

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Staff turn-over could severely hinder or halt the operations of the Prosecution section.</p> <p>F(ii). Hiring new staff in the event of dramatic staff turn-over could result in inefficient operations for the Prosecution Division.</p> <p>F(iii). Staff burn-out as a result of a burgeoning workload could result in inefficient and ineffective operations of the Prosecution section.</p> <p>F(iv). The workload of the Prosecution section, especially during trials, require additional efforts from staff; however, the need for overtime by the Trial Support Unit may not be well understood by management outside of OTP.</p>	<p>While dependent upon the specific position, it can take approximately one year to get new staff trained and up-to-speed.</p> <p>Sustaining the trials require huge efforts on the part of the staff.</p> <p>The Trial Support Unit is staffed primarily with GS staff. Supporting seven on-going trials, all moving at a quicker pace, requires overtime. There has been sufficient overtime allocations to provide for a continuation of the work while taking into consideration the risk of staff burn-out.</p>	Human Resources	Possible	High	Higher Risk
IV	<p><b>OTP - Investigations</b></p> <p>A(i). Inadequate attention to security issues has the potential to create problems in investigation and collection of information.</p>	<p>Security in the region is matter that is constantly under review and staff are aware of the ground situation well before departure.</p> <p>In some countries in the region such as Bosnia, volatility persists and security on ground is still an issue and an ongoing challenge to investigation and collection of information.</p>	Strategy	Possible	Medium	Moderate Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>B(i). The procedure allowing indictments to be reduced may result in the collapse of a case if the selected charges for some reason do not hold.</p> <p>B(ii). Increasing reliance on 92 bis, 92 ter and 92 quater could lessen the impact of the testimony as compared to a live testimony.</p> <p>B(iii). The resort to multi-accused trials, which are typically more intense than individual trials, may lead to a multi-fold increase in demands made on Prosecution.</p>	<p>This is a matter on which there is continued disagreement between the OTP and Chambers.</p> <p>The changes in the Rules of Procedure and Evidence are aimed at expediting trial proceedings. However, where written statements and transcripts are used in lieu of older testimony, it is possible that these may not have the same impact as a live testimony.</p> <p>In OTP's view there is no directly proportional correspondence between the number of accused and the work involved in the trial.</p>		Governance	Possible	High	Higher Risk
	<p>E(i). Due to the prolonged nature of some of the trials, the fatigue of witnesses and security of witnesses may become a challenge for the Tribunal.</p> <p>E(ii). The raising of special demands by self-represented accused, such as requests for translation of all documents into Serbian, may increase pressure on resources and time.</p>	<p>Some individuals have been witnesses several times, but witnesses want to get on with their lives.</p> <p>The Chambers and OTP are already aware of the demands that a self represented accused may raise.</p>		Operational	Possible	High	Higher Risk
	<p>F(i). The unrelenting and demanding trial schedules could lead to fatigue and staff burnout.</p> <p>F(ii). The lack of an effective ventilation system could cause flu and other viruses to freely spread in the building causing a spurt in illnesses.</p>	<p>The demanding nature of trials and dwindling resources are constraints faced by the Tribunal.</p> <p>The courts have periodic recesses in winter and summer.</p>		Human Resources	Possible	Medium	Moderate Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment		Likelihood	Impact	Overall Risk
	<p>G(i). Loss of documents containing confidential information when on mission could result in sensitive and confidential information being lost or stolen.</p> <p>G(ii). Confidential information held by the defence team may be inadvertently or maliciously released, negatively affecting the reputation of ICTY.</p>	<p>ICTY has implemented policies and procedures to limit the amount of confidential information that could be lost or stolen.</p>	<p>Information Resources</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>
V	<p><b>OTP - Evidence and Information</b></p> <p>A(i). Lack of a decision/strategy regarding what will be done with the huge volumes of evidence held by the OTP could affect future use of the evidence.</p> <p>E(i). An inaccurate translation or interpretation could lead to wasted resources as the inaccuracy would need to be rectified.</p> <p>E(ii). Translations that are not performed timely could hinder OTP operations as trials could be delayed.</p> <p>E(iii). Possibility of duplication of work between OTP translators and the Conference and Languages Services Section (CLSS) could result in inefficient use of resources.</p>	<p>Solutions to residual issues are being considered by Tribunal management. OTP is working very closely with the archives.</p> <p>Official translations for court proceedings are normally performed by CLSS.</p> <p>OTP has their own translation section to meet the demands of the OTP.</p> <p>A document management function was created to specifically reduce the possibility of duplication of work.</p>	<p>Strategy</p> <p>Operational</p>	<p>Possible</p> <p>Possible</p> <p>Possible</p>	<p>High</p> <p>Medium</p> <p>Medium</p>	<p>Higher Risk</p> <p>Moderate Risk</p> <p>Moderate Risk</p>

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>F(i). Disparity in the categorization of employees doing similar work could result in employee dissatisfaction.</p> <p>F(ii). Lack of human resources could prevent the unit from meeting crucial deadlines, which would negatively affect OTP operations.</p> <p>F(iii). Increasing pressures on staff could lead to emotional or health issues (burn-out, repetitive strain injury, etc.).</p> <p>F(iv). Lack of job security could cause personnel to leave ICTY for more secure positions.</p> <p>F(v). Unrecognized or unrewarded work performed by the staff may lead to low employee morale.</p>	<p>The CLSS translators are in the Professional category, while OTP translation personnel are occupying General posts. OTP stated that corrective measures have been taken.</p> <p>The majority of staff in the unit are in GTA positions with three-month contracts, though there is a move now to give them contracts with a longer duration.</p> <p>The Tribunal has taken exceptional measures in order to retain staff.</p>	Possible	Medium	<b>Moderate Risk</b>

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No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>G(i). The digitizing of evidence may not be completed within the required timeframe, which would result in an incomplete set of evidentiary information.</p> <p>G(ii). As original evidence ages, particularly artifacts, the evidence may deteriorate beyond usefulness.</p> <p>G(iii). The massive volumes of evidence with the OTP on the Zy database may not be used efficiently for searches on people, places and themes, resulting in reduced effectiveness.</p> <p>G(iv). Exculpatory evidence on the Zy database may not be identified timely under Rule 68 resulting in possibility of sanctions by Chambers.</p> <p>G(v). The Zy database collapsing or malfunctioning could halt the work of the Information Support Unit, and in turn the work of the entire OTP.</p> <p>G(vi). Unauthorized access to the database could lead to sensitive material being used in an unauthorized manner that would negatively affect the reputation of the ICTY.</p> <p>G(vii). A fire in one of the vaults could destroy original documents and artifacts, leading to loss of crucial evidence.</p>	<p>All evidence is being digitized to prevent the loss of usefulness.</p> <p>Any major problems experienced with the ZY database are handled by an outside vendor.</p> <p>To date, the database has not been hacked into. ITSS and the information security officer are responsible for the safety of the information.</p> <p>Extinguishers have been placed in the vaults containing evidence. However, the foam of the extinguishers would also ruin the evidence. All documents, videos, and CDs are being entered into databases that are backed up regularly and electronic versions are used in courts.</p>	Information Resources	Possible	High	Higher Risk	

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VI	OTP - Transition Team			Possible	Medium	Moderate Risk
	<p>A(i). The unwillingness of countries to extradite their nationals to other countries could result in non-prosecution of crimes and possibly give rise to an impunity gap and further also hinder transfer of proceedings.</p> <p>A(ii). In cases referred under 11bis, superior national courts may be inclined to intervene and quash proceedings, thus slowing down the process.</p>	<p>The impunity gap that has emerged is a matter that is outside the control of the Tribunal, though the Tribunal spares no effort in promoting cooperation between countries in the region.</p>	<p>Risk Category</p> <p>Strategy</p>	<p>Possible</p> <p>High</p>		Higher Risk
	<p>E(i). The ICTY lacks independent in-house capacity to monitor 11bis cases referred to the region and depends upon OSCE for inputs. With the phased down of the OSCE missions in the region, and in the absence of ICTY's internal capacity to monitor cases, it may become difficult to keep abreast with referred cases.</p> <p>E(ii). The agreement for cooperation may not be implemented on the ground, thus limiting timely exchange of cooperation and training initiatives, although the Brijuni process has underlined the need for cooperation between the State Attorney Offices of countries in the region and between the OTP.</p>	<p>The monitoring mechanism is a fundamental component of the referral process. The lack of an international monitoring mechanism is keenly felt. This is a matter which will be addressed in the residual mechanism.</p> <p>Cooperation between countries in the region and with the OTP is a matter under constant review.</p>	<p>Operational</p>	<p>Possible</p>	<p>Medium</p>	Moderate Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Strategy	Likelihood	Impact	Overall Risk
VII	<p><b>Zagreb Field Office</b></p> <p>A(i). Inadequate attention to legal frameworks may inhibit cooperation with the Tribunal. The legal framework in the form of agreements that enable legal status and official presence for the Tribunal in the country may not be available once the Field Offices close down.</p> <p>A(ii). Inadequate appreciation of the potential impact that judgments can have on the region will result into reduced cooperation and undermine ICTY's effectiveness.</p>	<p>The details of the residual mechanism are still being finalized.</p> <p>To explain ICTY's sometimes complex judgments to the local populations, staff members from the Office of the Prosecutor, Chambers and Registry Outreach programme together with local NGOs. These workshops have been extremely fruitful. But they cannot by themselves impose a perception of the facts determined by judicial decisions. The burden also lies on local and international actors to help understand the facts and truth. The Tribunal's wealth of accumulated documentary evidence must serve to generate an accurate perception of what really happened in the former Yugoslavia.</p> <p>Judgments perceived as unfair in the region could have the following consequences: (a) state actors may become quite formal and insist on rigid rule compliance for cooperation, (b) necessity of increased security risk for ICTY staff, (c) dealings with the general public may be hampered, and (d) witnesses may not testify because of unpopular judgments.</p>	Strategy	Possible	Medium	Moderate Risk
	<p>D(i). Extra expenditure to ICTY could arise from the ICTY practice to recruit people in The Hague and send them to the field office on mission travel thus making them entitled to both, Hague post adjustment and MSA.</p>	<p>This issue has also been raised in an OIOS report. ICTY have discontinued this practice for new recruits but is unable to change this for existing incumbents.</p>	Financial	Possible	Medium	Moderate Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). Lack of understanding that Field Offices perform a variety of tasks that are not often recognized by management or in the staffing tables, with the result that the contribution of the Field Offices could remain understated.</p>	<p>The field office staff communicate regularly with the OTP and the Registrar to ensure that contributions of the office are known. Headquarters in The Hague direct the field offices, and therefore understand the work performed.</p>	<p>Remote</p>	<p>Low</p>	<p>Lower Risk</p>
	<p>F(i). Staffing needs may not be aligned with work, which could imposing a strain on existing staff. With the decrease in staffing positions at The Hague, there could be increased burden on the Field Offices whose resources may already be stretched.</p>	<p>Staffing requirements are constantly under review in the light of the completions strategy. The workload for Field Offices has decreased as the numbers of remaining trials and fugitives have declined.</p>	<p>Remote</p>	<p>Medium</p>	<p>Lower Risk</p>
<b>VIII</b>	<b>Sarajevo Field Office</b>		<b>Possible</b>	<b>Medium</b>	<b>Moderate Risk</b>
	<p>A(i). Inadequate appreciation that if the remaining fugitives remain at large, ICTY cannot be considered to have effectively completed its mandate.</p> <p>A(ii). The fragile political situation in the region could erupt at any time, which would hinder the operations of the field office.</p> <p>A(iii). If the cases are not handled properly by national courts in 11bis cases and the sentences are not carried out, this could result in a negative reputation for the Tribunal</p> <p>A(iv). When the Tribunal closes, the prosecution of the accused in the national courts could stop or be delayed due to the lack of international influence or pressure.</p>	<p>The remaining fugitives are a sensitive and volatile subject in the area.</p> <p>The political situation in the country has been described as "in crisis." The Serbs may withdraw from government institutions, which would cripple the government.</p> <p>The accused of the first case transferred to BiH was tried, appealed, and sentenced. However, after 6 months in prison, he escaped and has not been located since. Although no other accused that has been convicted has escaped, crime and corruption are an issue in the country. People in the national judiciary system have experienced intimidation, threats, and even attempted assassinations. However it is not inevitable that failures at the domestic level will be attributed to the Tribunal.</p>	<p>Possible</p>	<p>Medium</p>	<p>Moderate Risk</p>



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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>D(i). Unnecessary expenditures may be incurred in sending documents to and from field offices, causing financial loss.</p>	<p>Changing the monthly truck from the field offices to Headquarters to every two months has adversely affected the field office as they have to seek other alternative and perhaps costly means to send documents.</p>	Possible	Medium	Moderate Risk
	<p>E(i). Closing of the field office before the capture of the remaining fugitives could hinder the efforts to apprehend and bring fugitives to trial.</p> <p>E(ii). Closing the field office while trials and appeals are still on-going could hinder the work of the OTP in the cases.</p> <p>E(iii). The closing of the Banja Luka field office could create coordination problems with the area.</p> <p>E(iv). Failure to negotiate agreement regarding current premises in Sarajevo could result in higher rental/maintenance payments, or the worse case scenario would be that alternative premises would have to be located resulting in higher expenditures and inconvenience.</p>	<p>The Banja Luka field office was closed in December 2007. The other field offices are likely to remain open until such time as the vast bulk of the outstanding work is completed.</p> <p>When the Banja Luka Field Office was closed, measures were put in place to establish secure communications with the authorities in Banja Luka, with a dedicated Investigator overseeing all issues arising.</p>	Possible	Medium	Moderate Risk

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IX	<p><b>Registry Advisory Section</b></p> <p>A(i). Lack of proper and timely identification of crucial areas for the Registrar could result in potential problems not being identified.</p> <p>A(ii). Not obtaining enough relocation agreements for witnesses could result in protected witnesses not being relocated and crucial witnesses may not testify for fear of their lives.</p> <p>A(iii). Not being adequately prepared for and responding to crisis (death, hunger strikes, etc) could result in repercussions that cannot be tackled properly.</p> <p>A(iv). The Tribunal's concept of the residual mechanism may not be accepted or modified by the security council.</p> <p>A(v). Relevant factors may not be considered in development of the Completion Strategy resulting in waste of resources, delay in completion, etc.</p> <p>A(vi). Not obtaining enough enforcement agreements could result in the failure to carry out the Tribunal's sentences as these mechanisms are crucial to the Tribunal's effectiveness and completion strategy.</p>	<p>The Registry Advisory Section (RAS) provides advice to the Registrar, Deputy Registrar and Chief of Administration on legal and related policy issues. Legal issues comprise of, inter alia, the application of the staff rules, contractual agreements and negotiations, property matters, procurement issues, claims against the ICTY, enforcement of sentences, cooperation with States, interpretation of ICTY Statute and Rules, and Host State issues. RAS also assists with keeping a dossier of the Tribunal's completion strategy, providing Cabinet services to the Registrar, and liaising with the UN Secretariat's Office of Legal Affairs.</p>	<p>Strategy</p>	<p>Possible</p>	<p>High</p>	<p><b>Higher Risk</b></p>

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Not assisting in managing priorities (focusing on appropriate areas in support of the Registrar and Deputy Registrar) could result in important areas requiring attention not receiving it.</p> <p>E(ii). Giving poor or incorrect advice in the area of commercial contracts, human resource matters, and terms and conditions of judges could hinder the operations of the Tribunal.</p>	<p>The RAS provides timely advice to the Registrar and the Deputy Registrar.</p>	Operational	Remote	High	Moderate Risk
	<p>F(i). Not adequately addressing staffing and social issues brought about by the completion strategy could result in a flight of staff.</p>	<p>The staffing issues are duly considered while providing inputs and advice to the Registrar and the Deputy Registrar.</p>	Human Resources	Remote	Medium	Lower Risk

7	Focus Area:	Programme and Project Management	Risk Category	Possible	High	Higher Risk
No X	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Likelihood	Impact	Overall Risk
<p><b>Communications</b></p> <p>A(i). If the Tribunal lacks an effective communications strategy, it may not communicate its achievements properly and as a result, may lack relevance to its external audience and so be perceived as not serving its real purpose.</p> <p>A(ii). If the Tribunal's contact with Media and the external world is characterized by over cautiousness, it may limit relevant information being disseminated to the public.</p> <p>A(iii). The Tribunal's public relations and communications strategy is mainly reactive in nature and positive efforts to favorably influence the course of events may not take place.</p> <p>A(iv). If member states are not kept updated about developments and the achievements of the Tribunal are not adequately projected, the Tribunal's reputation/credibility could be adversely affected.</p>	<p>The Communications Service is a new structure within the Tribunal established in January 2005 following the merging of the Public Information Section (PIS) and Outreach Programme.</p> <p>The Media Office is headed by the Spokesperson for Registry and Chambers. The Media Office promotes the Tribunal's work and achievements through its daily contacts with the media. It strives to accurately and effectively convey to journalists the whole range of activities undertaken by the ICTY, the context within which the Tribunal operates, and its relevance.</p> <p>The Outreach Programme is dedicated to communicating the work and relevance of the Tribunal to the peoples of the former Yugoslavia. Operating primarily in the Bosnian/Croatian/Serbian and Albanian languages, the Programme strives to make the Tribunal's activities transparent, accessible and intelligible to the communities in the region.</p> <p>In an effort to keep member states informed about developments and achievements of the Tribunal, regular issues of the Tribunal's newsletter are sent to all permanent missions and to NY headquarters</p>	Strategy	Possible	Medium	Moderate Risk	

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No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>A(v). The lack of a Tribunal response to adverse reactions in the region to specific judgments may damage the reputation/credibility.</p>	<p>There is a perception in certain quarters that the judgement speaks for itself and no additional explanations are required. The apparent inability to appreciate that the international criminal justice system and its outputs do not operate in a vacuum have resulted in a lack of proper understanding of the potential impact and repercussions of judgements. (The Tribunal's lack of an official reaction to the recent Vukovar judgement)</p> <p>To explain complex judgments to the local populations, staff members from the Office of the Prosecutor, Chambers and Registry have participated in workshops organized by our Outreach Programme together with local NGOs. These workshops have been extremely fruitful. But they cannot by themselves impose a perception of the facts determined by judicial decisions. The burden also lies on local and international actors to help understand the facts and truth. The Tribunal's wealth of accumulated documentary evidence must serve to generate an accurate perception of what really happened in the former Yugoslavia.</p>					
	<p>B(i). Conflicting messages may be sent out from the Tribunal arising out of non-coordination of messages due to limited contact among the principal organs of the Tribunal, in particular Chambers and OTP.</p> <p>B(ii). Public relations and communication services being regarded as peripheral or irrelevant to core functions of the Tribunal may result in inadequate engagement with the outside world.</p>	<p>There is a Coordination Council between the three principal organs.</p> <p>The media and outreach units deal with public relations.</p>		Governance	Possible	Medium	Moderate Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	D(i). Lack of funding could hinder operations of the section and undermine its ability to communicate effectively with the outside world.	The media and outreach units are adequately funded.	Financial	Possible	Medium	Moderate Risk
	F(i). Lack of staff positions could hinder operations of the section and undermine its ability to communicate effectively with the outside world.	The staffing requirements are constantly under review in the Registry.	Human Resources	Possible	Medium	Moderate Risk
	G(i). Difficulty in translating complex legal material contained in judgments into an intelligible format or common every day language that public can understand could result in the international community and the public at large lacking an understanding of the judgments.	To explain complex judgments to the local populations, staff members from the Office of the Prosecutor, Chambers and Registry have participated in workshops organized by the Outreach programme together with local NGOs.	Information Resources	Possible	Medium	Moderate Risk

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XI	<p><b>Victims and Witnesses Section</b></p> <p>A(i). After the closure of the Tribunal, relocated witnesses may not be properly serviced under the residual mechanism, which could affect the safety and security of the witness.</p>	<p>ICTY has 13 agreements in place to accept relocated witnesses, 11 of which are active. ICTY has experienced more difficulty in relocating witnesses that have been involved in the crimes.</p> <p>The Victims and Witnesses Section (VWS) is aware of the need for a residual mechanism in place to service the needs of relocated witnesses.</p>	Strategy	Possible	High	Higher Risk
	<p>B(i). Bureaucratic policies and procedures may hinder the VWS from meeting the needs of its witnesses in an efficient and effective manner.</p>	<p>The Tribunal follows UN standard policies and regulations in financial matters.</p>	Governance	Possible	High	Higher Risk
	<p>C(i). Inadequate understanding within the United Nations of witness protection programmes may result in the programme not being implemented properly, which could have disastrous consequences for the Tribunal. Though this mechanism is well known in national criminal justice systems, it is an alien concept for the UN.</p>	<p>The Protection Unit takes all measures within its possibilities to protect the witnesses. ICTY is the first UN tribunal with a witness protection program.</p>	Compliance	Possible	High	Higher Risk
	<p>D(i). Lack of appropriate funding may result in witnesses not being properly cared for and looked after.</p>	<p>Care and security of witnesses is a priority for the Tribunal.</p>	Financial	Possible	High	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). The security of the witness may be compromised and the witness may not be fit physically or mentally to go to trial, which would hinder the operations of the Tribunal.</p> <p>E(ii). Witnesses may not be brought to the Tribunal on time for the trial, which could delay the trial.</p> <p>E(iii). Witness follow-up when they return to their homes in the region may not be adequate, which could result in the witnesses having an unfavorable view of the Tribunal.</p> <p>E(iv). Protected witnesses may not be relocated in a timely manner in the absence of witness relocation agreements, which could result in witnesses not being willing to give evidence in sensitive cases.</p> <p>E(v). The trials of self-represented accused may make planning for witness schedules more difficult as professional lawyers are not handling the case and the accused could be unaware of the legal intricacies and requirements.</p>	<p>A full time Protection Officer responsible for coordinating responses to security requirements of witnesses before, during and after their appearance before ICTY.</p> <p>Protective measures, when required can include</p> <ul style="list-style-type: none"> <li>i) Visual and audio distortions of the witnesses' image and voice in court.</li> <li>ii) Arrangement for temporary or permanent relocation to states that indicated their willingness to accept such witnesses.</li> <li>iii) Use of codes instead of names when filling out administrative forms such as travel requests.</li> </ul> <p>The Tribunal coordinates with the Sarajevo satellite office in referring witnesses to appropriate NGOs, where possible, for appropriate counseling, treatment, etc.</p>	Remote	High	<b>Moderate Risk</b>



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	<p>E(vi). In the absence of predictability regarding witness numbers for future trials, it may be difficult to plan and make projections for budgets and expected expenditures.</p> <p>E(vii). Multi-accused trials could result in witness fatigue, which may result in the witnesses having an unfavorable view of the ICTY.</p> <p>E(viii). Turnover of experienced lawyers may result in witness fatigue as they may not be familiar with the previous testimonies or they may ask incorrect or repetitive questions of the witnesses.</p> <p>E(ix). Poor planning may result in witness staying longer than necessary in the Hague.</p> <p>E(x). A witness may be brought to Hague but is asked to return without giving testimony resulting in wasteful expenditure and impacting the reputation of the Tribunal.</p>	<p>Planning is done using historical data while considering the upcoming trials.</p> <p>In trials of multi-accused, witnesses are questioned by multiple defence teams.</p> <p>VWS works closely with OTP to ensure that witnesses are not in country for longer than necessary.</p>			
	<p>E(xi). Witnesses could be targeted when they return home or witnesses could be harmed while under the witness protection programme which could result in other witnesses not providing testimony.</p>				

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	<p>F(i). Lack of skilled personnel to assist the witness to be mentally prepared for trial e.g. trauma counselors, medical personnel, could hinder the Prosecution's case.</p> <p>F(ii). Staff burnout may affect the efficiency of the section as people are asked to assume additional responsibilities of staff that have left. The health and well being of the staff may deteriorate as the work load increases.</p>	<p>Full time support officers to offer psychosocial counseling and assistance to witnesses before, during and after their appearance before ICTY.</p>	Possible	High	Higher Risk
	<p>G(i). Adequate procedures and controls may not be in place to restrict access to sensitive and confidential documents, which could compromise the security of the witnesses.</p> <p>G(ii). After the closure of the Tribunal, access to the sensitive and confidential information may not be properly controlled and regulated either by over controlled access or not giving access to appropriate people.</p>	<p>The Section is aware of the need to maintain strict policies and procedures regarding the access to sensitive and confidential documents.</p> <p>ICTY is aware that after the closure of the Tribunal, the sensitive and confidential information must be kept secure. However, ICTY is also aware that individuals may want access to confidential information, such as relatives of witnesses wanting to see the testimony of the relative. An Archives Working Group has been set up to examine such issues and a comprehensive paper also prepared that addresses the possible problems and tasks that may emerge. The study has been undertaken jointly with the ICTR which will look at all pertinent issues.</p>	Remote	High	Moderate Risk
XII	<p><b>Legal Aid and Detention</b></p> <p>C(i). Fee splitting may arise between the accused and the Defence counsel, which could result in a negative reputation for the Tribunal because of the unethical practice.</p>	<p>ICTY has sent a strong message to previous defence lawyers regarding this unethical practice. The case will be given to a disciplinary panel or board, and if found guilty, the country of the defence counsel is notified.</p>	Possible	High	Higher Risk
		<p>Compliance</p>	Remote	High	Moderate Risk

7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>D(i). Chambers assessment of the length of trials and pre-trials may not be accurate and changes in the length of pre-trials and trials from what was previously foreseen may cause the Office of Legal Aid and Detention (OLAD) to exceed the planned budget.</p> <p>D(ii). Improper establishment of indigence may result in entitlement of legal aid to ineligible accused.</p> <p>D(iii). The budget may be insufficient if there are significant changes to the indigent status of the accused.</p> <p>D(iv). OLAD may be unaware of changes to the indigent status of the accused, which could result in ICTY paying more than its share of the defence counsel's salaries and expenses.</p> <p>D(v). The budget of OLAD may be insufficient if reviews of proceedings are undertaken for multiple judgments.</p> <p>D(vi). Overpayment to defence counsels could occur, which would result in wasted Tribunal resources.</p>	<p>Chambers provides an estimate of the length of the pretrial and trial. Changes in these estimates are common.</p> <p>While checks are done to determine the indigent status of the accused, the Tribunal also relies on the accused to notify ICTY of changes in his financial status.</p> <p>If a new fact is discovered that could affect a judgment already given, a review of the judgment can be sought by the defence.</p>	Possible	High	Higher Risk
	<p>D(vii). Inadequate oversight by staff may result into overpayment to the defence counsels, as OLAD may not have adequate controls over processing invoices from the defence counsels.</p>	<p>Payments to defence counsels are closely monitored to prevent fraudulent claims e.g. reimbursement for translation charges, overstatement of time spent, time charged for irrelevant motions thrown out by the judges, unnecessary travel, etc.</p>			

7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). Lack of review of defence counsel no longer fulfilling the qualification requirements could mean a delay in the continuation of the respective trial as new counsel would have to be appointed.</p> <p>E(ii). An increase in the number of self-represented accused could result in OLAD being unable to sufficiently service its clients.</p> <p>E(iii). Accused could delay the trials by requesting to change defence counsels, which would hinder ICTY from completing its mandate in the estimated time-frame.</p> <p>E(iv). Poor quality of defence counsel could result in delays in the trial and the accused may not have his case presented or defended in the best possible manner.</p> <p>E(v). OLAD may not have adequate controls to ensure that family and friends of the accused or counsel are not appointed on the defence team. This may lead to fee splitting.</p>	<p>OLAD has a duty to verify that defence counsels meet the qualification requirements. After initial vetting, the status of a defence counsel could change, resulting in the defence counsel being removed from the case. For example, one requirement is that the defence counsel does not have a criminal record.</p> <p>Self-represented accused increases the work of the section. Previously, no procedures were in place for handling self-represented accused. Now a policy has been approved regarding the remuneration of persons assisting self-represented accused, which is an hourly wage. The strategy of dismissing counsel has been adopted by previous accused and also by a current accused. If a new counsel is required it takes a long time to come up to speed in complicated cases. The quality of defence counsels affects the operations of the Tribunal through the language capability of the defence counsel, asking irrelevant questions, and submitting irrelevant motions.</p>	Remote	High	Moderate Risk
	<p>F(i). Departure of staff as the Tribunal nears the completion of its mandate could negatively affect how well or how timely OLAD is able to accomplish its goals and objectives.</p>	<p>Family and relatives are ineligible to be defence counsel, though the Registrar can waive this prohibition.</p> <p>Flight of staff is a major concern for the entire Tribunal. While retention incentives such as contract extensions have been made, turn-over of staff will continue to be a problematic area.</p>	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
XIII	Court Management and Support Activities		Possible	High	Higher Risk
	<p>E(i). Ineffective management of court rooms may lead to waste of resources (staff costs, defence costs, overtime, etc.) and may impede the Tribunal's ability to achieve its completion strategies i.e. complete all trials by 2008 and appeal cases by 2010.</p> <p>E(ii). Courtroom operations may be interrupted by failure or malfunctioning of IT equipment, communications or power loss and contingency plans may not have been prepared for such potential disruptions.</p>	<p>Court scheduling is a complicated exercise and is generally prepared three months in advance. However, the Court Management and Support Section (CMSS) does not have a free hand in scheduling and needs the cooperation of the Chambers. Also there are limiting factors in the form of trials requiring Albanian interpretation, as there are three trials requiring such services, whereas only two such trials can be serviced.</p> <p>The criticality of such inputs from security, technical support from ITSS and FMU staff is recognized. Courtroom operations are fully supported as required and technical support is on hand for any problems that may arise. If a delay should occur, the time can be made up either later that day or another day.</p> <p>Monthly maintenance is performed on all courtrooms, usually during the weekend.</p> <p>Only 1 power outage has occurred in the past several years.</p>	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management	Risk Category	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk	
	<p>E(iii). Incorrect decisions by Court Management Support Section (CMSS) staff about filing documents and their distribution may affect litigants' cases or delay proceedings.</p> <p>E(iv). The e-court system may malfunction or cease to function, which would disrupt court operations.</p> <p>E(v). The Judicial Database (JDB), which is the official database of records, could malfunction leading to delays in the work of those needing to access the records.</p>	<p>Instructions exist that govern the distribution of documents. Parties are asked to clearly state if the document is public or confidential, thus the onus is on them.</p> <p>The JDB database is internally maintained by the ITSS, and engineers are on hand to provide for onsite help when required. The e-court system is also maintained and serviced by ITSS.</p> <p>ICTY has established a committee comprising representatives from Chambers, OTP and other sections in Judicial Support services to prioritize and plan trial schedules. The CMSS is making rational and maximum use of courtroom facilities and has scheduled up to 7 cases in its three courtrooms.</p>				
	<p>G(i). Inadvertent release of confidential information, as staff has to constantly make assessments whether documents are public or confidential and the risk of accidental release could have serious consequences.</p> <p>G(ii). Inadequate participation by Chambers in electronic documentation may result in a large volume of documents needing to be in physical form.</p> <p>G(iii). The mailing address database may not be updated as needed, with the result that documents may be circulated to the wrong parties with serious consequences.</p>	<p>Some Judges are receptive to the idea of electronic documents and the trend is slowly changing with the mood in Chambers increasingly inclined towards the electronic format.</p> <p>Instructions exist that govern the distribution of documents. Parties are asked to clearly state if document is public or confidential and the onus is on them.</p>	Information Resources	Possible	High	Higher Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
XIV	<b>Detention Unit</b>			Remote	High	<b>Moderate Risk</b>
	A(i). At the completion of the trials, the Tribunal may not have a residual mechanism in place to handle the convicted persons waiting to be transferred, thus affecting the completion strategy.	The Registrar has negotiated a number of agreements with countries to enforce ICTY judgments.	Strategy	Remote	High	<b>Moderate Risk</b>
	C(i). Non-UN staff may not follow the rules and regulations, which could compromise the security of the detention center.	The Detention Unit is within a Dutch penitentiary and relies on employees of the penitentiary for certain functions. While these employees report to the Detention Unit, their performance appraisals are done by the Dutch.	Compliance	Remote	High	<b>Moderate Risk</b>
	D(i). Detainee funds could be stolen or lost, resulting in negative reputation for the Tribunal.	Visitors sometimes bring money to the detainees, which is administered through the staff of the Detention Unit. Standard operating procedures are followed regarding the handling of funds.	Financial	Remote	High	<b>Moderate Risk</b>

7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). Inadequate attention to human rights issues could result in the Tribunal being accused of violation of human rights based on the detention center conditions. This could negatively affect the reputation of the Tribunal, which could ultimately decrease the amount of financial contributions.</p> <p>E(ii). Inadequate medical attention to the physical and mental health of the detainee may result in him/her being unfit for trial, which could delay the operations of the Tribunal.</p> <p>E(iii). Insufficient number of detainee cells could result in the Detention Unit not meeting its operational policies and procedures and force the Unit to explore alternative facilities for detainees.</p> <p>E(iv). Poor safety and security of the accused while in the custody of the Tribunal could result in escapes, injury to a detainee, or death (natural, suicide, murder), all of which would greatly damage the reputation of the Tribunal.</p>	<p>The Detention Unit has recently been subjected to audit by the Swedish National Audit office.</p> <p>The health of the accused is constantly monitored.</p> <p>The Detention Unit is certified by the Dutch government as meeting safety standards.</p>	Remote	High	Moderate Risk



7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(v). Inadequate coordination between the Detention Unit and other sections of the Tribunal could create inefficient and ineffective operations.</p> <p>E(vi). Fire safety precautions could be inadequate, which could result in the loss of life or property and the resultant loss would greatly damage the reputation of the Tribunal.</p> <p>E(vii). Inadequate planning may lead to excessive number of detainee cells, which could result in wasted financial resources as the cells will still have to be paid for.</p> <p>E(viii). Inability of the Tribunal to find host countries willing to accept convicted persons could result in lengthy stays at the Detention Unit and additional costs.</p>	<p>The Registry ensures that there is adequate coordination between various sections.</p> <p>The Detention Unit is certified by the Dutch government as meeting safety standards.</p> <p>There are 84 cells for 49 accused. The remaining cells are for storage of material and also to provide accommodation to those under temporary release.</p> <p>The lack of adequate enforcement agreements is a matter that is receiving the attention of the Registrar. Convicted persons must be kept separate from detainees still awaiting judgment.</p>			
	<p>F(i). Inadequate staffing could result in staff burn-out and poor employee morale.</p>	<p>As the work of the Detention Unit is labor intensive, staff requirements are periodically assessed on the basis of the existing workload.</p>	Possible	Medium	Moderate Risk

## Risk Assessment of : ICTY

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	<p><b>Conference and Language Services</b></p> <p>A(i). Inability to do effective forward planning due to the unpredictable workload which results from multiple factors (for example, changing courtroom schedules, trials of multiple accused, and trials of self-represented accused) could affect the operations of the section.</p> <p>A(ii). Inadequate time frames to perform services may result in substandard performance on individual tasks, which could ultimately affect the operations of the Tribunal.</p>	<p>The workload for translations and interpretations that may arise cannot be predicted with a great degree of exactitude.</p> <p>The Tribunal's Completion strategy has compressed timeframes – resulting in accelerated trials, which has considerably increased the workload for the Conference and Language Services Section (CLSS) functions that are mostly time critical.</p>	<p>Possible</p> <p>Possible</p>	<p>High</p> <p>High</p>	Higher Risk
	<p>B(i). Lack of a formal coordination mechanism with Chambers, the main client, could hinder planning and monitoring, which could result in inefficient and ineffective use of resources.</p> <p>C(i). Lack of observation of word count limits could considerably increase workload and take away resources from other critical work.</p> <p>C(ii). Absence of a limitation on the number of pages of evidence that can be submitted for translation could substantially increase the workload and hinder other projects from being completed.</p>	<p>The role of Head of Chambers has been established. A checklist is being created for judgment tracking, which includes as one of the steps the time for translation.</p> <p>The Registry Policy on Translation Services provides guidelines on the types and quantities of documents that can be submitted in evidence, but these cannot be enforced without the understanding and support of the Chamber.</p>	<p>Possible</p> <p>Possible</p>	<p>Medium</p> <p>Medium</p>	Moderate Risk

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). Insufficient translation/interpretation support could adversely affect the functioning of the courtroom and delay trials.</p> <p>E(ii). Mismatch between resources and expected outputs may hinder the functioning of the section in performing its work and ultimately the operations of the Tribunal.</p> <p>E(iii). Interpretation may be inaccurate which could result into incorrect inputs and also delay the operations of the Tribunal.</p> <p>E(iv). The overwhelming workload could result in workload standards being frequently exceeded, imposing unacceptably high demands on staff.</p>	<p>The Tribunal continues to review its translation requirements with a view to maximize its language servicing capacity and reduce costs while at the same time maintaining the high quality standards expected from an international tribunal.</p> <p>The acceleration of trials has had the unintended and unexpected consequence that people tend to speak faster, making it more difficult to interpret. Overlapping speakers also make it hard for the interpreter to follow what is being said.</p>	Possible	High	Higher Risk
	<p>E(v). Increasing workload arising out of more requests for verification of interpretation/transcripts may cause diversion of staff from other critical work.</p> <p>E(vi). Error or flawed or inaccurate translations, due to stress or overload, particularly of technical or legal terms, could have a serious impact if it occurs in judgments or legal documents and could affect the reputation of the Tribunal.</p> <p>E(vii). Dispersal of CLSS staff and resources with their location in three different buildings could adversely affect the capacity of the section to meet exacting demands resulting in inefficient and ineffective operations.</p>	<p>There have been increasing demands on CLSS, especially with the advent of trials of multiple accused, to provide services to defence counsel.</p> <p>CLSS is currently located in all three Tribunal buildings but would prefer to be located in the main building as their main client is the courts.</p>			

8	Focus Area:	Conference and Documents Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Limited pool of people from which the Tribunal can draw potential recruits, particularly Bosnian/Croatian/Serbian, Albanian, Macedonian experts, could result in staffing difficulties, and ultimately hinder the Tribunal's operations.</p> <p>F(ii). The limited life-span of the Tribunal may affect its capacity to attract and retain language experts, which would hinder the operations of the Tribunal.</p> <p>F(iii). The high pressure workload and demanding schedules may result in accumulated stress and health issues (mental and physical), finally ending in possible burn out.</p>	<p>Rare languages such as BCS bring in their wake their own unique challenges of finding right kind of staff.</p> <p>Since organizations located in Geneva, Strasbourg Paris and Brussels offer better scope for language experts, it has been difficult and a challenge to recruit and retain competent staff, especially those with French language skills.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>G(i). Outsourcing for non-Tribunal languages may result in poor quality of work and confidentiality could be compromised, which would adversely affect the reputation of the Tribunal.</p> <p>G(ii). Accidentally making confidential and sensitive information public could hinder the operations of the Tribunal as well as negatively impact its reputation.</p>	Confidential documents are not outsourced.	Information Resources	Remote	High	Moderate Risk
II	<b>Library</b>			Remote	Low	Lower Risk
	<p>D(i). Lack of funding to maintain the number and quality of library services may result in sub-standard provisions of assistance to the organs of the Tribunal.</p> <p>E(i). Poor management of resources may result in diminished capacity to provide expected services and ultimately efficiency and outputs of other sections may be affected as well.</p> <p>E(ii). Library resources such as books and magazines may be damaged, lost, or stolen, which would result in lost financial resources.</p>	<p>Budget allocations are made to ensure that the required quality of service is maintained.</p> <p>The Tribunal manages its resources in a way to provide necessary services.</p> <p>Books have to be returned within a certain time frame, staff does obtain final payment if they have books and reminders are sent to staff to return materials. Prior to departure clearance has to be obtained from the Library.</p>	Financial	Possible	Medium	Moderate Risk
			Operational	Remote	Medium	Lower Risk

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>G(i). Appropriate books/publications may not be identified, resulting in poor or inadequate supply of library resources.</p> <p>G(ii). The provision of online services may be disrupted resulting in non-availability of critical resources.</p>	<p>A review of published books is made as well as a survey of staff regarding services and required books.</p>	<p>Remote</p>	<p>Low</p>	<p>Lower Risk</p>
III	<p><b>Archiving</b></p> <p>A(i). Lack of coherent and well considered archiving strategy in the United Nations, especially for bodies like international criminal tribunals, could result in ineffective archives and ultimately affect the legacy of the Tribunal.</p> <p>A(ii). Belated consideration by Management to important legacy issues such as archiving may result in such matters having to receive insufficient consideration towards the end of mandate.</p> <p>A(iii). Damage to the reputation of the Tribunal may occur if the Tribunal cannot prepare archives to meet stakeholder expectations.</p>	<p>Important decisions such as location of archives have not yet been taken and the matter has now to be referred to the Security Council.</p> <p>An Archives Working Group has been set up to examine such issues and a comprehensive paper also prepared that addresses the possible problems and tasks that may emerge. The study has been undertaken jointly with the ICTR which will look at all pertinent issues.</p> <p>The archiving issue was initially discussed with Headquarters in October 2003 and a report prepared. However, adequate follow up action was not initiated, except in the area of Administration where progress has been made in archiving records using TRIM. Chambers and OTP were largely out of the loop and have only recently involved themselves in the process.</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</p>

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). The significant volume and nature of content of the archives may delay the archives from being available and accessible within the anticipated timeframe, thus affecting the Tribunal's reputation.</p>	<p>ICTY is aware of the importance of the archiving activities and is making efforts to ensure operational needs are met.</p>	Likely	High	Higher Risk
	<p>E(ii). Lack of resources may hinder the archiving unit from adequately performing all of the work within current schedules.</p>				
	<p>F(i). Lack of resources with only very limited staff (2.5) servicing the entire Tribunal may result in ineffectiveness and quality control may be compromised.</p>	<p>The 2008 and 2009 budget submission has been approved.</p>	Likely	High	Higher Risk

8	Focus Area:	Conference and Documents Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>G(i). Storage of records may not be adequate which could create difficulties for future use of the archives.</p> <p>G(ii). Security breach in terms of unauthorized access to confidential information could occur, which could negatively impact on the legacy of the Tribunal.</p> <p>G(iii). Archives could be damaged during transporting, when these are transferred to eventual final destination, which could hinder future use.</p> <p>G(iv). Archives may not be ready for end of mandate transfer which could negatively affect the reputation of the Tribunal.</p> <p>G(v). Databases may not be properly merged, which could result in lost or duplicative data.</p>	<p>Records, both electronic and physical are stored in a variety of formats currently. The mammoth Audio-visual records of court proceedings are yet to be digitized so that these can be archived. Archiving is working with FMU to reduce the chances of damage (disaster mitigation by backing up records and having it in more than one format).</p> <p>An access regime is being developed in coordination with the Archiving and Records Management Section and the Office of Legal Affairs in NY headquarters as a legislative framework defining access standards for information is not yet available. The access regime will spell out access standards. Care will be taken in terms of advance planning and other appropriate measures to ensure the safety and integrity of the records.</p> <p>There are many disparate databases operating within the Tribunal, with many of them being in the OTP and it is a tremendous challenge to combine and put them on a common platform.</p>	Possible	High	Higher Risk

## Risk Assessment of : ICTY

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	Risk Category	Likelihood	Impact	Overall Risk
I	<p><b>Asset Maintenance</b></p> <p>B(i). Unclear responsibility between Property Control Inventory Unit, Information Technology Support Section (ITSS), the department holding the asset, and the staff members could result in duplicate maintenance of records and uncertainty of who is responsible for losses.</p>	Governance	Possible	Medium	Moderate Risk
	<p>E(i). Inadequate mechanism to verify the accuracy of inventory reports may result in misreporting of assets.</p> <p>E(ii). Loss of stock due to poor issue, receiving and verification controls may occur resulting in loss of Tribunal resources.</p> <p>E(iii). All assets may not be properly recorded in the database resulting in an incomplete/incorrect inventory.</p> <p>E(iv). The inventory/property classification adopted by ICTY may not be in accordance with the UN Common Coding System (UNCCS) and thus not in accord with the rest of the United Nations.</p> <p>E(v). Preparation may not be adequate at the Tribunal for the transition to comparatively stringent IPSAS requirements for assets and inventory, which could result in IPSAS being incorrectly implemented.</p>	Operational	Possible	Medium	Moderate Risk



9	Focus Area:	Property and Facilities Management	Risk Category	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	E(vi). Acceptance of deliveries that do not meet specifications may occur, which could result in discrepancies not being identified, documented, investigated and resolved in a timely manner.	Deliveries are matched against purchase orders and invoices to ensure that the quantities are in accord with those ordered. The receipt function is segregated from the purchase function.				
	E(vii). Insufficient segregation of duties in the PCIU could result in the physical counts being inaccurate.	Overall, inventory control has been assessed as adequate in the recent OIOS audit. However due to wrong depictions of write offs and disposals, the annual reports do not match with the Asset Disposal Unit statistics.				
	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.	OIOS has noted that the asset disposals/dispositions shown in the annual accounts do not match the statistics produced by the Local Property Survey Board (LPSB).  The verification is carried out by the same persons who maintain the database and this is a weakness in internal controls.	Human Resources	Remote	Medium	Lower Risk
	G(i). Access controls to system may be inadequate resulting in the possibility to make unauthorized changes.	SOPs have been recently promulgated.	Information Resources	Possible	Medium	Moderate Risk
ii	<b>Asset Disposal</b>			Possible	Medium	Moderate Risk
	A(i). Inadequate advance planning such as a strategy to dispose of inventory on its books may result in the disposals being done inefficiently in a hurry towards the end of Tribunal's life.	The need for a plan and policy on disposals is an issue that was raised in the recent audit and a recommendation has been raised on the issue.	Strategy	Possible	Low	Lower Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>C(i). Lack of compliance with directives from the Headquarters Property Survey Board (HPSB) could result in assets being disposed improperly.</p> <p>C(ii). Guidelines concerning the operations of Local Property Survey Board (LPSB) and the responsibility of the members may be unclear resulting in the Board not operating effectively and efficiently.</p>	<p>LPSB has sought guidance from the Controller and the HPSB on increased delegation of authority to Field Offices.</p>	Compliance	Likely	Low	Moderate Risk
	<p>E(i). Asset transfers, disposals and/or write-offs may not be accounted for properly leading to inaccurate records or loss to the organization.</p> <p>E(ii). Disposal actions may not be based on analysis of methods designed to secure best returns for the organization, which could result in a loss of financial resources.</p>	<p>The consideration of alternative actions prior to disposal was raised in the recent OIOS audit, and a recommendation has been raised on the issue.</p>	Operational	Possible	Low	Lower Risk

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(iii). Controls may be inadequate for monitoring the status of assets and identifying disposal options. Consequently, ICTY may not identify assets due for disposal in a timely manner or plan for asset disposal until it is close to the end of its serviceable life.</p> <p>E(iv). Due to lack of supervision, oversight and advance planning, assets may be rendered non-operational through breakdown or damage and further that the assets may become obsolete due to surplus or past optimal time for disposal, resulting in loss to ICTY.</p> <p>E(v). Inadequate forecasting of current and future stock requirements may lead to overages/shortages of consumable items like toner cartridges and paper. Mechanisms to control the level of consumption may be inadequate which could also lead to overages/shortages of consumable items.</p> <p>E(vi). Inadequate mechanisms to identify slow moving or obsolete items could result in excess inventory and inefficient use of assets.</p>	<p>The recent audit had pointed this out and Management has assured corrective action in terms of monitoring of asset condition and timely identification of assets, nearing end of life.</p> <p>Printer cartridges had to be thrown out as these were old. Recent audit showed that the Tribunal was carrying toner stock valued at \$100,000, which was slow moving.</p> <p>The TLSU and the ASDU ensure that the disposal process is in compliance with the delegation given by the Controller</p> <p>The office has in place requisite arrangements for monitoring stock requirements for consumables. The recent audit also identified issues relating to the management of toners and excessive stock in hand.</p>			

9	Focus Area:	Property and Facilities Management	Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(vii). The HPSB taking unduly long in disposing of submissions from the LPSB may result in obsolete assets being included in the inventory records.</p> <p>E(viii). The length of the time taken to put a contract in place (many months) may result in the Tribunal being out of stock in crucial items. This will hinder the operations of the Tribunal.</p>	<p>This issue has been raised in the recent draft OIOS audit report but is a matter outside the control of the ICTY.</p> <p>This is an internal issue for the Tribunal and points to the need for better cooperation between Divisions and an improved response from the Procurement Section so as to be able to meet client expectations in a better manner. The length of time for a purchase order to become active has increased drastically (2 years for photocopiers, 6 months for office supplies).</p>			
III	<p><b>Facilities Maintenance</b></p> <p>A(i). The field office in Sarajevo may be required to move if an agreement cannot be reached with the owners of the property, which would severely hinder the operations of the office.</p> <p>A(ii). Due to unforeseen/unexpected developments, the lease period mentioned in the rental agreements may not match with the life span of the Tribunal. If the life of the Tribunal extends past 2012 and the buildings are sold, ICTY would have to move to new premises close to the end of the mandate which would cause numerous problems.</p>	<p>The UN rebuilt the office building and secured an eight-year rent-free period that ends July 2008. Currently, the university in Sarajevo wants rent from UN to stay in the building which is bound to have financial implications. FMU personnel have established contact with the University so as to come to mutually acceptable terms on further extensions if required.</p> <p>As far as possible, the Facilities Maintenance Unit (FMU) has tried to take care of such problems but as all contingencies cannot be covered or addressed, there is an element of residual risk which could seriously impact operations in case the Tribunal is required to move offices late in its life.</p>	Possible	Medium	Moderate Risk

9	Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Lack of policy on issues on what can be plugged into the office electrical outlets (such as permitting staff to operate kettles and microwave ovens) could result in an overloading of the electrical system and cause outages, which disrupts operations.</p> <p>E(ii). Inadequate insurance coverage could result in a financial loss to the Tribunal (contents and liability).</p> <p>E(iii). Inadequate monitoring of maintenance contracts could lead to possible overcharges or other deficiencies in service.</p> <p>E(iv). Fire or other hazards to the premises may cause loss to persons/property.</p>	<p>The Tribunal experienced once in the past a power outage that disrupted court operations.</p> <p>Assets and inventory are adequately insured under an insurance policy.</p> <p>Fire prevention, detection and other safety measures have been deployed.</p>	Operational	Remote	High	<b>Moderate Risk</b>

9	Focus Area:	Property and Facilities Management	Risk Category	Possible Likelihood	Medium Impact	Moderate Risk
No	<p><b>Interview/Review Summary (Description of risk)</b></p> <p>E(v). Maintenance problems with the courtroom premises and facilities could result in courts not functioning impeding daily operations, which could delay the Tribunal from completing its mandate.</p> <p>E(vi). A change in the ownership of the buildings could impact on the FMU's ability in ensuring smooth functioning as new relationships have to be built time and again with new owners.</p> <p>E(vii). Use of available office space may not be optimal resulting in inefficient or ineffective use of resources.</p> <p>E(viii). Disruptions in critical maintenance contracts could lead to problems with automatic gates or the security system, which could lead to unauthorized access.</p> <p>E(i). Inadequate backup arrangements for essential services could result in operations not being able to continue in the face of unexpected outages.</p> <p>F(i). Staff attitudes and behavior may be inappropriate in terms of misusing or showing lack of respect towards the facilities, resulting in loss or damage to Tribunal assets.</p>	<p><b>OIOS Assessment</b></p> <p>Measures have been taken to ensure that courtroom functioning is not disrupted owing to failure in support services or disturbance to the premises.</p> <p>In the past decade, the landlord has changed three times. The FMU has been working on maintaining close ties with the landlord so as to mitigate potential problematic issues.</p> <p>Business continuity is the main objective of the section.</p> <p>The FMU has prepared an Office Space Management plan.</p> <p>Adequate measures are in place to ensure that such disruptions do not occur. Moreover, Security staff is also available to prevent unauthorized access.</p> <p>Staff are expected to behave responsibly and to protect UN or leased property.</p>	Human Resources	Possible	Low	Overall Risk
<b>Lower Risk</b>						

## Risk Assessment of : ICTY

10	Focus Area:	Safety and Security	Risk Category	Remote	High	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I	<p><b>Security Management</b></p> <p>A(i). Having the Tribunal located in different buildings, which are not manned 24 hours, increases the possibility that security may not respond in a timely manner should an incident arise, which could result in loss of life or property.</p> <p>B(i). The lack of an effective organization-wide disaster recovery plan for safety and security in the event of an attack or disaster could hamper continued operations.</p> <p>B(ii). Inadequate preparedness in the event of a terrorist attack could result in loss of life and disrupt operations of the Tribunal.</p>	<p>The Tribunal is located in three buildings as well as a fourth building for the Detention Unit. The Security Section however responds swiftly to incidents.</p> <p>A few sections of the Tribunal have created contingency plans, but there is not an organization-wide policy with regard to disaster recovery planning.</p>	Strategy	Possible Remote	Medium High	<b>Moderate Risk</b> <b>Moderate Risk</b>
			Governance	Remote	High	<b>Moderate Risk</b>

10	Focus Area:	Safety and Security	Remote	High	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). If assets are not properly identified and clearly defined, the assets may not receive the appropriate level of security, which could result in loss of the asset.</p> <p>E(ii). If threats and vulnerabilities are not properly identified, ICTY may not have appropriate safety measures in place to mitigate the threats and vulnerabilities.</p> <p>E(iii). Staff may be using emergency exits in non-emergency situations, which take away security resources from more pressing issues.</p> <p>E(iv). If there is a malfunction of the alarm, the control center may not be aware of a possible security situation, and therefore would not be able to respond appropriately.</p> <p>E(v). Staff or visitors may access unauthorized sections of the Tribunal by "piggybacking," following an authorized person into the section.</p> <p>E(vi). An incident outside the perimeter of the Tribunal could halt operations.</p> <p>E(vii). Unauthorized individuals may gain access to the Tribunal by obtaining a staff member's identification card, which could result in the individual obtaining sensitive or confidential information.</p>	<p>Assets remain relatively stable; vulnerabilities change. Meetings are held twice a day to assess the security situation of ICTY, as per standard operating procedures. ICTY staff receive information from other experts and use common sense to identify threats and vulnerabilities.</p> <p>A security staff member has the responsibility of continuously assessing external risks, and external risk assessment documents have been developed. However, systematic internal risk assessments are not performed.</p> <p>The Safety and Security Section also prepares the ICTY Country Risk Assessment and Information Security Risk Assessment. These are both very specific and used to advise senior management.</p> <p>The Country Risk Assessment is based on the UN Department of Safety and Security methodology.</p> <p>The Tribunal does not have authority outside its perimeter and must contact the local authorities to deal with any issues or problems that arise. The Tribunal has good contacts with the local authorities.</p>	Possible	Medium	Moderate Risk
	<p>E(viii). Safety equipment may not be properly maintained, which could malfunction when put to use.</p>				



10	Focus Area:	Safety and Security	Remote	High	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>F(i). Security staff may not be properly trained to handle fires which could result in further damage to the Tribunal or injury to the staff.</p> <p>F(ii). Security staffing in the field offices may not be adequate considering the security situation on the ground.</p> <p>F(iii). Individuals in the building may not be properly trained regarding the safety and security issues of the Tribunal, which could result in loss of life or property should an incident occur.</p> <p>F(iv). Turnover of staff may hinder the effective implementation of the Tribunal's security procedures as it requires training of new staff and impacts the morale of current security staff.</p> <p>F(v). Personal stress in security positions may cause tardiness, sick leave or turnover in staff, which could hinder the efficiency and effectiveness of the security operations.</p> <p>F(vi). Staff may be robbed or attacked and suffer injuries to person or property which could affect employee morale.</p> <p>F(vii). A fire in one of the ICTY buildings could result in injury or loss of life particularly if the alarm may not be audible to staff, which could result in personnel being injured given the concentration of a large number of staff in the buildings of ICTY.</p>	<p>Each building has a different layout, so personnel must be familiar with each one. Security officers are provided with training that would allow them to react appropriately to a fire or other safety concern.</p> <p>12 officers provide security services for 5 field offices. Policies and procedures mirror those in The Hague, and an annual inspection is performed of the field offices.</p> <p>All staff is required to attend a safety and security briefing. Contractors (defence counsel, court reporting, etc.) do not attend the briefing.</p> <p>Turnover is about 3 to 4 security staff a month. Several staff left when it was determined that staff would not receive any incentives for staying through the life of the Tribunal.</p> <p>In general, staff members who have been robbed or attacked have been victims of circumstances. Investigations have shown that the crimes have not been committed because the person is an employee of the Tribunal.</p> <p>Fire safety precautions have been certified by the host government.</p>	Possible	High	Higher Risk
		Human Resources	Remote	High	Moderate Risk

10	Focus Area:	Safety and Security	Remote	High	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>G(i). Sensitive or confidential information could be stolen or misused, which could seriously impact the reputation of the Tribunal.</p> <p>G(ii). If the national or municipal governments do not disclose information to ICTY because they determine that it is not important or it is too sensitive, an event could occur that may hinder the operations of the Tribunal.</p> <p>G(iii). Contractors hired on a short term basis may obtain inappropriate access or information, which could negatively affect the reputation of the Tribunal if used inappropriately.</p>	<p>A risk assessment on the security of information has been performed and is continuously updated. In addition, ICTY provides training to staff on the use of information. ICTY also has surveillance capabilities to deter the misuse of assets, which includes information.</p> <p>An information security expert is placed under the Security Section and not under ITSS as this enables him to function relatively independently and objectively.</p> <p>Short-term contractors do not undergo a background check.</p>	Remote	High	Moderate Risk
II	Stores/Inventory		Possible	Medium	Moderate Risk
	C(i). Ammunition storage that does not meet current host country standards could result in the deterioration of the ammunition.	Ammunition is stored in a vault that does not meet host country standards with regards to temperature control even though extraction fans have been installed to cool the room. Ammunition is regularly used for the firing range on a first-in, first-out basis.	Likely	Low	Moderate Risk

10	Focus Area:	Safety and Security		Remote	High	Moderate Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). Items kept in the security-section stores may be stolen or lost, which would be a serious security breach given that weapons and ammunition are stored therein.</p> <p>E(ii). Departing staff may be inclined to keep ICTY property including a hat or badge, which could result in a security vulnerability if the item is misused.</p> <p>E(iii). Security equipment such as a radio may be lost or stolen, which could result in a vulnerability of the security of ICTY and affect the operations of the Tribunal.</p> <p>E(iv). Inadequate smoke detectors could result in an untimely response to a fire in the stores.</p> <p>E(v). If items (including mobile phones) are not reported as lost or stolen on a timely basis, the investigation of the incident may be hindered.</p>	<p>Internal controls are in place over the stores and the assets included within the stores. Any item taken out of a store must be signed for by the employee.</p> <p>The encryption of the radios is changed as soon as a radio is identified as missing.</p> <p>The smoke detectors in the stores are not integrated into the main smoke detector system.</p> <p>SIM cards are blocked immediately once a mobile phone has been identified as missing. Every incident is investigated, and if the value of the stolen item is over \$500, a comprehensive report is given. Section chiefs are notified of the incidents in order to keep staff accountable.</p>	Operational	Possible	Medium	<b>Moderate Risk</b>

## **Focus Areas**

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

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

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

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

## Risk Categories

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

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

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

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

## Risk Assessment Ratings

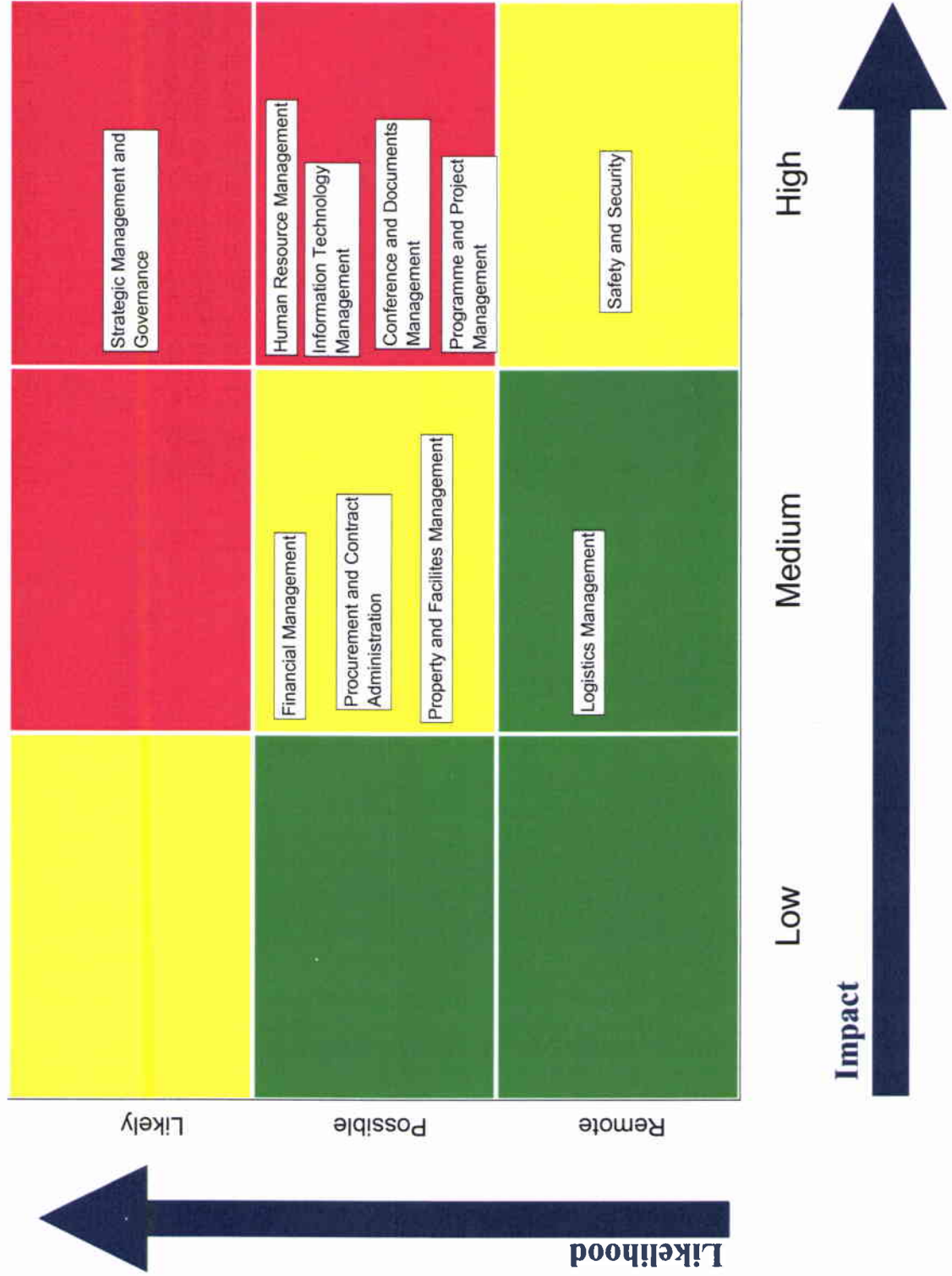
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used is show below:

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

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

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

# RISK SUMMARY PROFILE (Focus Area)





# RISK SUMMARY PROFILE (Sub Focus Area)

