Risk assessment tool
Fundamentals of Risk Management

After completing the eLearning “Enterprise Risk Management in UNHCR”, and with this short summary of the main concepts, you will be able to:

• Identify and communicate risks on SEA
• Develop risk statements and corresponding risk treatment plans
What is a risk?

Share a risk you encountered this morning

Based on your examples – how would you define risk?
What is a risk?

Risk is an uncertain event or condition that, if it occurs, has a positive or negative effect on objectives.

A risk can be a threat or an opportunity, and sometimes it can be both.
SEA Risk assessment tools and mechanisms

What are the 3 key objectives on SEA?

- Objective 1: to prevent SEA by UN Personnel
- Objective 2: to enforce UN standards of conduct on SEA when it occurs (by investigating allegations of SEA)
- Objective 3: to assist victims of SEA and children born as a result of SEA by UN Personnel
The risk management process

Communication and consultation

Establishing the context

Risk Assessment

Risk identification

Risk analysis

Risk evaluation

Risk treatment

Monitoring and review
Stakeholders

Person or organization that can affect, be affected by, or perceive themselves to be affected by a decision or an activity.

Who are the stakeholders for us to keep in mind?
Risk identification

Sources of information to identify risks

- Planning documents
- Objectives
- Budgets
- Project plans
- Policies/procedures
- Contingency plans
- Historical data
- Lessons learned
- Existing risk register
- ERM risk categories
- Online research / news
Formulating risks

Risk Statements

**IF**
(Cause)

**THEN**
(Event)

**RESULTING IN**
(Consequence)

We fail to address interpersonal conflicts in time and effectively

Conflicts jeopardize productivity and relationships

Wasted resources, low morale, frustration, high anxiety
## Risk analysis

<table>
<thead>
<tr>
<th>Impact</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Insignificant</strong></td>
<td>Main objectives can be achieved with small obstacles to overcome</td>
</tr>
<tr>
<td><strong>Minor</strong></td>
<td>Main objectives can be achieved with manageable obstacles possibly taking up some time and resources</td>
</tr>
<tr>
<td><strong>Moderate</strong></td>
<td>Main objectives can be achieved, but not as well as planned and/or extra time and resources will be required</td>
</tr>
<tr>
<td><strong>Major</strong></td>
<td>The achievement of main objectives will be hindered, considerable extra time and resources will be required, and/or the operation, Headquarters unit or organization as a whole will be negatively impacted (as applicable)</td>
</tr>
<tr>
<td><strong>Disastrous</strong></td>
<td>Main objectives will not be achieved, effectiveness will be substantially disrupted, and/or the standing and position of operation, Headquarters unit or the organization (as applicable) could be seriously undermined</td>
</tr>
</tbody>
</table>
Risk analysis

**Likelihood**

**Very low:** Barely feasible to occur

**Low:** Very unlikely in the next one year, but possible in the longer term

**Medium:** Possible in the next one year, and/or reasonably likely in the longer term

**High:** Likely in the next year and/or very likely in the longer term

**Very high:** Very likely in the next year and/or almost certain in the longer term

**Likelihood x Impact = Risk Rating**
Risk treatment
Ongoing actions to modify risks.

Proactive

Reactive
SEA CASES

- Can affect men and women, children
- Are not related to age
- Can affect LGBTI
- Can happen in camps / urban settings and affect refugees / IDPs
- Present similar characteristics as SGBV cases
RISK FACTORS

- No work opportunities / income generating activities
- No or limited humanitarian Assistance
- Extreme poverty
RISK FACTORS

- Endemic sexual violence
- Limited education
- Tolerance for prostitution in the community
- Tolerance for early marriage
- Prevalence of unaccompanied minors

SOCIO-CULTURAL CONTEXT
RISK FACTORS

- Isolated office
- Few contacts or visits from Representation / HQ
- No UNHCR Representation (partners only)
RISK FACTORS

- Emergency
- Protracted situation
RISK FACTORS LINKED TO STAFF

- Little or no rotation in the office
- Little or no diversity in the office (nationality, gender...)
- No or few female staff in the office
- High level of stress and danger
- Lack of knowledge of Code of Conduct provisions
- High consumption of alcohol / Visiting local bars
- Private accommodation / accessibility of the compound to external parties / no curfew or curfew not respected
RISK FACTORS LINKED TO STAFF

Management

- Absence of leadership / Management not leading by example
- No clear rules or guidelines as to the expected behaviour
- Allowing sexist comments or sexist behaviour in the office
- No commitment to fighting SEA
RISK SITUATIONS

Registration Centres / Reception Centres
- Registration
- RSD
- Renewal of status / Documentation

Community Centres / Medical Centres / Schools...

Resettlement Process

Distribution locations
- Food / NFIs
- Cash-Based Initiatives

Home visits
WARNING SIGNS

- Excessive drinking
- Use of drugs
- Visits to local bars or local brothels
- Non-respect of curfew or excuses for going out after curfews
- Numerous sexual partners
- Contact with refugees outside of the work context
- Assistance to PoCs: transportation, money, goods, assistance for medical expenses, money for education...
WARNING SIGNS

Victims / Survivors

- Change of lifestyle
- Absence at distribution centres / Community Centres
- Psychological withdrawal
- Frequent visits to certain UNHCR staff without any particular reason ("beating around the bush")
- Resignation / Abandonment of work projects
- Teen pregnancy
- Aggressiveness towards UNHCR/partner personnel
The “bow-tie”

Work in groups:
Fill out a bow-tie diagram to examine causes, consequences and proactive and reactive risk treatment actions related to a risk of your choice.
# Exercise – Risk assessment

## Victims

<table>
<thead>
<tr>
<th>WHO IS AT RISK?</th>
<th>SPECIFIC ELEMENTS OF CONTEXT</th>
<th>WHAT CAN YOU DO TO MINIMIZE THE RISK?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Boys</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Girls</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Women</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Isolated Women</td>
<td></td>
<td></td>
</tr>
<tr>
<td>UAM/Separated minors</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Men</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other persons at risk</td>
<td></td>
<td></td>
</tr>
<tr>
<td>LGBTI</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

## Subjects

<table>
<thead>
<tr>
<th>WHO?</th>
<th>SPECIFIC ELEMENTS OF CONTEXT</th>
<th>WHAT CAN YOU DO TO MINIMIZE THE RISK?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Partners</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>