



OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

RISK ASSESSMENT

United Nations Office at Geneva

6 June 2008

**Assignment No. AE2007311/01 and
AE2007/312/01**

United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

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

TO: Mr. Sergei Ordzhonikidze, Director-General
A: United Nations Office at Geneva

DATE: 6 June 2008

REFERENCE: IAD: 08- 01389

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



SUBJECT: **Assignment No. AE2007/311/01 and AE2007/312/01 - UNOG Risk Assessment**
OBJET:

1. I am pleased to present OIOS' risk assessment of the United Nations Office at Geneva, which was carried out with the assistance of the consulting services of Deloitte, 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 the United Nations Office at Geneva to use the results of this risk assessment to put in place appropriate risk mitigation measures. OIOS will update the risk assessment periodically, based on subsequent audits or additional information obtained.
3. I take this opportunity to thank the management and staff involved in the risk assessment for the assistance and cooperation provided to the project team in connection with this assignment.

cc: Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS
Ms. Jan Beagle, Deputy Director-General, UNOG
Ms. Aminata Djermakoye, Director, Division of Administration, UNOG
Mr. Vladimir Gratchev, Director, Conferences Services Division, UNOG
Mr. Anders Hjertstrand, Chief, Geneva Audit Service, IAD, OIOS

INTERNAL AUDIT DIVISION

FUNCTION

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

CONTACT INFORMATION

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PARTICIPANTS

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

Table 1: List of participants

Focus Area	Name and Functional Title
Strategic Management and Governance	<ul style="list-style-type: none"> • Mr. Sergei Ordzhonikidze, Director-General • Ms. Jan Beagle, Deputy Director-General • Ms. Aminata Djermakoye, Director, Division of Administration • Mr. Vladimir Gratchev, Director, Conference Services Division • Mr. David Chikvaidze, Chef de Cabinet • Ms. Corinne Momal-Vanian, Senior Political Advisor • Mr. Sergey Shaposhnikov, Chief of Protocol • Ms. Elizabeth Press, Special assistant to the Deputy Director-General • Mr. Alexandre Tsepelev, Executive Officer, Office of the Director, Conference Services Division • Ms. Charlotte Warakaulle, Political Affairs Officer/ Speech Writer, Office of the Director-General
Financial Management	<ul style="list-style-type: none"> • Ms. Kumiko Matsuura-Mueller, Chief, Financial Resources Management Service • Mr. Vilisu Pogozhelskis, Chief, Treasury Unit • Mr. Udon Chantranuwatana, Chief, Finance Section • Ms. Bianca Lattuada, Chief, Programme Planning and Budget Section • Mr. Robert Foort, Chief, Payroll Unit • Mr. Krishnan Venkateswar, Chief, General Payments Unit • Mr. Maasaki Tamaru, Chief, Trust Fund and Technical cooperation Unit • Mr. P. Srethwatanakul, Chief, General Accounts Unit • Mr. Patrick Goergen, Executive Secretary, Staff Mutual Insurance Society • Mr. Armand Cakss, Programme and

Focus Area	Name and Functional Title
	Budget Officer, Programme Planning and Budget section <ul style="list-style-type: none"> • Ms. Adoracion Cipriano, Deputy Chief, General Payments Unit • Ms. Anna Maria Cristescu, Finance Officer, Office of the Chief, FRMS
Human Resources Management	<ul style="list-style-type: none"> • Mr. Ivan Koulov, Chief, Human Resources Management Section • Mr. Oleg Kisselev, Deputy Chief, Human Resources Management Section • Dr. Farida Djelloul, Chief, Medical Services • Mr. Thomas Neufing, Chief, Staff Development and Learning Section • Mr. Sergei Raskalei, Senior Human Resources Officer • Ms. Jaime Kearney-Sassi, Human Resources Officer • Ms. Nadine Chambaz, Human Resources Assistant • Mr. Shuibao Liu, Human Resources Officer • Ms. Jean Marie O'Connell, Human Resources Officer • Ms. Claudia Purpura, Human Resources Officer • Ms. Deborah Dunn, Human Resources Officer • Ms. Annabelle Borg, Human Resources Officer • Ms. Emmanuelle Dupont, Human Resources Officer • Ms. Corinne Bouad, Human Resources Assistant • Ms. Caroline Branco Leal, Human Resources Assistant • Ms. Michele Marbouty, Human Resources Assistant • Ms. Margaret Mahfoudhi, Human Resources Assistant • Ms. Faustine Noël-Edougué, Human Resources Assistant • Ms. Valerie Puzet, Human Resources Assistant • Ms. Nighat Syed, Human Resources Assistant • Mr. Stephen Sadler, Human Resources Assistant

Focus Area	Name and Functional Title
Procurement and Contract Administration	<ul style="list-style-type: none"> • Mr. Anatoli Kondrachov, Chief, Central Support Services • Ms. Caroline Lepeu, Chief, Purchase and Transport Section • Mr. Cyril Cormier, Chief, IT Unit • Ms. Boi-Lan Lemoine, Chief, Procurement and Contracts Unit • Mr. Gerhard Mortier, Procurement Officer
Logistics Management	<ul style="list-style-type: none"> • Mr. Anatoli Kondrachov, Chief, Central Support Services • Ms. Caroline Lepeu, Chief, Purchase and Transport Section • Ms. Tatsukawa Emi, Chief, Transportation, Visa and Travel Unit • Mr. Reto Rinalducci, Chief, Travel Sub-Unit • Mr. Estanislao Cieniewicz, Chief, Administrative Section
Information Technology Management	<ul style="list-style-type: none"> • Mr. Jason Bellone, Chief, Information Communication Technology Service • Mr. Armin Plum, Administrative Officer • Mr. Fausto Fratecelli, Telecommunications Officer • Mr. Launny Gubbins, Information Systems assistant
Programme and Project Management	<ul style="list-style-type: none"> • Mr. Pierre Le Loarer, Chief Librarian, UNOG Library • Ms. Sylvie Jacque, Chief, Information Processing Section, UNOG Library • Ms. Sigrun Habermann-Box, Acting Chief, Registry, Records and Archives Unit
Conference and Documents Management	<ul style="list-style-type: none"> • Mr. Vladimir Gratchev, Director, Conference Services Division • Mr. Alexandre Tsepelev, Executive Officer, Office of the Director, Conference Services Division • Mr. Zhengren Li, Chief, Interpretation Service • Ms. Leila Benkirane, Chief, Publishing Service • Mr. Ala Almoman, Chief, Central Planning and Coordination Service • Ms. Marie-Josée De Saint Robert, Chief, Language Service • Ms. Nadia Abou-Rida-Sparks, Chief,

Focus Area	Name and Functional Title
	<p>Arabic Interpretation Section</p> <ul style="list-style-type: none"> • Mr. Jun Wu, Chief, Chinese Interpretation Section • Mr. Norman Lusted, Chief, English Interpretation Section • Ms. Christiane Debroux, Chief, French Interpretation Section • Mr. Oleg Skoulkov, Chief, Russian Interpretation Section • Mr. Xavier Campos, Chief, Spanish Interpretation Section • Mr. Ethel Levine-Kurland, Chief, Publication, Editing and Proofreading Section • Mr. Clement Gordon, Chief, Printing Section • Mr. Alexei Boubnov, Chief, Distribution Section • Mr. Syed Shamsie, Chief, Information Technology Section • Maggie Wachter, Deputy Chief, Documents Management Section • Mr. Simeon Kyossev, Chief, Meetings Management Section • Mr. Konstantin Tcheglov, Chief, Contractual Work Unit • Mr. Dominique Modaffari, Chief, Evaluation, Statistical Indicators and Data Verification Unit • Mr. Amor BenHadid, Chief, Terminology, Editing and Reference Section • Mr. Ridha Zargouni, Chief, Text Processing Section • Mr. Aly Radwan, Chief, Arabic Translation Section • Mr. Liping Zhao, Chief, Chinese Translation Section • Mr. Graham Hobbs, Chief, English Translation Section • Mary Fretz, Chief, French Translation Section • Mr. Vladimir Parshikov, Chief, Russian Translation Section • Ms. Margarita Doren-Nielsen, Chief, Spanish Section • Mr. Maarij Qazi, Special Assistant to the Director, Conference Services Division

Focus Area	Name and Functional Title
Property and Facilities Management	<ul style="list-style-type: none"> • Mr. Anatoli Kondrachov, Chief, Central Support Services • Mr. Rugerro Gruet, Chief, Building and Engineering Section • Mr Pierre Wipf, Chief, Engineering Unit • Mr Anis Chilbi, Chief, Buildings Unit • Mr. Michel Dechen, Chief, Mail Operations Unit • Mr. Nier-Marechal, Inventory Assistant, • Mr. Estanislao Cieniewicz, Chief, Administrative Section
Safety and Security	<ul style="list-style-type: none"> • Mr. Marc Wood, Chief, Safety and Security Service • Mr. Christopher Ankersen, Deputy Chief, Safety and Security Service • Mr. Roland L'Allie, Office in Charge of Inter-agency Coordination, Safety and Security Service • Mr. Lamine Harouna, Assistant-Chief, Palais Operations and Specialized Interventions, Safety and Security Service • Mr. Jorge Villanueva, Assistant-Chief, External Conferences Security, Safety and Security Service • Ms. Charlotte Laut-Hernandez, Assistant Administrative, Safety and Security Service • Mr. Maurizio Enna, Lieutenant, Safety and Security Service • Mr. Olivier Bruyere, Captain, Specialized Interventions Unit, Safety and Security Service

SUMMARY OF RISK RATINGS

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

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

Table 2: Summary of identified risks

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

RISK REGISTER

Risk Assessment of : United Nations Office at Geneva

1	Focus Area:	Strategic Management and Governance	Likely	High	Higher Risk
Interview/Review Summary (Description of risk)		OIOS Assessment	Risk Category	Impact	Overall Risk
No	<p>Mandate and Mission</p> <p>B (i) Lack of coherence and coordination in the activities of the various UN entities and specialised agencies located in Geneva may result in duplication of efforts, inefficient use of resources, and UNOG not being able to fully achieve its mandate.</p>	<p>The responsibilities of the Director General (DG) are set out in ST/SGB/2000/4. Being the representative of the Secretary General (SG) in Geneva, the Director General is responsible for coordinating UNOG activities with the other UN entities in Geneva. There are five UN funds and programmes and seven specialised UN agencies headquartered in Geneva. Each of these UN entities has a different mandate and reports to individual governing bodies. The DG holds regular meetings with the various ambassadors and the heads of other UN entities and discusses system-wide coherence issues. The Chief Executives Board has authority in ensuring coherence.</p>	Governance	High	Higher Risk
I	<p>B(ii) Lack of clarity in Service Level Agreements (SLA) between UNOG and its clients may result in an expectation gap between what UNOG can deliver and what its clients expect, as UNOG may not adequately address the clients needs as a result of resource limitations or different mandates given by the General Assembly.</p>	<p>There is a Service Level Agreement between UNOG and its clients, as well as many other mechanisms by which clients are being involved and/or informed.</p>	Likely	High	Higher Risk

1	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	<p>Strategic planning</p> <p>A (i) Not all mandates given by the General Assembly may be supported by the necessary financial resources for example the UN has been maintaining a zero growth budget even though activities have been increasing at the duty station, especially with the creation of the Human Rights Council.</p> <p>A (ii) Lack of strategic planning and coordination between Department of Management and UNOG may result in critical issues pertaining to Geneva not being adequately addressed.</p> <p>A (iii) Strategic Framework objectives may be quantitative, unrealistic, and do not measure impact, which may result in gaps between the objectives outlined in the Strategic Framework and the actual work plan of the organisation. For example, most of the sections in UNOG Conference Services Division have identified a mismatch between objectives in Strategic Framework and the actual work plans.</p>	<p>UNOG uses the standard budget policies and procedures of the UN.</p>	<p>Strategy</p>	<p>Possible</p> <p>Possible</p>	<p>High</p> <p>High</p>	<p>Higher Risk</p> <p>Higher Risk</p>

1	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
No III	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Control Environment</p> <p>B (i) Lack of a systematic Enterprise Risk Management process could lead to UNOG not managing its risks and opportunities adequately.</p> <p>B (ii) Lack of a proper control environment in UNOG could result in weak governance, lack of accountability or breaches in ethical conduct.</p> <p>B (iii) Ineffective system of administration of justice may result in a perception of inequality, unfairness, and lack of recourse for staff.</p>	<p>This has been identified as a UN wide problem. Efforts are currently underway by the Department of Management to come up with a Risk Management Framework for the UN Secretariat.</p> <p>The inherent risks in the control environment were reflected in the UN integrity survey conducted in 2004. Town hall meetings were held at UNOG to address the survey results, both at the UNOG organization level and at the level of the services. In addition, the DG started to include related issues in his weekly meetings with the UNOG senior management committee.</p> <p>A new justice system is currently being put in place. This is related to the UN Organization as a whole.</p>	Governance	Possible	High	Higher Risk
	<p>A (i) If business processes are not reviewed and aligned to the new platform, Enterprise Resource Planning (ERP) may not be implemented successfully and timely in Geneva</p>	<p>ERP is in the process of being implemented by an entity other than UNOG. However, UNOG actively participates in the preparations as per SG's report A/62/510.</p>	Strategy	Possible	High	Higher Risk
	<p>C(i) Inadequate systems for monitoring compliance with UN Regulations and Rules may result in inefficiencies or breaches of rules.</p> <p>C(ii) Different or inconsistent interpretations of UN Regulations and Rules may result in inconsistent actions by clients and UNOG.</p>		Compliance	Possible	High	Higher Risk

1	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
No IV	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Organisation structure</p> <p>B (i) Dual reporting lines of the various Division Directors may result in gaps in accountability and may adversely affect the ability of the DG to effectively discharge his responsibilities.</p> <p>B (ii) Lack of a long term administrative solution for the post of Deputy Director General may have implications on the efforts to strengthen management capacity at UNOG.</p>	<p>According to the ST/SGB on UNOG, the various Chiefs of the Division of Administration, Conference Services, Security, Library and Public Information report to the DG on the day to day administration of their respective Services. However, on substantive issues of policy etc the various chiefs report directly to the USGs of DM, DGACM, DSS and DPI respectively.</p> <p>In an effort to strengthen the overall management capacity and coordination among the organizations of the Secretariat in Geneva, to address current managerial challenges, and to enhance the role of the UN in Geneva in advancing system-wide coherence, the SG's note (SG/A/1100), was announced that the SG had appointed a Deputy Director General of the United Nations Office at Geneva. GA resolution A/RES/62/236 dated 20 February 2008 requested the Secretary General to restore the Deputy Director General post to UNCTAD.</p>	Governance	Likely	Medium	Higher Risk

1	Focus Area:	Strategic Management and Governance		Likely	High	Higher Risk
No V	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Client services</p> <p>E (i) Failure to meet client satisfaction due to the perception that UNOG is unresponsive or may not respond promptly, may result in clients interpreting and applying the rules and procedures incorrectly or trying to deliberately circumvent them.</p> <p>E(ii) Lack of planning by UNOG clients may adversely impact the ability of UNOG to deliver services or the quality of services delivered by UNOG.</p> <p>E(iii) Insufficient and irregular monitoring of the performance of the MoU with clients may result in under-delivery and clients' dissatisfaction with UNOG.</p> <p>G(i) UNOG may lack the information technology systems to provide timely and accurate management information to clients.</p>	<p>UNOG clients may seek delegation of authority for administrative functions if they perceive that UNOG is not meeting their needs. Clients have sought and obtained delegation of authority in certain administrative areas. OCHA was recently granted delegation of authority for the 200 series staff in the field. Other entities have been granted delegation of authority in the past and some are still awaiting delegation to ensure operational effectiveness and better use of resources. According to UNOG, authorities are delegated only if there are operational reasons for them and if commensurate capacity exists.</p> <p>UNOG FRMS reviews the Memorandums of Understanding with different clients, including performance indicators agreed between UNOG and their clients.</p>	Operational	Possible Possible	High High	Higher Risk Higher Risk
			Information Resources	Possible	High	Higher Risk

Risk Assessment of : United Nations Office at Geneva

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>Trust Fund Management</p> <p>E (i) Aged Administrative Instructions (ST/AIs) and SG Bulletins (ST/SGB) governing the trust funds may not fully reflect the current realities.</p> <p>E (ii) Guidelines and instructions available may not be sufficiently clear and concise resulting in difficulties in interpretation and implementation of procedures for the management of Trust Funds.</p> <p>E (iii) Difficulties in interpretation and implementation of procedures for Trust Fund management may result in inefficiencies and loss of opportunities to receive contributions.</p> <p>C (i) Donors may not agree with the standard conditions incorporated in the standard UN funding agreement and so may not comply with the agreement, which can make managing the trust funds inefficient and ineffective.</p> <p>D (i) Reporting procedures may be inadequate to ensure timely expenditure reporting from the field, resulting in UNOG's inability to provide accurate and timely information to donors resulting in donors unwilling to provide future funding.</p>	<p>In the various reports submitted to the GA, it is clear that the UN is more dependent on XB resources and this has been fully emphasised by the former Secretary General, in his reform report "Investing in the United Nations". The TF Reform (Action 24) has been launched and a good part of the work has been completed or is in progress.</p> <p>Expenditure monitoring is in Geneva headquarters.</p>	<p>Operational</p> <p>Compliance</p> <p>Financial</p>	<p>Likely</p> <p>Likely</p> <p>Likely</p> <p>Possible</p>	<p>High</p> <p>High</p> <p>High</p> <p>Medium</p>	<p>Higher Risk</p> <p>Higher Risk</p> <p>Higher Risk</p> <p>Moderate Risk</p>	

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	Accounting and financial reporting			Possible	Medium	Moderate Risk
	<p>E (i) Failure to involve offices away from Headquarters regarding the implementation of the new IPSAS accounting standards may result in lack of clarity and consistency.</p> <p>E (ii) Lack of awareness on budgetary/accounting knowledge may lead certifying officers to certify transactions against improper codes or financial period.</p>	<p>The Chief Executives Board (CEB) has established a taskforce for the adoption and implementation of International Public Sector Accounting Standards (IPSAS). UN Secretariat, is playing an active role in the task force.</p> <p>FRMS requires further review of account charges before finalizing financial reports.</p>	Operational	Likely	Low	Moderate Risk
	<p>D (i) Delays in bank account reconciliations may cause errors in financial reporting.</p>	<p>The Account Unit is responsible for the bank reconciliations. The bank reconciliation process is automated and completed on a monthly basis in a timely manner. UNOG currently maintains only limited number of bank accounts.</p>	Financial	Possible	Low	Lower Risk
	<p>C (i) Lack of adequate follow-up on long outstanding receivables may render them uncollectible and may cause loss of financial resources to the UN.</p> <p>C (ii) Failure by the substantive offices to report to FRMS of receipt of contributions in kind may render the financial statements inaccurate.</p>	<p>FRMS coordinates with substantive offices and sends regular reminders for outstanding receivables. Regarding the uncollectible receivables, after thorough follow up and for justified reasons, recommendations are made to the UN Controller for write off.</p> <p>FRMS reminds offices to submit the cases of contributions in kind to the UN Controller for his prior approval to accept them in compliance with procedures on the matter, and to ensure complete reporting.</p>	Compliance	Possible	Medium	Moderate Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No III	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Payments</p> <p>E (i) Erroneous processing of benefits, reimbursements and invoices for the purchase of goods and services may result in incorrect payments or overpayments.</p> <p>E (ii) Failure of departments to provide accurate information on a timely basis could result in the inaccurate processing of payments and inaccurate financial statements.</p> <p>E (iii) Personnel may certify or approve payments which are above their authority.</p>	<p>The current IMIS system is not fully reliable to ensure correct payments. UNOG has developed the "Diagnostic System", which verifies the accuracy of the processed payments. This system is run every day and generates reports which are then sent to all concerned staff through email for appropriate corrective action. Any errors found in the certification of the payments are brought to the attention of the certifying officer before payments are approved by the approving officers. The certification and approval functions is a control mechanism.</p> <p>Though careful examination prior to approval is exercised by approving officer in FRMS, exceptional actions are sometimes required to keep payments within deadlines.</p> <p>The certifying authorities list is regularly reviewed and updated. FRMS has developed a system of Delegation of Authority through which an updated list of Certifying and Approving Officers will be maintained by FRMS and matched to IMIS.</p>	Operational	Possible	High	Higher 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
	Budgeting C (i) Budget authorizations may be approved prior to or without getting the contributions.		Compliance	Remote	Low	Lower Risk
		<p>Staffing approvals could be based on the budget authorizations without the matching contributions. Procedures for the authorization of allotments and staffing table are well established and in place. There is a control to check how much income the department has, to see if there will be enough money for the post. Division of responsibilities exist to perform the calculations and approval functions.</p>				

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>D (i) Lack of agreement with the local salary level revisions could result in poor staff morale.</p> <p>D (ii) High salary levels in the local labour market, if significantly exceeding those paid to UNOG staff, could result in loss of staff at UNOG.</p> <p>D (iii) Incorrect costing of services rendered by UNOG could lead to wrong billing and loss of funds to the UN.</p>	<p>There are detailed and complex procedures in place for salary revisions. This is one of the additional responsibilities of the Budget section. A wide and detailed salary survey is performed every five years. The administration and the staff union are parties to this process. There is a cross check of salary rates in the local market. A panel of salary experts goes through the results and makes a determination as to the proper salary levels. The final salary revisions are then recommended to the Executive Heads for implementation.</p> <p>In the past 20 years, local market salaries were frozen more than once, but were never subject to major increases. In any event, the local salary levels are periodically monitored and revisions/adjustments, if needed, are made to local GS salary levels.</p> <p>The Budget Section does the costing of administrative services in accordance with the established methodology reflected in the MOUs, and duly verified, before bills are sent to creditors.</p>	Financial	Remote	Low	Lower Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No V	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>UN Staff Medical Insurance Scheme (UNSMIS) C (i) Staff members may submit fictitious or inflated medical claims in order to seek payment of inappropriate or increased claims, which could lead to potential fraud or loss to UNSMIS.</p>	<p>Under UNSMIS, substantial part of the claims processed by UNOG relate to medical expenditures incurred in Switzerland and France where strict regulations are in place for malpractices in the medical profession. UNSMIS also receives considerable reimbursement claims from staff members assigned to field missions from all parts of the globe, which are sometimes complicated or unclear due to different medical environment and billing practices across the globe. In general, operating procedures and system features are in place to specifically detect potential fraudulent cases. In case of doubts concerning the very existence of regulatory status of a provider or rates applied, the Medical Insurance Unit calls on the UNOG Medical Services Section to further investigate the correctness of the bill presented before processing the payments. The Medical Insurance Unit also regularly monitors the reimbursement claims of individual staff members and any spike in the claims is flagged.</p>	Compliance	Possible Likely	High Medium	Higher Risk Higher Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
No	<p>G (i) Crashes of the Health Insurance Information System (HIS) currently used in the Medical Insurance Unit, which is run on the older version of the application, may lead to losing information on the claims/reimbursements made. This could severely affect the functioning of the medical insurance scheme.</p> <p>G (ii) Lack of an offsite backup for the Medical Insurance database and the absence of a business continuity plan could result in delays to the restoration of processing or in a loss of system data.</p> <p>G (iii) Lack of regular and timely back-up of HIS may result in loss of data held on the system</p> <p>G (iv) Loss of members data may result in the inability to check members medical data and history resulting in payments above the annual allowances</p>	<p>FRMS has launched a project to migrate HIS to a new platform, which is currently under procurement process.</p>	<p>Information Resources</p>	<p>Possible</p>	<p>Medium</p>	<p>Moderate Risk</p>
	<p>D (i) Medical Insurance Unit may have insufficient contributors to meet an unexpected increased volume of claims for reimbursement, which may result in the non-payment of claims and loss of confidence in the scheme.</p> <p>D (ii) Inadequate revision of the medical insurance premiums on a regular basis may result in liquidity problems.</p> <p>D (iii) Failure to review the level of reserves to confirm their adequacy may result in insolvency of the medical insurance scheme.</p>	<p>There are mechanisms in place to revise the medical insurance premiums on a regular basis depending on the reimbursement patterns and projected financial position. Actuarial valuations are conducted regularly to assess the adequateness of the reserves to meet future liabilities taking into account the full spectrum of parameters (age, inflation, investment returns, population changes, etc). Furthermore, the cumulative surplus amounts to \$37.8 million.</p>	<p>Financial</p>	<p>Remote</p>	<p>High</p>	<p>Moderate Risk</p>

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
A (i)	Failure in adopting the industry best practices for medical insurance operations may lead to the total collapse of the scheme.	All decisions taken in managing the Medical Insurance scheme are done in accordance with industry's best practice.	Strategy	Remote	High	Moderate Risk
VI	<p>Treasury</p> <p>B (i) Inadequate management of risks pertaining to the UNSMIS investments could result in under-performing and/or inappropriate investments.</p>	<p>UNOG Treasury handles only investments for UNSMIS. A part of these investments (26%) is managed by an external fund manager. The rest of the funds are invested by UNOG in bonds (40%) and short-term deposits (34%), for which it is the responsibility of the Treasurer to make proper investments and monitor as well as conduct risk management. In addition, both monitoring and risk management are also undertaken by an internal Investment Review Group that meets quarterly and by a Cash Management Review Group that meets on a monthly basis. The investment review group verifies the compliance with the UN Investment Guidelines and UNSMIS Investment Strategy and advises the Treasurer, while the Cash Management Review Group monitors and advises on the requirements of various investment operations among others (e.g. replenishment from HQ). The addition of the Deputy Treasurer which is being recruited will enable the Unit to strengthen its risk management.</p>	Governance	Possible	Medium Low	Moderate Risk Lower Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (i) Incorrect information relating to disbursements may result in payments being made to wrong persons or vendors.</p> <p>E (ii) Contributions may not be properly identified and coded leading to inaccurate financial reports and delay in the release of funds to start projects or activities.</p>	<p>Disbursements are made through automated system and controls exist in the form of multiple signatories for releasing payments. Cash payment is an exception in UNOG, which limits the chances of irrecoverable payments.</p> <p>Coordination is regularly made with substantive programmes to ensure correct identification of contributions received.</p>	Operational	Possible	Medium	Moderate Risk
	D (i) Misuse of the authority by the bank signatories, either intentionally or unintentionally, could result in loss or misappropriation of funds.	The selection of banking signatories is a strict process in which credible and qualified officials are authorised.	Compliance	Remote	High	Moderate Risk
	F (i) Limited number of Treasury staff could cause a lack of segregation of duties between Treasury and investments.	<p>In recent years, the Treasury has been strengthened with a few GS posts and one RB post at P-3 level and an upgrade of the RB post of Treasurer from P-3 to P-4. Furthermore, in 2005 a review was undertaken with an external consultant for this purpose. The recommendations have been implemented.</p>	Human Resources	Remote	Medium	Lower Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No VII	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
VII	Payroll D (i) Failure or inordinate delays by the responsible officials of the various departments to notify payroll about staff changes may result in inappropriate salary payments to staff members. D (ii) Exchange rate fluctuations may result in risk of loss of salary value due to the fact that for the Geneva based Professional staff members salary payments are calculated in US Dollars and disbursed in Swiss Francs. D (iii) Significant exchange rate fluctuations in the USD/CHF rate (outside of the normal monthly updates to the official UN exchange rate) requires the payroll calculation process to be restarted and could result in the late payment of salaries. D (iv) Failure of UN Headquarters to transfer adequate funds on a timely basis could result in the late payment of salaries.	The information relating to the staff changes like transfer, termination, expiry of the contract etc has to be provided by the respective departments. This is further processed and certified by UNOG HRMS. The Payroll unit relies on the timely (within the payroll deadline) and accurate provision of information by HRMS, Budget and relevant departments / sections. Timelines for payroll are provided to the departments. It is one of the responsibilities of the Treasury to monitor the fluctuations in the exchange rate and makes appropriate moderations if the exchange rates are highly fluctuating. This may affect the payroll processing, but may not delay the payments. There are procedures in place in the Payroll Unit to deal with mid month revaluations and this has proved to be sufficient. The cash requirements forecasts are done on a regular and timely basis. UNHQ's Accounts Division and Treasury are notified well in advance and the UBS informed accordingly. There are standard mechanisms in place to ensure the transfer of funds to meet the payroll deadlines.	Financial	Possible Possible	Medium Medium	Moderate Risk Moderate Risk

Risk Assessment of : United Nations Office at Geneva

3		Focus Area:	Human Resource Management		Possible	High	Higher Risk
No		Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I		Human Resource Strategy		Strategy	Possible	High	Higher Risk
		<p>A (i). Lack of strategic planning between UN entities, in particular DM-OHRM and UNOG HRMS, may cripple each individual entity's ability to address critical human resource challenges and lead to the collective failure of the UN Secretariat to implement reform initiatives.</p> <p>A (ii). Lack of succession planning in the UN could cause a severe impact on institutional knowledge, and loss of technical and managerial skills.</p>	<p>UNOG has delegated authority for the day-to day operations of human resources management. On all strategic issues, including reform, UNOG participates in decision making process. For example, UNOG was part of HRM reform working group for the past two years and is a standing member of SMCC and DM Managers Forum. This process helps to ensure the successful implementation of reform initiatives.</p> <p>The Organization has policies for succession planning. For example, all posts that are to become vacant due to retirements have to be advertised at least 6 months prior to becoming vacant.</p> <p>Within the next five years approximately 26% of P-5's and 39% of Director level UN managers will retire. Managers are grappling with how to translate the two year Strategic Framework and work force plan within the UN Secretariat to addressing the needs at the micro level, and defining requirements for hiring and developing qualified staff to assume these leadership roles.</p>	Strategy	Possible	High	Higher Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>A (iii). HRMS management may be unable to do adequate strategic planning, implement self-evaluation and monitor operations, make process improvements, conduct workload analysis to assess optimal operational structures, and equitable distribution of functional tasks, and prioritizing of work.</p>					
	<p>A (iv). Lack a well defined UN strategy and mandatory training program for the development of management and leadership skills may result in weak management culture.</p>	<p>There is a training strategy within the available resources. DM-OHRM has a list of mandatory training for managers.</p>				
	<p>A (v). Inability to implement training strategy for UN Secretariat staff members regarding organizational cultural, values, and ethics may result in staff misinterpreting or being unaware of UN rules, regulations and policies.</p>	<p>The Organization has well defined core values and competencies on which staff members' performance is assessed. Given the cultural diversity, there is no formal programme for staff to understand the ethos of the organization but mandatory training programmes on such issues like ethics and integrity, harassment, and discrimination, contribute to this goal.</p>				

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	<p>Human Resource Administration</p> <p>E (i). Lack of uniformity and standardization in Human Resource processes may result in different interpretations and some leeway in judgment by HRMS staff and rules being applied differently which may lead to the perception of unfair treatment by HRMS client staff.</p> <p>E (ii). Lack of a central location for pertinent Human Resource related rules and regulations may make it difficult for staff to understand Human Resource policies and procedures.</p> <p>E (iii). Too many manual and mundane processes, as well as layers of review and approval may distract management and staff from improving work processes, increasing efficiency, and improving job satisfaction.</p> <p>E (iv). Communication between HRMS and DM-OHRM may not be optimal affecting the quality of services that HRMS delivers to staff.</p>	<p>UN Staff Regulations and Rules are in place. Staff rules can be found on-line in the HR handbook which is accessible to all.</p> <p>Staff have been given more authorizations to approve certain personnel actions.</p>	Operational	Possible	High	Higher Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (v). Delineation of responsibilities between HRMS staff and client department staff for human resource processes may cause misunderstandings and consequent delays.</p> <p>E (vi). Layers of controls (approvals, IMIS input, reviews by HRMS, FRMS, and CSS), and obsolete processes may outweigh the benefits resulting in inefficient and time consuming processes.</p>	<p>Client Administration provides information to their staff regarding HRMS policies.</p> <p>Review and approval function is exercised by both FRMS and HRMS. The Business Process Review conducted in the context of introduction of ERP is addressing this issue globally.</p>				
	<p>G (i). The practice of submitting email request for HRMS services may result in important HR actions such as contract extensions to be missed, entitlements not paid, or salaries not paid.</p>	<p>IMIS is used as the source of most PAs, and provides a way to track and monitor such actions.</p>	Information Resources	Possible	Medium	Moderate Risk
	<p>C(i). Lack of formal training for new Geneva based client staff members on human resource processes, could contribute to staff members' lack of understanding of how the process works.</p>	<p>UNOG has orientation classes for staff new to Geneva and more detailed training for staff working in the field. Geneva based staff members are provided with a 2-day training four times a year.</p> <p>New staff members are given a hard copy of the Staff Rules & Regulations when they join.</p>	Compliance	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B (i). Inadequate oversight, monitoring and tracking of staff members' use and accrual of annual and sick leave, as well as authorization and approval for overtime, may result in abuse.</p>	<p>UNOG clients and staff use paper based processes to keep track of annual and sick leave, and may not have a process to track, approve or authorize overtime. There is currently a pilot project in HRMS and ICT on e-leave to help mitigate this risk.</p> <p>Leave balances for staff is considered as an employee benefit and a liability for the organization. With the introduction of the new accounting standards both UNOG HRMS and FRMS will be responsible for assuring the accuracy of leave balances. UNOG managers are responsible for proper recording.</p>	Governance	Possible	Medium	Moderate Risk
III	<p>Recruitment</p> <p>G (i). The Galaxy system may no longer be the right tool to facilitate the recruitment needs of the UN which may result in prolonged vacancies and failure to achieve mandated activities.</p> <p>G (ii). Lack of staff may hinder HRMS' ability to develop and maintain rosters of candidates, which is a specialised and tedious task.</p> <p>G (iii). The maintenance and use of roster in Galaxy for eligible candidates may not be fully understood or utilized by Programme Case Officers.</p>	<p>Work is underway to replace Galaxy with the new Talent Management System.</p> <p>It is felt that the Galaxy system screening process provides sufficient guarantee that the candidate who is recruited has the experience and knowledge for the post.</p> <p>Rosters are maintained by the HRMS staff responsible for recruitment of CSD. The rosters are useful due to the volume of GTA and Short term contracts used to support the CSD.</p>	Information Resources	Possible	High	Higher Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (i). The high volume of short term contracts may have a tremendous impact on the workload of HRMS.</p> <p>E (ii). Short lead times to initiate recruitment actions may hinder HRMS staff from adequate facilitation of the hiring process for clients and the selection of the appropriate candidate.</p> <p>E (iii). Gender and geographic distribution rules for regular posts may be deliberately avoided by managers by hiring short-term staff to fill regular posts vacancies in lieu of going through the lengthy recruitment process to fill a regular post.</p> <p>E (iv). The hiring of temporary staff to bypass regular staff hiring requirements may result in employing an individual who may not have qualified under the regular competitive process.</p>	<p>The use of short term contracts may be exacerbated when regular staff is on Special Post Allowance, secondments, or assignments outside of the UN.</p> <p>Short-term staff may be hired to temporarily fill a position because of the lengthy delays associated with hiring of a full-time staff.</p> <p>Posts can be advertised before they are vacated.</p>	Operational	Likely	High	Higher Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(v). Short lead times for recruitment of staff to meet the immediate needs of the Conference Service Division (CSD) may present unrealistic expectations on HRMS staff, and if not met, result in dissatisfaction by CSD.</p> <p>E(vi). The use of General and Temporary Assistance (GTA) staff and Short Term contracts in CSD may result in a high volume of personnel actions that must be processed.</p> <p>E(vii). Contract extensions for GTA staff and Short Term staff may increase the volume of personnel actions that must be processed.</p> <p>E(viii). There may be insufficient time to assess qualifications and to run background checks on GTA staff given the short notice, and urgent need to hire staff to support the Conference Services Division.</p>					

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(ix). Delays in receiving notification from HRMS clients on upcoming vacancies could prolong the recruitment process.</p> <p>E(x). Urgent or unreasonable demands, lack of follow-up or delays in the review of applicants by PCOs may delay the recruitment process, giving the impression that HRMS is not client focused.</p> <p>E(xi). Slow, cumbersome and rigid recruitment processes coupled with uncompetitive salary packages could lead to inability to attract highly qualified staff.</p>	<p>Client departments assist in publishing of posts. HRMS, along with managers, may also plan for recruitment actions due to retirement. The UN has a mandatory retirement age, thus hiring can be planned and is generally announced nine months in advance, longer than the requirement of six months. Offices are also required to submit their request for extension of retirees' contracts at least 30 days prior to retirement effective date per memo of 13 Nov 2007 of the Director, Operational Services Division, DM-OHRM.</p> <p>Vacancy announcements remain in Galaxy for 60 days, a General Assembly mandated requirement. To prevent delays from happening, HRMS collaborates and interacts with their clients to deliver required vacancy management and job classification services. Vacancy management unit is working on reducing the recruitment cycle to a target of 120 days. Time has already been reduced from 170 to 123 days and some divisions are serviced in 118 days.</p>				

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>A (i). Lack of an overall UN Secretariat recruitment policy could hinder the organizations ability to attract qualified staff, and to systematically address issues such as geographic representation.</p> <p>A (ii). Gender and geographic balance requirements may place a cumbersome burden on the programme managers, which may lead to inefficiencies and delays in recruitment.</p> <p>A(iii). The various criterias imposed on recruitment (cycle time, gender balance, geographical distribution) may not be adequately prioritised with the requirements for the job resulting in possible conflicts.</p>	<p>Currently, Galaxy is the primary method for recruitment within the UN Secretariat. There is now an organizational objective for a recruitment policy or campaign to specifically attract applicants.</p>	Strategy	Possible	High	Higher Risk
	<p>B (i). Perceptions may exist that recruitment of senior managers are based on favouritism, cronyism, or nationality, which may lead to low morale among the staff.</p> <p>B (ii) Lack of transparency and honest and open communication in the hiring process may result in low staff morale and consequently low productivity.</p>	<p>Recruitment is done in accordance with the relevant UN Regulations and Rules, and other administrative issuances.</p>	Governance	Possible	High	Higher Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IV	<p>Managed Mobility</p> <p>B (i). Mobility policies may be subject to management's interpretation, resulting in inconsistencies in implementation of these policies and conflicts between programme managers and HRMS officials.</p> <p>B (ii). The implementation of mobility policies may be viewed as unfair by staff if there is no proper adherence to a clear set of rules, which may cause staff to mistrust management.</p> <p>B (iii). Managers may view mobility as a loss of investment and knowledge, resulting in management finding ways to circumvent the rules.</p> <p>B(iv). The Mobility programme may be subject to abuse by organizations who do not want to retain certain staff members.</p>	<p>Broad interpretations of the mobility policies the reassignment of staff from one client to another without a substantial change in duties could fulfill the mobility requirement.</p> <p>Mobility guidelines describe the process in detail.</p>	Governance	Possible	High	Higher Risk
	<p>E (i). HRMS staff may believe the effort expended in managing the mobility program outweighs the benefits resulting in this being seen as a wasted undertaking.</p> <p>E (ii). Given that recruitment can be a lengthy process this may further exacerbate the mobility process, once a staff member leaves the post may remain unencumbered for six months or longer.</p>	<p>HRMS is responsible for maintaining staff work history within the UN, and for inputting and maintaining the data in e-fact sheet. The e-fact sheet is an electronic process and contains detailed document setup to facilitate the management of mobility purposes.</p>	Operational	Possible	High	Higher Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No V	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	Entitlements			Possible	Medium	Moderate Risk
	<p>C (i). Entitlements may be subject to abuse by staff members.</p> <p>C (ii). Disparities in the application or interpretation of entitlement rules may produce discrepancies and inconsistencies in the processing of entitlements.</p> <p>C (iii). Criteria of what constitutes an accurate and complete submission for the request of entitlement may not be known to staff resulting in the submission of improperly completed request.</p>	<p>There are manual and automated mechanisms in place by both HRMS and FRMS to prevent fraud and abuse.</p>	Compliance	Possible	Medium	Moderate Risk
	<p>E (i). Complexities involved in reviewing documentation to substantiate staff request for processing education grants may be tedious and lengthy, and may impact the effectiveness and efficiency of other HRMS work.</p> <p>E (ii). Recourse for staff appealing against the denial/disapproval of an entitlement may be slow and result in discontentment.</p> <p>E (iii). Paper-based entitlement requests could result in data errors and consequently incorrect payment of entitlements.</p>	<p>The UN Common System has a pilot underway for lump sum education grant, but there are still challenges in determining how to administer lump sum payments.</p> <p>HRMS is planning to use more automated calculations to reduce errors. In addition, 1-2 staff members of FRMS review calculations to ensure accuracy and provide for consistency.</p>	Operational	Possible	Medium	Moderate Risk
	G (i). Duplicate or improper payments to staff members may result if there is a lack of visibility within IMIS of claims filed by staff members relocating from one duty station to another.	The automation of calculations for some grants may help with paying the proper amount.	Information Resources	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
VI	HR Service Delivery			Possible	Medium	Moderate Risk
	<p>E (i). The allocation of work, the complexities involved in servicing a particular organization, and insufficient HRMS staffing may result in disparities of services provided to clients.</p> <p>E (ii). Numerous human resource processes and controls may affect quick and transparent delivery of services to clients.</p> <p>E (iii). The customized services of HRMS in terms of individual service may add to the level of complexity and, consequently, impact the delivery and timeliness of HRMS services.</p>	<p>The concept of the "one stop shop" in HRMS was implemented to service clients better. Some HR staff members specialize in sick leaves and other specific processes, but most of the HRMS staff work on all aspects of human resources, which allows them to have a better understanding of each staff member and their career.</p>	Operational	Possible	Medium	Moderate Risk
	<p>A (i). Delegation of Human Resource Management Services of UN Secretariat organizations may lead to duplicate Human Resource Management functions being performed by multiple entities.</p>		Strategy	Possible	Medium	Moderate Risk
	<p>F (i). Staffing shortages may result in delays in processing requests, erroneous information, and communication problems.</p>		Human Resources	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
VII	Training and Knowledge Sharing within HRMS			Possible	Medium	Moderate Risk
	<p>F(i). Lack of formal training for new HRMS staff may result in a lack of understanding regarding the application of UN rules and regulations.</p> <p>F(ii). Workload constraints and insufficient staffing may leave little time for HRMS staff to share knowledge, learn best practices, and network with human resource colleagues from other duty stations.</p>	<p>HRMS staff learns their trade by reading rules and regulations, on-the-job training by colleagues, internal guidelines, and pairing with mentors or experienced colleagues.</p> <p>HRMS staff is recruited through a competitive selection process and one of the evaluation criteria against which candidates are assessed is the knowledge of UN Rules and Regulations.</p> <p>Induction training takes place 4 times a year and is delivered by SDLS.</p> <p>There is some knowledge sharing within the office amongst assistants. A group was recently sent to UN Vienna to work on e-tools.</p> <p>A knowledge sharing online platform exists but needs further development.</p>	Human Resources	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No VIII	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Information Management Systems</p> <p>G (i). Galaxy may be cumbersome and slow to use particularly when reviewing a large number of applicants, causing further delays in the recruitment process.</p> <p>G (ii). HRMS and administrative staff may make up for limitation of IMIS by resorting to paper-based records to facilitate accessing and reporting information as a result IMIS may be considered as obsolete.</p> <p>G (iii). Lack of visibility within IMIS of claims filed by staff members relocating from one duty station to another may lead to duplicative or improper payments to staff members.</p> <p>G (iv). Late receipt of IMIS scripts when staff move from one duty station to another could lead to erroneous, or duplicative payments</p> <p>G (v). Lack of automation of many HR processes may result in human error.</p> <p>G (vi). There may be a lack of standardization of working practices within HRMS in dealing with IMIS.</p>	<p>The implementation of the ERP is seen as an opportunity for improving processes.</p> <p>EZ-HR, an automated tool available to HRMS managers, allows for the retrieval of information pertaining to staff working within the Secretariat but located at other duty stations.</p> <p>A project is underway in HRMS to automate calculations aimed at minimizing risk.</p>	Information Resources	Possible	Medium	Moderate Risk
	C(i). Management may not effectively use E-PAS as a management tool for performance, resulting in an undependable and unreliable performance management system.	Part of the programme managers' performance evaluation is compliance with ensuring that PAS requirements are fulfilled in their departments.	Compliance	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (i). IMIS may not be used as the official database for the recording and maintaining of staff members' accrual of annual and sick leave, or compensatory.</p> <p>E (ii) Manual record keeping of staff member's annual, sick, or overtime balances by administrative staff may be inaccurate, subject to abuse, and lack proper oversight by managers, as well as HRMS.</p>		Operational	Likely	High	Higher Risk
IX	<p>Staff Development and Learning Section</p> <p>D (i). Insufficient resources provided to SDLS may result in their inability to provide mandatory or other necessary training.</p> <p>D (ii). Lack of competitiveness of consultant daily fees might impact SDLS' capability to attract the best trainers.</p>	<p>Training has been given an important place on the HR Reform agenda. SLDS implements core training (centrally managed by DM-OHRM). The vast majority of mandatory training is on-line which alleviates pressure on staffing requirements.</p>	Financial	Possible	Medium	Moderate Risk
	<p>F (i). SDLS may not have sufficient core staffing to deliver mandatory and unplanned training requirements directed by the UN Secretariat.</p> <p>F (ii). Implementation of managed mobility may pose a loss of institutional knowledge for SDLS.</p> <p>F (iii). The high number of short term staff in SDLS may contribute to a knowledge drain because staff may come learn the system and not be retained at the end of their contract period.</p>	<p>There are mitigating controls to keep the knowledge in the department as much as possible, such as shared drives to save documents; knowledge sharing activities; and sharing the outcome of important meetings.</p>	Human Resources	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (i). Improper needs assessment may result in training needs of Geneva based organizations not being met.</p> <p>E (ii). Lack of access to ePAS training information completed by staff and management may prevent SDLS from being informed of individual training objectives and inhibit SDLS ability to assess the global needs of staff in Geneva.</p> <p>E (iii). Evaluation techniques used to rate SDLS provided training may be inadequate, and may not be able to measure the impact of training on staff performance.</p> <p>E (iv). During peak periods training space in the SDLS facilities may be inadequate.</p> <p>E (v). Lack of adequate and convenient parking may limit the SDLS ability to attract students, and deliver required training to Geneva based clients.</p>	<p>Assessing the needs of staff in terms of training is now possible because a link for SDLS staff to access training information in ePAS was recently developed.</p> <p>A training evaluation is completed after each course.</p> <p>With the new Learning Management System follow up will be easier to manage. The "Open University" concept is functioning in Geneva.</p> <p>SDLS has managed to not have the parking spaces reduced but are aware that this issue might come back in the future.</p>	Operational	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
X	Medical Services			Possible	Medium	Moderate Risk
	<p>E (i). Some staff may be exposed to hazardous working conditions which may pose a threat to their health and safety, such as staff in publications, maintenance and security.</p> <p>E (ii). The UNOG medical staff who previously reported to a medical doctor at WHO may have to adjust to a new work culture, produce budgets, argue for resources, and carry out other responsibilities for which doctors have not been trained and may compromise the delivery of services.</p>	<p>Staff are monitored by health services and required to have routine exams.</p> <p>Precautionary measures are taken and staff is provided with travel kits when going to certain areas, and mission briefings are given. Medical check ups are also carried out every other year.</p> <p>For staff above 55 years old, check ups take place on an annual basis. Staff members with chronic diseases such as arthritis and infectious disease have to come in for regular check ups.</p> <p>The newly created Section has now organized itself, notably by creating a database to allow for budget planning and reporting. Detailed statistics have allowed UNOG Medical Services to charge the small organizations they cater to.</p>	Operational	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>A (i). Duplication of medical services by different UN based Geneva organizations may result in inefficiencies in the provision of medical services.</p> <p>A (ii). The decision-making process regarding medical care and treatment of staff may be impaired if the UNOG administrative staff does not possess the medical knowledge to render appropriate decisions.</p> <p>A (iii). Inconsistency in hierarchical levels compared to other Medical Services, responsibilities, and grade classification may negatively impact medical staff motivation and the visibility of the section.</p>	<p>Each medical service/section now has its own laboratory (3 now versus one originally in place), its own Medical section/ services and therefore its own medical staff.</p> <p>Memorandums of Understanding (MOU) between UNOG and the extra-budgetary funded organizations like ITU are in place for the delivery of medical services.</p> <p>The Chief Medical Officer acts as Medical Adviser to the Health Insurance covering international civil servants. It provides advice and recommendations on different cases in accordance with the regulations in force. Medical Services is represented at weekly meetings with the Executive Secretary of the Health Insurance to examine current cases. It serves on the Executive Committee at monthly meetings to deal with particular issues. The Chief Medical Officer has provided such advice leading to the reimbursement of costs of various treatments and preventive measures.</p>	Strategy	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B (i). Perceptions may exist that there is a lack of recourse for staff to appeal medical decisions outside of the Medical Section where decisions are rendered.</p> <p>B (ii). Staff reluctance to come to the Medical Centre for consultation may be a result of perceptions that the Chief, Medical Section has many roles, which may impact her independence.</p>	<p>There is an Independent Medical Board responsible for such appeals composed of a doctor from the UNOG Medical Section, the staff member's private doctor, and a third independent doctor hired by UNOG to render decisions.</p> <p>The Medical Section has the right to oppose the verdict of a medical doctor.</p>	Governance	Possible	High	Higher Risk
XI	<p>Appeals and Decisions</p> <p>B (i). Staff taking their cases to the press, when HRMS renders unfavourable decision during the appeals process, may affect the UN's reputation.</p> <p>B (ii). Staff member who receives disciplinary actions may retaliate (verbally or physically) against other UNOG staff.</p> <p>B (iii). Lack of transparency, segregation of duties, and lack of independence with the appeal process may result in staff feeling they do not have real recourse because HRMS also serves as the programme manager.</p>	<p>Preventive actions are taken by the legal staff at HRMS to avoid non compliance with rules that may bring about legal allegations against the United Nations. The legal staff tries to raise awareness of regulations with staff members regarding conduct and disciplinary cases.</p> <p>When an administrative decision is taken concerning a staff member, they are required to write to the Secretary-General a request of a contested administrative decision within two months of the Appellant receiving notification of the decision (Staff Rule 111.2 (a)). The staff's statement of appeal goes to the Joint Appeals Board (JAB) through its secretariat. Under the Rules of Procedure of the Geneva Joint Appeals Board (24 November 2006), the Respondent of an appeal should submit a written reply within two months of receipt of the appeal. The JAB secretariat shall forward the reply to the Appellant and/or the Appellant's Counsel within one month when the Appellant is in Geneva, or two months in all other cases.</p>	Governance	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
		<p>The Rules have provisions for amicable resolutions, dates for various actions on a case, constitution of the Panel, hearings of the case and the Panel's report to the Secretary-General, including their conclusions and recommendations, and announcement of the Secretary-General's decision, among others.</p> <p>A new appeal process is planned for implementation in 2009.</p> <p>A Secretary General's Bulletin prohibiting discrimination, harassment, including sexual harassment, and abuse of authority was issued on 11 February 2008 (ST/SGB/2008/5).</p>				
	<p>F (i). There may be an insufficient number of staff members to fulfil legal tasks related to human resources which could create backlogs and delays in responding to claims or appeals.</p>		Human Resources	Possible	Medium	Moderate Risk
XII	<p>Legitimation Card</p> <p>E(i). Delays in obtaining legitimation cards for staff travelling from Geneva on mission at the beginning of their appointment may cause delays in receiving Visa's and reflect poorly on the image of the organization.</p> <p>E(ii). Delays in the issuance of cards to short term staff, and interns in particular who may not receive their legitimation cards until close to the end of their contract date may impact a staff's ability to find living arrangements.</p>	<p>The Swiss mission issues legitimation cards. The length of time is solely dependent on the processing of applications at the Swiss mission.</p>	Operational	Possible	Low	Lower Risk

3	Focus Area:	Human Resource Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	C(i). Lack of procedures or instructions for the return of the card may result in cards not being returned, because staff are not aware of the procedures.	Request departments to contact staff member to request the return of the card.	Compliance	Possible	Low	Lower Risk
	F (i). In the event of sickness or other reasons of absence by the staff in the Legitimation unit, UNOG clients may experience delays in their applications, and the backlog builds up until staff return. F (ii). Inadequate procedures to address work flow during staff absence may result in delays.		Human Resources	Possible	Medium	Moderate Risk

Risk Assessment of : United Nations Office at Geneva

4	Focus Area:	Procurement and Contract Administration	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likeli- hood	Impact	Overall Risk
I	Procurement Unit Management		Possible	High	Higher Risk
	E (i) Lack of policy on the "Greening the United Nations" initiative may result in contradictory procurement awards that may affect the credibility of UNOG.	Currently, on a case-by-case basis, requisitioners may incorporate environmental factors in their evaluation criteria.	Possible	High	Moderate Risk
	B (i) Insufficient participation by the Procurement Unit in the ERP specification process may contribute to the non suitability of the ERP to the operations of the Procurement Unit. B (ii) Failure to delegate authority to appropriate functions and to a sufficient number of staff which may impact on the effective operations of the unit. B (iii) The structure and functions of the Procurement and Contracts Unit may not be reviewed and adapted to changing client needs and could lead to inefficient and uneconomical procurement.	One member of the procurement staff participated in the ERP consultation meetings for 1 week. The Chief of Procurement Unit is a P4 and has delegated authority up to \$75,000, can also sign contracts above \$200,000 that have been reviewed and approved by the Committee on Contracts. Contracts between \$75,000 and \$200,000 have to be signed by the Chief PTS (up to \$150,000) or the Chief Central Support Services Section. The Chief Central Support Section (CSS) regularly reviews the structure. In 2007 some changes were made and the invoice processing unit was transferred to the Administrative Section of CSS.	Possible	High	Higher Risk

4	Focus Area:	Procurement and Contract Administration		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Likelihood	Impact	Overall Risk
	<p>C (i) Staff may not be aware of the UN rules and regulations on code of conduct, gifts and hospitality may lead to non-compliance affecting the credibility of the UN.</p> <p>C (ii) The "zero –tolerance" policy regarding staff involved in the procurement process accepting gifts could have an impact on the development of relationships between Procurement Staff and vendors or partners resulting in a loss of opportunities.</p>	<p>Trainings were provided to Procurement staff and requisitioners in 2007 and January 2008 to raise awareness of the need to comply with ethics and code of conduct guidelines. The issue was also covered in the trainings offered to requisitioners in 2007.</p> <p>The Procurement Manual section 4.2 states the policy on procurement.</p>	Compliance	Possible	Medium	Moderate Risk
	<p>D (i) Insufficient funds to train Procurement staff may result in staff not having the appropriate skills and knowledge of latest procurement practices to deliver efficient and cost effective procurement.</p>	<p>OIOS audit of 2007 found that individual training plans for the staff in procurement had not been developed due to lack of funding.</p>	Financial	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>F (i) Inability to control the UN managed mobility plan may lead to the loss of skilled and experienced procurement staff to achieve the Procurement and Contract unit's operations.</p> <p>F (ii) Difficulty in identifying suitable candidates for temporary replacements of staff deployed on mission may result in inadequacy of staffing levels.</p> <p>F (iii) Inadequate staffing levels may result in the Procurement and Contracts Unit not being able to deliver timely procurement actions or be fully compliant to all guidelines in the United Nations Procurement Manual.</p>	<p>The UN Mobility programme may include movement of staff across functions especially for General Service staff.</p> <p>According to the administrative instruction (ST/AI/2007/2) on mobility there is room for Program Managers to negotiate for longer occupancy periods for a post if it can be justified. However this would not be relevant if the staff chose to participate in the mobility plan.</p> <p>The need for UN wide procurement performance benchmarks has been raised in prior audit reports of OIOS, Board of Auditors and Joint Inspection Unit.</p> <p>In the last two years, procurement reforms have resulted in many changes to the Procurement Manual, including the vendor registration process, documentation of the procurement process and reporting etc.</p>	Human Resources	Possible	High	Higher Risk
	<p>G (i) Lack of a monitoring system to track the timeliness of procurement actions may lead to inability to detect inefficient procurement actions and take timely corrective action.</p>	<p>The Procurement and Contracts Unit has stand-alone systems to monitor procurement activities undertaken by different staff members, to monitor status of ongoing procurement actions and to generate reports on workload statistics. The Procurement Manual provides estimates of processing timelines in accordance to the type of procurement process used.</p>	Information Resources	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
II	<p>Local Committee on Contract</p> <p>E (i) The Committee on Contracts members may not have sufficient knowledge of the Procurement and Financial rules and Procurement Best Practice which could result in ineffective review of procurement cases.</p> <p>E (ii) Appointment of non-French speaking Committee Of Contract (COC) members may require translation of cases that are documented in French and this could affect the effectiveness including cost-effectiveness of the review process.</p>	<p>The Chairman and most members of the Committee on Contracts (COC) have long experience as committee members.</p> <p>Training sessions were held in 2008 for the committee members. Members are also notified whenever there are changes to the Procurement Manual.</p>	Operational	Remote	Medium	Lower Risk
III	<p>Procurement Planning</p> <p>C (i) Inadequate consolidated planning of procurement activities as a result of failure by requisitioners to provide annual procurement plans which may lead to inefficiencies arising occur when requirements are split into several formal or informal tenders (normally low value procurement) which should have been tendered as a whole.</p> <p>C (ii) Delays and hurried procurement activities may result in UNOG not achieving the best value for money.</p>	<p>Annual reminders to requisitioners to submit procurement plans are sent.</p>	Compliance	Likely	High	Higher Risk
IV	<p>Vendor database maintenance</p> <p>B (i) Absence of an UN system-wide policy on sharing the list of blacklisted vendors could result in awarding contracts to such vendors, which could affect the credibility of the United Nations.</p>	<p>The UN financial regulations and rules govern procurement actions.</p>	Operational	Likely	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>C (i) Lack of preparation of Vendor performance reports by requisitioners may result in lack of timely action by the Procurement and Contracts Unit following poor performance of vendors.</p> <p>C (ii) Inadequate evaluation of new vendors may lead to awarding of contracts to vendors who may not be financially stable and could result in non secure contracts that may lead to losses.</p>	<p>Follow up reminders may be sent however OIOS audit on procurement found that vendor performance reports were not prepared on a regular basis as required by the Procurement Manual.</p> <p>Checks made to ensure vendors properly registered before awarding of contract however, OIOS audit of Procurement in 2007 noted cases where vendors who had been provisionally registered were awarded contracts.</p>	Compliance	Possible	High	Higher Risk
	<p>E (i) Errors in the vendor database may lead to vendors not receiving bid documents or vendors being invited to bid for incorrect products which could result in low vendor response rates and consequently less competition.</p> <p>E (ii) Inadequate procedures for selection, retention and removal of vendors from the vendor database may lead to unreliability of the database as a tool for identifying vendors.</p>		Operational	Possible	Medium	Moderate 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
V	<p>Procurement process</p> <p>A (i) The procurement process may be perceived as non transparent by bidders, which may result in reduced participation over time and may limit the scope for competition.</p> <p>A (ii) The UN requirements and procedures for submitting bids are lengthy and may discourage vendors from submitting bids, which may lead to reduced level of competition.</p> <p>A (iii) Swiss regulations limit international competition and may lead to UNOG's inability to comply with the initiative to promote geographical diversity, and encourage procurement from the less developed countries, thus affecting UNOG's image.</p> <p>B (i) Manipulation of the procurement and bidding process through fraudulent and corrupt activities may not be detected and could lead to significant financial losses.</p> <p>B (ii) Lack of clarity on the use of best value for money procurement principle may result in inconsistencies in the application of the principle as well as non-compliance with the Procurement Manual and could lead to procurement actions that are not cost effective.</p>	<p>The Procurement website provides details of how and to whom vendors may complain in case of dissatisfaction with the procurement process.</p>	Strategy	Possible Likely	Medium Medium	Moderate Risk Higher Risk
		<p>Effective review by the authorised officers helps to mitigate this risk.</p> <p>A new version of Procurement Manual was issued in December 2007 which provides more details and explanations of the best value for money principles.</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>C (i) The breakdown of larger purchases into smaller lots to speed up procurement process and to avoid procurement controls may result in inefficient procurement activities that may not be cost effective.</p> <p>C (ii) Statement of work or terms of references submitted by requisitioners may be prepared to favour certain vendors and may result in failure to achieve the best value for money.</p> <p>C (iii) The lack of familiarity of the Procurement rules by the requisitioners may result in delays in the finalization of procurement actions.</p> <p>C (iv) Conflict of interest situations could lead to procurement decisions that may not be objective and cost effective.</p>	<p>Procurement actions above \$30,000 require the use of formal methods of solicitation and those above \$200,000 have to be reviewed by the Committee On Contracts.</p> <p>Guidance on preparation of statement of requirements are included in the Procurement Manual.</p> <p>The Procurement Manual includes all the guidelines and details of responsibility of the requisitioners.</p> <p>UNOG carried out a training session for requisitioners in 2007.</p>	Compliance	Possible	Medium	Moderate 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) Failure by requisitioners to define requirements clearly may lead to subsequent cancellation of the Procurement and/or dispute with vendors and could result in losses.</p> <p>E (ii) Inability of requisitioners to estimate costs may result in insufficient budget which could lead to cancellation of the procurement process and consequently bad reputation with the vendors.</p> <p>E (iii) Underestimation of costs may result in use of a solicitation method that is not commensurate to the actual cost which could lead to failure to achieve best value.</p> <p>E (iv) The UN Procurement process is long and could cause client dissatisfaction and lead to delays that may affect the clients operations.</p> <p>E (v) The delegation of authority and the accountability framework may not be clearly understood which could lead to uncertainty of who should be held accountable for failures in the procurement process.</p>	<p>The Procurement process provides an opportunity for vendors to seek clarification through questions and site visits. Responses to the questions or clarifications given are distributed to all invited vendors.</p> <p>ST/AI/2004/1 addresses the issue of delegation of authority. Procurement Authority is delegated in accordance to the threshold guidelines in the procurement process. Delegated authority is issued to individual staff members to hold them personally accountable.</p>	Operational	Possible	High	Higher Risk
	<p>E (vi) The recent procurement fraud cases, such as those investigated by the Volcker Commission and OIOS Procurement Task Force, may cause "fear" and may also have contributed to a rise in the level of scrutiny and review and consequently increase in the length of the procurement process.</p>					

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
VI	Contract management and administration			Possible	Medium	Moderate Risk
	C (i) Payment for goods and services may not be in conformance to the contracts and could result in overpayment.	The risk is mitigated by the invoice processing process which includes certification by requisitioners, review by the invoice processing unit in the Central Support Section and approval by Finance officers. Invoices are to be received and processed by the Administration Unit within the Central Support Section.	Compliance	Possible	Medium	Moderate Risk
	E (i) Lack of a contracts register may lead to difficulty in monitoring contract amounts and expiration dates and could result in failure to control and manage the costs and failure to renew the contracts on a timely basis. E (ii) The contracts terms and conditions may not be clearly documented which may result in failure to detect incorrect invoices or increase the risk of disputes with vendors and fraud. E (iii) Contracts may not include penalties and other safeguards that would minimize losses in case of non-performance.	For long term contracts or large contracts when purchase orders are used they include several attachments such as emails and other correspondence where clarifications of the contract terms were provided. Since 2005, penalties and performance bond clauses are included in the contracts for example pouch building, gate 30 and the mail operations building.	Operational	Possible	Medium	Moderate Risk

4	Focus Area:	Procurement and Contract Administration		Possible	High	Higher Risk
No VII	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Procurement IT Systems</p> <p>F (i) Reliance on a single person to support the procurement system, Reality, may impact operations in the event of the departure or absence of the staff.</p>	<p>CSS has requested Human Resources to exempt the IT staff responsible for supporting Reality from the mobility programme.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>G (i) Unauthorised access and changes to the vendor database may not be detected.</p>	<p>The system maintains access logs therefore unauthorised access may be detected.</p>	Information Resources	Likely	High	Higher Risk
	<p>G (ii) Inadequate training of staff on information Technology tools may cause lack of knowledge that may result in deletion or corruption of data and affect the Procurement Unit's operations.</p>	<p>The risk is minimised by regular backups done on a daily basis, which make it possible to recover data in case of loss.</p>	Information Resources	Remote	Medium	Lower Risk
	<p>G (iii) Interface of two independently developed systems, the "Integrated Management Information System" (IMIS) and the Procurement IT system (Reality), may lead to incomplete or inaccurate processing of information.</p>	<p>The Central Support Service IT unit has several monitoring tools to ensure that systems are working correctly. Automated reports are issued to show that there is no break down in the IT system chain. These reports are checked on a daily basis by CSS ITS unit and errors identified corrected.</p>				
	<p>G (iv) The developer of the Procurement IT system, Reality, may go out of business or stop providing support for this application which may result in inability to resolve issues or enhance its use.</p>	<p>Reality is over 10 years old but its maintenance and evolution are currently still active. The planned implementation of ERP will replace its use.</p>				

Risk Assessment of : United Nations Office at Geneva

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	Transport	A (i) Retention of goods for further inspection or resolution of disputes by receiving country's customs may result in financial penalties.	To minimise the impact of such events, Transport sub-unit staff try to maintain good relationships with transporters to improve early notification of losses or damages and to increase the likelihood of a quick resolution.	Strategy	Remote	Low	Lower Risk
	E (i) Lack of adequate segregation of the requisition and procurement roles in the procurement for transporters could lead to fraud and subsequent financial losses.		Bulk of the work in the transport unit is related to shipment of staff personal effects on appointment or separation. The rest is official shipment of general merchandise. The Transport Unit and not the procurement unit requests for quotations for each shipment.	Operational	Remote	Low	Lower Risk
	E (ii) Inadequate control over storage of goods may result in theft, loss or damage of goods leading to increased costs.		The Transport sub-unit ensures that appropriate insurance is in place to cover the risk of theft, loss or damage of goods in transit.				

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (iii) Failure by vendors or staff members to provide sufficient and accurate information of shipments of goods for UN use or as part of personal entitlements may lead to delays and additional costs.</p>	<p>The Transport sub-unit staff spends a great deal of time liaising with clients and forwarders to ensure that there have been no changes to requirements or shipping arrangements.</p> <p>The introduction of the lump-sum option for staff members has significantly reduced the number of claims.</p> <p>Processing of transport invoices was previously done by a staff within the transport sub unit. This function has now been transferred to the Administrative unit within the Central Support Services Section.</p> <p>Due to specific technical understanding required for transport invoices, initially this caused delays of up to three months. This has been resolved as the Invoice Processing Unit has become familiar with processes and going forward the risk is minimal.</p>				
	<p>C (i) Attempts by staff to bend or break rules to achieve maximum financial benefit, or lack of understanding of these rules, may result in non-compliance with regulations and could lead to increased costs.</p>	<p>Entitlements are clearly stipulated in the administrative instructions and staff rules and regulations.</p> <p>Introduction of the lump-sum options significantly reduces this risk as approximately 80% of staff opt for the lump-sum.</p>	Compliance	Remote	Low	Lower Risk

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F (i) Loss or non-availability of a Transport sub-unit staff may lead to inability of the Transport Unit to deliver quality and timely services to staff.</p> <p>F (ii) Implementation of the mobility policy, which limits staff to five years in one post, may affect quality and timeliness of services</p>		Human Resources	Possible	Medium	Moderate Risk
II	<p>Travel</p> <p>D (i) Changes in the airline market and in the pricing strategy and terms of airlines may prevent the Travel sub-unit from meeting cost saving targets and may lead to unforeseen increase in expenses.</p> <p>D (ii) Unforeseen circumstances may cause changes to travelling plans which could in turn lead to additional costs.</p>	<p>Factors considered to have an impact on the ability to meet targets include supply and demand, competition, harmonization, currency fluctuations, service standards, yield management, fare conditions, flight cancellations, deliberate overbooking, connections and fare increases.</p> <p>This is managed through close observation of changing market trends and conditions. It may be possible to minimise the impact of such changes within the terms of the travel policy.</p>	Financial	Possible	Medium	Moderate Risk
	<p>B (i) Inadequate assessment of the needs for business travel may result in wasted funds if spent on unnecessary travel.</p>	<p>Entitlement travel such as on appointment, repatriation, home leave, etc. are clearly outlined in the staff rules and the administrative instruction on official travel. Official travel is required to be approved in writing by the heads of department before they take place.</p> <p>Quarterly reports on official travel of staff at Assistant Secretary General and above and by all heads of missions must be submitted to the Executive office of the Secretary-General</p>	Governance	Possible	Medium	Moderate Risk

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	C (i) Personal interests and preferences may lead to failure to comply with travel policy which could result in higher fare costs.	The Travel sub-unit worked towards a compromise agreement.	Compliance	Possible	Low	Lower Risk
	E (i) Late receipt of Travel requests may lead to additional costs. E (ii) Staff members' failure to include sufficient information in the travel requests may cause delays in process that may lead to failure to obtain the best fare options and prices. E (iii) Inadequate selection process of a new travel agent may lead to the Travel Unit's failure to deliver quality and timely operations especially in the short term. E (iv) Failure to notify the Travel sub-unit of changes in travel plans, including cancellations, may lead to failure to reclaim the cost of unused tickets.	The Administrative instructions address the need for timely submission of travel requests. Reminders are issued to staff each time they submit their travel. Reminders are issued to staff regarding the need to provide all required information in travel requests. Carlson Wagon-lit has been the travel agent for UNOG for the past 10 years. The contract with Carlson Wagon-lit will end in 2008. In compliance with Procurement rules the Travel Sub-unit is preparing a new bid to find the best travel agent to serve UNOG.	Operational	Possible	Medium	Moderate Risk
	F (i) The demanding and stressful nature of the work in the Travel Unit may affect the staff and consequently the operations of the unit.	The Human resource staff welfare unit is available to help staff cope with stress factors if they chose to use this service.	Human Resources	Remote	Medium	Lower Risk
	G (i) Failure of the Information Technology systems may lead to delays and inability to obtain competitive fares.	Other systems and sources of information is used.	Information Resources	Remote	Medium	Lower Risk

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
No ill	<p>Visa processing and issue of Laissez-Passer</p> <p>E (i) Lack of adequate controls over the issuance of multiple Laissez-Passer (LP) documents or the failure by holders to return such documents could lead to misuse which could in turn affect the credibility of the document and lead to reputation risks to the UN.</p> <p>E (ii) Failure by staff members to submit complete, accurate and timely visa applications may lead to delays in the receipt of visas or denial of visas. This may cause changes to the travel plans that could lead to increased costs.</p>	<p>Staff have to return LPs as part of the check out process. Failure to return is a risk mainly for LPs issued to consultants.</p> <p>The intention is to replace the current LP document with one containing biometric information about the holder.</p> <p>The risk is mitigated by the fact the Visa and UNLP database is integrated with the one in New York and other duty stations in Europe.</p>	Operational	Remote	High	Moderate Risk
IV	<p>Official vehicles</p> <p>A (i) Inadequate security of UN vehicles may lead to attacks and kidnappings.</p> <p>C (i) Misuse of vehicles for personal reasons or unauthorised travel may lead to additional costs and could cause outsiders to view it as misuse of resources and therefore lead to reputation risks.</p> <p>E (i) Road accidents during private use of official vehicles may lead to financial costs and even loss of life.</p> <p>E (ii) Inappropriate behaviour by the drivers may affect the reputation of the United Nations.</p>	<p>The occurrence of attacks and kidnappings are considered unlikely in Geneva.</p> <p>UNOG restricts the use of official vehicles to official purposes and does not have a system in place to charge for the use of vehicles for private use.</p> <p>The Drivers drive for high ranking officials and diplomats. No serious accidents have occurred in the past.</p> <p>The Drivers are well trained and no incidences of bad behaviour have been reported in the past.</p>	Strategy	Remote	High	Moderate Risk
			Compliance	Possible	Medium	Moderate Risk
			Operational	Remote	High	Moderate Risk

5	Focus Area:	Logistics Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	Risk Category	Likelihood	Impact	Overall Risk
V	Mail operations		Remote	High	Moderate Risk
	C (i) Leakage of sensitive information to the public as a result of loss, destruction or transfer to wrong recipient of sensitive mail may affect the reputation of the UN.	Compliance	Remote	High	Moderate Risk
	E (i) Lack of scanning of incoming diplomatic pouches may lead to failure to detect any chemical, biological and explosive materials therefore exposing the Geneva operations to such attacks. E (ii) External factors, such as unavailability of courier providers, for example in case of bankruptcy, may cause delays in mail deliveries. E (iii) Delays in paying invoices for courier services may lead to the courier company's refusal to deliver the mail before payments are done.	Operational	Remote	Medium	Lower Risk
	F (i) Inadequate knowledge of global mail operations by staff members may affect the efficiency and effectiveness of mail operation functions in the short term if the only knowledgeable person is absent. F (ii) Implementation of the mobility policy without adequate arrangements for training and handover may affect the efficiency and quality of service provided by the Mail Operations. G (i) Failure of the IT system, Mail Ops system, may affect the operations of the unit.	Human Resources	Remote	Medium	Lower Risk
		Information Resources	Remote	Low	Lower Risk

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6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>ICT Structure</p> <p>B (i) Lack of a cohesive local information and Communications Technology (ICT) governance structure at UNOG may generate redundancy and prevent economies of scale.</p> <p>B (ii) Lack of adequate governance may prevent ICT from evolving and following the required pace in technology innovation, which may also impede the quality of services provided to the users.</p> <p>C (i) Policies and procedures as set up by UNOG ICTS may not always be properly followed by the various UN entities, resulting in uncoordinated ICT strategies.</p>	<p>A UNOG ICTC exists, but this body has not been operational.</p> <p>ICT reform exists on paper and the project has been in progress for 2 years, but it has not yet been approved.</p>	Governance	Likely	Medium	Higher Risk
II	<p>ICT Planning and Organisation</p> <p>D (i) The UN regular budget cycle is inflexible and may cause inefficiencies when allotments expire if not spent before the end of the biennial budget period.</p> <p>D (ii) ICT lacks an optimal cost recovery mechanism, policy or procedure which may lead to failure in fully meeting the needs of all stakeholders.</p>	<p>The UN is currently updating the ICT strategy. UNOG is adequately represented in the Committee. UNOG ICTS is working in tandem with the Headquarters in developing its own strategy.</p> <p>The ICT budget process is governed by the UN Financial Rules and Regulations.</p>	Compliance	Likely	Medium	Higher Risk
			Financial	Possible	Medium	Moderate Risk

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F (i) Shortage of qualified personnel and prolonged vacancies with staff carrying out multiple tasks may lead to lack of segregation of duties and management override of controls.</p> <p>F (ii) Lack of communication between HRMS and ICTS in respect of terminated employees may lead to terminated employees still having access to the system.</p> <p>F (iii) Recruitment rules and regulations do not always allow the right people to be recruited at the right time therefore resulting in stalled projects and ineffective and inefficient use of financial resources.</p>	<p>The reorganisation of the Service has resulted in significant segregation of duties.</p> <p>There is a formal procedure in place for staff members leaving the Geneva duty station (through retirement, separation of service or transfer between duty stations).</p> <p>Projects are normally planned to start on January 1st in alignment with the biennial budget cycle.</p>	Human Resources	Possible	High	Higher Risk
III	ICT Development/Acquisition and Implementation			Possible	Medium	Moderate Risk
	<p>C (i) Policies and procedures, if not always followed or if bypassed, may result in ICTS losing clients and opportunities and control over the UN IT systems.</p> <p>D (i) The biennial UN budget system may have a negative impact on certain ICT projects that span over two to five years life cycle.</p> <p>D(ii) There may be a lack of flexibility and liberty for spending the funds in alignment with a course being taken.</p>	<p>Budgeting is done on a 2 year basis using the UN Financial Rules and Regulations.</p>	Compliance Financial	Remote Possible	Low Low	Lower Risk Lower Risk

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>A (i) Lack of control on ICT investments and application developments may lead to in-house application development to take place with no appropriate coordination and control.</p> <p>A (ii) The existing ICT infrastructure may not have the capacity to provide the necessary support for the implementation of some new initiatives, making those initiatives unaffordable to the organisation.</p> <p>A (iii) Absence of standardization of core application systems and hardware platforms at the duty station may lead to a non optimal use of funds.</p>	<p>A local ICTC as envisaged by ST/SGB/2003/17 has been formed at the Geneva duty station level to oversee and influence ICT developments within the UN but it has not been operational.</p>	Strategy	Likely	High	Higher Risk

6	Focus Area:	Information Technology Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
IV	<p>ICT Security, Disaster Recovery and Business Continuity</p> <p>G (i) Lack of a secondary backup facility and failure to carry out full periodic recovery exercises may lead to unavailability or loss of data.</p> <p>G (ii) The data centre is located in an unsecured area, which poses a risk both in terms of confidentiality and availability of data.</p> <p>G (iii) Unauthorised persons may gain access to ICT equipment/Data Centre or Telecommunication equipment such as PABX resulting in unauthorised modifications, disclosure or destruction of information assets.</p> <p>G (iv) Staff with user rights on their workstation can potentially install software that may be harmful to the entire network.</p> <p>G (v) Staff with user rights on their workstation can remove unauthorized information with a consequent loss of reputation for the organisation.</p> <p>G (vi) The UN public website may be subject to malicious attack or hacking, which could impact on its reputation and image.</p> <p>G (vii) Lack of a complete corporate information security policy may hamper the implementation of cost effective and efficient risk mitigation activities.</p>	<p>There is an ongoing project for such a facility in Spain, but this has been delayed.</p> <p>There is a plan for this data centre to be moved. The completion is expected in 2009.</p> <p>In line with requirements of ISO27001, ICTS has implemented physical access control procedures to protect the PABX room and ICTS Data Centre assets. This includes magnetic card access to the rooms and access control procedures. For logical access, ICTS have implemented password policies, screen savers, access rules through the A/D systems and firewalls.</p> <p>With administrative rights, staff can download executable files and install software.</p>	Possible	High	Higher Risk

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>G (viii) Failure to delete all data and software from computers that are sent for recycling may lead to leakage of confidential information that could affect the reputation of the organisation.</p> <p>G (ix) Unauthorised changes to Network devices may cause severe impact on the integrity, confidentiality and availability of the network and valuable data residing on the network.</p>	<p>ICTS has implemented MacAfee anti-spy ware and antivirus on all ICTS desktops. The settings for the anti-virus are controlled centrally and staff are not allowed to disable nor change the configuration of the anti-spy ware and anti-virus software.</p> <p>ICTS has implemented numerous Information security awareness programs for all ICTS staff as a part of its ISO27001 certification exercise. All ICTS staff are aware of their information security responsibilities. However, Staff outside ICTS have not been adequately trained in information security.</p> <p>Currently access control, including Demilitarized Zone (DMZ), firewalls, and checkpoints is applied to areas where there are levels of authority.</p> <p>ICTS has implemented an Information Security Policy in coordination with UNHQ/ITSD.</p>				

6	Focus Area:	Information Technology Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
		<p>Between April 2006 and September 2006, several information security risk assessment studies were conducted at ICTS which resulted in the identification of mission critical functions, security practices and organisation vulnerabilities.</p> <p>UNOG ICTS obtained ISO /IEC 27001 Certification in January 2008.</p> <p>All desktop, laptop computers and servers returned to ICTS have their hard drives routinely cleaned before they are reissued, donated or disposed. ICTS follows the DBAN tool which is compliant with the U.S. Department of Defence 5220.22-M requirements.</p> <p>All network devices are adequately protected. Physically, all critical network devices are locked in physical rooms. All switches are also accessed using SSH for secure communications and are using strong passwords in line with the ICTS password policy. Vulnerability assessment is also performed on a regular basis to detect any changes to the Network.</p>				

Risk Assessment of : United Nations Office at Geneva

7	Focus Area:	Programme and Project Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Public information services		Possible	Medium	Moderate Risk
	<p>E (i) Conflicting and contradicting messages may be provided to the media as there is no immediate consultation possible due to the time difference between UNOG and UN Headquarters.</p> <p>E (ii) In some countries, lack of awareness and understanding on what the UN does among the media community may seriously limit the effectiveness of UN's role and functions.</p> <p>E (iii) Lack of qualitative analysis on the contents and the relevance of the issues covered by the UN system activities in Geneva and disseminating information without this analysis may lead to non delivery of right message about the UN functions.</p> <p>E (iv) Insufficient controls over who is the authorised person to disseminate information and brief the press could cause unauthorized staff distributing the wrong\ inappropriate information resulting in damage to the reputation of the Organisation.</p> <p>E(v) Through errors in archiving procedures, important and historical documents not scheduled to be destroyed may be destroyed.</p>	<p>DPI in Geneva mainly covers the UN activities in the areas of economic, social and human rights agenda. There are mechanisms for coordination in consulting and exchanging information among the various Geneva based agencies. However, it is difficult to have a real-time consultation with DPI New York. Nonetheless, there is a process of consultation between UNOG and UN Headquarters before a statement is made but, this is not always possible in emergency situations like in Darfur, Chad and Algeria. DPI Geneva also cross verifies with their counterparts in UN headquarters before disseminating any news item.</p> <p>Dissemination of timely and accurate information is one of the major functions of the United Nations Information Centres established in many Member States. UNICs establish periodic and regular contacts with the local media.</p>	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management			Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
II	Library services				Possible	Medium	Moderate Risk
	<p>E (i) Lack of adequate space in the Palais des Nations may result in the library not fulfilling its major mandates in terms of managing UNOG's records and archives and supporting the information needs of UNOG staff, conference delegates and staff of the Permanent Missions.</p> <p>E (ii) Damage to historical documents would destroy the institutional memory of the United Nations and of the League of Nations. Such damage to vital records would affect the functioning of the Organization, as well as affecting the reputation of the Organisation.</p> <p>E (iii) Lack of knowledge among the staff members in the various departments and services about the policies and procedures relating to archiving of records may result in the loss of important and vital documents. This may also limit the knowledge management processes in UNOG.</p> <p>E (iv) Important and historical documents not scheduled for destruction may be destroyed.</p>	<p>There are concerns with such things as fire, flooding, insect and mould damage. There is an emergency plan in place to salvage documents damaged by flooding. The dry conditions were noted to keep insects away. There are regular inspections of documents including an agreement with security to monitor the storage rooms. Off-site storage of these documents is currently considered a necessity, due to the lack of storage space within the UNOG buildings.</p>		Operational	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E (v) Digital file formats (i.e. Word and PDF) currently used in archiving official UN documents for long term storage, will become obsolete over time making the files impossible to retrieve.</p> <p>E (vi) Electronic records may be lost, as no electronic records management system is available.</p>	<p>UNOG follows the UN archiving policy and procedures. Even though ST/SGBs have been issued they are not well-known among the various user departments and services. These rules are posted on the intranet. In addition, focal points for archiving documents have been established in some user departments. It is the responsibility of the respective offices to ensure that the important documents are archived properly and that no unauthorized destruction is processed.</p> <p>Retention policies exist for all records transferred to the UNOG Library. Some documents are retained for 5 years, 10 years and some for longer periods. When documents are received in the archiving section, they are retained according to the retention schedule. Before documents are destroyed, the UNOG Library staff will again consult the office that owns the documents to confirm whether they should be destroyed.</p> <p>In order to preserve and provide speedy access to UN official documents, UNOG is retrospectively digitizing them.</p>				

7	Focus Area:	Programme and Project Management	Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
No			Possible	Medium	Moderate Risk
<p>Organization of Cultural Events</p> <p>E (i) Damage could occur to artefacts, paintings, or other items.</p> <p>E (ii) Displays depicting controversial topics may be offensive to some Member States.</p>		<p>One of the functions of the UNOG Library is organising various cultural activities, art displays and various cultural shows. There is an organising committee, called the "Cultural Activities Committee", to oversee the programmes. This Committee also approves the various artefacts that will be displayed. Security cameras have been installed in the display areas to monitor the area so that no damage could be done to the artefacts. There are guards posted during the day. An OIOS audit recommended that proper and secure storage room for the donations of works of art be arranged, and to ensure all works of art for exhibition are accounted for, a list be required from the organizer to serve as basis for checking accuracy before and after the cultural event. According to UNOG's responses, the list was being prepared and check marked when works of art leave the place of the exhibition and the transfer of works of art to the new storage facilities adapted to the specific needs of the works of art was to start in early 2008.</p>	Operational	Possible	Moderate Risk

Risk Assessment of : United Nations Office at Geneva

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Strategic Management of the Conference Services Division		Possible	High	Higher Risk
	<p>B (i) Conflicting approaches of the Department of General Assembly and Conference Management (DGACM) and UNOG may be an impediment to programme delivery.</p> <p>B (ii) Inappropriate or unclear organizational structure of Conference Service Division may lead to inability to adequately monitor the Division's activities and/or facilitate the flow of information throughout the Division.</p> <p>B (iii) Mandates of other substantive secretariats such as the Human Rights Council may not be clear enough and may have a knock-on effect on the operations of CSD.</p> <p>B(iv) There may be a mismatch between the existing organizational structure of CSD and its sub programmes. CSD has four Services but the outcomes in the budget are reported under three sub programmes.</p>	<p>The Director of Conference Services Division (CSD) reports to DG UNOG operationally and to DGACM strategically. However, no conflict has so far arisen as DGACM is well informed on operational matters by the DG UNOG.</p>	Possible	Medium	Moderate Risk

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>A (i) Geneva may not be able to serve as an alternative site to New York for GA meetings due to the lack of sufficient local support infrastructure.</p> <p>A (ii) Lack of a coordinated strategic plan may affect the overall performance of the Division.</p> <p>A (iii) The mix between expectations, accomplishments and objectives is unclear and may lead to lack of accountability by the programme managers.</p>		Strategy	Possible	High	Higher Risk
	<p>E (i) Unclear roles and responsibilities at the strategic level may derail the harmonisation of administrative and business processes with other duty stations.</p> <p>E (ii) Failure to harmonise administrative and business processes with other duty stations may limit opportunities for staff mobility across the four duty stations.</p>	<p>The 2004 OIOS report on Integrated Global Management of the Conference Services (A59/133) recommended the harmonisation of operations among duty stations in CSD. This is still outstanding due to unclear roles and responsibilities for their implementation.</p> <p>Business processes within CSD are not harmonized despite recommendation of the 2004 OIOS report on Integrated Global Management of Conference Services, which requires administrative and budgetary structures across duty stations to be harmonized.</p>	Operational	Possible	High	Higher Risk

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>D (i) Staff who do not possess the necessary financial skills may be required to manage the large CSD budget which may result in misallocation of resources.</p> <p>D (ii) Strategic decisions taken that do not adequately take into account the technical aspects of the work of CSD may result in rules or decisions that negatively impact its daily work and ability to meet deadlines.</p> <p>D (iii) Appropriate budgetary decisions may not be made by member states as they are not provided with the necessary information, which may lead to reduced allocation of resources.</p>	<p>Member States make strategic decisions that have financial implications to CSD operations. The involvement of other secretariats in the budgetary process such as the Human Rights Council may take place.</p>	Financial	Possible	High	Higher Risk
	<p>B (i) Failure to meet expectations due to the diverse nature of the clients and their varying rules and procedures in financing and recruitment may lead to loss of reputation.</p>		Governance	Possible	High	Higher Risk

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
II	Conference Management		Likely	Medium	Higher Risk
	<p>E (i) Disruptions in the process of the management and execution of the calendar of meetings may result from a lack of knowledge of the General Assembly and ECOSOC legislative authorities and lack of proper coordination with other Services of CSD and UNOG.</p> <p>E (ii) The unpredictability of the workload from the Human Rights Council and other secretariats, which are administratively independent, may impact on CPCS' planning and use of its limited permanent capacity.</p> <p>E (iii) The large and exponentially increasing volume of requests for conferences and meetings may result in CSD not being able to accommodate client needs.</p> <p>E (iv) Lack of analysis of statistics produced on surveys may lead to CSD losing the opportunity to use relevant information to improve service delivery.</p> <p>E (v) Failure to strengthen the Statistics and Evaluation Unit of CSD may result in substandard outputs with little value added.</p>	<p>The establishment of this calendar requires an in-depth approach and analysis of all factors involved (including workload, budgetary provision, resources and coordination with the Secretariats involved) to achieve a better and more cost effective use of the resources.</p> <p>Documents proceed through a process from document controllers to the references sections before being given to translators.</p> <p>Member state surveys are made in terms of quality. Complaints are recorded by the statistic sections, but no critical analysis is done and no capacity for enforcement exists.</p>	Possible	Medium	Moderate Risk

8	Focus Area:	Conference and Documents Management			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment			Risk Category	Impact	Overall Risk
	<p>D (i) Organising conferences without proper funding may have a negative financial impact on the Division and the other Services at UNOG.</p> <p>D (ii) Cancellation of conferences organised on a fixed budget could result in failure to meet expected accomplishments as agreed to in the strategic framework, as well as unnecessary loss of funds to the organisation.</p>	<p>Cost estimates are prepared jointly with UNOG Administration and sent to the client for acceptance and indication of the account number to be charged.</p>			Financial	High	Higher Risk
	<p>A (i) The statistical analysis required by the strategic framework may not be useful for reporting performance because the organisational arrangements and business processes differ between duty stations.</p> <p>A (ii) The non uniformity of conducting client satisfaction surveys between duty stations may not offer opportunities for better benchmarking.</p>				Strategy	Low	Lower Risk

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
No				Possible	Medium	Moderate Risk
III	<p>Central Planning and Coordination Service</p> <p>E (i) Increase in workload may not be accompanied by a corresponding increase in the resources available which may cause delays and prevent CSD from achieving its objectives.</p> <p>E (ii) Lack of appropriate determination and prediction of the workload may lead to mishandling the entire program.</p> <p>E (iii) Lack of a document slotting system and editorial capacity may lead to delays, inconsistencies and conflicts in programme delivery.</p> <p>E (iv) Lack of a common global management system may prevent CSD from interfacing with other duty stations leading to redundancies and inefficiencies.</p> <p>E (v) Lack of client training and capacity to prepare documents according to the UN documents processing rules and standards may lead to sub-standard documents.</p>	<p>Documents proceed through document controllers and references sections before being given to translators (Language Services). The nerve of this operation is CPCS, which consists of two major sections (Documents Management and Meetings Management).</p> <p>Documents that do not meet submission standards require revision.</p>	Operational	Possible	Medium	Moderate Risk

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Likelihood	Impact	Overall Risk
	<p>F (i) Understaffing of reference clerks and English-speaking editors, as illustrated by the inadequacies in the ratios Reference Clerks/Translators and Editors/workload, may cause delays in product delivery.</p> <p>F (ii) Lack of incentives by the UN systems to compensate high performing staff and lack of sanctions on non performing staff may affect staff motivation and morale.</p> <p>F (iii) Insufficient posts relative to the six official languages may derail the objective of ensuring multilingual communication among representatives of Member States at intergovernmental organs and members of expert bodies of the UN.</p> <p>F (iv) UNOG's policy to recruit locally for all Conference Servicing staff (interpreters, translators and some language text processors) may impact on the quality of staff recruited.</p> <p>F (v) Lack of opportunities for training may hinder the self development of staff and impede increases in productivity.</p> <p>F (vi) The clerical test may not be relevant for testing the ability of GS language staff and may become an unnecessary obstacle or delay to recruitment.</p>		Possible	Medium	Moderate Risk	

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	Risk Category	Likelihood	Impact	Overall Risk
IV	Publishing Service - Operations		Possible	Medium	Moderate Risk
	<p>D (i) Budgetary constraints prevent the Publications Editing and Proofreading Section from employing temporary staff to reduce the backlog in the publication of the Yearbooks of the International Law Commission, which may create a negative perception on the performance of the Section.</p> <p>D (ii) The Printing Section, because funding no longer permits, may not benefit from the cost effectiveness of innovative equipment and processes, as attendance at publishing business fairs/fora may be prohibitive.</p>	Financial	Possible	Medium	Moderate Risk
	<p>E (i) Without technology modernization, Conference Management may not provide quality service in an efficient manner.</p> <p>E (ii) Deadlines for printing technical member reports may not be met because of the volume of the report.</p> <p>E (iii) Numerous situations signalling fraud may result in investigations in Conference Services Division, which may have a negative impact on management and staff morale.</p> <p>E (iv) Lack of storage space may prevent economies of scale from being achieved through bulk purchases.</p> <p>E (v) Failure to replace obsolete printing equipment may result in increased maintenance costs and subsequently affect programme delivery and compromise quality of service.</p>	Operational	Possible	Medium	Moderate Risk

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	F (i) Difficulties in service delivery may be affected by a disproportionate and constant growth of the workload not compensated by a post increase.	The GA has given this division one full team of 20 posts to deal with the translations for the HRC and 5 posts for quality control of contractual work.	Human Resources	Possible	Medium	Moderate Risk
	C (i) Non-compliance with document submission rules in terms of document length may have an impact on capacity.	Document submission length is a requirement for substantive secretariats but only a recommendation for Member States. Substantive Secretariats may also ask for a waiver to exceed the agreed length. Organisational arrangements, including staffing capacity, differ between duty stations. For instance, some duty stations have editing sections and reference units within the Documents Management Section while others do not have. This impacts on the time taken to process documents.	Compliance	Possible	Medium	Moderate Risk
	B (i) The existing management structure may not provide for adequate management accountability for example the IT section and the Publications Editing and Proofreading sections are parts of the Publishing Service, but their budgets fall under the sub programmes of the Central Planning and Coordination Service and the Languages Service respectively.		Governance	Possible	Low	Lower Risk

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
V	Publishing Service - IT support and infrastructure		Information Resources	Possible	Medium	Moderate Risk Moderate Risk
	<p>G (i) IT equipment failure may create a serious problem in terms of the ability to perform and deliver work.</p> <p>G (ii) Lack of reliable technical infrastructure may have a negative impact on the quality of the interpretation service.</p> <p>G (iii) The absence of terms of reference for ITS may affect the quality and timeliness of services expected from the Section.</p> <p>G (iv) Lack of Service Level Agreements with the suppliers for a number of applications in use may result in disruptions in the event of application failure.</p> <p>G (v) The Business Impact Analysis that was conducted at UNOG did not include any of the systems in use at CSD as critical. This may result in neglect of systems in use in terms of replacement, restoration, and upgrading.</p> <p>G(vi) Inadequate attention to the following systems CSD PS IT Section has identified as critical to the Division's programmatic/substantive work that include: Submitting, tracking and processing documents (DRITS), Meeting planning, programming and management (EMEETS);</p> <p>G (vi) Having an Information and Communications Technology Section that is not strong enough to support a</p>	<p>IT equipment is provided according to UN rules.</p> <p>The close collaboration with UNOG ICTS may lead to cost sharing and improved productivity.</p> <p>UNOG has an IT Section (ICTS) to provide infrastructure services. CSD uses ICTS services and Service Level Agreements are being developed for definition of services and cost recovery, for example for network cabling. The email (Domino System) is hosted by UNOG ICTS. The CSD ITS is in-charge of user administration.</p> <p>There are plans to make further cooperation with ICTS, for example, in setting up centralized Helpdesk facilities and collaboration of projects related to standard Enterprise Systems (ECM, CRM, ERP).</p> <p>The Division is working to establish Service Level Agreements (SLA), for example, SLA for email, JIP and other Lotus Notes based applications with ICTS.</p> <p>The IT Section in CSD uses the posts borrowed from the Languages Service with no permanent arrangements in place.</p>	Information Resources	Possible	Medium	Moderate Risk Moderate Risk

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>Interpretation Assignments (APG), Computer Assisted Translation Tools and many other applications and systems, may result in disruptions in operations if these systems fail.</p>					
	<p>F (i) Lack of incentives, limited career growth opportunities, the low grade of staff and the continued use of short-term contracts for staff working over time may result in low morale and low productivity.</p>	<p>The organization mainly continues to function based on permanent contracts.</p>	<p>Human Resources</p>	<p>Possible</p>	<p>Medium</p>	Moderate Risk
	<p>F (ii) Current personnel policies provides for some staff to attain permanent contracts after two years of service in language categories. This could lead to low productivity as personnel policies makes it sometimes difficult to manage effectively permanent staff performance.</p>					
	<p>F (iii) Failure to harmonise administrative and business processes with other duty stations may limit opportunities for staff mobility across the four duty stations.</p>					

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
VI	Languages Service		Possible	Medium	Moderate Risk
	A (i) Lack of upstream work planning and lack of a comprehensive management tool for work forecasting may be an obstacle to efficient programme delivery as divisions may be more reactive to outputs than proactive through planning.		Possible	Medium	Moderate Risk
	E (i) Current performance indicators in the Languages Service may be based on quantity rather than quality.	Objective performance quality criteria are still being worked.	Possible	Medium	Moderate Risk
	E (ii) External Bodies do not necessarily have defined plans that would enable the Languages Service to estimate and forecast its workload, which has an impact on staff and budget needs.	Documents that are not anticipated are frequently still processed, sometimes leading to changes in other deadlines to accommodate these requests.	Possible	Medium	Moderate Risk
	E (iii) Poor quality of incoming documents may ultimately increase the manpower time required to translate and may leave unnecessary room for interpretation.				
	E (iv) Outsourcing of translators could have an adverse impact on staff morale; impact on quality and may have security implications because of possible leakage of confidential information.				

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likeli- hood	Impact	Overall Risk
	<p>E (v) Current performance indicators in the Languages Service are based on quantity rather than quality and may not be comparable between duty stations thus raising biased conclusions on performance.</p> <p>E (vi) Lack of opportunities for training may hinder the self development of staff and impede increases in productivity.</p> <p>E (vii) External resources may not have the necessary UN knowledge and this could lead to frequent revisions and wrong interpretation.</p> <p>E (viii) Confidential information, for example Human Rights Council sensitive documents, may also be compromised.</p> <p>E (ix) Institutional memory which staff interpreters acquire over the years may be lost if outsourcing is introduced.</p> <p>E (x) Erratically imposed budgets for human resources may affect chiefs' capacity to find high-level freelance translators, thus impacting staff morale and leading to the loss of competent staff to other organisations.</p> <p>E (xi) Inadequate skills testing in the competitive examination may impede the work of the Languages Service.</p>	<p>Budgets for temporary recruitment are calculated in terms of workload forecast and estimated translator's capacity to produce translation, irrespective of text difficulty and time spent on research and training. Therefore, it frequently has to juggle with the budget.</p> <p>Outsourcing is used to service the meetings.</p> <p>A plan was formulated but not yet in effect for paid staff members of the organisation to conduct training sessions at the University for people who would then take the competitive examination.</p>			

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	G (l) Lack of a wireless office to allow for seamless access to databases for off-site translators and telecommuters and failure to upgrade language equipment and provide translation software may impede on the performance of the Languages Service.	The UN introduced the use of digital dictating machines with high recording facilities which have more functionalities for translation sections.	Possible	Medium	Moderate Risk
VII	Interpretation Service F (i) Competitors offering better conditions on the local market may lead to difficulty in retaining permanent interpreters by the Interpretation Service. F (ii) Last minute recruitment of temporary staff or freelancer may have an impact on the quality of the work and on the reputation of the Interpretation Service. F (iii) The Interpretation Service could face difficulties in retaining its permanent interpreters as a result of the high competition from external interpretation services on the market and better conditions often offered by other organisation.	Human Resources	Possible	Medium	Moderate Risk

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E (i) Inadequate, poor or untimely communication between substantive secretariats and CSD, or within CSD, may have a negative impact on the programme delivery of the Interpretation Service.</p> <p>E (ii) Lack of involvement of interpretation services in the preparation of off-site conferences may have a negative impact on the quality of service.</p> <p>E (iii) The non involvement of the Interpretation Service in the organisation of external conferences may affect its ability to assess the quality of the equipment and facilities provided (i.e. answering machines, booths and equipment, etc) on a timely basis.</p> <p>E (iv) Current metrics used to evaluate the work of the Interpretation Service, as based on standards determined in other duty stations, may result in the perception that the Interpretation Service's performance is lower than it actually is.</p> <p>E (v) An outsourcing solution of interpretation services could present a potential quality compromise since the outsourcer may not have enough experience of the UN.</p>	Operational	Possible	Medium	Moderate Risk

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	G (i) All documents produced may have to be manually rewritten as the Automatic Programming Tool (APG) does not fulfil the needs of the Service, which may result in duplication.		Information Resources	Possible	Medium	Moderate Risk
	D (i) The training budget may not allow for a proper training of the Interpretation Service staff which could have an impact on the quality of the deliverables.		Financial	Possible	Medium	Moderate Risk

Risk Assessment of : United Nations Office at Geneva

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	Office Working Environment		Possible	High	Higher Risk
	<p>E (i) The Palais des Nations is an old historical structure, which requires extensive renovation and refurbishment. Without such a renovation, UNOG may not be able to continue providing mandated services to clients, and the building could potentially pose a major security and health hazard.</p> <p>E (ii) The health of staff members and consequently their productivity may be affected by the lack of office temperature control, office space constraints and poor maintenance at the Palais des Nations.</p>	<p>The DG has proposed a "Capital Master Plan" and has established a Group of Friends of the Palais des Nations, comprised of 25 Member States, to take forward plans for a comprehensive renovation, including identifying possible alternatives to finance these needed capital expenditures.</p>	Possible	High	Higher Risk
		Operational	Possible	High	Higher Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	Management and Maintenance of Buildings			Possible	High	Higher Risk
	<p>A (i) Existing conference rooms, if not providing sufficient technological (e.g. wifi), lighting and heating facilities and adequate safety features, may not meet the requirements of conference organizers. This could lead to loss of a competitive edge compared to private conference facilities.</p> <p>A (ii) New constructions at the Palais des Nations site, such as the Pregny gate and the Mail and Pouch building, due to the need to comply with security standards, may result in the loss of the architectural and historical heritage of the site.</p> <p>A (iii) Fire and natural hazards may lead to serious damage to or even loss of the building and loss of lives.</p>	<p>The UNOG Director-General in his annual report for 2007 commented that without a comprehensive renovation of the Palais, UNOG will be unable to continue offering safe facilities and adequate services to its many thousands of users.</p> <p>The main changes at the Palais de Nations in the last two years include the Pregny gate, gate 30 and construction of the mail and pouch building. The changes were undertaken mainly due to security concerns and the need to comply with the UN Headquarters Minimum operating Security Standards (H-MOSS).</p> <p>The financial risk is covered by insurance.</p> <p>A successful fire drill was carried out in January 2007.</p> <p>A Crisis Management Operational Plan proposal was drafted in 2003 but it is not clear whether it has been approved.</p>	Strategy	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F (i) The mobility rule may result in the loss of BES staff expertise and detailed knowledge of UNOG buildings and infrastructure.</p> <p>F (ii) The requirement for all candidates to complete a clerical test may result in BES being unable to fill vacancies for professions such as gardeners and electricians.</p> <p>F (iii) Inadequate staffing levels as a result of insufficient funding may result in a failure to meet the needs and requirements of managing and maintaining the buildings.</p> <p>F (iv) Competition from the private sector for staff and contractors may cause the inability to recruit temporary staff resulting in BES having insufficient resources to maintain buildings.</p>	<p>The mobility rule states that staff should spend no longer than 5 years in one post. To date, G7 grades have been assessed, with G6 and P4 grades to follow. BES has been able to provide information to the Human Resources Section arguing against the application of the directive to their staff, however, they are also seeking a blanket ruling to avoid having to do this in each case.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>C (i) UNOG may not be in compliance with all health, safety and security requirements of the host country which may not only lead to penalties and increased insurance costs, but ultimately also to health and safety risks to staff.</p>	<p>Building and Engineering Services predicts that it will take a further year before they are in compliance with Swiss Health and Safety rules, such as the need for fire detection equipment.</p>	Compliance	Remote	High	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>D (i) Lack of funds for many of the improvement projects may result in the Building and Engineering Section not being able to meet CSS strategic goals related to building management.</p> <p>D(ii). Inadequate funding for maintenance costs, such as for oil, gas and water, may result in important maintenance activities not being performed.</p> <p>D (iii) The extended budgeting process, which has to be completed two years before the start of a biennium, may result in failure to anticipate future requirements.</p> <p>D (iv) Depreciation of the value of the dollar could result in exchange rate losses and, consequently, a reduced budget.</p> <p>D (v) Insurance costs may increase due to flood damage to documents.</p> <p>D (vi) Lack of adequate funding may result in failure to implement appropriate environmental measures, in line with the Secretary General's initiative of "greening the UN" and eventually even loss of reputation for the United Nations.</p>	<p>A list of proposals for donation is maintained by BES to allow member states to identify appropriate projects which they can fund through donations. An example is the refurbishment of some meeting rooms that were financed by donations.</p> <p>BES use budgeted funds remaining at the end of a biennium to purchase additional oil to offset rising costs.</p> <p>BES considers that appropriate maintenance is essential to maximise the working life of assets.</p> <p>It is often not widely understood that it's not only the visible infrastructure that must be maintained – people are unaware of the need to maintain piping, air-conditioning fans, etc. A presentation is being prepared by BES for the Office of the Director-General to illustrate these additional maintenance requirements.</p>	Financial	Likely	High	Higher Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
No				Possible	Medium	Moderate Risk
III	<p>Property Management</p> <p>B (i) Failure to transfer property management responsibility to individual UNOG departments located at the Palais des Nations may limit the Property and Control Unit's ability to safeguard the inventory against losses.</p>	<p>UNOG provides property management services to its offices and divisions as well as 17 other United Nations entities in Geneva. The administrative instructions clearly outline the roles and responsibilities for each party. The Property Control Unit is responsible for providing oversight services, including training and guidance while the individual offices and entities are responsible and accountable for the management of the property assigned to their offices and entities.</p>	Governance	Possible	Medium	Moderate Risk
	<p>D (i) UNOG may not be able to provide adequate and reliable financial information under IPSAS which requires full disclosure of assets in the financial statements, leading to declined reputation with donor states.</p>	<p>The United Nations will be implementing the International Public Sector Accounting Standards (IPSAS) in 2010.</p>	Financial	Possible	Medium	Moderate Risk
	<p>C (i) Purchased inventory delivered directly to user departments may not be recorded in the database and therefore not tracked and accurately reflected in the inventory database, resulting in potential financial losses, operational unavailability and fraud.</p>	<p>It is planned to delegate the capture of, and therefore, the responsibility for the inventory to the asset owning entities and offices. According to internal policies this should already be the case, but as also stated in internal audit reports, responsibility has in many cases not been assumed as yet.</p>	Compliance	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management			Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>E (i) Lack of a complete inventory of pieces of art donated to the United Nations may result in losses that are not detected. Such losses may affect the United Nations reputation among donors of such items.</p> <p>E (ii) Lack of scanners and inadequate staffing resources may result in delays and inefficiencies in carrying out the physical inventory counts and inaccuracies in the results.</p>	<p>UN has a safekeeping duty over such items.</p> <p>With the introduction of IPSAS the issue of valuation of such items and whether they should be reflected in the financial statements will arise.</p> <p>UNOG manually counts the inventory.</p>		Operational	Possible	Medium	Moderate Risk
IV	<p>Office Space Management</p> <p>E (i) Lack of sufficient office space could prevent BES meeting future requirements for its clients that include UNOG divisions and other UN entities.</p> <p>E (ii) Space allocated to different UN entities at the Palais des Nations but no longer required by them may not be reallocated due to the failure of the department to notify BES of the changed requirements, resulting in the lack of optimal and efficient use of office space.</p> <p>E (iii) The nature and age of the Palais des Nations could compromise the flexibility or suitability of space available for offices and other uses.</p>	<p>The closure of United Nations Compensation Commission and the recent move of the Pension Fund offices to rented office space out of the Palais de Nations have increased the amount of space available.</p> <p>Corridors are used for storage and placement of photocopiers.</p>		Operational	Possible	Medium	Moderate Risk

Risk Assessment of : United Nations Office at Geneva

10	Focus Area:	Safety and Security		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p>Security Management Structure</p> <p>A (i) Inadequate guidance from the Department of Safety and Security (DSS) may result in unclear division of responsibility, increasing the risk of weak crisis or security management that may impede achieving UN-wide consistency and lead to loss of resources and efforts.</p> <p>A (ii) Lack of applicable standards and direction may lead to not securing the appropriate security level UN-wide and in cohesive security response.</p> <p>A (iii) Lack of clear distribution of roles and responsibility on security services for conferences may hamper UNOG SSS ability to plan the necessary resources for major events.</p> <p>A (iv) Lack of priority-setting may result in constrained resources spread thinly over various activities and underperforming on core activities.</p>	<p>Good practices have been identified with the development of the basic training package for all duty stations.</p> <p>Reference to other sources of technical data on possible standards is made necessary.</p>	Strategy	Likely	High	Higher Risk
				Likely	Medium	Higher Risk

10	Focus Area:	Safety and Security		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B (i) Lack of guidance and endorsement of the options taken in strategic security plans may result in high level security coordinating structures, such as the Security Management Group for United Nations offices in Switzerland, not being operational.</p> <p>B (ii) Reporting lines in the UN security management structure may not be adequately clear following the creation of the Department of Safety and Security.</p> <p>B (iii) Inadequate management involvement to ensure adherence to security procedures due to conflicting priorities may result in security procedures not being properly implemented.</p> <p>B (iv) Low security risk of the Geneva region may result in lack of awareness of security and safety measures on the part of staff members.</p> <p>B (v) Absence of formal endorsement of the Security Plan by the adequate structure/official may result in lack of accountability and ineffective crisis management.</p>	<p>OIOS noted in its audit report of Security and Safety Section in 2005 the absence of a unified security management structure in Switzerland. Responsibilities of the Designated Official have since been clarified. The first Security Management Group (SMG) meeting took place on 8 February 2008. At that meeting it was decided that the SMG would meet at least twice per year, with other security coordinating structures (subordinate bodies) would meet quarterly and twice quarterly. UNOG Security and Safety Section is reaching out to other agencies and entities in Geneva, providing security training or an integrated Coordination Operational Centre (so far with UNICEF, UNHCR, ITC and the International Environment House). Security Focal Points are identified in all entities with security coordination taking place with some of them. Risk assessments have been conducted for about one third of the Geneva entities under the UNOG SSS responsibility.</p>	Governance	Likely	High	Higher Risk

10	Focus Area:	Safety and Security	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>B (vi) Alignment of security structure and standards in Geneva may be hampered by the different constituencies, budgetary process and leadership of the various agencies.</p>	<p>The Chief, UNOG SSS is reporting to the United Nations Department of Safety and Security and the Director-General of UNOG. The monitoring of implementation of established procedures is the responsibility of SSS management.</p> <p>The development of basic training package helps in promoting security awareness.</p> <p>The Palais des Nations security plan is operational but not approved.</p>			
II	<p>Crisis Management</p> <p>A (i) UNOG and it clients may not be adequately prepared in the event of the Avian Flu or other crisis.</p>	<p>UNOG has a crisis management plan and was directly involved in preparing plans and obtaining the necessary medications and medical supplies in accordance with the Secretary General's Pandemic Planning Guidelines. The crisis management plan is not only used during a medical emergency but for any crisis, and provides for the continuity of operations. There is an Avian Flu Plan for Geneva and it is incorporated into the Country Security Plan for Switzerland.</p>	<p>Remote</p>	<p>High</p>	<p>Moderate Risk</p> <p>Moderate Risk</p>
III	<p>Security Personnel</p> <p>A (i) Shortage of core resources to fulfil the interagency coordination mission may lead to only partial delivery of core services.</p> <p>B (i) High turn-over in the management team may impede the Section's ability to develop medium to long-term strategy and tools.</p>	<p>The Chief of UNOG SSS is also the Chief Security Advisor for Switzerland.</p>	<p>Possible</p> <p>Likely</p> <p>Possible</p>	<p>Medium</p> <p>Medium</p> <p>Medium</p>	<p>Moderate Risk</p> <p>Higher Risk</p> <p>Moderate Risk</p>

10	Focus Area:	Safety and Security		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F (i) Lack of staff to attend to the increasing volume of conferences combined with pressing security concerns may result in additional pressure on constrained limited resources to the detriment of core security activities.</p> <p>F (ii) Excessive overtime without adequate compensation may lead to health problems of the SSS staff or the abuse of sick leave.</p> <p>F (iii) The General Service status of staff members may result in a loss of opportunity to rotate staff and acquire indispensable field experience.</p> <p>F (iv) Limited career prospects may result in demotivation and frustration among staff.</p> <p>F (v) The requirement to recruit locally may result in the shortage of qualified candidates.</p> <p>F (vi) Protracted recruitment may result in the loss of good candidates and insufficient staffing to conduct all activities effectively.</p> <p>F (vii) Inadequate recruitment procedures may result in the hiring of unqualified security officers.</p>	<p>Mission assignments make up for the field experience although not a fully satisfactory manner.</p> <p>The Section is trying to promote from within as much as possible.</p> <p>Language requirements for both English and French knowledge are difficult to meet. Local recruits often lack sufficient knowledge of English. English standards in the Section increase gradually with the requirement to be bilingual at the G-7 level. The organisation of shifts does not allow security officers to attend language classes, however the Section has been working with the Staff Development and Learning Section on specific hours for Security staff.</p> <p>The recruitment process of security officers, as GS staff, include clerical tests, which are not relevant to the function exercised. However a specific clerical test has been developed and will be used starting February 2008.</p>	Human Resources	Likely	Medium	Higher Risk

10	Focus Area:	Safety and Security		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IV	<p>Security training and Performance appraisal</p> <p>F (i) Inadequate performance appraisal may result in the insufficient recognition of work and performance thus demotivation and frustration.</p> <p>F (ii) Lack of staff to perform security functions may result in their non-availability for training sessions.</p> <p>F (iii) Inadequate infrastructure for training may limit the training opportunities and effectiveness of training sessions.</p> <p>F (iv) Non compliance to the compulsory training requirements may lead to insufficient operational capacity of the Section.</p>	<p>OIOS noted in its audit report of SSS in 2005 that the E-pas was not adequately implemented: reporting officers were not the direct supervisors and providing little constructive input in the process. In 2006 no E-Pas was issued. At present the Section has identified immediate supervisors and efforts were made to clarify the E-Pas process.</p> <p>H-MOSS introduced increased training requirements, including an induction training session of six weeks. The shifts organisation should change as of 1 April to make 6 to 10 staff members available for training. Within two years UNOG SSS plans to have had everyone trained.</p>	Human Resources	Possible Possible	Low Low	Lower Risk Lower Risk
V	<p>Upgrade of physical security project</p> <p>B (i) The division of the physical security upgrade project into several projects may result in a lack of control over the project as a whole.</p> <p>B (ii) UNOG's capacity and resources to monitor the project implementation adequately may result in inability to ensure economical and efficient procurement and project management</p>		Governance	Possible Possible	Medium Medium	Moderate Risk Moderate Risk

10	Focus Area:	Safety and Security	Possible	Medium	Moderate Risk
	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
No			Possible	Medium	Moderate Risk
VI	<p>Security information and access control</p> <p>G (i) Lack of proper intranet site and other means of information may result in UNOG's staff lacking awareness on security and safety issues at the Palais</p> <p>E (i) Agreements with client organisation may not link the level of security and resources funded by the client, which may result in the section lacking the resources to ensure security at the general level required</p> <p>E (ii) Lengthy registration procedures may result in the participants' (and UNOG Senior Management's) discontent as it creates waiting lines.</p> <p>C (i) Non compliance with key security procedures may result in increased security risk.</p> <p>F (i) Absence of provision for the necessary posts and skills to maintain and monitor the new access control IT equipment may result in insufficient access control and/or waste of resources.</p>	<p>Risk Category</p> <p>Information Resources</p> <p>Operational</p> <p>Compliance</p> <p>Human Resources</p>	<p>Medium</p> <p>Low</p> <p>Medium</p> <p>High</p> <p>Low</p>	<p>Lower Risk</p> <p>Moderate Risk</p> <p>Higher Risk</p> <p>Moderate Risk</p>	

10	Focus Area:	Safety and Security		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
VII	Safety infrastructure E (i) Inadequate infrastructure may increase the exposure of staff and property to the risk of fire.	Three projects are ongoing for the detection of fire, compartmenting of the building and installation of sprinklers. UNOG SSS relies on the Swiss fire department in the event of a fire.	Operational	Possible	High	Higher Risk
	C (i) Non compliance with basic safety norms may lead to increased exposure to the fire risk.	The Palais des Nations is hosting a shop selling alcohol and perfume within the building (SAFI). Swiss, and more widely European, norms have identified such products as a fire hazard and would prohibit their stockage in such environment as the Palais. Product delivery and visitors to Safi also lead to increase the security and safety risk in the Palais. The Section has identified several options to relocate the SAFI shop.	Compliance	Possible	High	Higher Risk
	F (i) Lack of qualified officers to train wardens on emergency procedures and practices may endanger the lives of staff and visitors.	The safety programme in the Palais relies on Wardens. A standard training session of 10 hours is available.	Human Resources	Possible	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 are as follows:

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

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

Risk Assessment Ratings

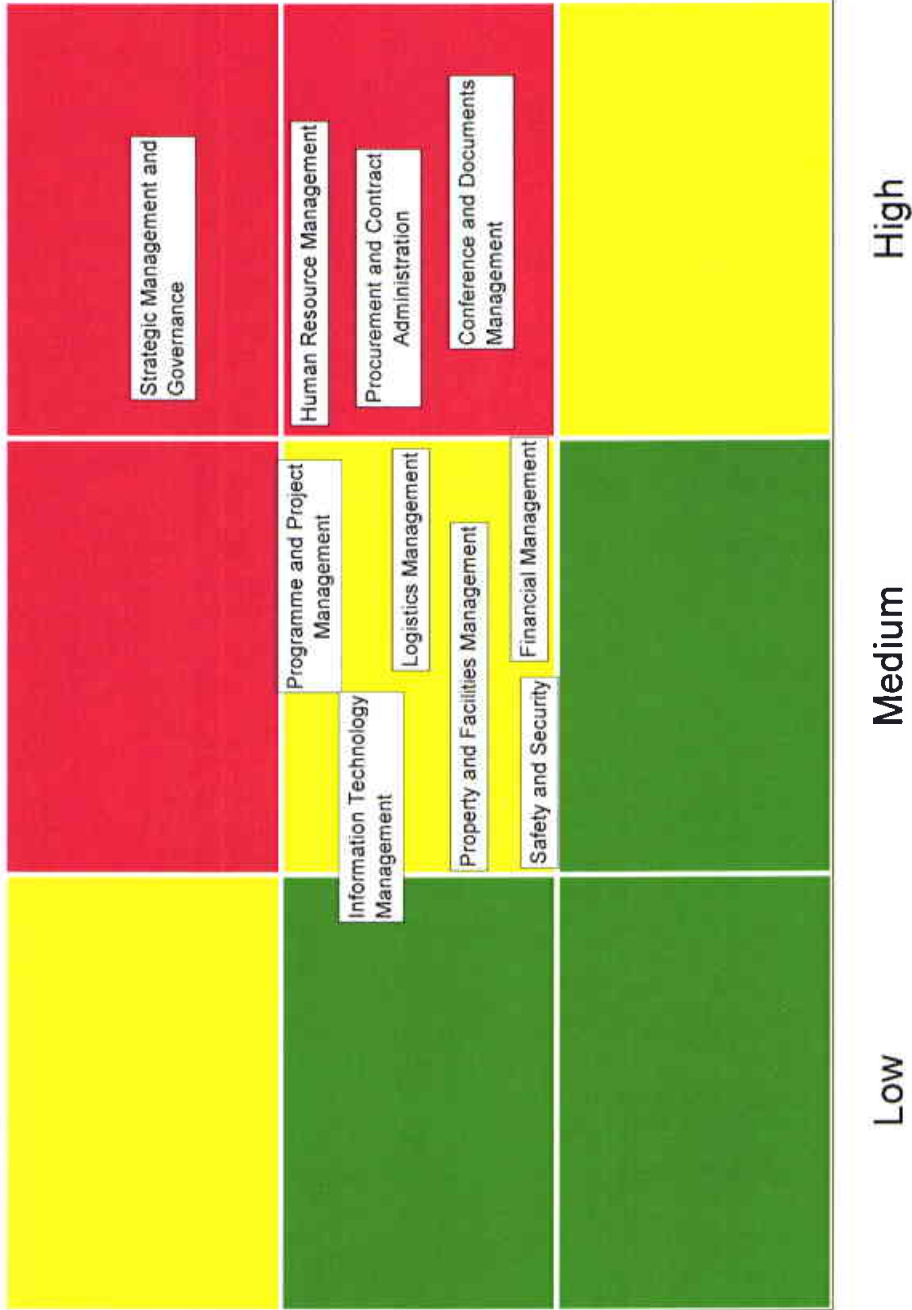
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors, an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used are shown below:

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

Risk Impact	
High	Serious impact on operations, reputation, or funding status
Medium	Significant impact on operations, reputation, or funding status
Low	Less significant impact on operations, reputation, or funding status

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

RISK SUMMARY PROFILE (Focus Area)



RISK SUMMARY PROFILE (Sub Focus Area)

