

7	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B(i). Desk officers' range of responsibilities associated with managing either several field presences or countries /regions, volume of work, and possible lack of training and expertise may limit effective oversight and management of field operations.</p> <p>B(ii). Weaknesses in grant management and oversight by OHCHR staff may potentially result in grants not being used for the intended purpose.</p> <p>B(iii). Performance measures for the delivery of services by NGO partners in the field may be unrealistic, inadequate, or nonexistent.</p> <p>B(iv). Harmonization among UN agencies on the ground may be lacking because their objectives are not aligned with, or carried out to achieve the overall UN mission.</p> <p>B(v). Lack of agreement, or poor coordination on the work carried out by Special Procedures and OHCHR field staff may result in inefficiencies in the delivery of services to victims.</p> <p>B(v). The lack of consolidation and coordination among OHCHR's units in regards to work planning may result in conflicting work performed by different OHCHR units and inconsistent or inaccurate information being given to stakeholders.</p>	<p>Desk officers are often junior staff with limited practical experience in Human Rights' work.</p> <p>OHCHR has requirements for applications for grants and verifies narrative, financial and audit reports required to be submitted by beneficiaries of grants.</p> <p>Citizens expect the UN staff to act in accordance with international Human Rights norms.</p> <p>OHCHR needs to put more emphasis and focus on developing exit strategies. OHCHR needs to determine how to interface with national institutions and local governments in order to ensure the successful sustainment and institutionalization of human rights.</p> <p>UNOG has agreed to provide OHCHR with twenty-four hour service in the event of emergency deployment.</p> <p>OHCHR acknowledges the need to improve the articulation of its mandate, hold more meetings with member states, move toward a branch structure, and ensure greater accountability among staff.</p>	Governance	Possible	High	Higher Risk

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	<p>B(vi). Lack of a unified governance system for the UN secretariat in the field, specialized agencies, and those working on behalf of the UN may lead them to use the UN name but acting on their own accord. This may in some circumstances present a reputation risk to OHCHR, and the UN as a whole.</p> <p>B(vii). Perceptions may exist that OHCHR management and other UN organizations in the field may not hold staff accountable for breaches of UN rules, improper conduct, or unethical behaviour occur. This could impact OHCHR's image and country relations.</p> <p>B(viii). Lack of coordination and cooperation within the UN System at the field level may result in duplication of effort; confusion over roles and responsibilities; competing or conflicting objectives; insufficient support to victims; inappropriate remedies for resolution of violations; and contradictory information given to victims, governments, or partners.</p> <p>B(ix). Rule of law actions may be handled differently by each UN entity resulting in disparities, and confusion.</p>	<p>UN Secretariat organizations often operate under the direction of agreements put in place by non Secretariat UN organizations. These agreements may not follow the same rules and regulations as those of the Secretariat.</p> <p>Human Rights staff may be overzealous and inexperienced and fail to use good judgment in carrying out Human Rights monitoring and protection activities. They may engage in activities that put them in imminent danger, because of their beliefs and commitment to the Human Rights cause.</p>				

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	<p>F(i). Disparities in the allocation of work and staff both in the field and at OHCHR HQ may exist, resulting in some staff being over-burdened, and under appreciated.</p> <p>F(ii). Insufficient staffing in the field makes it difficult to manage UN Country Team relations, follow-up on allegations and complaints, and manage activities in the field</p> <p>F(viii). Involvement of field staff in activities outside the approved SMP/workplans could affect the quality of program delivery .</p>	<p>The minimal number of staff in the field, and the allocation of staff and number of activities may contribute to feelings of being unappreciated, and affect morale.</p> <p>Citizens expect the UN staff to act in accordance with international Human Rights norms.</p>		Human Resources	Possible	High	Higher Risk
	A(viii). Lack of funding for activities may jeopardize the sustainability of work plans and activities.	Just over half of the funds donated to OHCHR are earmarked for specifically designated projects/initiatives.		Financial	Possible	Medium	Moderate Risk

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	<p>Asian and Pacific Region Operations A(i). Failure to partner adequately with national actors in the region (national institutions, NGOs and governments) may result in bad relations, or failure to achieve objectives.</p>	<p>Different types of arrangements in each country present its own complexities making it difficult to determine how to provide technical assistance and associated activities for the ultimate delivery and benefit of human rights victims.</p> <p>The main goal of the plan is to support the sustainability of national human rights protection systems through coordinated and strengthened UN system-wide support, including the promotion of human rights-based approach.</p>	Strategy	Possible	High	Higher Risk
	<p>D(i). Insufficient funding may limit OHCHR's ability in the field to conduct and sustain activities, particularly in the cases of "Action 2" funded Human Rights Advisers.</p>	<p>The "Action 2 Initiative" stems from the report of the Secretary-General entitled "Strengthening of the United Nations: an agenda for further change" (A/57/387 of 9 September 2002).</p> <p>"Action 2" calls for joint UN action to strengthen Human Rights related actions at the country level, and for enhanced support for interested Member States in establishing and strengthening national human rights promotion and protection systems consistent with international human rights norms and standards.</p>	Financial	Possible	High	Higher Risk
	<p>E(i). Lack of field presence in the Asian Pacific region may hinder the regional offices' ability to have closer engagement with UN Country Teams meant to enhance the implementation of OHCHR's mandate.</p>	<p>The Plan of Action's underlying strategy is to build the capacity of UN country teams, which are crucial entry points and vehicles for implementation of the Plan. Country teams are also best placed to provide support tailored to national needs of Member States.</p>	Operational	Possible	High	Higher Risk

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III	<p>Latin America and Caribbean Operations</p> <p>A(i). The priority currently given to the backstopping of OHCHR's field presences in the Latin America and Caribbean region might hinder the impact and effectiveness of the support provided to Human Rights presences within peacekeeping operations administered by DPKO.</p> <p>A(ii). Putting emphasis on technical cooperation programmes in the field may contribute to the questioning of OHCHR's effectiveness in its monitoring role and may also result in a perceived overlapping with other UN agencies and programmes in the region.</p>	<p>There are thirty-three countries in the region, including one regional office, one liaison office, four country offices, three human rights advisors and one human rights component in a peacekeeping mission. OHCHR is responsible for spearheading country specific engagement from both HQ and field.</p> <p>OHCHR needs to develop mandates that are country focused and with specific activities. SMPs have been developed for some countries. OHCHR needs to become more proactive with member states in determining appropriate interventions.</p>	Strategy	Likely	High	Higher Risk
	<p>E(i). The political implications of the Universal Periodic Review (UPR) may have an effect on ongoing work activities and programmes carried out by staff in the field.</p>	<p>The UPR will require OHCHR staff to assist in the preparation of reports, gathering and analyzing information, and assisting with input and feedback from governments all of which will impact day-to-day operations.</p>	Operational	Likely	High	Higher Risk
IV	<p>African Operations</p> <p>F(i). Limited staffing and resources to conduct activities by the African unit at OHCHR HQs may prohibit effective backstopping/oversight of African field operations.</p>	<p>The African Unit supports 20 operations on the African continent, including 4 regional offices, 3 country offices, 12 HR components of Peace Missions and 1 Human Rights Adviser to UN Country Teams.</p>	Human Resources	Possible	High	Higher Risk

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	<p>B(i). Disparities in the application of rule of law may have a negative impact on OHCHR's image in the region.</p> <p>B(ii). Objectives of UN organizations on the ground may not be aligned and may cause disparities in services or confusion to beneficiaries.</p> <p>B(iii). Lack of harmonization among UN agencies in the region may negatively affect the UN reputation.</p> <p>B(iv). Insufficient performance measures for grant recipients may result in an inability to know if the desired results were achieved.</p>	<p>Continued efforts are underway to address conduct issues, as well as efforts to harmonize rules and to foster collaboration between different UN entities in the region.</p>	Governance	Possible	High	Higher Risk
	<p>C(i). OHCHR HQ's oversight of grant management by NGO partners may be insufficient, resulting in possible misuse of funds.</p> <p>C(iii). Grant recipients may be aware of OHCHR HQs inability to diligently monitor grants, which may encourage fraud or the misuse of funds.</p>	<p>Grants are usually issued in small amounts (15,000 USD) to NGOs. The time and effort that may be required by staff to monitor all grantees may outweigh the benefit.</p> <p>An automated tracking system developed for trust funds may also be used to assist in the monitoring of grants awarded through NGOs.</p>	Compliance	Possible	High	Higher Risk
	<p>E(i). Limited field presence in the region and lack of experienced staff could jeopardize successful operations in the region.</p> <p>E(ii). Weaknesses in planning and budgeting can limit the potential for implementation of activities.</p>	<p>The number of staff in African field operations is minimal.</p>	Operational	Possible	High	Higher Risk

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V	<p>Middle East and North Africa</p> <p>E(i). Limited field presence in the region may reduce the capacity to promote partnerships with UN Country Teams (UNCT).</p> <p>E(ii). Lack of capacity to follow up on allegations made by citizens may result in negative impact on OHCHR's effectiveness and image.</p>	OHCHR has a field presence in three locations in the Middle Eastern and North African Region.	Operational	Likely	High	Higher Risk
	<p>B(i). Special procedures may not follow up on work conducted at the country level, which may impact OHCHR's reputation and credibility.</p>	Manuals have been produced, but more needs to be done in the area of implementation and to ensure that work undertaken by special procedures is properly carried out.	Governance	Possible	Medium	Moderate Risk
VI	<p>Rapid Response</p> <p>E(i). OHCHR's increasing operational workload and ad-hoc demands may have a negative impact on its crisis management capacity given the limited availability of resources.</p> <p>E(ii). Difficulties in releasing experienced staff for emergency missions may hinder OHCHR's capacity to rapidly respond to human rights emergencies.</p>	Manuals and procedures are being developed, and staff trained in order to respond to human rights emergencies	Operational	Likely	Medium	Higher Risk
	<p>F(i). Lack of resources may limit OHCHR's Human Rights Investigations, fact finding mission and commission of inquiry to adequately address issues relating to witness protection.</p>	OHCHR recently created a roster of staff who are available for rapid deployment in crisis or emergency situations. This should enable OHCHR to provide experienced staff in critical situations.	Human Resources	Possible	High	Higher Risk

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VII	National Institutions		Governance	Possible	High	Higher Risk
	<p>B(i) Lack of partnership by OHCHR HQs among key operational actors i.e. UN Country Team members and OHCHR, as well as field staff may result in duplication of efforts and inefficiencies</p> <p>B(ii). Lack of governance system for UN Secretariat in the field may result in different actors using the "UN" name, but acting on their own accord, which may be in conflict with OHCHR methods and affect OHCHR's as well as the UN's reputation.</p> <p>B(iii) OHCHR's field presence may undermine the public perception of the National Human Rights Institutions (NHRI) effectiveness if the two entities fail to work together in the development of country level engagements.</p> <p>B(iv) Flawed relations (especially by UN Country Teams with respect to National Human Rights Institutions or other stakeholders) might reduce the degree of national ownership and the long term success and sustainability of UN action.</p>	<p>OHCHR realizes the need to clarify the strategy of both OHCHR and UN counterparts, as well as roles and responsibilities in the field.</p> <p>Improvements in relationships between field offices and OHCHR HQ's, and follow-up to ensure implementation and to assess progress.</p> <p>Synergies will need to be developed in countries where both OHCHR offices and National Human Rights Institutions operate.</p> <p>Field offices may be better equipped to address the needs of a particular country or regions because they are more focused on specific needs.</p> <p>It is essential to ensure that action by the UN system at the country level on the rule of law, good governance and human rights be under the overall substantive leadership of OHCHR with the support whenever possible of credible NHRIs.</p> <p>Where National Human Rights Institutions do not yet exist, the UN system should prioritize their establishment and then their strengthening.</p> <p>The UN Secretariat has a code of conduct, but other UN programs may have different rules.</p>	Governance	Possible	High	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	E(i) Lack of follow-up of given country situations and the delivery of services can lead to OHCHR's mandate being perceived as inefficient or ineffective.	OHCHR realizes the need to clarify the strategy of both OHCHR and UN counterparts, as well as roles and responsibilities in the field. Improvements in relationships between field offices and OHCHR HQ's, and follow-up to ensure implementation and to assess progress.	Operational	Possible	High	Higher Risk
	A(i). Lack of criteria may make it difficult to measure success or relevance in country engagements.	There are difficulties in establishing causality of action and specific benchmarks for measuring the success of field work. OHCHR must follow up on compliance with what has been agreed upon.	Strategy	Likely	High	Higher Risk

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VIII	Special Procedures		Possible	High	Higher Risk
	<p>B(i). Unpredictable work plans of Special Rapporteurs, may make it difficult to allocate OHCHR staff to provide the necessary support and services.</p>	<p>"Special procedures" is the general name given to the mechanisms established by the Commission on Human Rights and assumed by the Human Rights Council to address either specific country situations or thematic issues in all parts of the world. Special procedures are either an individual (called "Special Rapporteur", "Special Representative of the Secretary-General", "Representative of the Secretary-General" or "Independent Expert") or a working group usually composed of five members (one from each region).</p> <p>The skills and qualification of a Special Rapporteur may not always be the determinant factor in their selection. Appointments of special rapporteurs may be done for political reasons by the Human Rights Council.</p> <p>Since June 2006, the HRC engaged in an institution building process, which included a review of the special procedures system. On 18 June 2007, at the conclusion of its fifth session, the HRC adopted Resolutions 5/1 entitled "Institution-building of the United Nations HRC" and 5/2 entitled Code of conduct for special procedures mandate holders. These included provisions on the selection of mandate holders, the review of all special procedures mandates and the conduct of mandate holders.</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>

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	<p>F(i). Staffing constraints may limit the staff's ability to work on multiple themes, which may affect the appropriate resource allotment, and the quality of the service delivered.</p> <p>F(ii). Lack of recognition and feedback for the work that OHCHR staff conducts in support of the special rapporteurs and legal experts may result in low morale and create tensions between the staff and special rapporteurs and legal experts.</p> <p>F(iii). Some special rapporteurs may lack specific expertise in a given area, resulting in increased workload for OHCHR staff and strained relations between the staff and the special rapporteurs.</p> <p>F(iv). Lack of recognition and feedback for the work performed in support of the special rapporteurs and legal experts may result in low morale and negatively impact performance and quality of work.</p>	<p>Currently, there are 28 thematic and 10 country mandates.</p> <p>The Office of the High Commissioner for Human Rights provides special procedure mechanisms with personnel, logistical and research assistance to support them in the discharge of their mandates.</p> <p>Special Procedures supports the work of legal experts and special rapporteurs by providing staff and other resources. Sometimes, mandated work of OHCHR in servicing may not be sufficiently acknowledged by independent experts, external stakeholders or management/staff not working with these mechanisms.</p>	Human Resources	Likely	High	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>C(i). Special Rapporteurs may operate according to their own agenda and priorities, causing challenges in the relationship between them, and OHCHR staff.</p> <p>C(ii). Non-compliance with UN policies by Special Rapporteurs who are not UN staff, and therefore not subject to UN disciplinary rules and regulations may affect negatively OHCHR's image.</p> <p>C(iii). UN staff and DPKO military officers/peacekeepers working in field operations may breach human rights rules, and not be held accountable, contradicting what OHCHR stands for and possibly damaging/tarnishing the image of the UN.</p> <p>C(iv). Reports from special procedures may not be compliant with UN official document rules.</p>	<p>Non compliance with OHCHR policy and objectives may be in terms of reports from special rapporteurs or in their actions and behaviour in the field.</p> <p>Special Rapporteurs are not UN staff members but act on its behalf. Special Rapporteurs may have their own agenda and priorities separate and apart from the OHCHR. Even though the UN has no direct control over them, they are supposed to be accountable to the UN as they are required to comply with the UN Code of Conduct, policies, and procedures.</p> <p>UN Secretariat organizations often operate under the direction of agreements put in place by non secretariat UN organizations. These agreements may not follow the same rules and regulations as those of the secretariat.</p> <p>The Special Procedures manual includes guidelines for reporting.</p>	Compliance	Possible	High	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IX	Petitions			Likely	Medium	Higher Risk
	<p>E(i). The growing number of Human Rights complaints submitted by individuals may limit staffs' capacity to provide responses, address complaints on time, or provide consistent or accurate information, and thus may adversely affect OHCHR's credibility .</p> <p>E(ii). The growing backlog of work related to the Human Rights Council may continue if an agreement is not reached by OHCHR and the HRC to change work methodologies in consideration of the growing number of complaints, contributed in part by inexperienced member states, or lack of experience of newly elected treaty bodies.</p>	<p>The Petition Unit has received increased visibility and the number of compliant received from the general public has increased. According to budget plans the staffing will remain stable. The problem will be further exacerbated in 2008 when the Unit begins servicing the Committee for the Elimination of Discrimination Against Woman (CEDAW) complaint mechanism.</p> <p>OHCHR does not have sufficient resources to train new treaty body experts</p>	Operational	Likely	Medium	Higher Risk
X	Treaties and Council			Possible	Medium	Moderate Risk
	<p>E(i). Requests for support in relation to treaty body work received from OHCHR field operations and the actual work carried out by the Treaties and Council Branch may not yield effective results due to the difficulties in the reconciliation of the servicing and the advocacy roles of the OHCHR.</p> <p>Treaty bodies' work is often perceived as tedious, and technical and does not receive much management attention.</p>	<p>Tensions have existed in the past when a high number of OHCHR staff was on short term contracts, while treaty staff were primarily funded from the regular budget.</p>	Operational	Possible	High	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Staffing constraints and the breadth of the mandate may impact the Divisions' ability to work on multiple themes.</p> <p>F(ii). Staffing constraints within the Division may impact the incorporation of treaty body work into the global OHCHR programme work plan.</p> <p>F(iii). The fact that Treaty and Council staff are funded by regular budget and have stable contracts in comparison to other OHCHR divisions, may cause tension among staff members.</p> <p>F(iv). Lack of management recognition and appreciation of the work performed by the Division may compromise staff motivation</p>	<p>Tensions have existed in the past when a high number of OHCHR staff was on short term contracts, while treaty staff were primarily funded from the regular budget. This situation has changed since OHCHR offered a significant number of long term contracts to staff.</p> <p>Treaty bodies' work is often perceived as tedious, and technical and does not receive much management attention.</p>	Human Resources	Remote	Medium	Lower Risk
XI	Sensitive Programs			Possible	High	Higher Risk
	B (i). Sensitive work programs may cause political clashes with the beliefs and value systems of certain member states.	For instance, work on discrimination or sexual orientation is not well accepted by some member states and other stakeholders.	Governance	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
No XII	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Research and Right to Development</p> <p>E(i). Unpredictability of the decisions of the HRC and other inter-governmental decision-making bodies may disrupt the Research and Right to Development Divisions work plan.</p> <p>E(ii). Lack of clear policy and priorities may result in ad hoc work being conducted and staff being pulled from one project to work on another project.</p> <p>E(iii). Country engagements may be jeopardized or irrelevant if the role and input of Human Rights advisors and UN Country teams are not acknowledged. Staff may not view or understand the collective OHCHR organization but only focus on their specific work unit.</p>	<p>The Research and Right to Development Division leads OHCHR's activities on the integration of human rights into all areas of the United Nations work and has a coordinating role in the OHCHR implementation of "Action 2" of the Secretary-General's Reform Plan, aiming at strengthening the capacity of the UN system, primarily at the country level, to assist Member States in developing their national systems of human rights protection. It prepares, studies, analysis and reports, organizes expert meetings and seminars, and fosters partnership in substantive areas.</p> <p>Division work must stop when serving the needs of the HRC or other inter-governmental decision-making bodies.</p>	Operational	Possible	High	Higher Risk
	B(i). Lack of understanding of the role and importance of the work of Research and Right to Development Branch may contribute to low morale and affect work performance.	Human Rights advisors set the tone for country strategies and are the primary avenue for country engagement.	Governance	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Likely	High	Higher Risk
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XIII	<p>Policy Planning Monitoring and Evaluation</p> <p>E(i). Policy Planning Monitoring and Evaluation (PPME) staff may not have appropriate experience in monitoring and evaluation since all positions were initially filled in-house, and duties were not clearly understood by staff assuming those positions.</p> <p>E(ii). The Strategic Management Plan implementation requires new ways of working, which in turn may require OHCHR to manage change together with strong management commitment.</p> <p>E(iii). Donors who expect reports on results, outputs and activities (the use of their monetary contributions) may become more demanding as the OHCHR XB budget increases.</p>	<p>The Policy, Planning, Monitoring and Evaluation Section (PME) is responsible for ensuring that the Strategic Management Plan is implemented in a timely and comprehensive manner, and for the monitoring, evaluation of programmes and projects, and policy development.</p>	Operational	Likely	High	Higher Risk
	<p>B(i). Introduction of new and different reporting methodologies which go beyond work activities and measuring results may not be internalized into the organizational culture. Measuring and reporting on results may be perceived as extra work and a distraction from "real" Human Rights work.</p>	<p>Field presences have developed strategic plans and the SMP includes a set of indicators at the national level developed in consultation with the field, and will be monitored to assess results and effectiveness.</p>	Governance	Possible	High	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Delays in the recruitment process may cause difficulty in attracting new staff in a reasonable time because candidates may find other suitable employment before an offer of employment is extended by UNOG.</p> <p>F(ii). PPME may be insufficiently staffed to carry out its role to lead the SMP processes and conduct evaluation, and monitoring activities.</p>	<p>Evaluation methodologies exist within the UN, but have not been used by OHCHR, because there has never been a focus on evaluation, and staff have not been equipped.</p> <p>During the initial establishment of PPME, staff were assigned to work in the unit however, the mission had not been defined.</p>	Human Resources	Likely	High	Higher Risk	
	G(i). Access to the internet and intranet may not be possible in each country office which may hinder staff from obtaining necessary information in a timely manner.	This may present barrier to accessing indispensable information and sharing necessary communications.	Information Resources	Possible	Medium	Moderate Risk	
	<p>A(i). Perceptions that the Strategic Management Plan while defining a field strategy and action, but actual development being more HQ driven, may affect field staff's commitment and may negatively impact the successful implementation of the Plan .</p> <p>A(ii). Cultural differences of staff in OHCHR HQs and in the field may cause difficulties in aligning the country engagement plan with OHCHR HQs objectives.</p>	OHCHR included field input into the SMP and the development of country level engagements.	Strategy	Possible	High	Higher Risk	

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XIV	Programme Support and Management			Possible	Medium	Moderate Risk
	<p>E(i). Staff may operate in a reactionary mode if managers fail to follow administrative guidance for travel authorizations.</p> <p>E(iii). Lack of consistent services provided by UNDP in servicing OHCHR field operations may lead to deviations from agreed cost plans and financial authorizations, and may complicate OHCHR's ability to efficiently monitor budget execution.</p> <p>E(iv). Inadequate planning by programme/project managers may lead to insufficient funding for staff to carry out work plan and the associated activities.</p> <p>E(v). Programme Support and Management Service (PSMS) staff may function in a reactionary mode where staff from substantive areas sometimes fail to consult them before undertaking projects/ programmes and approach them only after issues or problems arise.</p>	<p>UNOG lead time requirement for travel is communicated to managers and staff. Management must ensure staff complies with policy.</p> <p>PSMS staff may understand the need to be service-oriented, but the delays in funding can affect project execution, which may contribute to some degree to last minute requests. Quality of service can also be influenced by changes in plans, political situations in countries, or other developments.</p> <p>Constant crisis management in carrying out support functions can give the impression that "exceptions are becoming the rule."</p> <p>Programme/project managers are required to submit full-year cost plans.</p> <p>UNDP services OHCHR field operations but the level and quality of services varies from location to location. UNDP may provide services in one area, but fail to provide such services in other areas. Staff at some locations may not understand what UNDP can or should provide.</p>	Operational	Possible	Medium	Moderate Risk

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		<p>PSMS has engaged in the development of processes, associated methodologies and tools to facilitate extra budgetary planning and implementation.</p> <p>PSMS has named focal points in major functional areas to provide services to clusters of Branches and field presences.</p>				
	<p>B(i). Heavy workload and crisis management may make it difficult to develop administrative policies, and develop long-term strategic planning.</p>	<p>Administrative policies have been developed for field administrative staff. Meetings are held with field administrative staff to discuss policy and implementation to ensure understanding.</p>	<p>Governance</p>	<p>Remote</p>	<p>Low</p>	<p>Lower Risk</p>
	<p>G(i). Gaps in communication between branches may be detrimental to working relations among staff, and affect the delivery of quality services.</p>	<p>Regular meetings are held to discuss plans, processes and requirements.</p>	<p>Information Resources</p>	<p>Possible</p>	<p>Medium</p>	<p>Moderate Risk</p>

Risk Assessment of : OHCHR

8	Focus Area:	Conference and Documents Management	Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	<p>Conference Services</p> <p>E(i). Lack of predictability of HRC request for documentation may result in untimely request for conference documents.</p> <p>E(ii). Frequent late request by OHCHR on behalf of the HRC may affect UNOG's Conference Services Division (CSD) capacity to service OHCHR and negatively impact the working relationship between CSD and OHCHR.</p> <p>E(iii). Additional clarifications and special requests from member states during conferences may slow down the documentation production and proofreading process.</p>	<p>The change from the Human Rights Commission to the Human Rights Council, has had a significant impact on the number of conferences now requested by OHCHR. The number of conference has increased dramatically since the establishment of the Council.</p> <p>The publication of conference material containing erroneous data can have a negative impact on OHCHR's and UNOG's CSD abilities. Given the importance of Member States satisfaction, it is crucial that these conference-related operational standards are fully met.</p> <p>Due to internal changes within CSD more coordination and follow-up is required by OHCHR staff to ensure the necessary support systems are in place during a conference. This places additional pressure on OHCHR staff to continually follow-up and monitor the support services necessary for conferences.</p> <p>The UNOG CSD, Data Processing Unit may already be affected by the lack of resources to do all that is required without the increasingly demanding workload associated with the HRC.</p>	<p>Likely</p> <p>Likely</p>	<p>High</p> <p>High</p>	<p>Higher Risk</p> <p>Higher Risk</p>

8	Focus Area:	Conference and Documents Management	Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(iv). The volume of documents submitted by third parties may preclude effective quality control by CSD's Data Processing Unit (DPU). That may have a big political impact if mistakes or errors are not corrected before issuing the documentation, and can affect OHCHR's reputation.</p>	<p>About one third of documentation issued during the Human Rights Council sessions is prepared by external parties (experts, states, special rapporteurs), the timely submission and the content of which OHCHR has no control.</p>			

Risk Assessment of : OHCHR

9	Focus Area:	Property and Facilities Management		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>Facilities Management</p> <p>C(i) Improper or insufficient management and maintenance of office premises and facilities may result in high operational costs.</p> <p>E(i). OHCHR staff in Geneva is spread out over two separate locations which may impact the efficiency of the work and of internal communication.</p>	<p>The facilities of OHCHR are serviced by UNOG through its MOU.</p> <p>The relocation requires travel time to get from the locations and may discourage staff from attending meeting, or becoming involved in joint projects, or team work.</p> <p>To compensate for the impact of the relocation the shuttle service (provided for through the UNOG MOU) was expanded to operate between the Palais des Nations and the two OHCHR Geneva locations. The OHCHR and UNOG facilities are well served by public transportation, and within walking distance.</p>	<p>Compliance</p> <p>Operational</p>	<p>Remote</p> <p>Remote</p> <p>Remote</p>	<p>Low</p> <p>Low</p> <p>Medium</p>	<p>Lower Risk</p> <p>Lower Risk</p> <p>Lower Risk</p>

9	Focus Area:	Property and Facilities Management	Risk Category	Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	Asset Management		Operational	Possible	Medium	Moderate Risk
	<p>E(i). Inadequate controls over non-expendable assets may lead to misuse, or acquiring assets for insufficient reasons in the field.</p>	<p>OHCHR is responsible for oversight of expendable assets at both HQ and in the field. There is a potential for misuse of low value (under US\$500) non-expendable property in the field. The rules, however, do provide for managers at their discretion to track non-expendable property for items that are subject to theft, such as digital cameras.</p> <p>There is a MoU in place between OHCHR and UNOPS (UN Office of Project Services) on the asset purchasing process at field level. However, this MoU is not clear on asset controls for assets purchased through UNOPS.</p> <p>OHCHR HQ has oversight of field operations expendable assets, and requires physical inventory, and reporting.</p> <p>UNOG has oversight of property management for expendable property for certain clients located in Geneva, including OHCHR. An OIOS audit of UNOG Property Management in 2007, found that while controls over OHCHR HQ property may have been adequate, it was not clear if controls were in place for OHCHR field operations.</p> <p>Effective 1 January 2008, OHCHR has Delegation of Authority for property management in the field.</p>	Operational	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>D(i). Lack of asset registers in the field may lead to unnecessary expenses, misuse or unaccounted losses of expendable and non-expendable assets.</p> <p>D(ii). Reliance on UNOPS (UN Office of Project Services) for the purchase of vehicles for some of its field offices may result in the acquisition process not being conducted competitively and may result in excessive costs.</p>	<p>OHCHR requires it field offices to monitor and track non-expendable property. OHCHR property management in the field noted that, to date, only about 10 percent of all non-expendable assets can be accounted for. UN Office of Project Services (UNOPS) acquires vehicles for some OHCHR field locations. OHCHR has concerns regarding the competitiveness and transparency for acquisitions done by the UNOPS. UNOPS may have a more liberal approach towards purchasing assets preferred by requestor.</p> <p>OHCHR has noted that UNDP has increased efforts to ensure the competitiveness of prices offered by bidders and to reduce the cost of vehicles.</p>	Financial	Possible	Low	Lower Risk

Risk Assessment of : OHCHR

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
I	<p>Security of Staff B(i). Lack of a plan or a policy that will allow security to account for, or timely locate the whereabouts of OHCHR staff during an emergency, may cause unnecessary stress to staff, families, and embarrassment to OHCHR and the UN as whole.</p>	<p>Management has not permitted OHCHR Security and Safety Unit (SSU) to access certain information regarding staff, such as leave, planned leave, and family information.</p> <p>OHCHR has the Integrated Security Clearance and Tracking system (ISECT) at its disposal to facilitate a rapid identification of each staff's location, however, this system is not always used by staff and management.</p>	Governance	Possible	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). Staff in the field may be subjected to hazardous conditions or physical threats due to the nature of OHCHR work and the locations of field operations in remote, politically unstable, or volatile locations.</p> <p>E(ii). Staff of certain backgrounds (race, ethnicity, nationality) may be subjected to physical harm when travelling to certain countries because security phases in some countries may be high or are subject to political pressure from host governments fearing economic impact.</p> <p>E(iii). Staff who must transport cash to locations without adequate banking facilities may be at risk of bodily harm, robbery or loss of life.</p> <p>E(iv). Security systems may not be adequate to ensure safety and security of staff on the ground.</p> <p>E(v). Lack of certainty regarding protection by host countries, may put OHCHR staff in an unsecured situation.</p> <p>E(vi). Hostile local political environment on human rights violation witnesses in some countries may impede OHCHR's monitoring and reporting ability and may prevent OHCHR from carrying out its mandate.</p>	<p>The human rights protection mission of OHCHR and the responsibility to monitor human rights violations sometimes mean that OHCHR field staff must remain in the countries when other UN staff are allowed to leave. The presence of human rights staff in a country also usually means that there are human rights violations, which might reflect precarious security situation.</p> <p>There are controls in place, such as the reliance on UN Security officials - DSS assigns the designated official on the ground, as well as the application of Minimum Operational Security Standards (MOSS).</p> <p>In order to carry out their duties as monitors and reporters some staff must remain on the street while other UN staff are sent home. These staff are at risk of bodily harm, kidnapping, or death. This also applies to staff who must transport cash to locations with inadequate banking systems.</p> <p>Certain countries do not adhere to a security phase to protect their image, promote tourism and economics. (cont. below)</p>	Operational	Possible	High	Higher Risk

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(vii). Not including SSU in planning the human rights team, may result in inadequate arrangements for security.</p> <p>E(viii). Lack of communications between staff to plan strategy when visiting certain countries where the host country may have its own intrusive strategy, may expose the staff to unsecured situation.</p>	<p>Care must be taken to ensure that staff are not deployed to areas where their nationality or ethnicity would place them at unacceptable risk.</p> <p>To mitigate this risk, the UN is improving its skills in this area. There is a UN Security network, keeping abreast of and monitoring the changing threats, situation and security conditions on the ground. In addition, security staff has extensive background in military, police work and in hardship situations.</p> <p>Security is focused on preparedness in day to day operations to face emergencies when they arise. Communications with staff, through staff meetings, bulletins and other means, are performed regularly.</p> <p>There are intergovernmental mechanisms mandated in the accountability security document. Human Rights SSU staff form a part of the Interagency Security Management Network (IASMN) governance mechanism, attend meetings, develop policies for UN based on real experience and manage incidents. SSU conducts security risk and vulnerability assessment, develop mitigation strategies and implements the work plan in (cont. below)</p>			

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>collaboration with DSS and other duty stations.</p> <p>In its resolution number A/RES/59/211 the General Assembly recalled that primary responsibility under international law for the security and protection of humanitarian personnel and United Nations and its associated personnel lies with the Government hosting a United Nations operation conducted under the Charter of the United Nations or its agreements with relevant organizations.</p> <p>There may be observed gaps between the security phase adopted by the country and the real security in the field.</p> <p>Safety and security e-training is mandatory for all UN Staff. Each OHCHR Staff has to be trained and a certificate awarded on security matters before going in the field. Host countries are required to ensure the protection and security of UN staff members.</p> <p>In the past a security assessment was made from an area other than the actual location of the office.</p>				

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). Insufficient management enforcement of required OHCHR staff security training may not ensure adequate awareness on security and safety issues in the field.</p>	<p>There can be a false assumption that in an area without a security phase in a country, staff feels completely secure and therefore think that it is not necessary to contact security officer when they report to duty or when they leave to certain risky areas. However, there is always the possibility that staff may be targeted or kidnapped by the very people that they are trying to help in order to make a point about a certain issue.</p> <p>There are two mandatory security trainings to mitigate this assumption. All staff members with field missions have to complete the "Basic Security in the Field" interactive e-training. All UN and associated personnel stationed in a duty station/mission located in an area with security phase I or higher are required to complete the interactive learning program "Advanced Security in the Field" (ASITF).</p>	Human Resources	Possible	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
II	Security Management Structure and Funding		Governance	Possible	Medium	Moderate Risk
	<p>B(i). DSS may not consider OHCHR's security and readiness capabilities when assessing security needs in the field and assigning security offices for deployment.</p>	<p>Security is integrated into the UN network, and DSS has oversight within the UN Secretariat and OHCHR. There is a perception that UNOG security policy as it is used is not properly monitored due to a lack of unified security management structure.</p> <p>Following a security risk assessment the SSU develops a plan for security investigation needs. Additional security capacity is sought via DSS and these assignments could go to any duty station. OHCHR has a cadre of contacts who could provide service on a short term basis, foregoing the cost of travel to Geneva. To mitigate this risk, OHCHR SSU maintains a group of security trained staff (including UNOG security, retired UN staff, police officers, etc) available locally and also works with specialized third-parties, individual consultants, experts and short-term contractors. This helps eliminate DSA (Daily Subsistence Allowance) payments and improves the learning curve using staff who are familiar with Human Rights to work with less experienced ones</p>				

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>D(i). Lack of stability in Safety and Security Unit funding may have an impact on SSU staff morale and consequently affect the security of staff.</p> <p>D(ii). Lack of proactive planning and appropriate budget for security matters may affect project implementation and endanger staff working in the field and increase cost when the Security Unit is used as an emergency solution.</p>	<p>In the past the SSU hired short term staff or used General Temporary Assistance to meet staffing needs. Over the past year the unit has been able to hire additional staff and offer more stable or long-term contracts.</p> <p>Security officers were not involved in the initial Strategic Management Planning process and are not part of the detailed implementation process of the plan. Security-related expenses are not included in operational budgets as management fears that security will require too many resources thereby, reducing the operational budget.</p> <p>There is also a perception that OHCHR staff do not fully understand the consequences of the decision to exclude security from the initial planning.</p> <p>Funds are often found for security-related matters but only as a reaction to a crisis.</p> <p>On occasion the UN Secretary General directly funded security operations from his discretionary fund. Member states or host countries may also provide funding.</p>	Financial	Possible	Medium	Moderate Risk

10	Focus Area:	Safety and Security	Possible	High	Higher Risk
No	<p>Interview/Review Summary (Description of risk)</p> <p>E(i). Security team members are not always included in the initial deployment when establishing field operations resulting in security issues not being identified at an early stage.</p>	<p>OIOS Assessment</p> <p>Perception that the Security Unit is not viewed as a part of the Human Rights team, and only is called upon when an emergency occurs. Many of these emergencies frequently arise from the lack of security response at the beginning of the incident.</p>	Possible	Impact	Overall Risk
III	<p>Policies and Rules</p> <p>C(i) Lack of reference document, such as a formalized security manual, to guide staff on security issues may inadvertently expose inexperienced and untrained staff to unsecured and unsafe situations in the field.</p> <p>C(ii) Lack of appropriate sanctions for non-compliance with security policies may lead to security being compromised.</p> <p>C(iii) Breaches of security policies and protocols by staff, especially if incidents actually occur, may impact the reputation of OHCHR.</p>	<p>Risk Category</p> <p>Operational</p>	Possible	High	Higher Risk
					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.

Risk Assessment Ratings

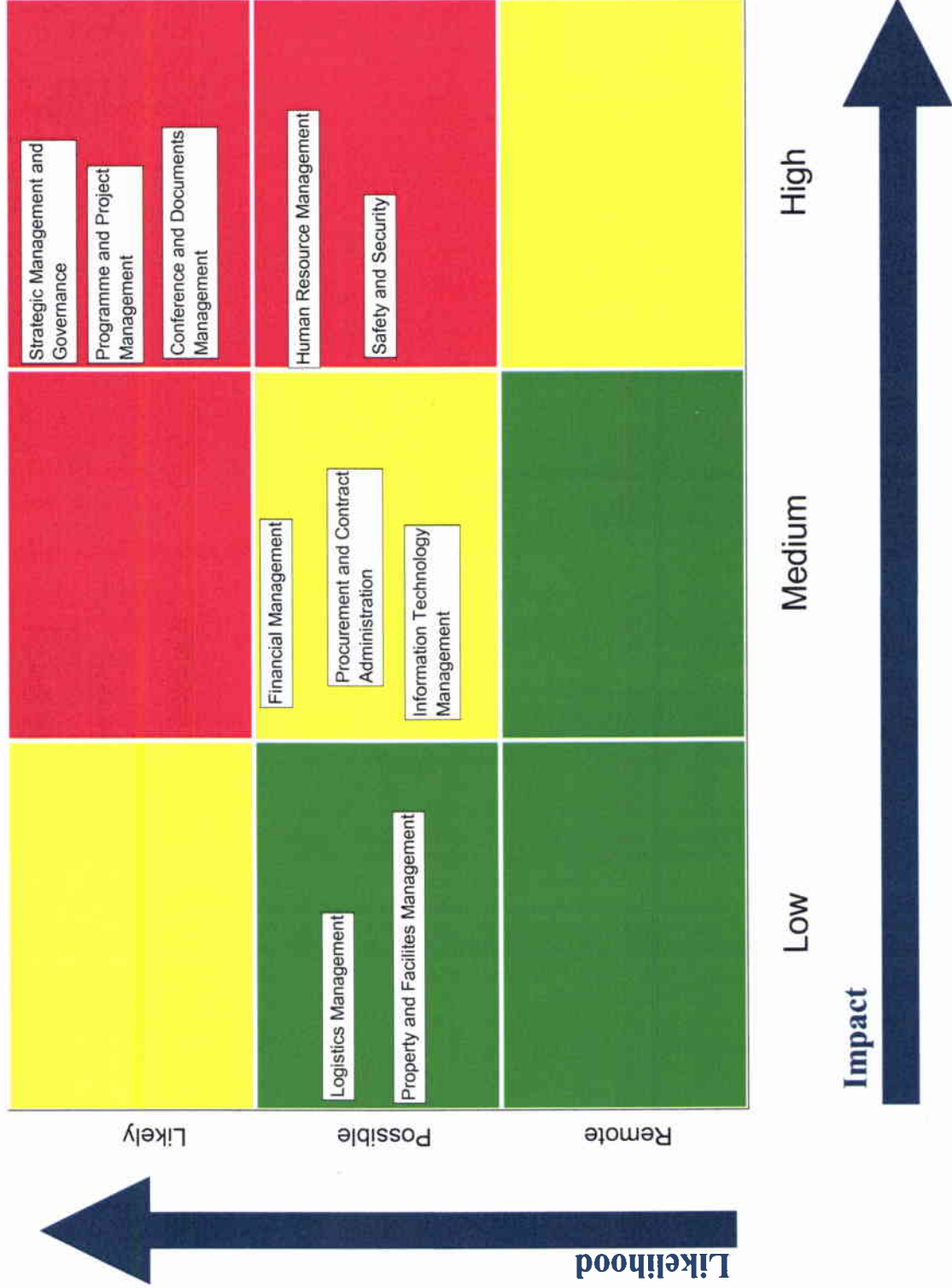
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used are show below:

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 operation, reputation, or funding status
Medium	Significant impact on operations, reputation, or funding status
Low	Less significant impact on operations, reputation, or funding status

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

