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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. Mariano Fernandez
A: Special Representative of the Secretary-General
United Nations Stabilization Mission in Haiti

DATE: 25 August 2011

REFERENCE: IAD: 11- 00532

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

Fatoumata

SUBJECT: **Assignment No. AP2011/683/09 – Follow-up audit of aviation safety in MINUSTAH**

OBJET:

Overall results relating to effective implementation and management of aviation safety programme in MINUSTAH 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 MINUSTAH for the assistance and cooperation extended to the auditors during this assignment.

cc: Mr. Kevin Kennedy, Principal Deputy Special Representative, MINUSTAH
Mr. Sunny Makoge, Officer-in-Charge of Mission Support, MINUSTAH
Mr. Francisco Rouillon, Chief of Integrated Support Services, MINUSTAH
Mr. Hiran Ferrera, Chief Aviation Officer, MINUSTAH
Mr. Marco Lopez Mazariegos, Chief Aviation Safety Officer, MINUSTAH
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 Bamuwanye, 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

FINAL AUDIT REPORT

Follow-up audit of aviation safety in MINUSTAH

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 Stabilization Mission in Haiti (MINUSTAH) 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). The ASU is part of the Office of the Chief of Mission Support and the Head of Unit 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 at 30 April 2011, MINUSTAH maintained and operated two fixed-wing and nine rotary-wing aircraft. The ASU had two authorized posts.

OBJECTIVE AND SCOPE

The audit was conducted to follow up on the implementation of the Office of Internal Oversight Services' (OIOS) previous recommendations and to assess the adequacy and effectiveness of MINUSTAH's risk management, control and governance processes in providing reasonable assurance regarding the effective implementation and management of its aviation safety programme. The key control tested for the audit included that related to risk management and strategic planning. The audit covered MINUSTAH's activities related to this key control for the period 1 January 2010 to 30 April 2011.

AUDIT RESULTS

In OIOS' opinion, MINUSTAH's risk management, control and governance processes examined were **partially satisfactory** to provide reasonable assurance regarding the effective implementation and management of its air safety programme. MINUSTAH had not fully implemented the DPKO/DFS Operational Risk Management policy. Its revised Aviation Emergency Response Plan was pending finalization and exercises/drills of the Plan had not been conducted to test its validity and adequacy.

Mission Aviation Safety Council

MINUSTAH had a functioning Mission Aviation Safety Council (MASC) to discuss aviation safety related issues and ensure agreement for timely action on aviation safety issues. The MASC held six meetings between 1 January 2010 and 30 April 2011, and minutes of the meetings reflected discussions on aviation safety issues and included action points for implementation of the MASC's decisions on aviation safety. The MASC followed up on the implementation status of action points from previous meetings and all minutes were approved by the Chief of Mission Support.

DFS' Aviation Safety Assistance Visits

DFS conducted one Aviation Safety Assistant Visit to the Mission in March 2009. Out of 13 recommendations made, six had been fully implemented and seven were partially implemented. A further

Aviation Safety Assistant Visit was conducted in July 2011 and the report is pending from DFS. MINUSTAH informed OIOS that they would take the requisite steps to ensure recommendations made by DFS are implemented.

Aviation Operational Risk Management framework

The aviation Operational Risk Management policy had not been fully implemented in MINUSTAH mainly because senior management and field managers had not dedicated the required time and resources to ensure implementation in accordance with the Aviation Safety Manual. With a new Chief Aviation Officer in place since January 2011, a road map with milestones has since been developed for the implementation of its Operational Risk Management by October 2011.

(1) MINUSTAH should formally establish the Operational Risk Management Implementation Task Group and ensure the implementation of Operational Risk Management in the Mission.

MINUSTAH accepted recommendation 1 and stated that the Mission has formally established an Operational Risk Management Implementation Task Group and it is expected that the Task Group will finalize its work by 31 October 2011. Recommendation 1 remains open pending the receipt of documentation evidencing the implementation of Operational Risk Management in the Mission.

Aviation Emergency Response Plan

The Mission is required to conduct a full drill once a year to test the validity of its Aviation Emergency Response Plan and identify areas for improvement. However, a full emergency response drill had not been conducted in the Mission since May 2008. MINUSTAH had a draft Plan in place since October 2010 which was pending finalization after completion of an assessment of the Mission's Emergency Crash and Rescue services by a consultant from the International Civil Aviation Organization, which was being conducted at the time of the audit.

(2) MINUSTAH should ensure that the Aviation Emergency Response Plan (AERP) is finalized and organize full AERP drills annually to test the effectiveness of the Mission's Emergency Response Plan.

MINUSTAH accepted recommendation 2 and stated that an Aviation Emergency Response Plan exercise will be conducted after the establishment of an Emergency Crash and Rescue Unit in the Mission. Recommendation 2 remains open pending receipt of the updated Plan and an after-action report confirming that a full drill was conducted.

ACKNOWLEDGEMENT

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