OIOS

Office of Internal Oversight Services

INTERNAL AUDIT DIVISION

RISK ASSESSMENT

United Nations Stabilization Mission in Haiti

3 October 2008
Assignment No. AP2008/683/09

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. Hedi Annabi
A: Special Representative of the Secretary-General
MINUSTAH

DATE: 3 October 2008

REFERENCE: IAD: 08-01787

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

SUBJECT: **Assignment No. AP2008/683/09 - Risk assessment of MINUSTAH**
OBJET:

1. I am pleased to present OIOS' risk assessment of MINUSTAH, which was carried out in May 2008, for your information. While we do not require a formal response to this report, you are welcome to discuss any of the issues raised further.

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

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

cc: Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Maria Gomez Troncoso, Officer-in-Charge, Joint Inspection Unit Secretariat
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management
Mr. Byung-Kun Min, Programme Officer, OIOS
Mr. Luiz Carlos da Costa, PDSRSG, MINUSTAH
Mr. Paul Aghadjanian, Chief of Mission Support, MINUSTAH

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).

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PARTICIPANTS

The OIOS risk assessment team conducted workshops and interviews with the following staff members of MINUSTAH 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	• Hedi Annabi, Special Representative of the Secretary-General • Luiz Carlos da COSTA, Principal Deputy-SRSG • General Carlos A. Dos Santos Cruz, Force Commander • Mamadou Mountaga Diallo, Police Commissioner • Gerard Le Chevallier, Director, Political Affairs and Planning Division • Fernando Castanon, Director, Rule of Law
Financial Management	• Chandan Baidya, Chief, Finance Officer • Joelle Lenaud, OIC, Budget
Human Resources Management	• Adamou Koumago, Chief, Civilian Personnel Officer • Berta Panes, Programme Manager, United Nations Volunteers United Nations • Louise Beaudry, Chief, Integrated Mission Training Centre • Youssoupha Niang, Chief, UN Staff Counseling United Nations • Philip Compte, Chief, Board of Inquiry • Rahul Sur, Chief, Conduct and Discipline
Procurement and Contract Administration	• Luis Alvarez, OIC, Procurement Section • Alejandro Arigon, Chief, Contracts Management Unit
Logistics Management	• Livio Calgaro, Chief, Mission Integrated Support • Carl Delphin, OIC, Logistics Unit • Alejandro Trentini, Logistics Unit • Sonya T-Mutoke, Chief, Transport Section

Focus Area	Name and Functional Title
	• Pedro Collier, OIC, Engineering Section • Hiran Ferrera, OIC, Aviation Section • Nestor Rodriguez, Chief, Aviation Safety Unit • Thomas McNally, Chief, Supply Section • Branimir Stojkov, Chief, Movement Control Section • Lt Colonel Alejandro Bolia, COE/MOU • Keith Cole, Regional Office, Les Cayes • Maria Komiati, Regional Office, Miragoane • Pablo Suarez, Regional Office, Gonaives
Information Technology Management	• Livio Calgaro, Chief, Mission Integrated Support • Thaddeus Anglin, Chief, CITS
Programme and Project Management	• Mamadou Mountaga Diallo, Police Commissioner • Gerard Le Chevallier, Director, Political Affairs and Planning Division • Fernando Castanon, Director, Rule of Law • Frederick Wooldrige, Political Affairs and Planning Division • Enersto Jacomelli, Coordinator, Joint Operation Centre • Wouter De Weerdt,, Chief Operations, Electoral Assistance Office • Luc Duchesne, Deputy Director, Civil Affairs • Thierry Fagart, Chief, Human Rights Section • Danielle Saada, Chief, Justice Section • Terseli Loial, Chief, Legal Affairs Section • Jens Kristensen, Chief, Humanitarian and Development Coordination Section • Adama Ndao, OIC, Community Violence Reduction

Focus Area	Name and Functional Title
	• David Wimhurst, Chief, Communications and Public Information Office • Massimo Tocschi, Chief, Child Protection Unit • Natalie Ben Zakour, OIC, Gender Unit • Sulvester Karhahunga Cibangu, Chief, HIV/AIDS Unit
Property and Facilities Management	• Juan Carlos Araujo, OIC, General Services Section • Pedro Collier, OIC, Engineering Section
Safety and Security	• General Carlos, A. Dos Santos Cruz, Force Commander • Mamadou Mountaga Diallo, Police Commissioner • Andre Bouchard, Chief Security Advisor, DSS • Daniel R. Gonzales, OIC, Joint Mission Analysis Centre

SUMMARY OF RISK RATINGS

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

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

Table 2: Summary of identified risks

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

Risk Assessment of : MINUSTAH

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	Mandate and mission			Likely	High	Higher Risk
	A (i) Inadequate understanding and knowledge of MINUSTAH' mandate by the Haitian population may result in an expectation gap between MINUSTAH's mandate (i.e., stabilization of the country) and the Haitians' most pressing needs (i.e., economic development and creation of jobs), resulting in the local population's frustration with the Mission and in their perception of the Mission being irrelevant. A (ii) The inability to consolidate and/or sustain gains/improvement made by the Mission in stabilizing the country may result in missed opportunities to capitalize on these gains and pose challenges for the Mission in keeping Haiti's confidence in MINUSTAH. A (iii) Short-term mandates may limit the possibility and effectiveness of establishing long-term strategic plans for the implementation of the Mission's objectives. Six out of seven SC resolutions covered periods of less than 12 months.	The Mission and the Haitian government continuously through media public broadcasting, remind the public of the Mission's mandate and emphasize its accomplishments in the country. MINUSTAH is working with the political actors and civil society in Haiti to ensure gains are sustained. Short mandates lead mission to prioritize for short impact activities.	Strategy	Likely	High	Higher Risk
	A (iv) The Host Government's expectations may be beyond the Mission's mandate, which may lead to difficult relations with the Government when the Mission fails to meet the Government's expectations.	The Government regularly invites the Mission to carry out development activities as a priority.				

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	B (i) The integrated mission concept of operations with other UN Agencies may not be effective, leading to wasted resources and missed opportunities to address the development concerns of Haiti. B (ii) The restructuring of the Department of Peacekeeping Operations, with the creation of the Department of Field Support if not properly implemented, may further slow down processes such as procurement, recruitment and political advice/analysis, that require consultation with or approval by UNHQ. B (iii) A change in the government of Haiti may result in lack of support for MINUSTAH and a request for MINUSTAH to leave Haiti.	 The Mission is coordinating with UNHQ regarding issues that may hamper decision-making.	Governance	Likely	High	Higher Risk
	D (i) Lack of interest by member states in MINUSTAH's mission may result in reduced funding.		Financial	Possible	High	Higher Risk
	E (i) Troop contributing countries (TCCs) may withdraw their contingents for example if they should suffer casualties, jeopardizing the Mission's operations.		Operational	Remote	High	Moderate Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
II	**External economic factors**			Likely	High	Higher Risk
	A (i) Lack of a strategy to address opportunists/spoilers (i.e. groups/individuals who are not interested in improving/stabilizing the country – gangs, drug/gun traffickers) may reduce the impact of progress made by the Mission in stabilizing the country. A (ii) The current global economic crisis (particularly the significant increase in the prices of food and fuel) may impede the progress made by the Mission in stabilizing the country and may also result in increased public unrest which could turn violent. A (iii) The brain drain of local talents for key government positions/functions may result in difficulties for the Mission in its national capacity building mandate (e.g., on justice, police, etc.) because counterparts are not able to take over and carry out government functions.	The Mission is working with the Government and civil society to address these impediments. MINUSTAH is coordinating with other UN agencies present in Haiti to plan how best to help the country, within the UN country team's mandates and resources, cope (e.g., by providing temporary relief through food aid) with the current global economic crisis.	Strategy	Likely	High	Higher Risk
III	**Organizational structure & functions**			Possible	High	Higher Risk
	B (i) Inadequate organisational structure to support the mission's mandate may result in inadequate focus on areas that are crucial to the successful achievement of the mandate.	The Mission organizational structure is generally in line with its mandate. However, the terms of reference of some units needed to be either established or updated.	Governance	Possible	Medium	Moderate Risk
	E (i) Legal documents necessary to the mission's operations may not be readily available leading to difference in agendas and uncertainty.	Documents are being researched and put in place.	Operational	Likely	Low	Moderate Risk

1	**Focus Area:**	**Strategic Management and Governance**		Possible	High	Higher Risk
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
	F (i) Lack of managerial capacity in key mission operational areas may hamper the achievement of mandate.	Mission management endeavours to recruit experienced/capable managers and to provide training to address gaps.	Human Resources	Possible	High	Higher Risk
IV	**Control environment**			Possible	High	Higher Risk
	A (i) Inadequate leveraging of best practices from previous peacekeeping missions may lead to repeated inefficiencies and failures.	The Mission and DPKO/DFS have integrated lessons learned in past peacekeeping missions in their planning and operations.	Strategy	Likely	High	Higher Risk
	B (i) Lack of a proper control environment in the Mission could result in weak governance, lack of accountability and weak ethical environment.	The UN code of conduct and the UN Charter requires UN staff to commit themselves to the highest standards of efficiency, competence and integrity. The SG has issued several bulletins and administrative instructions regarding accountability and ethics, but a comprehensive enterprise risk management framework that includes governance and accountability mechanism has yet to be put in place in the Secretariat.	Governance	Possible	High	Higher Risk
	E (i) UN rules may be overridden or not complied with when responding to crises, resulting in financial losses. On the other hand, these rules may be too rigid or inflexible, not allowing MINUSTAH to respond promptly to crises.	During crises, when UN rules may be overridden, Mission management attempts to act based on their best judgment of the situation and the risks and informs the concerned UNHQ offices.	Operational	Possible	Medium	Moderate Risk

1	Focus Area:	Strategic Management and Governance		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
V	**Strategic planning and monitoring**			Possible	Medium	**Moderate Risk**
	A (i) The lack of established planning and monitoring processes in relation to the mission's mandate may lead to the ineffective implementation of the mission's objectives. A (ii) The lack of formal office/unit terms of reference and annual work plan in relation to the Mission's strategic plans may result in the ineffective and inefficient implementation of mission objectives.	The Mission has established appropriate strategic planning and monitoring processes with relevant tools (e.g., Mission Mandate Implementation Plan, RBB process and periodic SG reporting to the Security Council). The Mission's Planning and Monitoring Unit assists the SRSG in monitoring the Mission's accomplishments. The Senior Management Team consists of managers with wide operational and oversight experience at HQ and in the field.	Strategy	Possible	Medium	**Moderate Risk**

Risk Assessment of : MINUSTAH

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Financing and budget**			Possible	Medium	Moderate Risk
	D (i) Some activities may not be completed because of the lack of funds, the use of existing funds to meet priorities not budgeted for and engaging in unplanned activities (e.g., responding to unexpected requests from the host country or intervening when natural disasters occur, providing services to non-UN agencies or organizations without recovering costs). D (ii) Funds necessary to train and support government counterparts for strengthening state institutions may not be adequate. D (iii) The volatility of the Haitian dollar and gourds to the US dollar may result in losses to the UN.	The budget process is often completed prior to the adoption of the mission mandate, which sets the priorities. MINUSTAH works with other UN agencies and other international donors which might have funds to address training and support needs.	Financial	Likely	Low	Moderate Risk
	E (i) Mission performance reports may be incomplete, inaccurate and untimely, which could affect decision making regarding the Mission's operations and financing. E (ii) Quick Impact Project funds may be misused, resulting in the non-completion of projects. This situation could result in financial losses.	The Mission has established a team to monitor the implementation of activities and the reporting process.	Operational	Likely	Medium	Higher Risk
	F (i) High turnover of CFO in MINUSTAH may result in lack of continuity in the finance office, disruptions in service delivery and delays in completing the financial and budget statements.		Human Resources	Likely	Medium	Higher Risk

2	**Focus Area:**	**Financial Management**		**Possible**	**Medium**	**Moderate Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
II	**Processing of financial transactions**			Possible	High	**Higher Risk**
	C (i) UN financial regulations and rules may be overridden and not complied with when responding to crises, resulting in financial losses and/or increasing fraud risks.	Controls on commitment of funds and processing of payments are in place.	Compliance	Possible	High	**Higher Risk**
	D (i) Limited access to banks in remote regions may result in large impress accounts being held in cash resulting in a safety risk to staff who may be susceptible to fraud or a target of theft. D (ii) High incidences of counterfeit dollars on the Haitian market may result in financial losses to the UN.	The Mission's impress accounts in the regions are limited. The Finance Section and the partner bank have generally established controls.	Financial	Possible	Medium	**Moderate Risk**

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) Financial regulations and rules may be too rigid or inflexible, not allowing the Mission to respond promptly to crises. E (ii) Accounts payable not paid on time may result in stoppage of services and loss of discount opportunities. E (iii) Accounts receivable not monitored and received on time can lead to financial losses to the Organization. E (iv) Substantial funds in unliquidated obligations for example Quick Impact Projects, may be unnecessarily idle, leading to the inefficient use of funds. E (v) The Mission may not have appropriately considered money laundering risks inherent in the region in the conduct of its financial transactions. This situation could affect not only the financial operations of the Mission, but also its reputation. E (vi) The distribution of cash in the sectors may put staff members transporting cash at risk. E (vii) Manual input of data during transfer of funds in Chase Insight may result in mistakes and loss of funds.	Controls on commitment of funds and processing of payments are in place. Controls are in place to monitor accounts payable balances and effect payments on a timely basis. Current balance is reasonably low. Accounts receivable balances mainly relate to receivables from staff members and other personnel, where the risk of non-recovery is low as the Mission has put in place controls to recover receivables from staff salaries and entitlements. The Finance Section contacts the responsible managers to review and report unliquidated obligations. Transfers over $100,000 not done using Chase Insight to minimise losses.	Operational	Possible	High	Higher Risk

2	Focus Area:	Financial Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	G (i) The inappropriate granting of access rights to financial systems and user data entry errors may result in the unreliability of transaction processing. G (ii) Lack of interface between stand-alone finance applications (Sun System, Progen, Chase payment system) may lead to inefficiencies and inaccuracies in processing financial transactions.	Controls on the processing of financial transactions are in place. Finance Section staff have a good understanding of the systems and the risks involved. However, inefficiency remains because of manual data transfer from one system to another.	Information Resources	Possible	Medium	**Moderate Risk**

Risk Assessment of : MINUSTAH

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Staff vacancy and recruitment**			Possible	Medium	**Moderate Risk**
	C (i) Regional offices may not be adequately staffed, resulting in the lack of or improper segregation of functions. This situation may result in non-compliance with rules and increase fraud risks. C (ii) The Mission may use hiring practices (e.g., use of casual labour) that are outside of the UN regulations and rules. C (iii) The high need for employment in Haiti may result in contractors or casual workers paying UN staff to receive employment.	MINUSTAH provides operational support to the regions and occasionally rotates Mission HQ staff to the regions.	Compliance	Possible	High	**Higher Risk**
	E (i) The recruitment of staff may be delayed as a result of the recruitment process being complicated, protracted or inflexible resulting in the delayed filling of posts. E (ii) Insufficient qualified personnel including those with the necessary language requirements in departments which work directly with government institutions may result in the ineffective provision of institutional support. E (iii) HQ policy may result in delays in moving individuals to the field if an emergency arises.	The UN HR rules and regulations are used. The Mission keeps a roster of qualified applicants.	Operational	Possible	Medium	**Moderate Risk**

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F (i) High staff turnover in certain key mission sections/functions may negatively affect the performance of duties (e.g., loss of institutional memory, high learning curve, inconsistent/incoherent policies and goals between one manager and another etc.). F (ii) Inability to retain qualified professionals due to the working conditions in peacekeeping missions and limited opportunities for promotion in the Mission may result in low staff morale, which could also affect work productivity. F (iii) The nature of the contracts offered (short term) may deter persons from joining the mission staff. F (iv) The nature of the contracts offered may be different within the same function (International, UNV, Local) resulting in dissatisfaction among staff members.	The mandate implementation plan and budget provides guidance to managers on the mission's goals, plan/direction. The Mission has taken efforts in making facilities within MINUSTAH more attractive, including the provision of additional recreational activities.	Human Resources	Possible	Medium	**Moderate Risk**

3	**Focus Area:**	**Human Resource Management**		**Possible**	**Medium**	**Moderate Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
II	**Conduct and discipline**			Possible	High	**Higher Risk**
	B (i) There may be insufficient or unrealistic UN sanctions against acts of SEA, in addition the process leading to sanctions may be too long, insufficiently monitored or go against the culture of some countries. B (ii) Absence of a clear process for the Board of Inquiry to operate and line functions with dedicated staff may impede the ability for the Board to timely conduct work assigned.	High priority investigations are outsourced to OIOS. Board of Inquiry staff is called from other job functions when an inquiry starts.	Governance	Possible	Medium	**Moderate Risk**
	C (i) Incidents or perception of violation of sexual exploitation and abuse (SEA) may negatively affect the Mission's reputation and result in strained relations with the host government. C (ii) Non-compliance by civilian staff and the military with UN rules and regulations, e.g., on sexual exploitation, may lead to rules becoming meaningless, negatively affecting the UN's reputation.	Awareness campaigns and training programmes are in place to sensitize staff on SEA policies.	Compliance	Possible	High	**Higher Risk**

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) Investigation reports used by the Board of Inquiry (BOI) may be incomplete or of poor quality, resulting in the BOI reaching wrong conclusions. E (ii) The poor handling of investigations into SEA cases and the lack of timely information on the progress of these investigations may result in the public perception that the Mission is not adequately addressing these cases. E (iii) False allegations from Haitians with the attempt to receive compensations may be made resulting in increase case load and reputational damage to the mission. E (iv) Cases may not follow the correct procedure e.g. referred through the correct channel (OIOS) to be properly handled. In addition cases sent to OIOS may be sent back to the mission for investigation. This may delay investigations and final outcomes. E (v) Delays in completing investigations and handing down rulings on cases may result in negative image for the UN as it may be perceived that nothing is being done.	The Mission convenes a BOI as needed. Also, The Security Section has an investigation function/capacity. The Mission tries to expedite investigations and resolution of cases. A quality review process is instituted to ensure that each case is handled fairly.	Operational	Possible	High	Higher Risk
	E (vi) Insufficient evidence or absence of proof may result in no compensation awards to families who suffer losses or damages in UN cases.					

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F (i) Rules and regulations may not be effective in changing the mindset of individuals and deter them from committing the acts. F (ii) UN staff may lose the respect of the Haitian people if UN staff are involved in immoral activities such as prostitution.		Human Resources	Likely	High	Higher Risk
III	**Staff training, welfare and appraisal**			Possible	Medium	Moderate Risk
	D (i) Insufficient training budget as a result of reduction in budget when submitted may result in inadequate training opportunities for staff.		Financial	Possible	Low	Lower Risk
	E (i) Lack of or inadequate training in some sections may result in the improper performance of functions. E (ii) Ineffectiveness of the performance appraisal system (ePAS) as a career development tool may lead to lack of trust in the system on the part of staff. E (iii) Difficulty in recruiting well trained Staff Councillors who are physiologist may result in inadequate attention paid to staff welfare which is needed especially in Peacekeeping operations. E (iv) Inadequate facilities for training where rooms are located where it may be noisy or frequent disruptions may occur or lack of rooms may result in ineffective training sessions for staff.	Efforts were made to ensure that managers are complying with the ePAS process. UNV's are recruited as Staff Councillors.	Operational	Possible	Medium	Moderate Risk

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	F (i) Absence of a formal training plan for the development of staff skills to improve the organisational performance may result in the inability of the mission to operate efficiently. On the other hand the rapid staff turn over in the mission may result in staff once trained leaving the mission for other opportunities. F (ii) Inadequate attention/priority given to the establishment of recreational facilities and counselling services to reduce the stress levels of staff members, particularly in regional operations, may lead to mental and psychological health challenges. F (iii) The Mission may not effectively evaluate staff performance. This situation could lead to management failure to improve organizational performance and staff development. F (iv) Differentiation between local and international staff for pay and benefits e.g. DSA may result in hostility and low moral among local staff. F (v) Lack of accountability of staff through use of ePAS or RBB may result in ineffective work and poor staff performance continuing.	The Staff Counselling Unit is used for counselling but is short staffed. Also, the Mission is in the process of establishing (and in some areas have already completed the establishment of) recreational facilities and counselling services to help reduce stress levels of staff, particularly in regional offices.	Human Resources	Possible	Low	Lower Risk

3	Focus Area:	Human Resource Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV	**Medical services**			Possible	Medium	**Moderate Risk**
	C (i) Delayed delivery of medical supplies may result in expired medication being delivered to the mission or medication with very short shelf life resulting in returns and having to await new supplies.		Compliance	Possible	Low	**Lower Risk**
	E (i) Underdeveloped medical infrastructure, particularly in the country, may increase staff safety and health risks. E (ii) Incorrect diagnosis may occur due to language problems as the Mission is heavily reliant on medical doctors and staff who are not fluent in English or French and so rely on interpreters. E (iii) UN personnel may be exposed to tropical diseases (e.g., malaria) and other diseases (e.g., water-borne or those caused by unsanitary conditions or the improper handling of food), resulting in increased health risks and could negatively affect their ability to perform their functions.	Medical evacuation capacity and procedures are in place to evacuate to medical facilities in the Dominican Republic and Miami.	Operational	Possible	Medium	**Moderate Risk**
V	**HR administration**			Possible	Medium	**Moderate Risk**
	D (i) The administration of entitlements may not be effective, resulting in increased costs to the Organization or loss of entitlements to personnel.		Financial	Possible	Medium	**Moderate Risk**
	E (i) The lack of some key HR monitoring and oversight functions may lead to the inefficient management of resources and non-compliance with policies and procedures.	The new Chief of Mission Support took action to strengthen controls over HR administration	Operational	Possible	Medium	**Moderate Risk**

Risk Assessment of : MINUSTAH

4	Focus Area:	Procurement and Contract Administration		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	Procurement planning/process			Possible	High	Higher Risk
	C (i) The under-developed commercial market in Haiti may result in limited or no competition, limiting the Mission's ability to comply with procurement rules and increasing fraud risks that could ultimately cause financial losses to the Mission. C (ii) Procurement contracts that are delayed until year end may result in processing a large number of procurement cases at the end of a financial year which may lead to non-compliance with procurement rules and to the acquisition of goods and services at higher prices, or unsatisfactory bids. C (iii) Local contractors may not meet the UN procurement rules for example to provide financial statements in order to be registered as potential vendors, which may result in reduced competition for procurement bids.	The Mission provides briefing sessions on the UN procurement rules to potential suppliers. Suspected fraud cases are reported for investigation. A 2nd tender may be used if sufficient proposals are not received on 1st submission. UNHQ is working to establish categories of suppliers with different information request requirements for their registration based on their size and activities. There is no formal database of registered local vendors.	Compliance	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	Likeli-hood	Impact	Overall Risk
	E (i) There may be delays in procurement due to the complexity, protracted or the inability to apply to the rules to local market conditions (e.g., lack of/or limited competition) resulting in the delayed procurement of goods/services. E (ii) Difficulties in obtaining and delays in the delivery of major equipment, supplies (such as vehicles and spare parts) and services may affect the ability of the Mission to effectively provide logistical support. E (iii) Local suppliers may not provide effective competition when the Mission purchases certain goods and services, increasing the price or negatively affecting the quality of goods/services procured. E(iv) The procurement plan may not be adequately formulated, leading to ineffective and inefficient procurement activities. E (iv) Requisitioners may not have sufficient knowledge of the procurement process and may not have proper procurement plans for their sections/units. This situation could lead to inefficiencies in the procurement process and waste of resources.	The Mission has put controls in place to adhere to policies and procedures despite their rigidity and has a procurement plan consistent with operational activities. The Mission observes a structured and formal requisitioning process when purchasing goods and services. System contracts are used as much as possible.	Operational	Possible	High	Higher Risk
	G (i) Procurement files may not be consistently organized, obscuring the accountability over and the transparency of the procurement processes.	Organized and consistent files that appropriately reflect the procurement processes are not always in place.	Information Resources	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**	**Likeli-hood**	**Impact**	**Overall Risk**
II	**Major contracts**			Possible	High	**Higher Risk**
	C (i) Major contractors may fail to comply with UN rules and regulations or fail to deliver under their contracts leading to irregularities, inefficiencies and losses to the Organization.	The Mission regularly monitors performance of major contracts. Contracts may also contain performance bond and mitigating damages for non performance.	Compliance	Possible	High	**Higher Risk**
	D (i) Late payments could negatively affect relationships with vendors and result in delays in delivery of services.	The Finance Section appropriately monitors vendor payments.	Financial	Possible	Medium	**Moderate Risk**
	E (i) Lack of a formal fuel contract may result in disruption in fuel supply. E (ii) Reliance on one supplier for fuel may hamper Mission's operations should the sole supplier default. E (iii) Delays in the supply of major contracts such as food rations and cement may jeopardize the Mission's operations including the military. E (iv) Shortage of fuel may lead to disruptions in operations.	UNHQ is in the process of finalizing the fuel contract to cover the Mission's fuel needs. The Mission has indicated that it is satisfied with the food rations contractor's performance. Project management practiced to ensure timely delivery. A reserve fuel supply is kept and used.	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	Likeli-hood	Impact	Overall Risk
III	**Procurement administration**			Possible	High	Higher Risk
	E (i) The lack of staff rotation within the Procurement Section could increase opportunities to commit fraud such as unauthorized disclosure of information and collusion with vendors.	International (staff) team leaders are rotated, but there is no plan for the rotation for local staff within the Section.	Operational	Possible	High	Higher Risk
	F(i) The quality of procurement activities might be affected by the limited human resources (qualification, vacancies of posts, lack of continuous specialized training). F(ii) Inadequate staffing in the procurement unit may result in overworked staff resulting in increased stress to conduct work and rapid staff turnover.	All key vacancies in the Procurement Section have been filled and several training courses have been organized in coordination with UNHQ.	Human Resources	Possible	Medium	Moderate Risk

Risk Assessment of : MINUSTAH

5	**Focus Area:**	**Logistics Management**		**Possible**	**Medium**	**Moderate Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
I	**Transport operations**			Possible	Medium	**Moderate Risk**
	E (i) The vehicle assignment ratio (i.e., staff to vehicle ratio) may be inappropriate as it may not give adequate consideration to the size of offices including regional offices and criticality and needs of certain functions. This situation can negatively affect the performance of duties that require the use of vehicles. E (ii) The unavailability/inadequacy of vendor support for the provision and maintenance of spare parts could lead to the accelerated aging of the Mission's vehicle fleet. E (iii) Procurement policies may lead to delays in acquiring replacement vehicles and parts.	The Mission management is reviewing the ratios and their application across all functions and regions. Procurement plans are in place to replace the aging fleet. New vehicles have arrived.	Operational	Possible	Medium	**Moderate Risk**
	F (i) The increase in the number of regions serviced by the unit may affect the service quality provided if additional staffing is not provided.	The Transport Section has improved its support to the regional offices, but the timeliness of services provided still needs improvement.	Human Resources	Possible	Low	**Lower Risk**
II	**Logistics**			Possible	High	**Higher Risk**
	A (i) Inability to change the operational ability of the unit to respond to changes in the mandate, changes in the environment may result in disruptions in the Mission's operations.	The Logistics Section has improved the planning of its support services.	Strategy	Possible	Medium	**Moderate Risk**

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) The weather conditions, the terrain and road conditions in the country may pose more challenges to the Mission in providing logistical support to operations in the regions. E (ii) Contractors for critical services/supplies, such as fuel, security, electricity, etc., may not be able to deliver agreed upon quality and/or quantity of services/supplies, resulting in the disruption of the Mission's operations. E (iii) Lack of technical capacity and spare parts at regional offices may delay the repair of faulty equipment (vehicle, IT, etc.). E (iv) Lack of coordinated planning between the Logistics Section and the recipients of support services could delay the achievement of the Mission's objectives. E (v) Staff may not be properly trained on the handling and transporting of dangerous goods, resulting in cargo for dangerous goods arriving with regular cargo.	The Mission is coordinating with internal clients to plan and provide logistical support. The Mission is monitoring supplier performance to ensure goods and services are supplied on time. The Mission's integrated (technical) support section has representatives in the regions.	Operational	Possible	High	Higher Risk
	F (i) High staff turn over to other missions may result in shortage of staff in the unit. F (ii) Shortage of staff may result in the remaining staff working long hours and becoming over stressed.	Recruitment of staff to replace staff members who have left the Mission is initiated as early as possible.	Human Resources	Likely	Low	Moderate Risk

5	**Focus Area:**	**Logistics Management**		**Possible**	**Medium**	**Moderate Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
III	**Air operations**			**Possible**	**High**	**Higher Risk**
	C (i) Non-compliance with international aviation laws may expose the mission to sanctions and/or serious accidents.	The Mission is training staff on international aviation laws.	Compliance	Possible	Medium	**Moderate Risk**
	D (i) Restricted budget for the Aviation Section may result in limitations on the Section's operations.	The RBB process generally addresses needs in high risk areas such as aviation.	Financial	Possible	Medium	**Moderate Risk**
	E (i) The lack of standard aviation fire safety equipment could result in the Mission's inability to ensure the safety of passengers and aircrafts in case of accidents. E (ii) Lack of or unclear policies governing the transportation of dangerous goods could pose a threat to UN staff and assets and may increase air safety risks. E (iii) The aviation safety standards/manual may not reflect the actual air operations and conditions in MINUSTAH, resulting in increased air safety risks. E (iv) Lack of regular aircraft maintenance may result in increased air safety risks.	The Mission is using regular fire extinguishers. The Aviation Section staff are aware of the applicable standards and note any potential risks. Aircraft are generally well-maintained.	Operational	Possible	High	**Higher Risk**
	F (i) Staff members employed in the Aviation Section may have limited aviation experience. F (ii) Staff members employed in the Aviation Section may not have the necessary knowledge to handle the specialized equipment used in the Aviation Section.	Updated written regulations for aviation are now available.	Human Resources	Possible	Medium	**Moderate Risk**

5	Focus Area:	Logistics Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IV	**General services**			Likely	Low	Moderate Risk
	E (i) The absence of contracts with travel agencies may result in high and/or unstable travel costs and in missed discount opportunities. E (ii) The large area of responsibility of the General Services Section may distract management from key operational risk areas.	The Mission has been using the UNDP contract. The Mission has recently initiated the procurement process for travel services. The Mission has established clear terms of reference for each of the General Services Section's units.	Operational	Likely	Low	Moderate Risk
	F (i) Difficulty to maintain continuity and to train in work functions as a result of the 6 months rotation policy in the regions may result in sub-standard work within the unit.	Management oversight and work plans are in place to address this risk.	Human Resources	Possible	Low	Lower Risk
	G (i) Electronic archiving may be behind, putting at risk the integrity and security of information. In case of disasters, hard copies might be vulnerable and the organization might lose critical operational information.	Management wants to electronically archive records, but plans toward this end has not been formulated.	Information Resources	Remote	High	Moderate Risk

5	**Focus Area:**	**Logistics Management**		**Possible**	**Medium**	**Moderate Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
V	**Contingent-owned equipment**			Possible	Medium	**Moderate Risk**
	C (i) COE storage facilities may not be appropriate for the equipment or supplies being stored, e.g., ammunition, resulting in safety concerns.		Compliance	Likely	Medium	**Higher Risk**
	E (i) The contingent-owned equipment (COE) verification process may not be designed adequately or operating effectively, resulting in under-utilized or idle equipment. This situation can ultimately result in losses or waste of financial resources. E (ii) Lack of clear guidance on the use and/or provision of resources for military contingents and COE and UNOE for work not related to MINUSTAH's mandate, may result in inappropriate use resulting in financial losses and operational ineffectiveness.	The Mission generally reviews the legitimacy of the use of the funds. Pre-deployment inspection of equipment done in NY.	Operational	Possible	Medium	**Moderate Risk**
	G (i) Electronic archiving may be behind, putting at risk the integrity and security of information. In case of disasters, hard copies might be vulnerable and the organization might lose critical operational information.	Management wants to electronically archive records, but plans toward this end has not been formulated.	Information Resources	Remote	High	**Moderate Risk**

Risk Assessment of : MINUSTAH

6	Focus Area:	Information Technology Management		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**ICT operations**			Possible	Medium	Moderate Risk
	B (i) The absence of an ICT review committee and clear standard operating procedures may lead to ineffective ICT governance.	The Mission has not established an ICT review committee in accordance with organization policies.	Governance	Likely	Medium	Higher Risk
	C (i) Individuals may use the MINUSTAH system to access illicit material such as porn resulting in damage to the Organization's reputation.	CITS has put in place electronic controls to restrict access to illicit websites.	Compliance	Remote	Medium	Lower Risk
	E (i) IT technical support services may not meet client expectations, resulting in the ineffective use of IT tools and delays in delivery of IT product and services. E (ii) Lack of control over IT equipment may lead to the abuse/misuse of these resources and losses to the Organization. E (iii) IT systems may not be adequate to meet the demands of the Mission especially at the regional offices resulting in frequent disruptions to the system and the inability to conduct work. E (iv) There may be areas in the country that communication is not possible, putting staff at risk especially during crisis situations.	In general, IT services are made readily available to the staff and general controls are in place. Several means of communication (such as mobile phones, VHF, UHF, the Internet) are generally available in the regions.	Operational	Possible	Medium	Moderate Risk
	F (i) Lack of adequate and properly trained staff in ICT may result in disruptions to the IT systems and the ability to conduct the Mission's work.		Human Resources	Possible	Low	Lower Risk

6	**Focus Area:**	**Information Technology Management**		Possible	Low	Lower Risk
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
	G (i) The radio communication networks of the military and the UN Police may not be compatible to effectively relay operational information between them resulting in difficulties, especially during emergencies. G (ii) The intranet as a working tool for staff may not be sufficiently reliable.	A backup internet service provider is available, as/when needed.	Information Resources	Possible	Medium	**Moderate Risk**
II	**IT security**			Possible	Low	**Lower Risk**
	E (i) Unauthorized access to the Mission's ICT resources may compromise data integrity. E (ii) The lack of appropriate physical security for IT systems may jeopardize the Mission's operations. E (iii) ICT networks may not be consistently available especially during security crisis, endangering lives of UN personnel. E (iv) Certain ICT installations may be subject to sabotage.	General IT controls are in place, including the limited use of encryption functions/technology. The Mission is in the process of finalizing security arrangements for the server area.	Operational	Possible	Low	**Lower Risk**
III	**ICT disaster recovery & business continuity planning**			**Possible**	**High**	**Higher Risk**
	E (i) MINUSTAH may suffer major ICT systems failure which could halt its operations. E (ii) Lack of a properly documented business continuity plan for the Mission that has been tested may result in disruptions if these plans fail during a crisis.	The Mission has a business continuity plan that includes Brindisi as the ICT hub, and a regional hot site in the Dominican Republic. Backup systems, especially for major applications, are in place both locally and in Brindisi.	Operational	Possible	High	**Higher Risk**

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7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Community Violence Reduction (CVR)**			Possible	High	Higher Risk
	A (i) Unclear understanding of the CVR may result in a gap between the national strategy on Disarmament, Demobilization and Reintegration (DDR) and the Mission's Community Violence Reduction (CVR) programme, which could diminish the effectiveness and impact of the Mission's CVR programme. A (ii) The Mission and the relevant UN agencies (e.g., UNDP) may not have an integrated strategy on dismantlement and reinsertion, which could diminish the effectiveness and impact of the Mission's CVR programme. A (iii) The CVR programme design may not be comprehensive (i.e., it lacks critical components such as relations with Government, no formal project management framework), resulting in an ineffective CVR programme.	The Mission has redesigned its DDR approach to focus on CVR which intends to support the Haitian National Commission on DDR activities. The SRSG's March 2008 Report reflects coordination efforts between MINUSTAH and UNDP and the National Commission on DDR. The Mission has refocused its activities from DDR to community violence reduction activities thus dealing with less arms collections. The Mandate has encouraged continued implementation of quick impact projects.	Strategy	Possible	High	Higher Risk
	A (iv) Mission-funded projects through DDR/CVR may not be sustainable and could become counter productive because the change in the programme's focus: (a) could have created a void which cannot be filled by government institutions because of the lack of resources from the Government and other partners; and (b) could lead to the disappointment of the recipients of initial projects under DDR, both community and state institutions, a situation that may harm the reputation of the Mission.					

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	D (i) Critical success factors of the Community Violence Reduction (CVR) programmes and projects may not be easily measurable resulting in difficulties in obtaining more funds to achieve substantial and sustainable impact in their areas of operations. D (ii) Lack of funding for work programmes to continue the work of reintegration may result in an inability to continue crucial operations.	The budget includes several indicators of achievement such as increase in the number of CVR programmes and projects operating in volatile areas. The budget will also facilitate the measurement of CVR achievements. Target other institutions to assist with funding (WFP, World Bank etc)	Financial	Likely	Medium	**Higher Risk**
	E (i) The unstable security environment may limit CVR/MINUSTAH interventions in needy communities as most areas where work is needed are red zones. E (ii) The Mission's and host country's lack of project management capacity may result in inefficient and fraudulent use of funds.	The military and UN Police and national police presence provides security coverage.	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	Likeli-hood	Impact	Overall Risk
II	**Human rights**			Possible	Low	Lower Risk
	A (i) Inadequate attention may be given to the rights of people in Haiti.		Strategy	Possible	Medium	Moderate Risk
	B (i) The coordination of human rights activities between MINUSTAH and the relevant UN agencies may not be adequate, resulting in overlaps and inefficiencies. B (ii) Lack of monitoring and evaluating of the program of work may result in ineffective programmes continuing.	Coordination at some level has taken place for example joint workshops with OHCHR.	Governance	Possible	Low	Lower Risk
	E (i) Unclear terms of reference for work or if not followed by individuals in the unit may result in uncertainty as to what is to be done.	Resources are provided for operational purposes.	Operational	Possible	Low	Lower Risk
	F (i) The lack of adequate resources in the human rights programme may hinder access to clients in regional and rural areas.	Human rights staff are deployed throughout the country.	Human Resources	Remote	Low	Lower Risk
	G (i) Lack of an appropriate workable database to store human rights information may result in the inability to conduct proper analysis and track cases between the HQ and provinces. G (ii) Leakage of sensitive human rights information to others may result in a bad reputation for MINUSTAH and further cases going unreported.		Information Resources	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**	**Likeli-hood**	**Impact**	**Overall Risk**
III	**Justice**			**Possible**	**Medium**	**Moderate Risk**
	A (i) Weak institutional legal framework in the country may not allow for the strengthening of the rule of law.	Key principles of the legal framework have been enacted by the parliament. Also, the Mission is working with relevant actors involved in the process of strengthening the rule of law.	Strategy	Possible	Medium	**Moderate Risk**
	B (i) Lack of coordination and prioritization in the Justice, Civil Affairs and Political Offices may lead to conflicting prioritization of Mission objectives and their ineffective implementation.	Various Mission players in judicial institution building regularly coordinate their activities. Also, senior management review mechanisms that exist to minimize conflicting priorities.	Governance	Possible	Medium	**Moderate Risk**
	D (i) Limited financial capacity to support effective changes and to strengthen legal institutions could result in delays in work programmes.	The Mission's support for the justice programme is generally in the technical assistance areas. Other donors provide financial support.	Financial	Possible	Medium	**Moderate Risk**
	E (i) The lack of continuity if the new ministry of justice does not continue the justice reform already started may result in delays in the Missions mandate.	The Haitian Government, Chambers of Deputies and Senate have enacted several laws establishing a framework for MINUSTAH to carry out its mandate.	Operational	Possible	Medium	**Moderate Risk**
	F (i) The Justice Section may encounter difficulties in recruiting French and/or Creole-speaking staff (French and/or Creole are the predominant language used in court proceedings) hampering the section's ability to effectively discharge its functions. F (ii) The short term nature of the term of UN police working with Haitian police may not allow adequate time to learn the Haitian justice system, e.g., penal code or justice code of the country.	Training in the justice code is provided. The legal aspect of the UN Police operations is the responsibility of the Haitian police.	Human Resources	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	Likeli-hood	Impact	Overall Risk
IV	**Humanitarian and development coordination**			Possible	Medium	Moderate Risk
	B (I) The Mission may not have the right tools to perform its humanitarian and development coordination mandate. B (ii) The Mission's supporting role in the humanitarian and development coordination programme may limit its ability to drive the programme as it does not have control over the resources, resulting in ineffective programme implementation. B (iii) The coordination of humanitarian development activities between MINUSTAH and the relevant UN agencies (e.g., OCHA and UNDP) may not be adequate, resulting in overlaps and inefficiencies.	OCHA and UNDP take the lead in humanitarian activities and are providing the necessary financial resources. The Mission makes available its logistic resources to other UN agencies to help in the provision of humanitarian support. Ad hoc coordination occurs during disasters.	Governance	Possible	Medium	**Moderate Risk**
	E (i) The Mission's humanitarian objectives may not be achieved because of the lack of financial resources.	OCHA and UNDP take the lead in humanitarian activities and are providing the necessary financial resources. The Mission makes available its logistic resources to help in the provision of humanitarian support.	Financial	Possible	Low	Lower Risk
	E (i) The inability to support and coordinate disaster response nationally, including for all regions may result in ineffective unit operations.		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**	**Likeli-hood**	**Impact**	**Overall Risk**
V	**Quick impact projects**			Possible	Medium	**Moderate Risk**
	A (i) The implementation of a large number of QIPs throughout the country may not be sustainable or may not address or focus on the real needs of the beneficiaries.	The Mission's mandate included provisions encouraging the continued implementation of quick impact projects.	Strategy	Possible	Medium	**Moderate Risk**
	C (i) QIPs may not be within the guidelines established for their selection where each project should meet main criteria's. C (ii) QIPs may not be highly visible projects which would enhance the relationship between MINUSTAH and the community, and have a potential for improving the overall image of the Mission. C (iii) QIP may not benefit the community in which they are executed and may not avoid the perception of benefiting individuals.		Compliance	Possible	High	**Higher Risk**
	D (i) Quick impact project (QIP) funds may be misused or misappropriated, resulting in financial losses.	Mission personnel regularly monitors and conducts field visits.	Financial	Possible	Medium	**Moderate Risk**
	E (i) Procedures to select and implement quick impact projects may be too cumbersome, take too long or have numerous bottle necks that may affect the impact of such projects. E (ii) Reliable and experienced implementing partners may not be available to implement the project on the ground), resulting in the ineffective use of funds.	Despite the decentralization of project review committees, there are still large projects processed that are of urgent/ad hoc nature. Some QIPs guidelines are still in draft form.	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	Likeli-hood	Impact	Overall Risk
VI	**UN Police**			Possible	Medium	**Moderate Risk**
	E (i) The vetting process for the recruitment of Haitian National Police (HNP) officers may not be adequately designed and implemented to select the right police officers, resulting in unqualified/unsuitable individuals being hired. E (ii) The military and UN Police may not be able to coordinate their activities to effectively ensure staff security. E (iii) The Haitian government may not be able to improve the country's border management, creating the perception that MINUSTAH is not effective in achieving its border management objectives. E (iv) Short-term rotation of police officers may impact on their effectiveness and minimize lasting relationships between the HNP and UN Police. E (v) Inadequate planning of police operations and institutional development activities may impact the effectiveness the UN Police in maintaining security and developing the capacity of the Haitian National Police. E (vi) Language barrier may prevent communication between troops from different countries and with the civilians.	The Mission has operational plans in place. MINUSTAH and donor community are working with the Haitian government to build national border management capacity. The Mission has operations plan and intervention mechanism in place. French speaking police deals with civilians.	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**	**Likeli-hood**	**Impact**	**Overall Risk**
	F (i) Lack of proper training in certain technical areas such as the Haitian penal code, which is required to increase the level of professionalism of the HNP, may render ineffective MINUSTAH's assistance in the reform of HNP. F (ii) UN Police officers may not be properly trained on the use of communication equipment, hindering operations.	Capacity building of the Haitian National Police is ongoing through training and co-locations. The Mission provides training on the use of communication equipment.	Human Resources	Possible	Low	Lower Risk

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
VII	**Electoral**			Possible	High	Higher Risk
	A (i) Complexity of the Haitian constitution which calls for frequent and expensive elections may result in the instability of the Government and key institutions.	The Mission provides technical advice and helps to finance, organise elections and works to strengthen existing institutions.	Strategy	Possible	Medium	Moderate Risk
	B (i) The absence of institutional framework (National Electoral Commission) may delay the organization of elections within the planned timeframe.	MINUSTAH is working with the Government to expedite the establishment of the National Electoral Commission.	Governance	Likely	Medium	Higher Risk
	D (i) Donors may not agree to finance the elections resulting in the postponement/cancellation of elections, which could ultimately cause political instability. D (ii) The funding mechanism for the elections is not clearly established, while the Government has set election dates without securing funds.	Donors have in the past provided funding for the elections.	Financial	Possible	High	Higher Risk
	E (i) The provision by MINUSTAH of logistical support for the organization of the elections in Haiti may be affected by political conditions in the country. E (ii) Changes in the dates of the elections and potential conflicts in the logistical priorities of the Mission could negatively affect the provision of logistical support for the elections. E (iii) Election ballots may not be securely stored in the regions, exposing elections to fraud or manipulation.	Coordination Committee for electoral assistance meets every week. Logistical support plans are in place. MINUSTAH provides security to protect ballots in the regions.	Operational	Possible	High	Higher Risk

7	**Focus Area:**	**Programme and Project Management**		**Possible**	**Medium**	**Moderate Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
VIII	**Public information**			Possible	Medium	**Moderate Risk**
	D (i) Insufficient financial resources included in the Missions budget to ensure effective communication to the public may result in the inability to improve MINUSTAH' image.		Financial	Possible	Low	**Lower Risk**
	E (i) The Mission's public information strategy may not be effectively addressing the public's opinion/expectation of the Mission, resulting in the public's resentment toward the Mission and its personnel. E (ii) The procurement process may result in delays in acquiring needed equipment e.g. camera etc. E (iii) During high security situations, staff movement restrictions may arise that may limit the ability to conduct work, e.g., during the time of riots a journalist photographer may need to be out taking photographs while the security measure may require persons to be off the streets and home.	The Public Information Section has recently initiated a radio programme. Also, its internet radio and other media programme have been improved. However, the Mission has not yet evaluated whether these public information programmes have reached the intended audience and whether they are effective in communicating the Mission's messages.	Operational	Likely	Medium	**Higher Risk**

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	G (i) Publication of inaccurate or misleading mission generated data (e.g., reporting of improvements or degradation of conditions) may result in public challenge to MINUSTAH's integrity. G (ii) The lack of secure radio frequencies may limit the Mission's capacity to reach national and international audiences for advocacy purposes. G (iii) Negative, untrue or hostile propaganda may spread throughout the population resulting in a negative impact on the mission. G (iv) Allegations made against the mission may not be responded to in a timely manner resulting in rumours being passed as fact.	Controls are in place to ensure publications undergo quality review before dissemination to the public. The Mission currently rents frequencies from private providers. The Mission is in the process of signing a long-term agreement with a private provider. The Mission has a website including video, audio and documentary information, to disseminate information. Press conferences are held in addition the missions own media broadcast is used to relate accurate information using TV shows. The internet is also used.	Information Resources	Remote	Medium	Lower Risk

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
IX	**Political affairs and planning**			Likely	Medium	Higher Risk
	A (i) Criminal organizations in the country may present challenges to the Government and MINUSTAH's new initiatives, i.e., border management including customs. This situation could increase security risks and could impede the implementation of MINUSTAH's border management activities. A (ii) Powerful criminal organizations may benefit from porous/uncontrolled borders and may be capable of challenging the efforts of the Government and the international community toward a secure border. A (iii) A weakening of the Government and the already frail institutions may jeopardize the effective implementation of MINUSTAH's mandate and the sustainability of its achievements in the areas of security stabilization and in institution building.	The Security Council and the Government of Haiti considers border management/ strengthening as a priority for security and economic reasons. The concept of operations for the implementation of MINUSTAH border management activities have been established and are being implemented. The deployment of military and police force and equipment (such as patrol boats) and capacity building of government counterparts is ongoing.	Strategy	Likely	Medium	Higher Risk
	F (i) Inadequately trained staff that are not knowledgeable on the political affairs of Haiti may result in the government of Haiti not implementing MINUSTAH's recommendation or accepting help in political affairs and planning.		Human Resources	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
X	**Civil affairs**			Possible	Medium	**Moderate Risk**
	A (i) The host country may not have clear objectives and lack the capacity and resources relating to institution building, which could limit the effectiveness of the Mission in supporting institutional development and capacity building. A (ii) Lack of institutional support and the inability to assist the local government may result in ineffectiveness of the civil affairs programmes. A (iii) The inability for MINUSTAH to capitalize on earlier gains of the mission in stabilising the country could result in reverting to gang warfare and violence. A (iv) MINUSTAH addressing the symptoms instead of the root causes of the Civil affairs problem in Haiti such as lack of sustainability and addressing the economic institutions may result in the inability to establish the Civil Affairs programme in Haiti.	The Mission works with the Government, the parliament and local institutions to establish clear objectives and strategies. The UN, bilateral and other international partners coordinate their efforts as much as possible to support institutional building at all levels. The legal institutional framework has yet to be fully established by the legislative bodies	Strategy	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**	**Likeli-hood**	**Impact**	**Overall Risk**
	B (i) The Mission may have conflicting objectives and priorities related to institutional building which may reduce the effectiveness of programme implementation. B (ii) Lack of cooperation and coordination between management and staff in HQ and regional offices may result in ineffectiveness of the Civil Affairs programme of work.	The Mission has several units intervening in the areas of institutional building at all levels. An adequate coordination mechanism is established through regular senior management and executive committee meetings. Coordination mechanisms exist at the regional level. Also, the Director of Civil Affairs frequently travels to the regions.	Governance	Possible	Low	Lower Risk
	D (i) Donor fatigue may occur as a result of no visible outcome of the programmes in MINUSTAH.	MINUSTAH senior management works closely with the donor community.	Financial	Possible	High	Higher Risk
	E (i) A change in the government of Haiti may result in major set back in the Civil affairs of Haiti.		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	Likeli-hood	Impact	Overall Risk
XI	**Joint mission analysis centre**			Possible	High	Higher Risk
	E (i) The inability to analyse security information when received or the incorrect or untimely analysis may place the mission and staff members in danger.		Operational	Possible	High	Higher Risk
	F (i) Inadequate number of staff trained in intelligence analysis may result in the inability to analyse information and to make the correct response necessary to security situations. F (ii) The inability to recruit the right persons with the necessary skill set for JMAC, in addition to the inability to retain those persons recruited may result in shortage of personnel to conduct the necessary task.		Human Resources	Possible	High	Higher Risk

7	**Focus Area:**	**Programme and Project Management**		**Possible**	**Medium**	**Moderate Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
XII	**Regional offices**			Possible	Medium	**Moderate Risk**
	A (i) The inability to replicate services offered by HQ at the regional offices so as to ensure the offices can operate effectively and timely may result in limitations in the operation at these offices. A (ii) Not making use of lessons learned in starting and closing regional offices from mission to mission, may result in problems that could have been avoided.	MINUSTAH has posted Mission Support staff to the regional offices to provide support to substantive activities.	Strategy	Possible	Medium	**Moderate Risk**
	B (i) Lack of authority to make decisions and efficiently conduct operations at the regional offices will result in failed operations. B (ii) Lack of understanding by management of regional office operations as a result of infrequent or very short visits by them may result in incorrect decisions made for regional office operations. B (iii) Staff members' reporting lines to their respective chiefs at Mission HQ may be unclear so creating some inefficiencies. B (iv) Lack of appropriate support from HQ for administration or technical areas will result in reduced effectiveness of the regional offices.	Most support services are provided onsite, otherwise they are provided from Mission HQ.	Governance	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**	**Likeli-hood**	**Impact**	**Overall Risk**
	E (i) The absence of technically competent persons to advise on work programme in all areas in the region may result in limited success of the offices. E (ii) Damage to equipment in remote areas/regional offices may go unfixed for long periods of time, resulting in disruptions in operations. E (iii) Inadequate reserves for food rations may result in shortages during a crisis as there may be limited access by road or air to replenish these reserves. E (iv) Crisis management plans for the individual regional offices may fail if not tested at each office. E (v) Inadequate medical facilities to treat civilian staff in case of illness may result in staff going untreated, prolong illness or even death.	 Most support services are provided onsite, otherwise they are provided from Mission HQ. The Mission may send food rations by air, where necessary. Drills are conducted to rehearse the effectiveness of the crisis management plans. A clinic for the military is available. A clinic with nurses and treatment for minor illnesses is also available.	Operational	Possible	High	**Higher Risk**
	F (i) Limited recreational facilities for staff members may result in a need for staff to frequently request to leave the region.		Human Resources	Possible	Medium	**Moderate Risk**
	G (i) Frequent break down in the computer and telecommunication systems of the regional offices as well as the limited access to the internet may affect the productivity of operations. G (ii) The absence of technically competent persons to address system problems at the regional offices may result in low productivity.	IT persons from Port Au Prince covers servicing of the regional offices.	Information Resources	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**	**Likeli-hood**	**Impact**	**Overall Risk**
	G (i) Frequent break down in the computer and telecommunication systems of the regional offices as well as the limited access to the internet may affect the productivity of operations. G (ii) The absence of technically competent persons to address system problems at the regional offices may result in low productivity.	IT persons from Port Au Prince covers servicing of the regional offices.	Information Resources	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**	**Likeli-hood**	**Impact**	**Overall Risk**
XIII	**Gender**			Possible	Medium	**Moderate Risk**
	B (i) The nature of the programme of work on gender affairs may result in duplication with other UN agencies such as UNIFEM.	A coordination mechanism with other concerned UN agencies is in place.	Governance	Possible	Medium	**Moderate Risk**
	D (i) Lack of budget for the Gender Unit may result in limitations on the work to be conducted in gender affairs.	The Mission's budget provides for staff resources, but funds to actually carry out the work are expected to be obtained through the relevant UN agencies.	Financial	Possible	Medium	**Moderate Risk**
	E (i) The inability to travel within the region to conduct training and workshops on gender matters may result in limited success of the unit. E (ii) The ability of the local partners may be weak, making it difficult to work effectively with them.	The Mission works with other national working groups and UN agencies.	Operational	Possible	Medium	**Moderate Risk**
	G (i) The inability to share information, e.g., investigation reports with the Haitian government or respective ministry, may result in mistrust and set back work achieved.		Information Resources	Possible	Medium	**Moderate Risk**

Risk Assessment of : MINUSTAH

9	Focus Area:	Property and Facilities Management		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
I	**Property & inventory management**			Possible	Low	Lower Risk
	A (i) Office locations including those located in Port-au-Prince and the regional offices may not be suitably located or may be too widely dispersed resulting in the inability to properly secure or have timely travelling from one office to another.		Strategy	Possible	Low	Lower Risk
	G (i) Delays in updating the Galileo inventory system could result in inaccurate stock balance figures reported to senior management, which are used for decision making.		Information Resources	Possible	Low	Lower Risk

9	Focus Area:	Property and Facilities Management		Possible	Low	Lower Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) Control and verification of UN-owned properties may not be adequate, resulting in an unreliable asset register and increased fraud risks. E (ii) Mission's assets and premises may not be adequately secured, resulting in property theft, losses or damages during riots and looting. E (iii) The Mission may damage the environment in areas where it operates due to the lack of an environmental protection programme and sewage disposal systems in the Mission, including sewerage treatment plants. E (iv) The Mission could contribute to the pollution of the environment by not disposing hazardous waste in a proper manner. E (v) Asset transfers, disposals and/or write-offs may not be accounted for properly leading to inaccurate records or loss to the organization.	PCIU conducts periodic inventory inspections and reviews. However, the reconciliation of the results of physical inspections against the records are not always done on time. The Mission has established a function/unit dealing with hazardous waste and pollution.	Operational	Possible	High	Higher Risk
	E (vi) Inadequate mechanisms to identify slow moving or obsolete items could result in excess inventory and inefficient use of assets. E (vii) Controls may be inadequate for monitoring the status of assets and identifying disposal options resulting in not identifying assets due for disposal in a timely manner or plan for asset disposal until it is close to the end of its serviceable life.	PCIU conducts periodic inventory inspections and reviews. However, the reporting of inventories' physical conditions, such as those that can be recommended for disposal, are not always done on time.				

9	**Focus Area:**	**Property and Facilities Management**		Possible	Low	Lower Risk
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
	F (i) Staff may not be adequately trained and informed of the policies and guidelines relating to inventory, which may cause problems in implementation of policies.	Staff are generally trained, but staff turnover reduces the training's effectiveness.	Human Resources	Possible	Low	Lower Risk
II	**Engineering**			Possible	High	Higher Risk
	B (i) Inadequate coordination between the Engineering Section, Logistics Section and the Military Engineering Company may negatively impact the effectiveness and efficiency of engineering activities.	Regular meetings among these sections are held when major projects are being planned or implemented.	Governance	Likely	Medium	Higher Risk
	D (i) The numerous locations/premises used for Mission operations may lead to increased rental, maintenance and security costs.	Mission management is considering consolidating operations into one location.	Financial	Possible	Medium	Moderate Risk
	E (i) Mission's resources may not be adequate to provide engineering services to numerous mission sites across the country. This situation could make it difficult for the Mission to prioritize engineering activities and to move engineering equipment to work sites.	To address this risk, the Mission uses daily paid workers.	Operational	Possible	Medium	Moderate Risk
	F (i) Heavy reliance on casual daily workers for engineering functions may result in these functions not being done if dispute arises with these workers. F (ii) Inadequate system to deal with the number of workers employed in the Engineering Section may result in inadequate service provided to these workers.		Human Resources	Possible	High	Higher Risk

Risk Assessment of : MINUSTAH

10	**Focus Area:**	**Safety and Security**		**Possible**	**High**	**Higher Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
I	**Security**			Likely	High	**Higher Risk**
	B (i) An ineffective Security Management Team (SMT) may result in the uncoordinated management of security issues. B (ii) Lack of centralized action on the part of management to coordinate police, UN security intelligence and military may result in slowness in response during a crisis and the inability to effectively coordinate security matters.	The SMT holds weekly meetings with the presence of the UN Country Team (UNCT) members.	Governance	Likely	High	**Higher Risk**
	C (i) Military contingents may not be properly storing ammunitions in line with safety standards posing high risks to civilian and military personnel in case of accidents. Ammunitions are stored within close proximity to both military and civilian accommodations. C (ii) Staff may not comply with security policies and procedures putting both staff and assets at risk. C (iii) The Mission may not have appropriate fire fighting equipment and trained personnel, increasing exposure to loss of life and assets. C (iv) Lack of compliance and awareness with the UN Security measures may result in increasing security risks.	The Mission is improving the monitoring and sanctions for violation of security guidelines. The Mission has hired a Fire Marshal. A country security plan exists and is being updated. Evacuation drills are not conducted on a regular basis.	Compliance	Possible	High	**Higher Risk**
	D(i) Lack of funds for security may result in the Mission's inability to provide comprehensive and adequate security to the Mission.		Financial	Possible	Medium	**Moderate Risk**

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) Ineffective security threat assessments and false sense of security and stability on the part of Mission staff could affect the Mission's ability to secure UN staff and operations. E (ii) Criminals and opportunists/spoilers may become aware of security plans and exploit the security weaknesses, example the escape routes, resulting in increased security risks to UN personnel and resources. E (iii) The military contingents' stocks of non-lethal weapons (e.g., tear gas and rubber bullets) for crowd control may not be sufficient to address rising incidents of violent riots. E (iv) The lack of current and country-specific security plans may increase the security exposure of United Nations operations and staff. E (v) Lack of a comprehensive understanding of stability in Haiti (presently quiet) where two distinct lifestyles are seen may result in unpreparedness by MINUSTAH for changes in the present stability that may explode at any time.	The Mission has four sections/units involved in security assessment: Security Section, JMAC, the Military and UNPOL. These units provide security assessments to senior management for planning and decision-making purposes. Police and military personnel are visible in Mission HQ.	Operational	Likely	High	Higher Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (vi) MINUSTAH may not be prepared to act where corrupt persons in Haiti who perceive that their livelihood is at risk and so may attack MINUSTAH property and personnel. E (vii) The main access routes from the UN offices to most private homes may be cut off during a crisis leaving staff members limited access to their homes or trapped in between.					
	F (i) Inadequate or untrained security staff may not be able to provide effective security support needed in case of crises.		Human Resources	Possible	High	Higher Risk
	G (i) During crisis situations persons may not have access to timely or the correct information therefore putting there life's at risk. G (ii) Communication equipment may not work during a crisis therefore putting the staff at risk.	Mobile phones, two way radios are provided to staff members in addition internet communication is also used. Staff members are required to provide up-to-date contact details.	Information Resources	Possible	High	Higher Risk

10	**Focus Area:**	**Safety and Security**		**Possible**	**High**	**Higher Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
II	**Contingency planning**			Possible	High	**Higher Risk**
	A (i) Lack of very clear objectives (action plans) for the mission for the particular year depending on the risks identified at that time (kidnapping , curtailing guns) may result in uncertainty and unpreparedness to deal with upcoming situations.		Strategy	Possible	High	**Higher Risk**
	B (i) Lack of a formal, central command and control structure among the military contingents, UN Police and civilian security staff may result in chaotic and untimely emergency response, increasing safety and security risks to UN personnel.	The SRSG has the authority to assign command and control. Also, the military, UN Police and DSS regularly consult to plan and assign responsibility according to security situations.	Governance	Possible	High	**Higher Risk**
	C (i) Lack of electric supply in Haiti may prevent staff from complying with the policy to have 3 weeks of supply of food at home. In addition, storage at home may be limited.	UN security policies require staff to have a generator at home (staff are reimbursed for fuel costs to run the generators).	Compliance	Possible	Low	**Lower Risk**

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likeli-hood	Impact	Overall Risk
	E (i) Lack of a formal definition of priorities of which resources to protect (human and/or premises, MINUSTAH's and/or Haiti's) and limits of support on the provision of security to the Haitian government and people may result in a chaotic response to emergency situations. E (ii) The Mission's emergency response plan to secure UN personnel may not be working effectively and not adjusted for outdated or unrealistic conditions, resulting in increased staff safety and security risks. E (iii) The use of force to quell violence especially during civilian riots if used, can be damaging to the UN reputation. E (iv) The Mission may not have sufficient food and fuel reserves at all military and police locations in case of prolonged emergencies or if access roads to these sites are cut off. This situation may endanger the lives of UN personnel and MINUSTAH operations. E (v) The evacuation route to the Dominica Republic may be affected during bad weather conditions leaving no alternative route to a safe haven.	The security plan is being updated. The Mission management has clear directives on how to react in time of crisis to avoid use of force against civilians. The Mission also has crowd control capability through the Formed Police Units. There are existing ration reserves and in case of need, these can be flown to sites where access roads are cut off.	Operational	Possible	High	Higher Risk
	E (vi) Lack of plans for disaster recovery such as for Asian flu, hurricanes and earthquake, may result in unpreparedness if such disaster occurs.					

10	**Focus Area:**	**Safety and Security**		**Possible**	**High**	**Higher Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
	G (i) The communication network may not be available during security crises, endangering the lives of UN personnel, particularly those in regional offices. G (ii) UN personnel not knowing how to use communication equipment may result in ineffective security coordination during crises. G (iii) Inadequate information on security incidents may result in the inability to place the limited security personnel available in the correct places to minimise the security risks.	There is adequate radio communication network coverage in Haiti. Also, the Mission is fitting all vehicles with radios and is providing radios to all staff, in compliance with MOSS requirements. However, radio calls are not conducted on a regular basis to assess the functioning of the radio communication systems and the capability of staff in using the radios.	Information Resources	Remote	High	**Moderate Risk**

10	**Focus Area:**	**Safety and Security**		**Possible**	**High**	**Higher Risk**
No	**Interview/Review Summary (Description of risk)**	**OIOS Assessment**	**Risk Category**	**Likeli-hood**	**Impact**	**Overall Risk**
III	**Occupational safety**			**Possible**	**Medium**	**Moderate Risk**
	C (i) MINUSTAH may not have sufficient facilities and capacity for the disposal of hazardous materials, resulting in environmental and health hazards for UN staff and the local population.	The Mission is taking steps to have proper disposal systems.	Compliance	Possible	High	**Higher Risk**
	E (i) Lack of proper equipment for fire safety (fire engine, protective clothing) may result in inadequate response in case of emergencies.		Operational	Possible	Medium	**Moderate Risk**
	F (i) The Mission may not give adequate attention/priority to occupational safety and health issues (e.g., use of helmets, bullet proof vests, first aid kits, etc), increasing staff safety risks. F (ii) Unsafe drinking water or other contaminated provisions may expose UN personnel to water-borne illnesses. F (iii) Lack of fire safety officers who are trained in safety and security (fire, trauma, weapons management) may result in inadequate response in case of an emergency.	The Mission conducts regular health safety campaigns.	Human Resources	Possible	Medium	**Moderate Risk**

Focus Areas

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

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

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

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

Risk Categories

Risk categories are common concerns or events, grouped together by the type of risk that will result. The seven (7) risks used in OIOS Risk Assessment methodology are as follows:

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

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

Risk Assessment Ratings

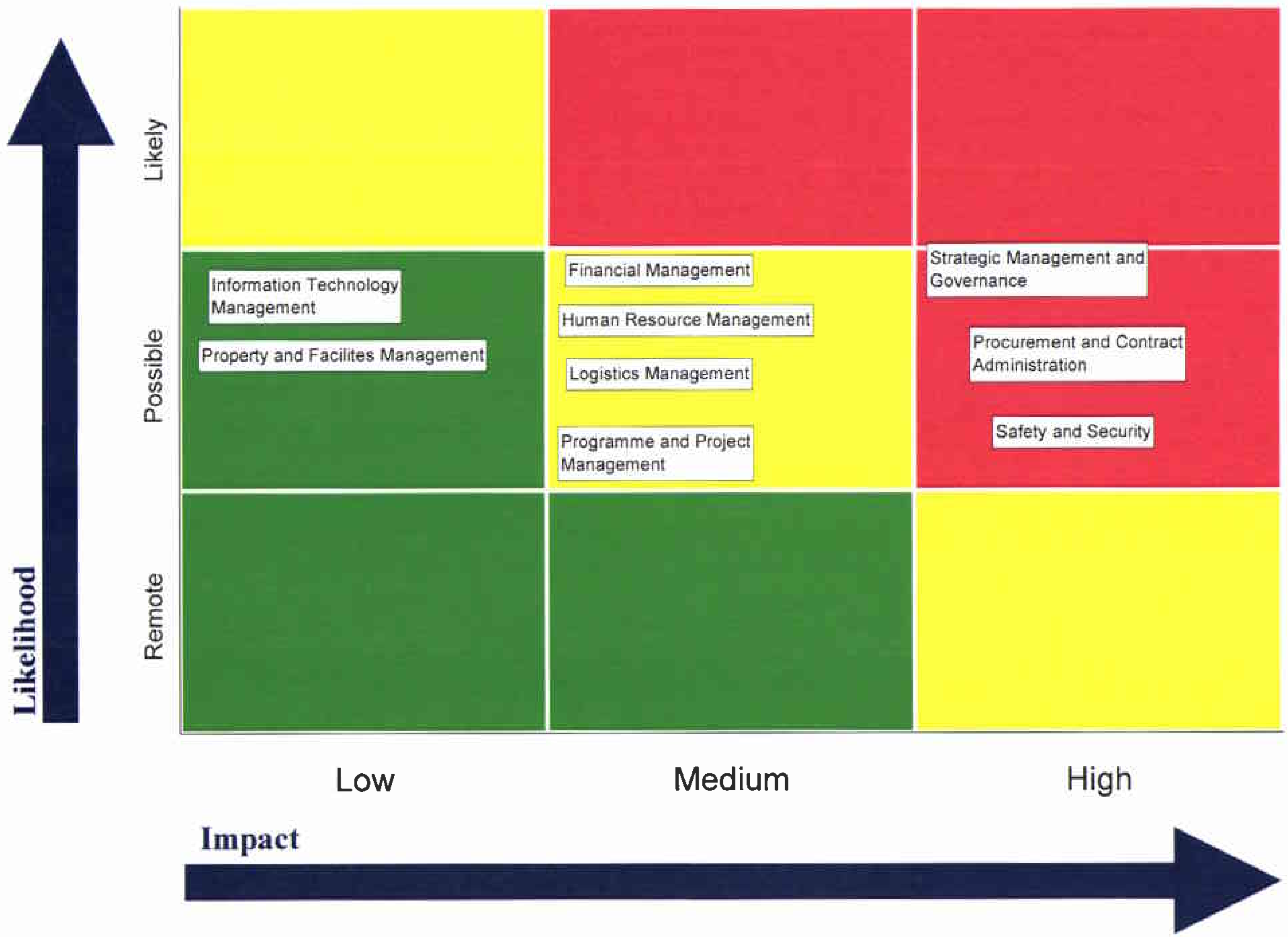
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs.
Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used are shown below:

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

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

	Overall Risk Combinations Impact and Likelihood
Higher Risk	The identified issue represents the following likelihood and impact combinations: • Likely and high • Likely and medium • Possible and high
Moderate Risk	The identified issue represents the following likelihood and impact combinations • Likely and low • Possible and medium • Remote and high
Lower Risk	The identified issue represents the following likelihood and impact combinations • Possible and low • Remote and low • Remote and medium

RISK SUMMARY PROFILE (Focus Area)



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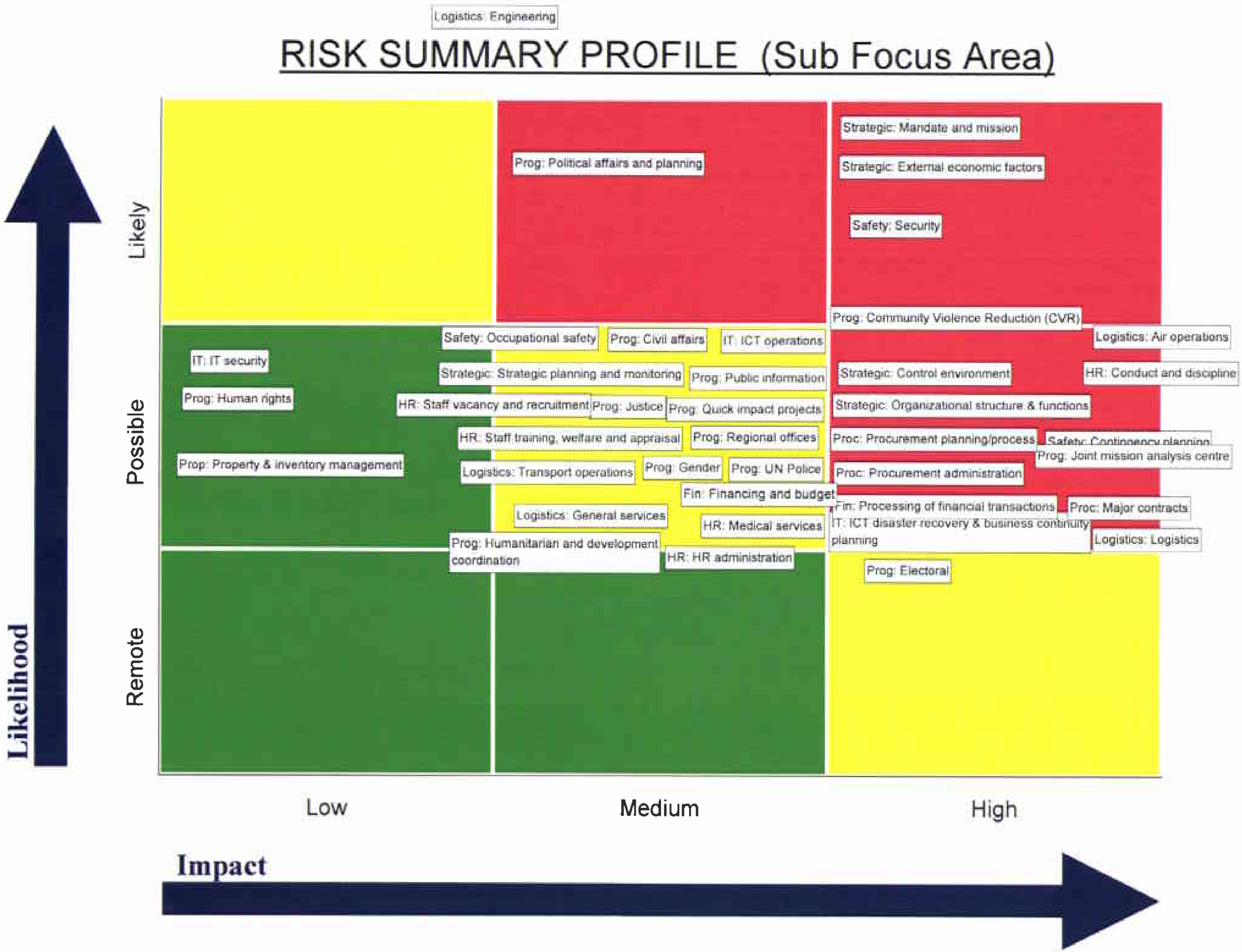
RISK SUMMARY PROFILE (Sub Focus Area)



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