

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>F(i). Absence of a HR strategic plan, which includes a staff development plan with performance measurements policies and guidelines, may result in DEWA staff/managers not being held accountable for their performance.</p> <p>F(ii). The uncertainty of an extended planning and programme phase during UNEP's transition could contribute to slow or decreased ability of DEWA staff members to adapt and respond effectively to change, and may adversely affect programme output delivery.</p> <p>F(iii). High vacancy rates of approximately 20 percent and poorly defined structures in DEWA could lead to confusion in the Division in terms of unclear job descriptions, and confusion on part of other Divisions as to what DEWA does.</p> <p>F(iv) UN mobility programme may create loss of specialized knowledge and inefficiencies in human resources management which may cause poor morale, lack of motivation among staff members and may result in low productivity and inefficiencies in DEWA's work programmes.</p>	<p>UNEP has appointed a Human Resources Advisor to look into these issues and SIT is working on a delegated authority, mobility and Accountability structures and policies.</p>	Possible	Medium	Moderate Risk
	<p>F(v). Long delays may be encountered in recruiting staff (approx. 320 days), which could result in positions not being filled for extended periods of time constraining delivery of DEWA's POW.</p>		Possible	Medium	

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	<p>E(i). DEWA may not adequately plan its needs for goods and services, which could result in disruptions of operations due to goods and services not being delivered in a timely manner.</p> <p>E(ii). Reliance on one official travel agent may result in DEWA being unable to secure timely and cost effective travel services which could adversely affect delivery of its POW.</p> <p>E(iii). DEWA may be unable to secure locally all the conference facilities and resources it requires, which could compromise its ability to arrange cost effective conferences.</p> <p>E(iv). Inadequate arrangements for property control could result in property going missing or poor returns on property eaermarked for disposal.</p>	<p>UNEP has service level agreements with UNON.</p>	<p>Operational</p>	<p>Possible</p>	<p>Medium</p>	<p><b>Moderate Risk</b></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>G(i). Weak controls to protect computers against power outages could result in disruption of DEWA's operations and possible financial losses.</p> <p>G(ii). The costly installation of increased bandwidth to serve DEWA, could constrain its limited cash resources, which could cause inefficiencies in its operations.</p> <p>G(iii). Lack of knowledge of back up procedures by DEWA staff may result in uncertainty as to the procedure to follow in the event of any system failures.</p> <p>G(iv). DEWA staff may be unable to access email while away on mission which could affect delivery of its POW.</p> <p>G(vi). Limited video/tele conferencing facilities in UNEP Headquarters could result in need for greater number of missions to maintain contact with partners leading to increased costs and to disruptions and lost opportunity and efficiency.</p> <p>G(vii). DEWA may lack the information systems it needs to collect timely and accurate information to support its decision making.</p>	<p>The need for IT policies and procedures was raised by OIOS in 2003, and UNEP established an ICT focal point in 2007 to address these issues.</p> <p>UN staff have access to their e-mail when away from the office using webmail and managers have been given internet equipped phones to further assist in connectivity whilst away from the office.</p> <p>UNEP has been rolling out IT infrastructure to enable outposted offices to have remote access to UNEP IT systems.</p>	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management			Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment		Risk Category	Likelihood	Impact	Overall Risk
	<p>G(viii). Lack of access to IMIS at DEWA outposted offices may result in delays in financial reporting of these offices.</p> <p>G(ix). Lack of adequate training in IT could lead to inefficiencies in the operations of DEWA.</p> <p>G(x). Absence of adequate data archival and retrieval systems could lead to disruptions in operations and result in inefficiencies and losses to DEWA.</p> <p>G(x). Incompatibility of existing data systems between UN HQs and UNEP/UNON HQ may be a constraint to developing more integrated UNEP wide data systems.</p>			Information Resources	Possible	Medium	Moderate Risk
III	<p><b>DIVISION OF ENVIRONMENTAL POLICY IMPLEMENTATION (DEPI)</b></p> <p>A(i) The UN programme planning process, where the budget and work programmes are prepared 3 to 4 years in advance, may not be appropriate for the nature of DEPI's work and could result in a POW for DEPI that does not meet donor needs.</p>	<p>UNEP prepares its POW in accordance with UN rules, in close consultation with the Committee of Permanent Representatives (CPR).</p>		Strategy	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
	<p>B(i). The rationale for changes in UNEP organizational structure may not be adequately communicated to, or understood by, DEPI staff which could result in lower staff morale and productivity.</p> <p>B(ii). DEPI structure may lack flexibility and have rigid reporting lines which could affect staff morale and demotivate its staff.</p> <p>B(iii). UNEP may lack an effective co-ordination mechanism for resolving differences of opinion on substantive matters between DEPI and New York, which could adversely affect DEPI's ability to deliver its mandate.</p>	<p>SIT is working on a delegated authority and accountability structure for all Divisions.</p> <p>UNEP has regular newsletter to keep staff informed of developments, town hall meetings are held, and the UNEP intranet has a site detailing the work of SIT.</p> <p>UNEP has Senior Management Team meetings involving all Division Directors, where differences can be resolved and decisions taken.</p>	Governance	Possible	High	Higher Risk
	<p>C(i). Project Management and approval process in DEPI could be delayed as activities are not always channeled through the Fund Management Officers (FMOs).</p>	<p>Project guidelines available, but not being strictly adhered to. The guidelines will be reviewed in 2008 by QAS.</p>	Compliance	Remote	Medium	Lower Risk
	<p>D(i). The lack of sufficient funding and staffing resources due to UNEP's programme activities being extra budgetary or voluntary funded makes DEPI vulnerable to relying on pledges in budgeting and planning for its work programme.</p> <p>D(ii). Uncertainties in the market cause exchange rate fluctuations that may result in financial losses to DEPI.</p> <p>D(iii). Inadequate funding for DEPI may hamper UNEP from performing activities related to high-priority project and programme activities.</p>	<p>UNEP has a voluntary indicative scale of contributions which has stabilized funding. The mechanism is reviewed by member states at each GC.</p> <p>UNON has a mechanism for follow up and reporting on UNEP pledges, OIOS audits have found these to be working well.</p>	Financial	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). Monitoring of projects and programmes may be insufficient, resulting in DEPI not complying with donor requirements, and being unable to measure its performance.</p> <p>E(ii). Reporting requirements may be excessive and not easy to comply with, which could cause frustrations among users in DEPI and result in work activities not being carried out.</p>	<p>UNEP has an Evaluation function.</p> <p>UNEP has created a draft evaluation policy that creates links between evaluation results and donor confidence.</p> <p>UNEP complies with UN and UNEP GC reporting requirements and has established a Quality Assurance Section to assist.</p>	Likely	Medium	Higher Risk
	<p>F(i). Institutional knowledge and technical expertise in DEPI may be lost due to mobility requirements of the UN, which may result in non achievement of the mandate.</p>	<p>UNEP does not have a HR retention policy but SIT is working on this area.</p>	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
IV	<b>DIVISION OF TECHNOLOGY, INDUSTRY AND ECONOMICS (DTIE)</b> A(i). The UN programme planning process, where the budget and work programmes are prepared 3 to 4 years in advance, may not be appropriate for the nature of DTIE's work and could result in a POW that does not meet donor needs and DTIE may have to look for additional funding over and above the required funds for implementing additional requests made during a Governing Council.	UNEP prepares its POW in accordance with UN rules, in close consultation with the Committee of Permanent Representatives (CPR).  UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding POWs.	Strategy	Possible	High	Higher Risk
	B(i). Lack of a governance body to coordinate ICT services between UNEP, UNON and UNOG may lead to delays in obtaining financial information, which could affect DTIE's operations.  B(ii). Lack of delegation of authority for host country agreements could affect operations of DTIE in Paris, resulting in confusion or misunderstanding.	UNEP Executive management has created a Strategic Implementation Team and a Quality Assurance Team to assist management by reviewing and providing feedback on the way forward.  The DTIE Paris and Japan offices use other UN agencies' host country agreements as they do not have agreements with the Host Countries.	Governance	Possible	High	Higher Risk
	C(i). There may be limited resources available for training DTIE staff, which may result in non-compliance and overriding of procurement policies and guidelines.	UNEP created a Strategic Implementation Team in 2007 to look into these issues and advise senior management on the way forward.	Compliance	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
	<p>D(i). Unpredictability in the extra budgetary funding for DTIE programs may affect timely planning.</p> <p>D(ii). Official currency of the DTIE budget is denominated in US dollars, and depreciation of US dollar currency over other currencies used for operational expenditures may result in a financial loss.</p> <p>D(iii). The basis for allocation of funds from the Environment Fund to DTIE may be unclear and not be in alignment with its requirements resulting in inadequate funds being available for activities such as evaluation, monitoring, and training.</p> <p>D(v). The absence of adequate centralized arrangements for fund raising may result in DTIE doing its own fund raising which could result in competition with other UNEP Divisions for scarce resource and inadequate time being dedicated to delivery of POW.</p>	<p>UNEP has a voluntary indicative scale of contributions which has stabilized funding. The mechanism is reviewed by member states at each GC.</p> <p>UNON has a mechanism for following up reporting on UNEP pledges. OIOS audits have found these to be working well.</p> <p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding operations.</p>	Possible	High	Higher Risk



7	<b>Focus Area:</b>	<b>Programme and Project Management</b>		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>E(i). UNEP headquarters may not always be efficient and effective in maximizing resource mobilization, which could affect DTIE's work programme.</p> <p>E(ii). Lack of proper security mechanisms in place and sufficient budget to implement security systems to ensure the safety of UN staff could affect operations of DTIE.</p>	<p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding operations.</p> <p>DTIE initiated contacts with UNESCO Security Office to start working on issues related to fire safety training and installation of anti-blast film throughout the building, as well as for assistance in the selection of a security firm for the office. A mission from the Security Office in Vienna will be visiting DTIE Paris office to assess further needs. This has been recently approved by the Executive Director's office.</p>	Operational	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>F(i). The lengthy UN recruitment process could result in additional pressure being placed on the DTIE staff in cases where some job positions fall vacant or are created for new projects. This could exhaust and de-motivate the staff and affect programme delivery</p> <p>F(ii). Limited training to outpost office may result in skill gaps as staffs need to be trained in new areas to enable them to discharge their duties competently.</p> <p>F(iii). Absence of a HR strategic plan, which identifies the number and type of staff required to carry out the DTIE POW could hinder delivery of the POW through staff shortages.</p> <p>F(iv). UN benefits and pay may not be sufficiently attractive to retain staff in some of the locations DTIE operates, affecting its ability to deliver its POW.</p> <p>F(iv). Inability to effectively implement required mobility policy imposed by the UN with the current limited staffing positions, which could impair operations of DTIE.</p> <p>F(v). The UN performance appraisal system may not meet DTIE needs as a tool for performance evaluation or a career development tool, which could hamper DTIE's management's ability to motivate and manage staff.</p>	<p>UNEP has appointed a Human Resources Advisor to look into these issues and SIT is working on a delegated authority and Accountability structure.</p> <p>UNEP is working on a mobility office, in line with UN mobility policy.</p> <p>UNEP is governed by UN policies for staff appraisal and recruitment.</p>	Human Resources	Possible	High	Higher Risk
			Human Resources	Possible	High	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>G(i). The financial reporting systems used by UNEP may not be adequate for meeting DTIE donor reporting requirements, which may result in a loss of donor confidence where difficulties are experienced in producing timely, accurate, and complete reports.</p> <p>G(ii). DTIE experiences ICT and telephone communications problems due to infrastructural limitations of the host country. This increases communication costs, and DTIE staff also experience limitations in the quality of communication channels.</p>	<p>A Strategic Implementation Team is reviewing these issues and will advise UNEP management on the way forward in due course.</p>	<p>Information Resources</p>	<p>Possible</p>	<p>High</p>	<p>Higher Risk</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
V	DIVISION OF ENVIRONMENTAL LAW AND CONVENTIONS (DELIC)			Possible	Medium	Moderate Risk
	<p>A(i). DELIC may not have an effective strategic planning process in place which could result in a POW that does not fulfill its mandate, is not aligned to the needs of UNEP and could threaten UNEP's role as a leader in Environmental law.</p> <p>A(ii) DELIC has a high volume of operational work, which may prevent it from fulfilling its normative and analytical role.</p> <p>A(iii) DELIC lacks a strategy to engage environmental law, which may result in missed opportunities not only for available funding, but also for integration of sustainability considerations.</p> <p>A(iv). The UN programme planning process, where the budget and work programmes are prepared 3 to 4 years in advance, may not be appropriate for the nature of DELC's work and could result in a POW for DELC that does not meet donor needs.</p> <p>A(v). Absence of effective corporate UNEP knowledge management strategy to ensure DELC lessons learned are archived for knowledge sharing and incorporated in UNEP's work programme activities.</p>	<p>UNEP created a Strategic Implementation Team in 2007 to look into these issues and advise senior management on the way forward.</p> <p>UNEP prepares its POW in accordance with UN rules, in close consultation with the Committee of Permanent Representatives (CPR).</p>	Strategy	Possible	Medium	Moderate Risk

7	<b>Focus Area:</b>	<b>Programme and Project Management</b>		Possible	High	<b>Higher Risk</b>
No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	<p>B(i). The rationale for changes in UNEP organizational structure may not be adequately communicated to, or understood by, DELC staff which could result in lower staff morale and productivity</p> <p>B(ii). Inadequate structures may be in place to ensure that DELC staff and managers are held accountable for their performance which could impair operations.</p> <p>B(iii). Inadequate structures may be in place for management of earmarked funds which could impair operations of DELC.</p>	<p>UNEP has regular newsletter to keep staff informed of developments, town hall meetings are held, and the UNEP intranet has a site detailing the work of SIT.</p> <p>SIT is working on a delegated authority and accountability structure for all Divisions.</p>	Governance	Remote	High	<b>Moderate Risk</b>

7	<b>Focus Area:</b>	<b>Programme and Project Management</b>		Possible	High	Higher Risk
No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	<p>D(i). As the biennium budgeting process for operational cost is based on previous year's costs rather than future projections, it may not be representative of actual costs incurred and therefore cause shortfalls in DELC budget.</p> <p>D(ii). Official currency of the DELC budget is denominated in US dollars, and depreciation of US dollar currency over other currencies used for operational expenditures may result in a financial loss.</p> <p>D(iii) Unpredictability in the type and nature of extra budgetary funding for DELC programs may limit flexibility in programming its work activities.</p> <p>D(iv). The absence of adequate centralized arrangements for fund raising may result in other environmental organizations such as economic commissions getting funds rather than DELC.</p> <p>D(v). The absence of adequate centralized arrangements for fund raising may result in DTIE doing its own fund raising which could result in competition with other UNEP Divisions for scarce resource and inadequate time being dedicated to delivery of POW.</p>	<p>UNEP follows RBB and has established in 2007 a Corporate Services Section to handle UNEP financial management.</p> <p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding operations.</p>	Financial	Possible	Medium	<b>Moderate Risk</b>

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). Earmarked funding may impair DELC operational effectiveness by focusing on areas that may not be key to delivery of its mandate.</p> <p>E(ii). Open plan office may not be appropriate for DELC staff required to work on confidential matters, increasing likelihood of leaks of information.</p> <p>E(iii). Reliance on one official travel agent may result in DELC being unable to secure timely and cost effective travel services which could adversely affect delivery of its POW.</p>	<p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding POWs.</p> <p>UNON is in process of reviewing arrangements for travel which may involve use of more than one travel agency.</p>	Operational	Likely	Medium	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Absence of a HR strategic plan, which identifies the number and type of staff required to carry out the DELC POW could hinder delivery of the POW through staff shortages and lead to loss of staff to other UNEP offices.</p> <p>F(ii). Absence of a HR staff development plan with performance measurements policies and guidelines, may result high turnover of DELC staff with the consequent loss of required expertise and need for training new personnel.</p> <p>F(iii). The UN performance appraisal system may not meet DELC needs as a tool for performance evaluation or a career development tool, which could hamper DELC management's ability to motivate and manage staff.</p> <p>F(iv). Inability to properly provide training for DELC staff due to budgetary constraints may hinder the program's overall effectiveness.</p> <p>F(v). The long delays encountered in recruiting staff, may result in positions not being filled for extended periods of time and could lead to losing potential DELC staff to other organizations.</p>	<p>Staffing resources have remained stable with three professional staff.</p> <p>UNEP follows the UN performance appraisal system.</p> <p>UNEP has appointed a Human Resources Advisor to look into these issues.</p>	Human Resources	Possible	Medium	<b>Moderate Risk</b>



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No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	<p>G(i). The communication infrastructure may not support DELC 's data transfer needs and hinder remote access to remote information. It may also slow the speed of access to the shared UNEP website.</p> <p>G(ii). Telecommunications may fail because of power outages which could disrupt operations and increase likelihood of data losses.</p> <p>G(iii). DELC staff may be unable to access email outside of office in Nairobi which could affect timely exchange of information.</p> <p>G(iv). Incompatibility of existing DELC and UN ICT systems may hamper operations.</p>	<p>The need for IT policies and procedures and harmonization of applications was raised by OIOS in 2003, and UNEP established an ICT focal point in 2007 to address these issues and others related to bandwidth and data transfer.</p> <p>UN staff have access to their e-mail when away from the office using webmail and managers have been given internet equipped phones to further assist in connectivity whilst away from the office.</p>	Information Resources	Possible	Medium	<b>Moderate Risk</b>
VI	<b>SECRETARY OF THE GOVERNING COUNCIL (SGC)</b>			Possible	Medium	<b>Moderate Risk</b>
	B(i). Lack of asset/inventory management guidelines may result in misappropriation of assets in the office of the SGC.	OIOS pointed out the need to strengthen controls over inventory management in its recent report on Property management. UNON is in the process of implementing the recommendation.	Governance	Likely	Low	<b>Moderate Risk</b>
	C(i). Lack of proper training and unclear procurement guidelines along with lengthy processing of procurement contracts may result in non compliance with procurement procedures and result in ineffectiveness of the procurement process in the office of the SGC.		Compliance	Possible	Medium	<b>Moderate Risk</b>

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>D(i). As the biennium budgeting process for operational cost of the SGC is based on previous year's costs rather than future projections, it may not be representative of actual costs incurred and therefore cause shortfalls.</p> <p>D(ii). Lack of access to IMIS by SGC may lead to delays in decisions making and reporting of financial information due to lack of real-time information.</p> <p>D(iii). Reliance of voluntary contributions to meet SGC staff costs may impair operational effectiveness because of difficulties to retain staff arising from the uncertainty of the funding.</p> <p>D(iv). Rates for mandatory conference services offered by UNON may be higher than if sourced from outside the UN increasing costs of conferences for SGC.</p>	<p>UNEP follows RBB and has established in 2007 a Corporate services Section to handle UNEP financial management.</p> <p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding operations.</p>	Possible	Medium	Moderate Risk
	<p>E(i). Inadequate travel budget may limit SGC staff attendance at meetings / training events.</p> <p>E(ii). Delays in translation services may disrupt the effectiveness of meetings organised by SGC which could result in meetings exceeding their allotted time for interpretation services and may negatively impact on UNEP's reputation.</p> <p>E(iii). Usage of shared printers and photocopiers may increase the possibility of SGC confidential documents getting leaked.</p>	<p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding operations.</p> <p>GA provided UNON with translators and interpreters paid by RB.</p> <p>UNEP has hired an ICT focal point to look at data privacy.</p>	Possible	Medium	Moderate Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). The lengthy UN recruitment process could result in additional pressure being placed on the SGC staff in cases where some job positions fall vacant or are created for new projects. This could exhaust and de-motivate the staff and affect SGC performance.</p> <p>F(ii). The UN performance appraisal system may not meet SGC needs as performance metrics are not linked to program planning and the cycle is not linked to staff members' contract renewal cycle.</p> <p>F(iii). Inability to properly provide training for staff due to budgetary constraints may hinder the program's overall effectiveness.</p>	<p>UNEP has appointed a Human Resources Advisor to look into these issues.</p>	Human Resources	Possible	Medium	Moderate Risk
	<p>G(i). Weak arrangements for ensuring only authorized staff have access to SGC data could result in leaks of confidential information.</p>	<p>UNEP has hired an ICT focal point to look at data privacy.</p>	Information Resources	Possible	High	Higher Risk
<b>VII</b>	<b>REGIONAL COOPERATION (DRC)</b>			<b>Possible</b>	<b>Medium</b>	<b>Moderate Risk</b>
	<p>A(i). The beneficiaries of the outputs of projects/activities may not be aware of the contribution of UNEP due to some DRC regional offices using UNDP services to implement projects and/or activities in countries where UNEP does not have a country presence.</p> <p>A(ii). The planning cycle of UNEP is 2 years whereas the country planning cycle is typically more than 4 years, which might limit DRC capacity to commit to and support assistance in line with the national cycle.</p>	<p>UNEP reports its achievements on its website and through media releases and publications.</p> <p>UNEP adheres to the UN budgetary cycle and follows the One UN guidance.</p>	Strategy	Possible	High	Higher Risk

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No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>B(i). Lack of coherence and harmonization of inter-agency operational procedures and practices may result in the inability of the UN agencies to present themselves as one UN office thus not being in line with the One UN goals.</p>	<p>Through the application of the lead agency principle and the formation of interagency committees to handle common services, mechanisms exist at a country level to try to mitigate the effects.</p>	Governance	Possible	Medium	Moderate Risk
	<p>D(i). DRC may not obtain sufficient funding because in-country donors might be missed as source of funds under existing fund raising arrangements.</p> <p>D(ii) DRC may lack sufficient resources to enable it engage effectively, in the UN Common Country Assessments/Development Assistance Frameworks (CCA/UNDAFs), as it is a Non-Resident Agency and engagement would require frequent travel</p> <p>D(iii). Planning cycles and budgetary allocations between DRC POW and the CCA/UNDAFs are difficult to reconcile and provide UNEP with very little flexibility to work in the CCA/UNDAF framework.</p> <p>D(iv). Lack of funds may hinder delivery of the DRC POW through an inability to provide adequate staff training.</p>	<p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding operations.</p>	Financial	Possible	Medium	Moderate Risk
	<p>E(i). DRC has little experience of work with the planning/programming tools and practices of the UN System at country level, which may negatively impacts on its work.</p> <p>E(ii). The procurement process may be lengthy and not adequately address the urgency of the requests and hence impact on the implementation of the project activities.</p>	<p>UNEP needs to invest in the planning/programming area to ensure it has trained staff capable of working at country level.</p> <p>During the implementation of DRC project activities, urgent and ad hoc requirements are received for procurements of goods and services, which are handled by UNON or the regional offices under its delegated authority.</p>	Operational	Possible	High	Higher Risk

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No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	<p>F(i). DRC may lack sufficient staff to carry out projects funded by earmarked contributions, as such funds may be given only on the understanding that the human resource are funded by the Environment Fund.</p> <p>F(ii). Very lengthy recruitment processes may result in DRC having to delay implementation of some activities impacting on delivery of its POW.</p>	<p>UNEP has established a Quality Assurance and a Corporate Services Section and is reviewing the human resources impact of projects funded by earmarked contributions.</p> <p>UNEP follows UN recruitment rules and has appointed a Human Resources Advisor to assist.</p>	Human Resources	Possible	Medium	<b>Moderate Risk</b>
	<p>G(i). The expenditures of two DRC regional offices are recorded in the IMIS system of other UN agencies and uploaded to UNON/IMIS on a monthly basis though not on a real-time basis as information is not available in UNON/IMIS, which may delay the preparation of financial reports.</p>	<p>UNEP is rolling out IT to outposted offices to facilitate direct input into UNON IMIS.</p>	Information Resources	Possible	Medium	<b>Moderate Risk</b>

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
VIII	<b>GLOBAL ENVIRONMENTAL FACILITY (DGEF)</b> A(i). DGEF may not have been sufficiently involved in UNEP's planning to shift programme activities to six priority focus areas which may impact on its staff's morale and its ability to align itself to its donors requirements. B(i). There may be lack of clarity and understanding with respect to the respective roles and responsibilities of UNEP, UNON and DGEF for operational and administrative matters. This may impair operational effectiveness. B(ii). DGEF perceives there is lack of clarity and accountability of roles between UNEP Divisions regarding division's responsibilities, which may result in the misalignment between functions with regard to responsibilities for execution (60% by DGEF while 40% by UNEP). B(iii). The rationale for changes in UNEP organizational structure may not be adequately communicated to, or understood by, DGEF staff which could result in lower staff morale and productivity.	OIOS Assessment  UNEP created a Strategic Implementation Team in 2007 to look into these issues and advise senior management on the way forward.  UNEP is reviewing the DGEF structure and operations and a new head has recently been appointed.	Strategy  Governance	Possible Possible Likely	High High High	Higher Risk Higher Risk 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
	<p>D(i). Official currency of the DTIE budget is denominated in US dollars, and depreciation of US dollar currency over other currencies used for operational expenditures may result in a financial loss.</p> <p>D(ii). DGEF experiences significant impact to long term projects that span multiple years (6 years for full size projects). This also leads to overruns of budgets resulting in not meeting planned project implementation.</p> <p>D(iii). Lack of compensation from consultative services provided to other countries, could affect DGEF funding levels.</p>	<p>UNEP has established Corporate Services Section to look into these matters.</p> <p>DGEF receives compensation in accordance with GEF agreements. GEF has initiated a review into this area.</p>	Financial	Possible	High	Higher Risk
	<p>E(i). Reliance on one official travel agent may result in DGEF being unable to secure timely and cost effective travel services, which could adversely affect delivery of its activities.</p> <p>E(ii). UN Procurement processes and procedures may not be in alignment with DGEF needs, which could result in delayed operations and in not meeting donor expectations.</p>	<p>UNON is exploring alternative arrangements for provision of travel services.</p> <p>UNEP follows the UN procurement rules and has service level agreements with UNON for provision of procurement.</p>	Operational	Possible	Medium	Moderate Risk

7	Focus Area:	Programme and Project Management		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). Absence of a HR strategic plan, which identifies the number and type of staff required to carry out the DGEF work which could hinder delivery through staff shortages.</p> <p>F(ii). The lengthy UN recruitment process could result in additional pressure being placed on the DGEF staff in cases where job positions fall vacant for long periods of time, which could exhaust and de-motivate the staff and affect project delivery</p> <p>F(iii). Inadequate arrangements for staff training may result in DGEF staff not possessing the skill set needed to manage and deliver DGEF projects.</p> <p>F(iv). Inadequate arrangements for ensuring safety of staff who work late may lower staff morale, and endanger lives.</p>	<p>UNEP has appointed a Human Resources Advisor to look into these issues.</p> <p>UNON security will arrange escort when required for staff staying late.</p>	Human Resources	Possible	High	Higher Risk



7	<b>Focus Area:</b>	<b>Programme and Project Management</b>		Possible	High	<b>Higher Risk</b>
No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	<p>G(i). Absence of effective corporate UNEP knowledge management strategy and plan may result in loss of institutional knowledge in DGEF.</p> <p>G(ii). Weak systems for data access and retrieval may impede DGEF ability to maintain efficient operations by failure to obtain accurate and complete information when required.</p> <p>G(iii). Lack of adequate IT systems and support to meet DGEF needs of may result in an inability to provide adequate information when required by management.</p> <p>G(iv). DGEF may lack the systems it needs to conduct its operations in an efficient manner.</p>	<p>The need to establish an IT strategy was raised by OIOS in 2003, and UNEP established an ICT focal point in 2007 to address this issue.</p>	<p>Information Resources</p>	<p>Possible</p>	<p>Medium</p>	<p><b>Moderate Risk</b></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
IX	GENEVA OUTPOSTED OFFICES (EMG, DGEF, ETB AND CHEMICALS)		Likely	High	Higher Risk
	<p>B(i). Outposted offices may have insufficient delegated authority to ensure that they can be held accountable for delivery of their POWs.</p> <p>B(ii). UNEP may lack an effective co-ordination mechanism for resolving differences of opinion on substantive/ administrative matters between the outposted offices, and UNEP/ UN headquarters, which could adversely affect outposted offices ability to deliver their mandates.</p>	<p>SIT is working on a delegated authority and accountability structure for all Divisions.</p> <p>UNEP has Senior Management Team meetings involving all Division Directors, where differences can be resolved and decisions taken.</p>	Likely	Medium	Higher Risk
	<p>D(i). The absence of adequate centralized arrangements for fund raising may result in outposted offices doing their own fund raising which could result in competition with other UNEP Divisions for scarce resource and inadequate time being dedicated to the work plan.</p> <p>D(ii). Unpredictability in the extra budgetary funding for programmes of outposted offices may affect timely planning.</p> <p>D(iii). Official currency of the budgets is denominated in US dollars, and depreciation of US dollar currency over other currencies used for operational expenditures may result in a financial loss.</p>	<p>UNEP has a voluntary indicative scale of contributions which has stabilized funding. The mechanism is reviewed by member states at each GC.</p> <p>UNON has a mechanism for following up reporting on UNEP pledges. OIOS audits have found these to be working well.</p> <p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding operations.</p>	Likely	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
	<p>E(i). The project approval mechanism is long and lacks consultation and may result in defective project design of the Geneva outposted offices of UNEP.</p>	<p>Projects must go through an approval process before acceptance is given. A Quality Assurance Team first reviews the projects, and then the Project Acceptance Committee makes the final determination.</p>	Operational	Possible	Medium	Moderate Risk
	<p>F(i). The lengthy UN recruitment process could result in additional pressure being placed on the staff of UNEP Geneva outposted offices in cases where job positions fall vacant or are created for new projects. This could exhaust and de-motivate the staff and affect programme delivery.</p> <p>F(ii) Limited training opportunities for outposted offices may result in skill gaps as staff need to be trained in new areas to enable them to discharge their duties competently.</p> <p>F(iii). Absence of a HR strategic plan, which includes a staff development plan with performance measurements policies and guidelines, may result in staff/ managers of the outposted offices not being held accountable for their performance.</p>	<p>Outposted offices hire consultants and also use services of national staff.</p> <p>UNEP has appointed a Human Resources Advisor to look into these issues and SIT is working on a delegated authority and Accountability structure.</p>	Human Resources	Likely	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
	<p>G(i). Incompatibility of existing data systems used by UN HQs / UNEP/UNOG/ UNON HQ and outposted offices may be a constraint to developing more integrated UNEP wide data systems.</p> <p>G(ii). Lack of access to IMIS by outposted offices may result in delays in financial reporting of these offices.</p> <p>G(iii). Lack of adequate training in IT could lead to inefficiencies in the operations of outposted offices.</p> <p>G(iv). Absence of adequate systems for data archival and retrieval could lead to disruptions in operations and result in inefficiencies and data losses to outposted offices.</p> <p>G(v). Absence of an effective corporate UNEP knowledge management strategy and plan may result in loss of institutional knowledge held by outposted offices.</p>	<p>The need for harmonization of applications was raised by OIOS in 2003, and UNEP established an ICT focal point in 2007 to address these issues.</p> <p>UNEP has been rolling out IT infrastructure to enable outposted offices to have remote access to UNEP IT systems.</p>	Information Resources	Likely	High	Higher Risk

## Risk Assessment of: UNEP

8	Focus Area:	Conference and Documents Management	Likely	Medium	Higher Risk
	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
No			Likely	High	Higher Risk
I	<b>Records management</b> A(i). Absence of effective knowledge management strategy and plan may result in loss of institutional memory, knowledge sharing, and continuity. C(i). UNEP may not have adequate control mechanisms to safeguard proper authorization of documents being published in its name in accordance with its publications policy. G(i). Inadequate arrangements for document management may impact on the ability of UNEP to conduct its business in an efficient manner because documents cannot be found in a timely manner, or may get lost. This may also impact on the ability of UNEP to operate in a transparent and accountable manner, and report to donors and oversight bodies. G(ii). Poor document transmission control may lead to loss or leakage of confidential information which could be harmful to the reputation of UNEP.	UNEP created a Strategic Implementation Team in 2007 and is taking part in the UN wide initiative on document management.	Possible	High	Higher Risk
		Compliance	Likely	Medium	Higher Risk
		Information Resources	Likely	High	Higher Risk

8	<b>Focus Area:</b>	<b>Conference and Documents Management</b>		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
II	<p><b>Translation services</b></p> <p>E(i). Difficulties experienced by UNON conference services in obtaining the right level and type of translation services may lead to misrepresentation of information which could impact on the reputation of UNEP.</p>	<p>The GA has recognised the difficulties of attracting the right level and type of translation and interpretation services to Nairobi and DGACM / UNON are looking at ways to try to improve the situation.</p>	Operational	Likely	Medium	Higher Risk

8	Focus Area:	Conference and Documents Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
III	<p><b>Communication and public information (DCPI)</b></p> <p>A(i). UNEP Divisions may give insufficient attention to communication and publications during their planning, which could impact on DCPI ability to plan and ensure it has the right level and type of resources available to meet UNEP's needs.</p>		Strategy	Possible	High	Higher Risk
	<p>B(i). UNEP may not have adequate arrangements in place for the creation and maintenance of a common communication and publications framework, which could result in reputational risk for UNEP, and reduction of donor confidence, because of an inability to explain and defend what are the genuine UNEP products in the market place.</p>	<p>UNEP has a communication and publication strategy, policy manual and committee.</p>	Governance	Possible	High	Higher Risk

8	Focus Area:	Conference and Documents Management		Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>D(i) Unpredictability in the nature and source of extra budgetary funding may result in the inability to properly plan and carryout program activities and DCPI could be asked to undertake communications initiatives which may not be in line with UNEP's mandate.</p> <p>D(ii). The basis for allocation of funds to DCPI may be unclear and not be in alignment with requirements which could result in DCPI not being able to offer publicity services to Divisions when the need arises and DCPI having insufficient funds for its activities.</p> <p>D(iii). Inadequate arrangements for ensuring that UNEP Divisions pay for DCPI internet services used may impact on DCPI ability to offer such services.</p> <p>D(iv). High cost of distributing printing material from Nairobi may impact on the ability of DCPI to reach as wide as audience as possible.</p> <p>D(v). There may be insufficient funds available to ensure that staff receive training, which could affect Programme delivery.</p> <p>D(vi) There may be insufficient funds to pay overtime, which could result in DCPI being able to meet its deadlines because staff have no incentive to assist.</p>	<p>UNEP has established a resource mobilization team to assist in seeking additional funds to provide greater stability for funding operations.</p> <p>UNEP has established a Corporate Services Section to handle financial management. This unit should have responsibility for co-ordination of financial requirements and resolving financial issues related to budget and payment.</p>	Financial	Possible	High	Higher Risk



8	Focus Area:	Conference and Documents Management	Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>E(i). There may be delays in payment to vendors for DCPI goods and services procured through UNON, which could result in some vendors refusing to deal with DCPI impairing its operational capability.</p> <p>E(ii). There may be delays in procuring critical goods and services through UNON which may affect DCPI ability to conduct its operations.</p> <p>E(iii). DCPI may have insufficient office space, which may impair operational effectiveness.</p> <p>E(iv). DCPI may have inadequate arrangements in place for safeguarding its attractive non-expendable assets, such as cameras, which could result in substantial losses particularly.</p>	<p>UNON is seeking to ensure that all vendors are paid within thirty days provided that purchaser has confirmed goods and services are satisfactory.</p> <p>UNON procures in accordance with UN rules.</p> <p>A third block is being built to relieve overcrowded office conditions.</p> <p>Open areas are secured with locks.</p>	Possible	High	Higher Risk

8	<b>Focus Area:</b>	<b>Conference and Documents Management</b>		Likely	Medium	<b>Higher Risk</b>
No	<b>Interview/Review Summary (Description of risk)</b>	<b>OIOS Assessment</b>	<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Overall Risk</b>
	<p>F(i). Absence of a HR strategic plan, which identifies the number and type of staff required to carry out the DCPI activities could hinder delivery of the POW through staff shortages.</p> <p>F(ii). The long recruitment process and the complicated policies and procedures may result in DCPI losing good qualified candidates.</p> <p>F(iii). Absence of a HR strategic plan, which includes a staff development plan, could result in some staff remaining in same position for most of their career, which could de-motivate and impair operational effectiveness.</p> <p>F(iv). Inability to effectively implement required UN mobility policy with the current limited staffing positions, which could impair DCPI operations.</p> <p>F(v). The UN performance appraisal system may not meet DCPI needs as a tool for performance evaluation or career development, which could hamper DCPI's management's ability to motivate and manage staff.</p>	<p>UNEP has appointed a Human Resources Advisor to look into these issues.</p> <p>UNEP is working on a mobility office, in line with UN mobility policy.</p>	Human Resources	Possible	Medium	<b>Moderate Risk</b>
	<p>F(vi). UN arrangements for overtime which do not usually offer overtime payment for professional staff may not be appropriate for the nature of DCPI work which could involve work out of normal hours. This could impact on operational effectiveness.</p>		Human Resources	Possible	Medium	<b>Moderate Risk</b>

8	Focus Area:	Conference and Documents Management	Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>C(i) There may be inadequate controls in place to ensure that UNEP Divisions and other bodies operating under its umbrella, adhere to UNEP's publication policy. This could result in reputational risk for UNEP, and reduction of donor confidence, because of an inability to explain and defend what are the genuine UNEP products in the market place.</p>	<p>UNEP has a communication and publication strategy, policy manual and committee.</p>	Possible	High	Higher Risk

8	Focus Area:	Conference and Documents Management	Likely	Medium	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>G(i) Absence of effective corporate UNEP knowledge management strategy and plan may result in loss of institutional knowledge in DCPI.</p> <p>G(ii). Inadequate arrangements for Information security of the UNEP website may result in the website being hacked and data in the website manipulated.</p> <p>G(iii). Insufficient attention may have been given to ensuring that the UNEP IT infrastructure in Nairobi meets DCPI needs, which could limit DCPI's access to remote information, its ability to transfer large files and slow the speed of access to the web site.</p> <p>G(iii). There may be inadequate guidance to UNEP staff on use of E-mail which may result in system getting overloaded, which may restrict or limit DCPI use of internet sites for official purposes resulting in inefficiencies.</p> <p>G(iv). Inadequate support for IT development, maintenance or backup may result in loss of data.</p> <p>G(v). Failure in data archival and proper retrieval could lead to disruptions in operations and result in inefficiencies and losses to DCPI.</p>	<p>The need to review its IT infrastructure and create policies and procedures was raised by OIOS in 2003, and UNEP established an ICT focal point in 2007 to address these issues.</p>	Possible	High	Higher Risk

8	<p><b>Focus Area:</b> Conference and Documents Management</p>		Likely	Medium	Higher Risk	
No	<p><b>Interview/Review Summary (Description of risk)</b></p> <p>G(vi). Lack of a CMS (Content management System) may result in the DCPI website lacking dynamism and as the site is relatively static, it limits the ability of DCPI to provide real-time information through the internet.</p>	<p><b>OIOS Assessment</b></p>	<p><b>Risk Category</b></p> <p>Information Resources</p>	<p><b>Likelihood</b></p> <p>Possible</p>	<p><b>Impact</b></p> <p>High</p>	<p><b>Overall Risk</b></p> <p>Higher Risk</p>

## Risk Assessment of : UNEP

9		Focus Area:	Property and Facilities Management		Possible	Medium	Moderate Risk
No		Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
I		<p><b>Open Space</b></p> <p>E(i). Current office space may be insufficient for DCPI's needs requiring staff to operate in overcrowded conditions which in addition to health and safety concerns may impact on staff productivity.</p> <p>E(ii). The open space office plan may lead to higher risk of theft of employees personal assets, disruption of staff concentration due level of noise and lack of privacy and confidentiality.</p>	<p>To maximize space on the compound an open space project was embarked upon and there are plans to build additional space within the complex.</p> <p>Security of entrances to open plan areas has been undertaken and meeting rooms have been made available for confidential/private meetings.</p>	Operational	Possible	Low	Lower Risk
II		<p><b>Property Management</b></p> <p>A(i). The absence of strategy for property management may result in economies of scale being lost in purchasing assets, and also results in inadequate budget provision for procurement.</p> <p>E(i). UNEP may not have a complete inventory listing which may result in an understatement of the value of its assets in its financial statements and could result in loss of equipment.</p>		Strategy	Possible	Medium	Moderate Risk
			UNON has responsibility for the UNEP's inventory in Nairobi.	Operational	Possible	Medium	Moderate Risk

9	Focus Area: Property and Facilities Management		Possible	Medium	Moderate Risk
No	Interview/Review Summary (Description of risk)	Risk Category	Likelihood	Impact	Overall Risk
III	<p><b>Facilities management</b></p> <p>E(i). Insufficient attention may be paid to upkeep and maintenance of the facilities to ensure that they meet UNEP's needs and are resilient enough in times of crises.</p>	Operational	Likely	Low	Moderate Risk
	<p>The rent is set by New York and collected by UNON on their behalf. UNON seeks funds for maintenance during the normal RB process.</p>		Likely	Low	Moderate Risk

## Risk Assessment of : UNEP

10	Focus Area:	Safety and Security	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
I	<p><b>Security Arrangements</b></p> <p>G(ii). Inadequate mechanisms to collect information on possible and emerging security threats may reduce the amount of time available and increase the likelihood of the event happening.</p> <p>B(i). Inadequate arrangements may be in place to monitor and capture UNEP's views and concerns about security, which may result in loss of confidence in security and hinder ability to do their job effectively.</p> <p>B(ii). Roles and responsibilities of DSS and UNEP for staff security inside and outside Nairobi may not be clear, increasing the risk of inadequate arrangements being in place for staff security in the event of a crisis.</p> <p>B(iii). Roles and responsibilities for security of UNEP outposted offices may be unclear increasing the risk of inadequate arrangements being in place for staff security in the event of a crisis.</p> <p>B(iv). Lack of security may hinder or constrain UNEP HQs ability to convene and host international meetings and workshops in Nairobi.</p>	<p>UNON security does undertake threat analysis but limited resources may hamper the nature and extent of the analysis which can be done.</p> <p>UNEP is a member on the Security Management Committee and is involved in making security decisions affecting UNEP.</p> <p>No-one within UNEP has responsibility for overall co-ordination of security issues affecting outposted offices.</p>	<p>Possible</p> <p>Possible</p> <p>Possible</p>	<p>High</p> <p>High</p> <p>High</p>	<p>Higher Risk</p> <p>Higher Risk</p> <p>Higher Risk</p>



10	Focus Area:	Safety and Security	Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Likelihood	Impact	Overall Risk
	<p>D(i). Lack of funding to ensure that appropriate equipment is available in Nairobi and outposted offices, in the event of disaster may endanger people's lives.</p> <p>D(ii). Allocation of resources to duty stations for security may be based on political rather than security concerns resulting in limited allocation for the Nairobi duty station.</p> <p>D(iii). Inadequate funding may be available to ensure residential security for staff is maintained at an appropriate level.</p>	<p>Funding is provided by DSS and is dependent on available resources within RB budget. Secretary General has established a committee to review security.</p>	Possible	High	Higher Risk
	<p>E(i). Inadequate rehearsals of evacuation and fire drills may result in inappropriate behavior in the event of a crisis which could endanger lives.</p> <p>E(ii). Agency based warden scheme in Nairobi may not provide adequate arrangements to co-ordinate staff in the event of a crisis.</p> <p>E(iii). Lack of security at the duty station hinders travel of staff to project sites and ability to adequately implement and oversee their functions.</p>	<p>Fire drills and evacuations are carried out.</p> <p>UNEP has established a security focal point and is looking into ways with UNON security on how the scheme can be made effective.</p> <p>A security escort can be provided by UNON but monetary and staff resources may not be sufficient to meet needs.</p>	Possible	High	Higher Risk

10	Focus Area:	Safety and Security		Possible	High	Higher Risk
No	Interview/Review Summary (Description of risk)	OIOS Assessment	Risk Category	Likelihood	Impact	Overall Risk
	<p>F(i). There may be inadequate arrangements in place to ensure that all staff have completed mandatory security training, so exposing themselves and the Organization to inappropriate behavior in the event of a crises which could endanger lives.</p> <p>F(ii). Inadequate arrangements may be in place to ensure that senior staffs are aware of security planning arrangements and have the means to implement them for UNEP.</p> <p>F(iii). Security staff may not receive adequate training for conducting residential security surveys, which could impair performing their work.</p>		Human Resources	Possible	High	Higher Risk
	<p>C(iii). Some UNEP outposted offices may not comply with MOSS requirements, which pose a threat to security and safety of staff and UN property.</p>	<p>UNEP has established a security focal point and is looking into ways with UNON security on how the scheme can be made effective.</p>	Compliance	Possible	High	Higher Risk

## **Focus Areas**

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

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

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

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

## Risk Categories

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

The seven (7) risks used in OIOS Risk Assessment methodology 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

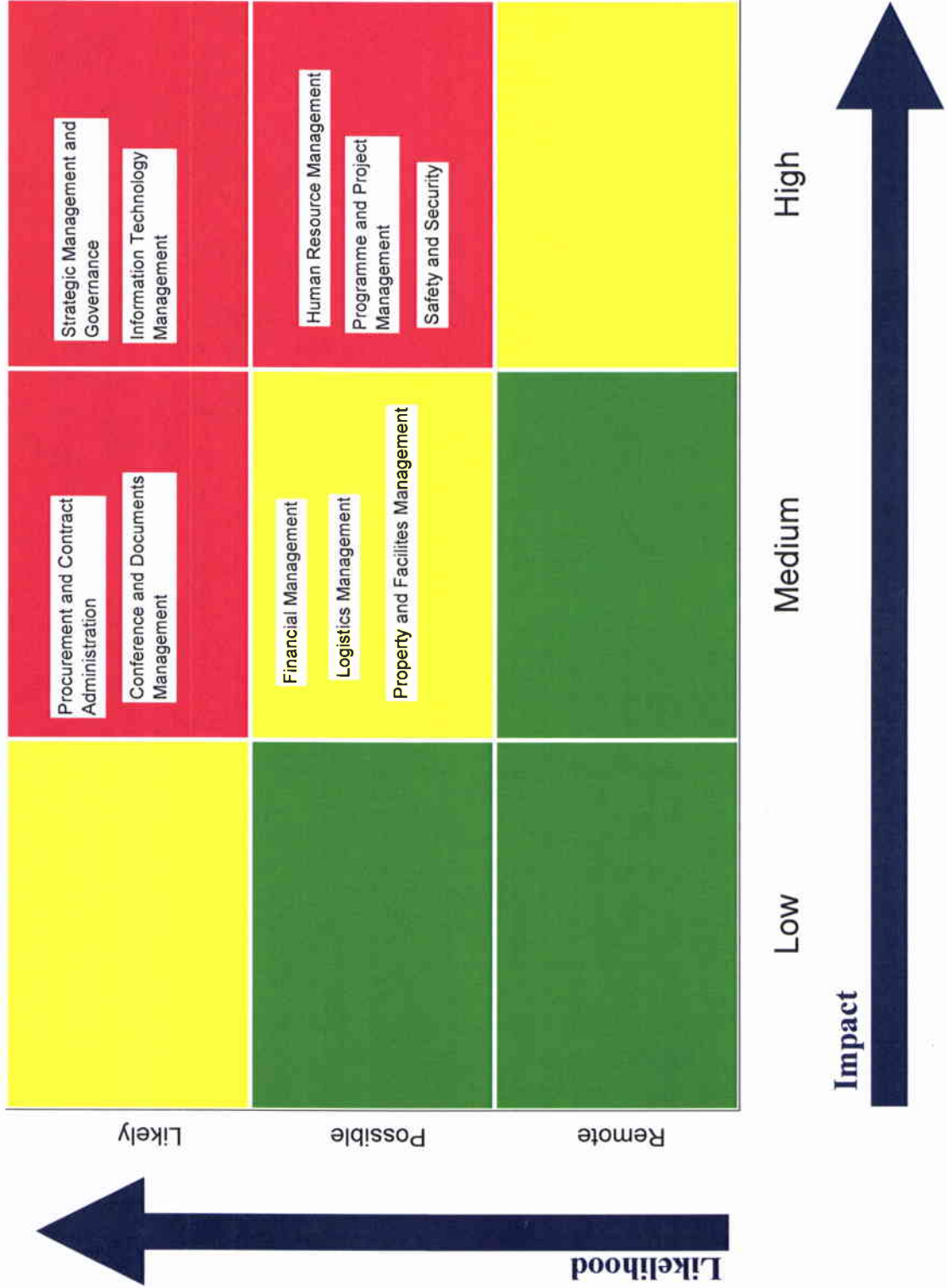
The OIOS Risk Assessment Framework evaluates the likelihood of the risk occurring and the impact it will have if it occurs. Based on the assessment of the two factors an overall risk rating is derived indicating whether the risk of a focus area is High, Moderate or Low. The ratings used is show below:

<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)

