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INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

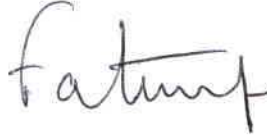
OFFICE OF INTERNAL OVERSIGHT SERVICES - BUREAU DES SERVICES DE CONTRÔLE INTERNE
INTERNAL AUDIT DIVISION - DIVISION DE L'AUDIT INTERNE

TO: Mr. Staffan de Mistura
A: Special Representative of the Secretary-General
United Nations Assistance Mission in Afghanistan

DATE: 24 August 2011

REFERENCE: IAD: 11- 00531

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



SUBJECT: **Assignment No. AP2011/630/06 – Audit of aviation safety in UNAMA**

OBJET:

Overall results relating to risk management and strategic planning were partially satisfactory

1. Attached please find the report on the above-mentioned audit.
2. In order for us to close the recommendations, we request that you provide the additional information as discussed in the text of the report and summarized in Annex 1.
3. We wish to express our appreciation to the Management and staff of UNAMA for the assistance and cooperation extended to the auditors during this assignment.

cc: Ms. Stephani Scheer, Chief of Mission Support, UNAMA
Mr. Peter Schmitz, Chief of Staff, UNAMA
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, DFS
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

Audit of aviation safety in UNAMA

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. In the United Nations Assistance Mission in Afghanistan (UNAMA), the Aviation Safety Unit (ASU) is responsible for the development and implementation of the aviation safety programme in line with policies established by the Departments of Peacekeeping Operations (DPKO) and Field Support (DFS). ASU is part of the Office of Mission Support under the purview of the Chief of Mission Support (CMS). The Head of ASU also has a reporting line to the Aviation Safety Section of the Logistics Support Division of DFS on technical matters. The Aviation Safety Section is responsible to provide technical support and regular oversight of the aviation safety programme in the Mission.

As of 30 April 2011, UNAMA had five fixed-wing aircraft and six rotary-wing aircraft. ASU had three authorized posts.

OBJECTIVE AND SCOPE

The audit was conducted to assess the adequacy and effectiveness of UNAMA'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 risk management and strategic planning. The audit covered UNAMA's activities related to this key control for the period 1 May 2009 to 30 April 2011.

AUDIT RESULTS

In OIOS' opinion, UNAMA's risk management, control and governance processes examined were **partially satisfactory** to provide reasonable assurance regarding the effective implementation and management of its aviation safety programme. There were some unmitigated risks resulting from the non-implementation of recommendations made by DFS' Aviation Safety Assistance Visit (ASAV) and the partial implementation of the aviation Operational Risk Management (ORM) Framework promulgated by DFS.

Meetings of the Mission Aviation Safety Council

The Mission's Aviation Safety Council (MASC) did not meet quarterly as required, but the frequency of meetings increased in 2010/11. The lack of quarterly meetings was attributed to the prevailing unstable security situation in Afghanistan, which limited the movement of staff between offices and rest and recuperation cycle, which made it difficult to achieve a quorum at meetings. As a mitigating measure, the CMS held weekly meetings with the Aviation Safety Officer to discuss urgent aviation safety issues including; for example, survey of hazards, status of implementation of previous recommendations, and current aviation safety issues.

Implementation of recommendations made by the Aviation Safety Assistance Visit

ASAV conducted by DFS in April 2010 made 17 recommendations to enhance aviation safety measures. As of May 2011, 6 of the 17 recommendations were still outstanding or only partially implemented. The six recommendations called for: (a) making cargo screening equipment more effective;

(b) finalizing Movement Control standard operating procedures; (c) addressing the congested parking space for aircraft at the air terminal; and (d) filling position of the Chief of ASU which had been vacant since 2009. Actions were being taken by UNAMA in respect of these recommendations.

(1) UNAMA should fill the post of Chief Aviation Safety Officer to enable it to strengthen its aviation safety programme.

UNAMA partially accepted recommendation 1 noting that due to the present adverse security environment, it was focusing on reducing the number of international staff in Afghanistan and that ASU had an experienced aviation safety specialist. Additionally, UNAMA stated that it might adjust the staffing level of ASU if the recently concluded ASAV by DFS recommends that the post be filled. DFS' report had not yet been received. Moreover, the Mission will continue to consult with DFS to review the staffing levels of ASU and carry out an evaluation to establish whether ASU is capable of maintaining its aviation safety programme. Recommendation 1 remains open pending confirmation that a review of the staffing requirements of ASU has been conducted with the assistance of DFS and appropriate action is taken to ensure that there are sufficient resources to implement aviation risk-mitigating measures.

Operational risk management framework

The Mission was only partially compliant regarding the implementation of ORM. Only three of the six ORM steps had been integrated into aviation activities. Other steps such as the requirement for evaluation of risks, analysis of risk mitigation measures and risk decisions were still pending. The Mission recognized the need for full implementation of ORM, an required further training and guidance.

(2) UNAMA should seek further guidance and support from DFS on the implementation of ORM policy and ensure that key staff involved in aviation safety management are trained in compliance with the Aviation Safety Manual to help them carry out their responsibilities effectively.

UNAMA accepted recommendation 2 and stated that it had established and implemented ORM procedures since 2009, was receiving guidance from DFS, and will continue to work closely with them in order to further enhance its ORM actions and policies and train staff involved in aviation safety management. Recommendation 2 remains open pending confirmation of the full implementation of ORM policy and training of key staff involved in aviation safety management.

ACKNOWLEDGEMENT

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