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INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

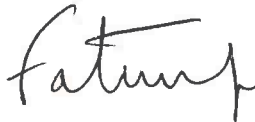
OFFICE OF INTERNAL OVERSIGHT SERVICES - BUREAU DES SERVICES DE CONTRÔLE INTERNE
INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

TO: Mr. James Boynton, Director, a.i.
A: United Nations Support Office for AMISOM

DATE: 14 September 2011

REFERENCE: IAD: 00578

FROM: Fatoumata Ndiaye, Director
DE: Internal Audit Division, OIOS



SUBJECT: **Assignment No. AP2011/638/07 – Audit of aviation safety in UNSOA**

OBJET:

Overall results relating to the effective implementation and management of UNSOA's aviation safety programme were satisfactory

1. Attached please find the final report on the above-mentioned audit.
2. The audit identified a number of opportunities for improvement (see Annex). While OIOS will not report on the implementation of these opportunities, we encourage you to implement them to improve the efficiency and effectiveness of your operations. OIOS will review their implementation as part of future audits.
3. Please note that under General Assembly resolution 59/272, a Member State may request that the final report be made available. Also note that pursuant to General Assembly resolution 64/263, OIOS has included the complete management response as an appendix to the present report.
4. We wish to express our appreciation to the Management and staff of UNSOA for the assistance and cooperation extended to the auditors during this assignment.

cc: Mr. Elijah Karambizi, Deputy Director, UNSOA
Mr. Michael Hanrahan, Chief Technical Services, UNSOA
Ms. Cecilia McGill, Chief Administrative Services, UNSOA
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Susanne Frueh, Executive Secretary, Joint Inspection Unit
Mr. Moses Bamuwamye, Executive Secretary, IAAC
Mr. Seth Adza, Chief, Audit Response Team, Department of Field Support
Mr. Zachary Ikiara, Chief, Oversight Support and Coordination Unit, Department of Management
Mr. Byung-Kun Min, Special Assistant to the USG-OIOS
Ms. Eleanor T. Burns, Chief, Peacekeeping Audit Service, OIOS
Ms. Amy Wong, Programme Officer, Internal Audit Division, OIOS

AUDIT REPORT

Audit of aviation safety in UNSOA

BACKGROUND

Management of aviation safety programmes in field missions involves the identification of aviation hazards, evaluation of associated risks and implementation of appropriate risk mitigation measures. Within each field mission, aviation safety typically falls under the responsibility of the Aviation Safety Unit (ASU), which is part of the Office of Mission Support.

In the United Nations Support Office for the African Union Mission in Somalia (UNSOA), there was no ASU structure in place. This was because UNSOA did not have any United Nations contracted aircraft assigned to it. At the time of the audit, UNSOA procured air transport services from five Kenya-based general aviation companies that had been assessed by the Technical Compliance and Quality Assurance Unit of UNSOA's Aviation Section to meet the required standards. Services were procured when needed on an ad-hoc air charter basis. These aircraft were primarily used for: (a) transporting staff members of UNSOA and the United Nations Political Office for Somalia and their consultants, individual contractors, and cargo to Mogadishu, Somalia; and (b) casualty and medical evacuations of troops of the African Union Mission in Somalia.

The Chief, Air Terminal Unit of the Aviation Section was the focal point on aviation safety issues. The Aviation Safety Section of the Logistics Support Division of the Department of Field Support (DFS) is responsible to provide technical support and regular oversight of aviation safety matters in field missions, and to develop aviation safety policies and guidelines.

This audit was included in the 2011 OIOS' risk-based work plan due the high risk nature of air operations in peacekeeping missions.

OBJECTIVE AND SCOPE

The audit was conducted to assess the adequacy and effectiveness of UNSOA's risk management, control and governance processes in providing reasonable assurance regarding the effective implementation and management of its aviation safety programme. The key controls tested for the audit included those related to: (a) risk management and strategic planning; and (b) oversight mechanisms. The audit covered UNSOA's activities related to these key controls for the period 1 July 2010 to 30 April 2011 and was conducted as part of an horizontal audit of aviation safety across 12 field missions.

AUDIT RESULTS

In OIOS' opinion, UNSOA's risk management, control and governance processes examined were **satisfactory** to provide reasonable assurance regarding the effective implementation and management of its aviation safety programme.

UNSOA did not have any assigned United Nations contracted aircraft; however, it had taken steps to develop an aviation safety programme which included hazard identification and risk management, assessments of air carriers, safety briefings and regular reporting to UNSOA Management. Additionally, in lieu of a Mission Aviation Safety Council, UNSOA had created an Air Safety Committee which acted as a forum for discussing safety issues, and for disseminating safety information. However, there were opportunities to improve the programme with the establishment of an oversight mechanism with formalized modalities for the provision of aviation safety oversight by the United Nations Organization

Stabilization Mission in the Democratic Republic of Congo. This was recommended by the Aviation Safety Section of DFS, and had not yet been implemented.

ACKNOWLEDGEMENT

OIOS wishes to express its appreciation to the Management and staff of UNSOA for the assistance and cooperation extended to the auditors during this assignment.