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INTEROFFICE MEMORANDUM

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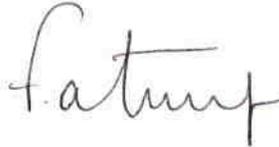
OFFICE OF INTERNAL OVERSIGHT SERVICES • BUREAU DES SERVICES DE CONTRÔLE INTERNE
INTERNAL AUDIT DIVISION • DIVISION DE L'AUDIT INTERNE

TO: Mr. Young-Jin Choi
A: Special Representative of the Secretary-General
United Nations Operation in Côte d'Ivoire

DATE: 1 September 2011

REFERENCE: IAD: 11- 00551

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



SUBJECT: **Assignment No. AP2011/640/07 – Follow-up audit of aviation safety in UNOCI**

OBJET:

Overall results relating to effective implementation and management of UNOCI aviation safety programme were satisfactory

1. Attached please find the final report on the above-mentioned audit.
2. The audit identified an opportunity for improvement (see Annex). While OIOS will not report on the implementation of this opportunity, we encourage you to implement it to improve the efficiency and effectiveness of your operations. OIOS will review its 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 UNOCI for the assistance and cooperation extended to the auditors during this assignment.

cc: Mr. Gianni Deligia, Chief of Mission Support, UNOCI
Mr. Carlos Polcaro, Chief Integrated Support Services, UNOCI
Mr. Charles Roger, Amoussou, Chief Aviation Officer, ONUCI
Mr. Francis Assuah Kwajan, Aviation Safety Assistant, UNOCI
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors
Ms. Susanne Frueh, Executive Secretary, Joint Inspection Unit
Mr. Seth Adza, Chief, Audit Response Team, DFS
Mr. Moses Bamuwamye, Executive Secretary, IAAC
Mr. Zachary Ikiara, Chief, Oversight Support Unit, DM
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

Follow-up audit of aviation safety in UNOCI

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. The Aviation Safety Unit (ASU) in the United Nations Operation in Côte d'Ivoire (UNOCI) is responsible for the development and implementation of the aviation safety programme in line with policies established by the Departments of Peacekeeping Operations and Field Support (DFS). The ASU is part of the Office of the Chief of Mission Support and the Head of the Unit also has a reporting line to the Aviation Safety Section/Logistics Support Division/DFS and the Regional Aviation Safety Office-West Africa (RASO-WA) at the United Nations Mission in Liberia (UNMIL) on technical/oversight issues pertaining to aviation safety.

As at 30 April 2011, UNOCI maintained and operated three fixed-wing and 16 rotary-wing aircraft. Five of the rotary-wing aircraft were loaned from UNMIL to support the 2010 presidential election. Due to the decision to establish the RASO-WA, two posts were abolished, and the aviation safety programme in UNOCI was managed by one staff at the Field Service level.

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

OBJECTIVE AND SCOPE

The audit was conducted to follow up on the implementation of OIOS' previous recommendations and to assess the adequacy and effectiveness of UNOCI'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 UNOCI's aviation safety activities related to these key controls for the period 1 June 2009 to 30 April 2011.

AUDIT RESULTS

In OIOS' opinion, UNOCI's risk management, control and governance processes examined were **satisfactory** to provide reasonable assurance regarding the effective implementation and management of its air safety programme. UNOCI had implemented OIOS' previous recommendations, and there was an adequate aviation risk management framework in place. However, due to the conflict in Cote d'Ivoire in 2010 and early 2011, periodic aviation risk assessments and a full test of the Aviation Emergency Response Plan were not conducted.

Mission Aviation Safety Council meetings

The Mission Aviation Safety Council (MASC) was functioning as intended. Key stakeholders in aviation operations were represented in the MASC and they reviewed hazard and safety inspection reports, assessed the effectiveness of the Mission's aviation safety programmes, and made recommendations for improvements. Minutes of meetings were adopted by all members and included action points with assigned responsibility for implementation, and the implementation of previous recommendations/actions were followed-up during subsequent meetings.

DFS Aviation Safety Assistance Visits

An Aviation Safety Assistance Visit was conducted in March 2010. The two recommendations made, relating to Operational Risk Management training and training of Air Liaison Officers were implemented by UNOCI.

Aviation Operational Risk Management

The Mission had developed an aviation Operational Risk Management (ORM) framework, documented in standard operating procedures and implemented effective January 2010. However, the 'implementation risk controls' - the 5th phase of the ORM - had still to be implemented by the Mission's Implementation Task Group (ITG). This was initially delayed due to the pre and post election challenges, and UNOCI planned to have it in place by July 2011.

The military component did not adhere to the ORM standard operating procedures on flight planning because it had not been incorporated in the military's procedures on aviation safety, and there was no Military Aviation Safety Officer assigned to the ASU to provide support and ensure there were integrated aviation safety procedures in the Mission. *In August 2011, the military component included ORM in their aviation operations standard operating procedure, and training on ORM processes for the military component had been scheduled for 23 August 2011.*

Aviation Emergency Response Plan

The Aviation Emergency Response Plan was recently revised and up-dated in April 2011. However, a live exercise to test the validity of the Plan was not done in 2010 due to the pre and post election challenges. Nonetheless, UNOCI informed OIOS that a full-scale exercise will be conducted in November 2011.

Oversight by the Regional Aviation Safety Office-West Africa

The RASO-WA had not provided any oversight support to UNOCI. This was because the West Africa Office was created in April 2010, after the 2010/2011 budget year. Therefore, no funds were budgeted for their activities. Moreover, the recent conflict in Cote d'Ivoire did not allow the RASO-WA to travel to Cote d'Ivoire. A budget proposal was submitted to DFS for consideration in the 2011/2012 fiscal year to enable the Regional Office to conduct its oversight activities.

ACKNOWLEDGEMENT

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