



## **INTERNAL AUDIT DIVISION**

**OFFICE OF INTERNAL OVERSIGHT SERVICES**

# **RISK ASSESSMENT**

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**United Nations Operation In Cote  
d'Ivoire (UNOCI)**

**13 February 2008**

**Assignment No. AP2007/640/17**

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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. Choi Young-Jin  
A: Special Representative of the Secretary-General  
UNOCI

DATE: 13 February 2008

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



REFERENCE: AUD-7-5:76 (078-00490)

SUBJECT: **Assignment No. AP2007/640/17 - UNOCI Risk Assessment**  
OBJET:

1. I am pleased to present OIOS' risk assessment of UNOCI which was carried out by the OIOS Resident Audit Office from October to November 2007 for your information. While we do not require a formal response to this report, you are welcome to discuss any of the issues raised further.

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

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

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

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## INTERNAL AUDIT DIVISION

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### **FUNCTION**

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

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### **CONTACT INFORMATION**

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## PARTICIPANTS

The OIOS risk assessment team conducted workshops and interviews with the following staff members of UNOCI, to gain an understanding of existing organizational relationships, risks, controls and process issues.

Focus Area	Name and Functional Title
Strategic management and governance	<ul style="list-style-type: none"> <li>• Charpentier Georg, DSRS</li> <li>• Fernand Amoussou, Force Commander</li> <li>• Wallace Divine, CAO</li> </ul>
Programme and project management	<ul style="list-style-type: none"> <li>• Francoise Simard, Chief Rule of Law</li> <li>• Arpine Gevorgyan, Judicial Affairs Officer</li> <li>• Margherita Amodeo, Chief Public Information</li> <li>• Charles Musabyimana, Electoral Adviser</li> <li>• Moussa Kane, Coordinator of Identification Officer</li> <li>• Claude Oreste, Electoral Officer</li> <li>• Pierre Ubalijoro, DDR Officer</li> </ul>
Logistics management	<ul style="list-style-type: none"> <li>• Pia Stefanizzi, Chief Movcon Officer</li> <li>• Bedi Maholo, Movcon Budget Officer</li> <li>• Islam Zahurul, OIC Engineering Officer</li> <li>• Walter Joebstl, Chief Supply Officer</li> <li>• Osama Matalaka, Chief CITS Officer</li> <li>• Colwyn Callender, Chief Transport Officer</li> <li>• Peter De Vlugt, Deputy Chief Transport</li> </ul>
Property and facilities management	<ul style="list-style-type: none"> <li>• Godwin Oguzie, Chief GSS Officer</li> <li>• Norma Mwambazi, Chief PCIU Officer</li> <li>• Ashok Gupta, Chief Claims Officer</li> <li>• Bernard Doua, OIC PDU Unit</li> </ul>

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Focus Area	Name and Functional Title
Procurement and contract administration	<ul style="list-style-type: none"> <li>• Mona Manolescu, Procurement Officer</li> <li>• Ludmilla Zettel, Procurement Officer</li> <li>• Ljiljana Maksimovic, Procurement Officer</li> </ul>
Human resources management	<ul style="list-style-type: none"> <li>• Doris Barthelemy, Chief Civilian Personnel Officer</li> <li>• Rosa Ayala, Personnel Assistant</li> <li>• Rose Gonzales, Personnel Officer</li> <li>• Hope Kitabiraza, Personnel Assistant</li> </ul>
Financial management	<ul style="list-style-type: none"> <li>• Ramesh Singh, Section Chief</li> <li>• Parvian Sadieva, Accounts Unit Chief</li> <li>• Islam Quazi, Payroll Unit Chief</li> <li>• Raphael Williams, Chief Cashier</li> <li>• Fadi Abou Elias, Chief Disbursement Unit</li> <li>• Wellars Rivuze, Chief Disbursement Unit</li> </ul>

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## SUMMARY OF RISK RATINGS

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

Focus Area	Overall Risk
i. Strategic management and governance ii. Procurement and contract administration iii. Human resources management iv. Programme and project management v. Safety and security	<b>Higher Risk</b>
i. Financial management ii. Logistics management iii. Information technology management iv. Property and facilities management	<b>Moderate Risk</b>
	<b>Lower Risk</b>

## **RISK REGISTER**

## Risk Assessment of : UNOCI

1	Focus Area:	Strategic Management and Governance	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likeli- hood	Impact	Overall Risk
I	<p><b>Strategic management</b></p> <p>A(i) Progress in key areas of the implementation of the Ougadougou Peace Agreement (OPA) may not be sufficient, adversely affecting the achievement of the Mission's mandate.</p> <p>A(ii) The insufficient progress in the implementation of the disarmament, demobilization and reintegration (DDR) programme, may result in the proliferation of illegal weapons and the deterioration of security condition in the country.</p> <p>A(iii) The complex political situation and provocations, conflicts and disagreements among Ivorian stakeholders, may result in the resumption of military hostilities.</p> <p>A(iv) The insufficient progress in the restoration of infrastructure, may result in the reduced ability by the Mission to redeploy and resume government administration throughout the country.</p>	<p>OIOS Assessment</p> <p>UNOCI's mandate is to support the implementation of the OPA, while its actual implementation is in the hands of major Ivorian political and military stakeholders. As a result, UNOCI does not have much control over the emerging political/military situation. Nevertheless, the following controls are in place:</p> <p>(a) UNOCI conducts continuous dialogues with the President, the Prime Minister, the Defence Minister, the Foreign Minister and the Integrated Command Centre to address issues that could derail the implementation of the OPA;</p> <p>(b) UNOCI holds regular meetings with the facilitator of the Ivorian peace, the President of Burkina Faso, his representative and the Chairman of the OPA Evaluation and Monitoring Committee;</p> <p>(c) UNOCI's Senior Management Group meets regularly to monitor the political situation.</p>	Possible	High	Higher Risk



1	<b>Focus Area:</b>	<b>Strategic Management and Governance</b>		Possible	High	Higher Risk
No II	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p><b>Control environment</b></p> <p>B(i) The lack of a proper control environment including a risk management process in the Mission could result in weak governance, lack of accountability and a weak ethical environment.</p>	<p>The UN code of conduct and the UN Charter require UN staff to commit themselves to the highest standards of efficiency, competence and integrity. The SG has issued several bulletins and administrative instructions regarding accountability and ethics, but a comprehensive enterprise risk management framework that includes governance and accountability mechanism has yet to be put in place in the Secretariat.</p>	Governance	Possible	High	Higher Risk

## Risk Assessment of : UNOCI

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p><b>Accounts</b></p> <p>D(i) The inadequate/untimely monitoring of self-accounting units' (SAUs) expenditures against their budgets may result in the Mission not knowing: (a) whether its expenditures have exceeded the budget; or (b) the availability of funds.</p> <p>F(i) The large number of transactions during peak financial processing/reporting periods, combined with the shortage of staff in the Accounts Unit, may result in delays and inaccuracies in the processing of transactions and in the reporting process.</p> <p>F(ii) The shortage of staff may lead to a risk of inadequate segregation of duties which can result in errors in reporting and possible irregular payments.</p>	<p>The Budget Section monitors allotments and re-aligns/redeploys funds as needed.</p> <p>Staff members in the Finance Section know the work of their colleagues and are allocated additional work when required. Supervisors perform additional checks for work done by alternate staff.</p>	Financial	Possible	Medium	Moderate Risk
II	<p><b>Payroll</b></p> <p>F(i) The shortage of staff in the Payroll Unit may negatively affect the Unit's operations.</p> <p>E(i) Errors or delays in receiving attendance reports may result in inaccurate payroll or delays in payroll processing.</p>	<p>The Human Resources Section is actively pursuing the goal of reducing the vacancy rate in the Mission.</p> <p>The Chief of Payroll Unit randomly reviews payroll entries. The Payroll Unit analyzes monthly payrolls and investigates major variances. Payslips are mailed to staff members. Next month's payment is adjusted for any excess/under payment based on attendance reports received from sections, which are primarily responsible for the accuracy of attendance reports. However, there is no additional review in the Payroll Unit of the accuracy of attendance reports submitted.</p>	Human Resources	Remote	Low	Lower Risk
				Possible	Medium	Moderate Risk
			Human Resources	Possible	Medium	Moderate Risk
			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
	D(ii) The recovery of telephone bills or amounts related to lost or damaged property associated to a staff member through deduction from monthly salary may be difficult once the staff member has left the Mission.	There is a policy in place whereby the amount of \$500 is withheld for three months after the separation of a staff member from the Mission to cater for any recoveries, including telephone bills, from the staff member. Any balance is then released to the staff member.	Financial	Possible	Medium	Moderate Risk
III	<p><b>Cash management</b></p> <p>D(i) Cash may be lost through fire or attacks (on the premises in case of civil unrest) as a result of the large amount of cash held in the safe.</p> <p>D(ii) The inadequate banking facilities in the country results in the physical distribution of cash in the sectors, which may put staff members transporting cash at risk.</p>	<p>The average cash holding in the safe is \$3 million. The UN Financial Regulations and Rules and Field Finance Procedures Manual are followed in safeguarding cash held in safes. Payees are contacted and requested to collect their cheques or cash. There is excess cash in the safe because staff members do not collect their MSA on the official collection date and this may result in a situation where the amount of money in the safe exceeds the amount covered by insurance, increasing the risk associated with holding cash in the premises, including uncollected cheques.</p> <p>There are no banking facilities in the sectors. Armed escorts are provided to the cashier going to sectors and insurance cover is in place for cash-in-transit.</p>	Financial	Possible	Medium Medium	Moderate Risk Moderate Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No IV	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	Disbursement			Possible	Medium	Moderate Risk
	<p>D(i) The 30-day deadline for the payment of vendors may not be met due to the lack of coordination with other sections, which could result in penalty charges or loss of discounts.</p> <p>D(ii) The unavailability of alternate certifying officers in some cost centres may cause delays in paying vendors.</p> <p>D(iii) Expenditures pertaining to the conduct of the Public Information Office activities, such as for entertainment and materials procured during official functions/workshops, may not be adequately supported with documentation or justified. This situation could result in financial loss to the Organization.</p>	<p>A proposal is being formulated to streamline the payment process in order to adhere to the FRR provision regarding the 30-day deadline to pay vendor invoices.</p> <p>A request is underway for the Controller to appoint more certifying officers for a more efficient processing of payments.</p> <p>No controls observed.</p>	Financial	Possible	Medium	Moderate Risk
	<p>C(i) The lack of familiarity of Quick Impact Projects (QIP) implementing partners with the UN Financial Regulations and Rules may result in the lack of accountability over QIP funds and financial loss to the Organization. Moreover, the accounting of QIP funds disbursed may not be done properly and/or on a timely basis due to ineffective project monitoring by the concerned project/programme offices.</p>	<p>The QIPs Committee and Secretariat include Finance Section staff who brief implementing partners on the required reporting procedures.</p>	Compliance	Possible	Medium	Moderate Risk

## Risk Assessment of: UNOCI

3	Focus Area:	Human Resource Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	<p><b>Human resources</b></p> <p>F(i) The Mission may recruit inexperienced staff or staff who lack adequate competencies to fulfil their functions as a result of the high turnover of staff, the outsourcing of casual staff, and the scarcity of candidates who can speak in French and English.</p> <p>F(ii) The understaffing of the Human Resources Section may hamper the delivery of human resources services.</p> <p>F(iii) The supervisors' lack of understanding of the ePAS system and the importance of performance evaluation in the promotion of staff may result in the delayed or non-completion of ePAS.</p>	<p>Managing vacancies by outsourcing casual staff require periodic contract renewals, and casual staff may lack the competencies required to perform their duties. The Human Resources Section is actively pursuing the goal of reducing the vacancy rate in the Mission.</p> <p>The Mission is already established and recruitment activities are mainly to replace separated staff.</p> <p>ePAS training is currently one of the training courses taking place at the Mission HQ and all staff are urged to attend.</p>	Possible	High	Higher Risk
	<p>E(i) The security situation in the country may adversely affect staff redeployment to sectors.</p>	<p>With the OPA in place, security is expected to improve in the country. Redeployment of staff to sectors has been going on in accordance with the plan.</p>	Remote	Low	Lower Risk

## Risk Assessment of : UNOCI

4	Focus Area:	Procurement and Contract Administration		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p><b>Procurement</b></p> <p>F(i) Insufficient human resources could lead to work overload and delays in processing procurement action.</p>	<p>Work is re-distributed among staff to ensure that no single staff is handling a large number of requisitions. This situation may be aggravated by the nature of the delegation of procurement authority, which is personal and not transferable. The Chief Procurement Officer position has been vacant since November 2006 and may adversely affect the effectiveness and efficiency of the Section's operations.</p>	Human Resources	Possible	High	Higher Risk
	<p>B(i) The Mission does not have a functioning Contracts Management Unit. This situation could lead to the ineffective management of contracts.</p> <p>B(ii) LCC members may not be aware of their role and how the LCC operates, which may result in inefficiencies and delays in the procurement process.</p>	<p>The Procurement Section has a contract database to monitor the contacts' not-to-exceed (NTE) amounts and expiration.</p> <p>An OIOS audit showed that there is considerable delay in finalizing LCC minutes, which also contributed to procurement delays.</p>	Governance	Possible	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i) Requisitioners may not have sufficient knowledge of the procurement process and may not have proper procurement plans for their sections/units. This situation could lead to inefficiencies in the procurement process and waste of resources.</p> <p>E(ii) The time taken by the Budget Unit in verifying the availability of funds for requisitions may be too long, delaying the procurement of goods and services.</p> <p>E(iii) Not adhering to the UN FRR when processing a large number of procurement cases at the end of a financial year, could lead to the acquisition of goods and services at higher prices, or unsatisfactory bids.</p> <p>E(iv) There may be cases of violations of the Status of Forces Agreement (SOFA) relating to value-added taxes (VAT), which may lead to unnecessary expenditures and delays in the receipt of goods.</p> <p>E(v) The UNHQ approval process for certain procurement cases may be lengthy, which could delay the procurement of goods and services. This situation could negatively affect the Mission's operations.</p> <p>C(i) The monitoring of contracts' NTE amounts may not be performed, which could lead to the unauthorized obligation of funds.</p>	<p>Requisitioners/focal points in all sections are trained in raising a requisition and have the basic knowledge of the procurement process.</p> <p>Requisitioners ensure that funds are available for a proposed requisition. The Procurement Section checks whether requisitions are made based on the acquisition plan.</p> <p>The Mission Management regularly consults with the Government to resolve this issue.</p> <p>The Mission regularly follows up with UNHQ on procurement cases submitted to it. Nonetheless, procurement cases submitted take considerable time to be cleared/approved.</p> <p>The Procurement Section has a contract database to monitor the contacts NTE amounts and expiration.</p>	Operational	Possible	High	Higher Risk
			Compliance	Possible	High	Higher Risk

## Risk Assessment of : UNOCI

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<b>Transport</b>			Remote	Medium	Lower Risk
	E (i) The high vacancy rate in the Transport Unit may hamper the Unit's operations.	The Unit is fully staffed and training on transport duties is provided to all unit staff.	Human Resources	Possible	Medium	Moderate Risk
	E (ii) The general security situation in the country, particularly in the regions where UN vehicles have been stationed before, could result in injuries to staff and loss of UN property.	Controls to mitigate the risk have been put in place, such as midnight curfew for vehicles, issuance of administrative instructions pertaining to vehicle security, etc.	Operational	Remote	Medium	Lower Risk
	E (iii) Vehicular accidents could cause injuries and loss of UN property.	The accidents rate in the Mission has decreased after the speed limit was reduced from 120 to 100 kph. The CarLog system has been installed to monitor and report incidents of over-speeding.				
	E (iv) The inadequate management of inventories could result in the overstocking of spare parts and/or a high level of obsolete spare parts. This situation could also increase the risk that spare parts may be lost or stolen.	The spare parts warehouse at Koumassi is secured, with closed-circuit TV cameras and controlled entry into the warehouse.				



5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	<b>Movement Control (MovCon)</b>			Possible	Medium	Moderate Risk
	<p>E(i) The Mission's reliance on one aircraft, shared with UNMIL, for the rotation of military contingents every 6 and 12 months, could cause rotation scheduling conflicts with UNMIL and could be problematic if the aircraft is out of service.</p> <p>E(ii) The slow customs clearance process and the lack of an open tax exemption certificate could result in delays (in clearing imported cargo) at the ports and high storage fees.</p> <p>E(iii) Late travel requests could lead to unwarranted special flight requests, which could result in additional costs to the Organization.</p>	<p>Previously, there was only one small plane (a Boeing 727), which could not accommodate troops from both missions at once. Hence, some troops had to stay longer in missions awaiting their turn to be repatriated. Now a bigger plane (Boeing 757), based in UNMIL, has been chartered, which can now accommodate more troops and will be tested in the next rotation.</p> <p>The MovCon Section has developed standard operating procedures and a database to monitor all shipments.</p> <p>An electronic MOP (e-MOP) system was recently introduced, but it has some technical problems. CITS is reviewing the system to address the deficiencies.</p>	Operational	Possible	Medium	Moderate Risk

## Risk Assessment of : UNOCI

6	<b>Focus Area:</b>	<b>Information Technology Management</b>		Possible	Medium	<b>Moderate Risk</b>
<b>No</b>	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
<b>I</b>	<p><b>Information and communications technology</b></p> <p>G(i) The Mission may not be able to immediately recover/restart IT operations because a backup arrangement/facility has not been finalized.</p> <p>G(ii) At the Mission HQs, in Abidjan, private cars are parked close to the main building where the server room is located. This could result in serious damages to IT equipment and injuries to staff in case the vehicles parked near the server room contain explosives.</p>	<p><b>Information and communications technology</b></p> <p>A draft Disaster Recovery and Business Continuity (DRBC) plan is in place.</p>	Information Resources	Possible	Medium	<b>Moderate Risk</b>
	F(i) Vacancies in CITS may have a negative impact on the Section's operations.	The Human Resources Section is actively pursuing the goal of reducing the vacancy rate in the Mission.	Human Resources	Possible	Medium	<b>Moderate Risk</b>
	E(i) Purchase orders raised long after the corresponding requisitions have been completed may lead to shortages of IT equipment and supplies in the Mission.	CITS and the Procurement Section meets regularly to clarify specifications, which is one of the major reasons in procurement delays.	Operational	Possible	Medium	<b>Moderate Risk</b>

## Risk Assessment of : UNOCI

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p><b>Electoral Division</b></p> <p>C(i) The requirement to obtain security clearance seven days in advance of the start date of a planned trip may have an adverse effect on the activities of the Electoral Division and reduce flexibility in its operations.</p> <p>A(i) There could be delays in the electoral process because (a) the Independent Electoral Commission (IEC) has not been deployed throughout the country and (b) of the lack of plans in preparation for the elections. Also, the reconstitution of the voters' register which has not been conceptualized as of November 2007, could negatively affecting the identification process.</p>	<p>The Security Section provides security clearance for unplanned travels or requests for clearance that are filed within a few days of the planned travel.</p> <p>Mobile courts are on-going to issue birth certificates to voters. However, a consensus on the revision of election laws among the various political players in the country has yet to be reached.</p>	Compliance	Possible	Medium	Higher Risk Moderate Risk
	<p>E(i) The lack of a Government plan for the security aspects of the electoral programme could adversely affect the elections.</p> <p>D(i) The funding of the electoral process may be impaired if the international community does not respect its commitment.</p>	<p>The Integrated Command Center [Centre de Commandement Integre (CCI)] is in charge of the security aspects of the electoral process.</p> <p>Negotiations with donors are ongoing.</p>	Strategy	Likely	Medium	Higher Risk
	<p>F(i) The employment of individual contractors and hourly-paid workers could compromise the integrity of PIO activities and the confidentiality of information.</p> <p>F(ii) Differences in the entitlements of the hourly-paid workers with regular staff members could generate dissatisfaction among the former and be perceived as inequitable/unfair. This situation could negatively affect PIO's operations.</p>	<p>The UNOCI Administration is aware of the situation and is reviewing the hourly-paid workers' entitlements with the contractor.</p>	Operational	Possible	High	Higher Risk
II	<p><b>Public Information Office</b></p> <p>F(i) The employment of individual contractors and hourly-paid workers could compromise the integrity of PIO activities and the confidentiality of information.</p> <p>F(ii) Differences in the entitlements of the hourly-paid workers with regular staff members could generate dissatisfaction among the former and be perceived as inequitable/unfair. This situation could negatively affect PIO's operations.</p>	<p>International staff supervises national staff activities in the PIO.</p> <p>The UNOCI Administration is aware of the situation and is reviewing the hourly-paid workers' entitlements with the contractor.</p>	Financial	Possible	High	Higher Risk
				Possible	Medium	Moderate Risk
			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
	A(i) The lack of commitment by the substantive sections to participate in PIO forums and other outreach events to explain the Mission's mandate and the peace process to the local population may have an adverse effect on the PIO programmes. E(i) The security of PIO staff and equipment may be inadequate, which could negatively affect the delivery of PIO services. E(ii) The lack of equipment such as vehicles and mobile phones may negatively affect PIO's operations.	The PIO holds bi-weekly meetings with other substantive sections.	Strategy	Possible	Medium	Moderate Risk
	E(iii) Delays in the procurement of goods/services requested by the PIO may adversely impact its operations.	PIO staff and equipment are covered in the overall Mission security plans. The Vehicle Establishment Committee is in place to ensure that the allocation of vehicles to sections is equitable and allows them the mobility required to perform their duties, while the allocation of mobile phones follows another distribution ratio, set by the Administration. The PIO has established a worksheet to monitor and follow up its requisitions.	Operational	Possible	Medium	Moderate Risk
	C(i) UNOCI' contract with the RTI (Radio Television Ivoirienne) and its implementation may not be compliant with the UN FRR and may involve significant transfer of assets.	An OIOS audit of the transfer of UN equipment to RTI is ongoing.	Compliance	Likely	Medium	Higher Risk
iii	<b>Rule of Law</b> B(i) The lack of coordination among the UN Police (UNPol), Human Rights and DDR Sections may put at risk the effective implementation of the Rule of Law (RoL) Section's programmes.	The UNPol, Human Rights, DDR and RoL Sections hold regular meetings.	Governance	Possible	Medium	Moderate 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
	A(i) Sensitive issues such as nationality, identity, ethnicity and land ownership may not be fully addressed by the Mission's RoL programmes. This situation could negatively affect the effectiveness of the RoL Section's programmes and the progress toward the re-establishment of the authority of the judiciary and rule of law throughout Côte d'Ivoire.	All concerned Mission sections/units, as well as concerned UN agencies, hold regular meetings with the PDSRSG to discuss how these sensitive issues could be addressed.	Likely	High	Higher Risk
	E(i) The lack of vehicles provided by the Mission Administration to the RoL Section has an adverse effect on its activities.	The Vehicle Establishment Committee is in place to ensure that the allocation of vehicles to sections is equitable and allows them the mobility required to perform their duties.	Likely	Medium	Higher Risk
	E(iv) The security situation in the Gagnoa region may impede the effectiveness of the RoL Section's programmes.	Some political groups in the region of Gagnoa are opposed to UNOCI actions.			
	F(i) Insufficient human resources in the Section could negatively affect the implementation of the RoL programmes.	The Human Resources Section is actively pursuing the goal of reducing the vacancy rate in the Mission.	Possible	Medium	Moderate Risk
IV	<b>Disarmament, demobilization and reintegration (DDR) programme</b> A(i) The lack of political commitment by various Ivorian parties to disarm former combatants, could result in the DDR programme's failure.	UNOCI's role in the DDR process is limited to supervision of the process and combatants listing. The DDR programme has established an acceptable arms to combatants ratio.	Possible	High	Higher Risk
			Possible	High	Higher Risk

7	<b>Focus Area:</b>	<b>Programme and Project Management</b>		Possible	High	Higher Risk
No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	<p>E(i) UNOCI's weapons storage facilities may not be adequately protected/secured which may result in weapons being diverted during the DDR process which may cause an ineffective DDR programme and increased security risks and instability in the country.</p> <p>E(ii) DDR activities may not be adequately planned and/or funded because of the unknown overall number of combatants and the number of DDR recipients that cannot be reasonably estimated.</p> <p>E(iii) Delays in the commencement of the disarmament component of the DDR programme may result in the 17 UNOCI staff members and volunteers deployed to cantonment sites not being used in the most efficient way.</p> <p>E(iv) The lack of coordination among the Civil Affairs Section, Transport Section, Engineering Section, UNPol and the military components may seriously affect the effectiveness and efficiency of the Mission's DDR programme.</p>	<p>Weapons collected and stored in UNOCI facilities are well protected.</p> <p>UNOCI holds regular dialogues with the Government regarding this issue.</p> <p>The staff members and volunteers deployed in the cantonment sites perform logistics and other tasks. Also, two volunteers have been re-deployed to the CCI (Integrated Command Center).</p> <p>A DDR working group has been created in the Mission, which includes the Civil Affairs Section, Transport Section, Engineering Section, UNPol and the military component. Due to the lack of progress in the DDR process in Cote d'Ivoire, the DDR working group meetings are only held on an ad hoc basis.</p>	Operational	Possible	High	Higher Risk
	<p>D(i) Insufficient/unproductive meetings with DDR programme donors could have an adverse effect on the effectiveness of the DDR plan in Cote d'Ivoire.</p>	<p>UNOCI has a coordination role among the DDR programme donors (i.e., NGOs, the World Bank, UN agencies) for the funding of the DDR process. The Mission holds monthly donor meetings.</p>	Financial	Remote	High	Moderate Risk

## Risk Assessment of : UNOCI

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p><b>Property and inventory control</b></p> <p>F(i) The shortage of human resources in the Property Control and Inventory Unit may have an adverse effect on the Unit's operations.</p> <p>G(i) The hourly-paid local workers' lack of access privileges to IT tools such as Galileo and Lotus Notes could adversely affect the efficiency and effectiveness of PCIU activities.</p> <p>E(i) The security situation in the sectors can have a negative impact on the effectiveness and efficiency of PCIU physical inspections.</p> <p>E(ii) The inadequate means of transportation in the sectors where road infrastructure is poor may have a negative impact on the effectiveness and efficiency of PCIU physical inspections.</p> <p>E(iii) Delays in obtaining proper approval and documentation supporting the disposal process may cause inefficiencies. This situation could result in the actual disposal of properties taking longer than warranted, which could pose security and health hazards (in case of hazardous waste).</p> <p>E(iv) The disposal of hazardous materials may involve environmental risks.</p>	<p>The Human Resources Section is actively pursuing the goal of reducing the vacancy rate in the Mission.</p> <p>No controls observed. Hourly-paid local workers inspects UN properties, but do not enter data in the Galileo system.</p> <p>Armed escorts are available to staff going to the regions. PCIU uses air transportation, where necessary, to conduct physical inspections.</p> <p>Local authorities have recently granted the sale in Cote d'Ivoire of written off assets. However, the Mission is has yet to obtain a customs clearance for the sale.</p> <p>The Mission has an open-ended contract for the disposal of hazardous materials.</p> <p>The Mission is setting up an Environmental Unit, as is the case with other missions, to oversee the environmentally friendly disposal of hazardous materials. There is also a disposal plan in place with a vendor contracted for the disposal of hazardous materials.</p>	Human Resources	Possible	Medium	Moderate Risk
			Information Resources	Likely	Medium	Higher Risk
			Operational	Possible	Medium	Moderate Risk

9	<b>Focus Area:</b>	<b>Property and Facilities Management</b>		Possible	Medium	<b>Moderate Risk</b>
No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
ii	<b>Facilities management</b> E(i) The lack of coordination with other sections requesting services from the Facilities Management Unit could result in inefficiencies. F(i) The lack of training on the IT tools used for facilities management may have an adverse effect on its operations, e.g., inaccurate/unreliable reports may occur as a result of the staff's lack of knowledge/training on the use of IT tools.	This issue is addressed in the weekly section chief meetings. The Integrated Mission Training Cell provides training on IT tools.	Operational	Possible	Low	Lower Risk
iii	<b>Claims</b> F(i) The shortage of staff in the Claims Unit may have an adverse effect on the Unit's operations. B(i) The delineation of responsibility between the Claims Unit and the self-accounting units (SAUs) may not be clear, which has a negative impact on the Unit's operations. E(i) Delays in obtaining reports from the Boards of Inquiries and the Security Section could result in delays in processing claims. E(ii) Lengthy paper work and procedures could result in delays in the Unit's activities.	The Human Resources Section is actively pursuing the goal of reducing the vacancy rate in the Mission. Monthly meetings are held between the Property Control and Inventory Unit, the Claims Unit and the Property Disposal Unit. The Security Section sends the Claims Unit a brief summary of a claims case. This allows the Claims Unit to proceed with the processing of claims prior to the finalization of the security report. The Claims Unit supervisor plans and distribute staff workload.	Human Resources Governance Operational	Possible Possible Possible	Medium Medium Medium	Moderate Risk Moderate Risk Moderate Risk



## Risk Assessment of : UNOCI

10	Focus Area:	Safety and Security	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likeli- hood	Impact	Overall Risk
I	Security	Operational	Possible	High	Higher Risk
	<p>E(i) The integration of the agencies' and the Mission's security systems into a common inter-organizational security system may not be fully effective because two different sets of rules prevail, i.e., the Department of Safety and Security (DSS) rules for the UN agencies and DPKO rules for UNOCI.</p> <p>E(ii) The Chief Security Advisor (CSA) may not have a work plan to address security issues, resulting in the ineffective and inefficient delivery of security services.</p> <p>E(iii) The lack of formal coordination between the CSA and the military component may result in the ineffective and inefficient delivery of security services.</p> <p>E(iv) There lack of coordination or formal meetings between the Designated Official, CSA, area security coordinators and wardens could result in the inefficient communication of security information among the various security officials, which could ultimately affect the delivery of security services.</p>	<p>A Security Management Team (SMT) has been established, which consists of all the heads of agencies and selected UNOCI staff members. Security issues are discussed during the SMT meetings.</p> <p>The CSA holds weekly meetings with section/unit chiefs to address security issues.</p> <p>No controls observed.</p> <p>Weekly senior management team meetings are held, where critical security issues are discussed and resolved.</p> <p>Logistics plans are under review and are being updated to provide for contingencies such as the mass evacuation of Mission personnel to a safer place.</p>	<p>Likely</p>	<p>High</p>	<p>Higher Risk</p>

10	Focus Area:	Safety and Security	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(v) The warden system may not be fully effective because of the lack of wardens/deputy wardens in 36 per cent of the warden zones. This could negatively affect the efficiency and effectiveness of security operations, especially in emergencies.</p> <p>E(vi) Since the peace process has not been stabilized, there is a risk that hostilities against the UN may resume.</p> <p>E(vii) At the Mission HQs, in Abidjan, private cars are parked close to the main building. This could result in serious damages and injuries to staff in case the vehicles parked near the buildings contain explosives.</p>	<p>A physical security system is in place, which includes security guards at the entrance to the compound and tools to detect explosives.</p>			
	<p>F(i) The high vacancy rate in the Security Section could negatively affect its operations.</p>	<p>The Human Resources Section is actively pursuing the goal of reducing the vacancy rate (28 per cent of posts) in the Mission.</p>	Human Resources	High	Higher Risk

## **Focus Areas**

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

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

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

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

## Risk Categories

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

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

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

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

## Risk Assessment Ratings

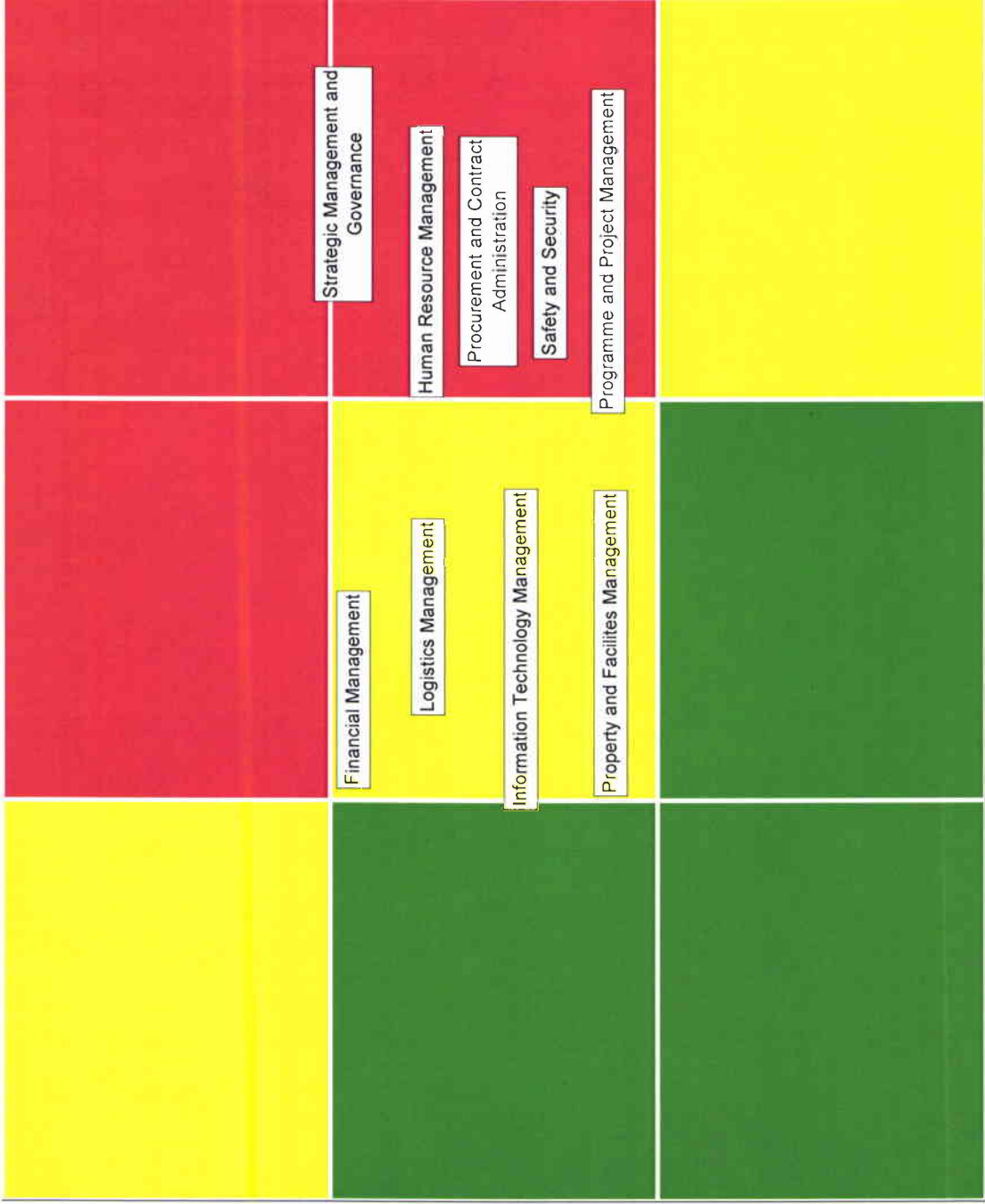
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used is show below:

<b>Risk Likelihood</b>	
<b>Likely</b>	Conditions within our environment indicate that an event is expected to occur in most circumstances
<b>Possible</b>	Conditions within our environment indicate that an event will probably occur in many circumstances
<b>Remote</b>	Conditions within our environment indicate that an event may occur at some time

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

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

# UNOCI RISK SUMMARY PROFILE (Focus Area)



**Likelihood** ↑

High

Medium

Low

**Impact**



# UNOCI RISK SUMMARY PROFILE (Sub Focus Area)

