to ensure minimum disruption to operations.</p> <p>ICTR has a policy on what may be plugged into the electrical outlets and BMS does periodic checks.</p> <p>Fire prevention and other safety measures have been put in place.</p>	Remote	High	Moderate Risk

9	Focus Area:	Property and Facilities Management	Risk Category	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Operational	Likelihood	Impact	Overall Risk
III	<p>Registry/Mail/Pouch/Archive Services</p> <p>E(i). The loss, misrouting or untimely delivery of pouch and courier services due to negligence of messengers may compromise ICTR's communication and cause embarrassment to the organization.</p> <p>E(ii). Theft of parcels and other attractive mail such as registered mail, could affect the efficient and effective operations of the Tribunal.</p> <p>E(iii). Loss of archives data through fire, theft or sabotage, could lead to loss of vital information and affect the legacy of the Tribunal.</p> <p>E(iv). Lack of adequate archiving storage space, could lead to loss of important files and affect the legacy of the Tribunal.</p> <p>E(v). Misuse of the diplomatic pouch by including unauthorized items, may cause financial loss to the organization as well as lead to breaches in security.</p> <p>E(vi). The lack of updated list of staff members such as General Temporary Assistance staff, may lead to incomplete records and result in mail not being properly dispatched.</p>	<p>All messengers have been provided with delivery books which the recipient must sign in acknowledgement. Suppliers of pouch services are contracted on trial basis first. Airway bill addresses are checked and incoming mail is signed in.</p> <p>Measures such as use of lockable cabinets and designating registry as a restricted area improves control.</p> <p>Back-ups are kept off-site and archives are a restricted area.</p> <p>New York (ARMS) provides guidelines on archiving space and specifications.</p> <p>Every item is inspected before sealing the Pouch bag and if it appears suspect, the sender is notified to come and open it for verification purposes. Instructions governing United Nations Diplomatic Pouch Services issued under ST/AI/368 and Administrative Circular 17, dated 6 November 2000 helps to control the type of items that may be sent.</p> <p>Request was made to Electronic Data Processing (EDP) to address this shortcoming.</p>	Operational	Possible Remote	Medium	Moderate Risk Lower Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Lack of adequate staff may lead to delays in archiving and this would adversely affect the transfer of records to UN ARMS, NY, when the Tribunal winds up.</p> <p>F(ii). Lack of training in archiving could lead to poor archive management by archive focal points (AFPs) who could compromise the efficiency and effectiveness of the Tribunal.</p> <p>F(iii). Dangerous materials like explosives may be hidden amongst the contents of the pouch resulting in injury or loss of human life.</p>	<p>Guidelines on Mission Records Retention Schedule and Standard Operating Procedures in Archives and Records Management are circulated to all sections; periodic focal point training; continuous guidance is given to archive staff on day to day basis.</p> <p>All incoming and outgoing diplomatic pouch bags are scanned by security personnel to detect if there are dangerous materials in the bags. During the opening of the incoming pouch, this is done in the presence of a UN security officer.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>G(i). Breakdown of fax machines and lack of data entry equipment such as scanners, LAN server, etc hinders archiving work which impacts on the legacy of the Tribunal.</p> <p>G(ii). Unrealisable communication links to other UN offices and reliance on communications department, could affect the effectiveness and efficiency of operations of the Tribunal.</p>	Alternative links to New York, Geneva, etc are sometimes made available.	Information Resources	Possible	High	Higher Risk

Risk Assessment of : ICTR

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 Management		Possible	Medium	Moderate Risk
	<p>A(i). The Tribunal co-sharing premises with other organizations with different security standards, increases the possibility of unauthorized access to the premises and breaches in security, which could result in loss of life or property.</p> <p>A(ii). Lack of adequate cooperation from local authorities in the event of a security incident, could hinder the efficiency and effectiveness of the security operations.</p> <p>A(iii). Lack of adequate planning and preparation of contingency measures in the event of a pandemic can impact on the health, safety and security of staff and the continuity of operations of the Tribunal.</p> <p>A(iv). ICTR may not be prepared in the event of the Avian Flu or other epidemics such as Ebola, Meningitis, etc.</p>	<p>The tenants are vetted by the landlord. The other tenants includes the East African Community, the management of Arusha International Conference Centre (AICC) who is the landlord, private businesses include internet cyber cafe, food shops.</p> <p>The Chief Medical Officer ICTR indicated preparedness for Avian Flu and Meningitis includes the provision of the necessary medicines, vaccines and equipment. Ebola, however, requires hospital management to handle properly.</p> <p>ICTR has a crisis management plan and is part of the UN Task Force on pandemic planning for Tanzania. ICTR has prepared a plan and obtained the necessary medications and medical supplies in accordance with the Secretary General's pandemic planning guidelines. The crisis management plan is not only for use during a medical emergency but for any crisis.</p>	Likely	High	Higher Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Weaknesses in the procurement process may lead to procurement of security assets with the wrong specifications or delays in procurement, which could result in the vulnerability of ICTR and affect the operations of the Tribunal.</p> <p>E(ii). An earthquake or fire could result in injury or loss of life and assets.</p> <p>E(iii). There is a lack of shared responsibility for the control and usage of firearms within the co-shared premises as no formal policy exists. A high number of firearms at the UN compound could result in injury or loss of life.</p>	<p>ICTR has a security plan on emergency and procedures and drills are conducted periodically. The security and safety section also cites defective fire equipment owned and maintained by the landlord such as hose reels, etc.</p> <p>The other co-tenants users of the premises must be willing to adhere to a joint policy on 'Firearm Related Issues'.</p>	Operational	Possible	Medium	Moderate Risk
	<p>D(i). Lack of funding could hinder operations of the section and undermine its ability to secure ICTR staff and assets.</p>		Financial	Possible	Medium	Moderate Risk
	<p>C(i). Failure by staff to report asset losses timely may lead to delays and increased difficulty in the investigation process which could result in the assets not being recovered hence loss to the organization.</p> <p>C(ii). Departing staff may fail to properly hand over ICTR property including badges, which could result in security vulnerability if the item is misused.</p>	<p>A memo has been circulated to all staff members reminding them of their responsibility to report asset losses in a timely manner.</p>	Compliance	Possible	Medium	Moderate Risk

10	Focus Area:	Safety and Security			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Turnover of staff, triggered in part due to the imminent closure of the Tribunal, may hinder the effective implementation of the Tribunal's security procedures as it requires training of new staff and impacts the morale of current security staff.</p> <p>F(ii). The shortage of a sufficient strength of officers to conduct frequent/ongoing Warden Training is exacerbated by the high turnover of Wardens. Potential replacement Wardens are also burdened with work related duties and are reluctant to divest spare time. Lack of qualified officers to train wardens on emergency procedures and practices may endanger the lives of staff and visitors.</p>	<p>The safety programme relies on Wardens. SSS provides the wardens with the necessary training in collaboration with the Country Field Security Officer.</p>		Human Resources	Possible	High	Higher Risk
	G(i). The lack of proper information dissemination/sensitization may result in ICTR's staff lacking awareness on security and safety issues in Arusha.	SSS issues all staff with a weekly security advisory to keep them abreast with security issues in and around Arusha.		Information Resources	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

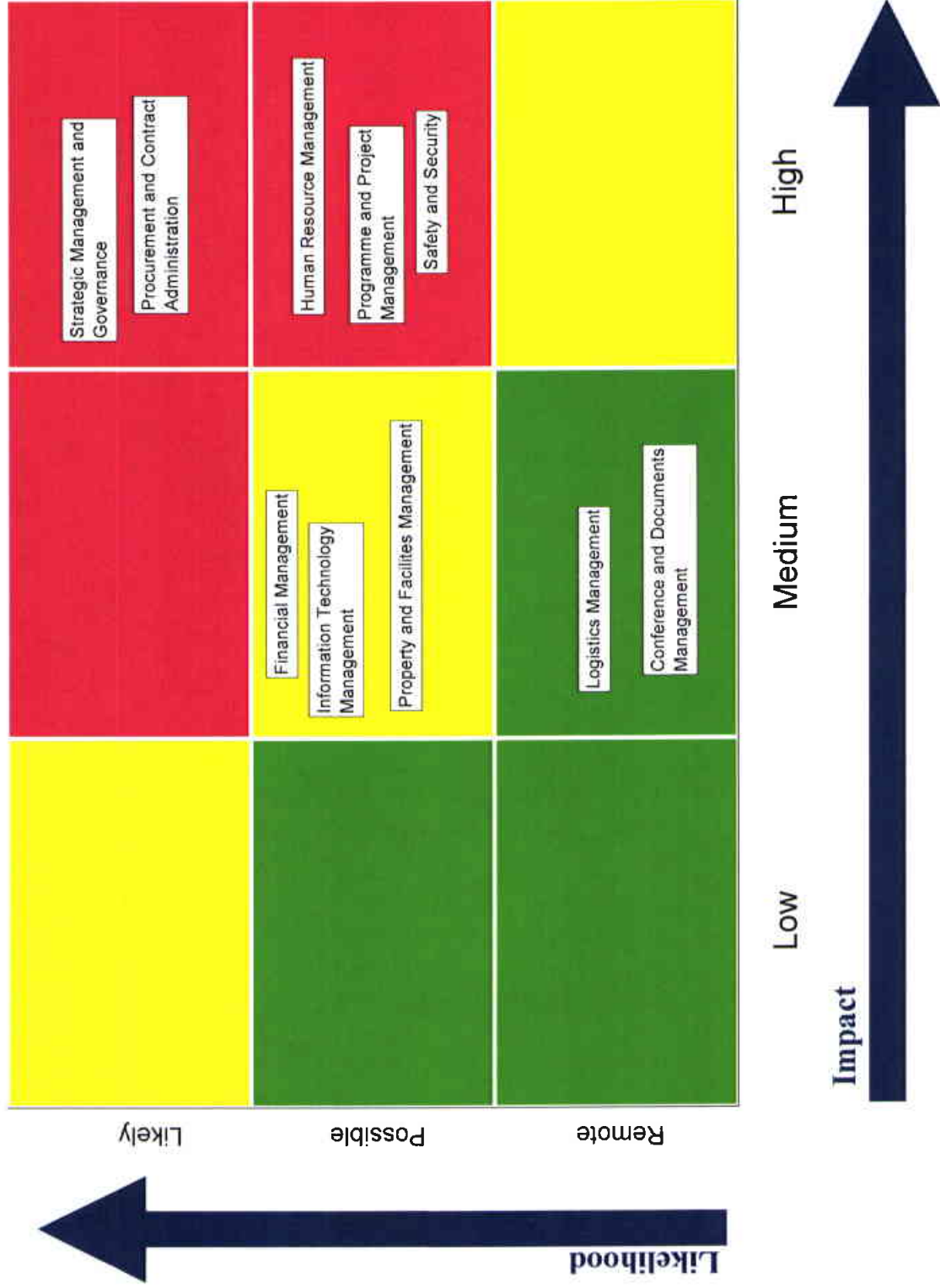
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used are shown below:

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

RISK SUMMARY PROFILE (Focus Area)



RISK SUMMARY PROFILE (Sub Focus Area)

