



## **INTERNAL AUDIT DIVISION**

**OFFICE OF INTERNAL OVERSIGHT SERVICES**

# **AUDIT REPORT**

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## **Air Operations in UNOCI**

**12 December 2007**

**Assignment No. AP2006/640/07**

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United Nations  Nations Unies

INTEROFFICE MEMORANDUM

MEMORANDUM INTERIEUR

INTERNAL AUDIT DIVISION · DIVISION DE L'AUDIT INTERNE  
OFFICE OF INTERNAL OVERSIGHT SERVICES · BUREAU DES SERVICES DE CONTROLE INTERNE

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

DATE: 12 December 2007

REFERENCE: AUD-7-5:76 (07- 00 79 7 )

FROM: Dagfinn Knutsen, Director  
DE: Internal Audit Division, OIOS



SUBJECT: **Assignment No. AP2006/640/07: Audit of air operations in UNOCI**

OBJET:

1. I am pleased to present the report on the above-mentioned audit, which was conducted from October to November 2006.

2. Based on your comments, we are pleased to inform you that we will close recommendations 8 to 11, 14, 15 and 17 in the OIOS recommendations database as indicated in Annex 1. OIOS is reiterating recommendations 3, 5 and 12, and requests that you reconsider your initial response concerning these recommendations. In order to close the remaining recommendation, we request that you provide us with the additional information as discussed in the text of the report and also summarized in Annex 1.

3. Please note that OIOS will report on the progress made to implement its recommendations, particularly those designated as critical (i.e., recommendations 1, 8, 9, 10, 11 and 12) in its annual report to the General Assembly and semi-annual report to the Secretary-General.

4. IAD is assessing the overall quality of its audit process and kindly requests that you consult with your managers who dealt directly with the auditors and complete the attached client satisfaction survey form.

cc: Mr. Philip Cooper, Director, Director, DFS  
Mr. Swatantra Goolsarran, Executive Secretary, UN Board of Auditors  
Mr. Jonathan Childerley, Chief, Oversight Support Unit, Department of Management  
Mr. Byung-Kun Min, Programme Officer, OIOS  
Mr. Roland Bill, Chief Resident Auditor, UNOCI

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## INTERNAL AUDIT DIVISION

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### FUNCTION

*“The Office shall, in accordance with the relevant provisions of the Financial Regulations and Rules of the United Nations examine, review and appraise the use of financial resources of the United Nations in order to guarantee the implementation of programmes and legislative mandates, ascertain compliance of programme managers with the financial and administrative regulations and rules, as well as with the approved recommendations of external oversight bodies, undertake management audits, reviews and surveys to improve the structure of the Organization and its responsiveness to the requirements of programmes and legislative mandates, and monitor the effectiveness of the systems of internal control of the Organization” (General Assembly Resolution 48/218 B).*

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## **EXECUTIVE SUMMARY**

### **Air operations in UNOCI**

OIOS conducted an audit of air Operations in UNOCI in October and November 2006. The audit covered the period from April 2004 to October 2006 and assessed the compliance of the Mission's air operations, including aviation safety, with international aviation standards, established rules, regulations, procedures and contract provisions. The audit was conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

The management of the Mission's air fleet and aviation safety needs significant improvement. OIOS found a number of weaknesses regarding air safety issues that needed to be corrected:

- The Mission has not adequately addressed the issues and recommendations raised in the Mission's Aviation Safety Unit's quarterly risk assessment reports and the Department of Peacekeeping Operations' Aviation Assistance Visit Report (dated 3 November 2006). The Aviation Safety Council was not convened monthly, in accordance with the Aviation Safety Manual. The council members met only six times during the period from January 2005 to November 2006. The inadequate action on the risk assessment reports could be attributed to the failure of the Aviation Safety Council to meet regularly and to follow up on the progress made on the issues raised.
- The use of airfields, helipads and related infrastructure, including air force base installations in Abidjan is not covered by a formal Memorandum of Understanding with the relevant government offices.
- The Mission's fire-fighting capacity in a number of airfields and helipads being used by the Mission is inadequate.

OIOS made a number of recommendations to address the above weaknesses and other issues noted in this report.

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## I. INTRODUCTION

1. OIOS conducted an audit of air operations in UNOCI in October and November 2006.

2. UNOCI was established under resolution 1528 of the United Nations Security Council, which was adopted on 4 April 2004. UNOCI's mandate authorizes the deployment of some 8,413 uniformed personnel including 7,849 military personnel, 195 military observers, 369 UNPOL supported by some 1,117 civilian staff.

3. The Air Operations Section is responsible for the management of UNOCI air assets with a view to providing effective, safe and timely aviation services to UN personnel. As of the date of the audit, the Air Operations Section had 48 staff, deployed as follows:

**Table 1: Air Operations Section staff**

Unit	Location	No. of personnel
Chief Aviation Office	Abidjan	6
Air Operations Centre	Abidjan	13
Technical Compliance & QA	Abidjan	6
Air Terminal Unit	Abidjan	6
Fire Marshal Unit	Abidjan	9
Sector East	Yamoussoukro/Bouake	4
Sector West	Daloa	4
<b>Total</b>		<b>48</b>

4. The Air Operations Section is currently managing a fleet of 13 aircraft, consisting of two fixed-wing airplanes, ten helicopters and a Lear Jet. Except for Abidjan and Yamoussoukro, UNOCI is planning to have six aviation fuel farms at different locations where refuelling of aircraft will be performed by a manning company. Annex 2 shows the comparative air operations budget for the financial years 2004/05 and 2005/06.

5. Comments made by UNOCI are shown in *italics*.

## II. AUDIT OBJECTIVES

6. The objectives of the audit were to assess whether:

(a) The existing SOPs on air operations and aviation safety are adequate and operating effectively;

(b) The Air Operations Section's organizational structure and staff resources are commensurate with the operational requirements of the Mission;

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- (c) There exists a thorough risk assessment for aviation risk and safety management in order to identify, control and reduce potential flight hazards;
  - (d) Emergency and evacuation procedures are adequate and the Air Operations Section is capable of responding to air emergency incidents/accidents in a timely manner;
  - (e) There is a mechanism for the timely reporting of and corrective action taken on incidents involving UNOCI air assets; and
  - (f) Insurance coverage for all UNOCI air assets is adequate and up-to-date.

### **III. AUDIT SCOPE AND METHODOLOGY**

7. The audit covered the period from the Mission's inception in April 2004 to October 2006 and focused on the organizational structure of the air operations section and adequacy of staff in terms of numbers and skills. Furthermore, special emphasis was given to air safety issues, level of preparedness and capacity to respond to emergency cases.

8. The audit also involved file reviews, interviews with key civilian and military personnel involved in the air operations and aviation safety functions in the Mission. A number of sites were visited to assess the compliance of airfields with international aviation standards and review safety measures taken for passengers using UN aircraft. Finally, analytical tests were applied to review the utilization of UN aircraft in relation to the existing contract limits.

### **IV. AUDIT FINDINGS AND RECOMMENDATIONS**

#### **A. Aviation Safety Unit**

9. The aviation safety function is a highly specialized, technical undertaking that should be staffed with personnel who possess the necessary professional qualifications and work experience. However, the Aviation Safety Unit is staffed with only one field service staff (FS-4) who has also been acting as the Officer-in-Charge of the Unit since May 2005. As per the UNOCI staff table, there is an authorized post for the Chief of the Aviation Safety Unit at the P-4 level.

10. UNOCI's air fleet consists of 13 aircraft in different regions of the country. The Aviation Safety Manual (paragraph 1.4.3.2.3.) states that "Each mission should have at least two Aviation Safety Officers at the P4 and P3 level respectively and an Aviation Safety Assistant when the aircraft fleet is greater than 10 and less than 20".

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11. Moreover, the OIC, Aviation Safety Unit did not receive any training during the period covered by the audit. According to the Aviation Safety Manual: (a) each aviation staff should enroll in one training course every other year; (b) all aviation safety personnel should attend the five-day aviation safety seminar at UNLB.

### **Recommendations 1 and 2**

**The UNOCI Administration should:**

**(1) Expedite the recruitment of Aviation Safety Officers with the necessary work experience and technical skills to ensure that aviation safety functions are properly discharged; and**

**(2) Ensure that staff members in the Aviation Safety Unit attend the mandatory training programme on aviation safety to keep them abreast of technological and regulatory advances in aviation safety.**

12. *The UNOCI Administration did not accept recommendation 1 and stated that a suitable candidate was selected for the P4 Aviation Safety Officer post. However, the Chief of ASU/LSD/OMS advised that this recruitment should be put on hold because UNHQ was implementing the Regional Aviation Safety Office concept. Although the Mission did not accept the recommendation, OIOS believes that the risk the recommendation intends to address is being addressed by the UNHQ's alternative plan to appoint a Regional Aviation Safety Officer. Hence, OIOS will keep it open pending receipt of documentation showing that the Regional Aviation Safety Officer, who will be responsible for air safety in peacekeeping missions located in the western region of Africa including UNOCI, has been appointed.*

13. *The UNOCI Administration accepted recommendation 2 and stated that UNOCI will ensure that the Aviation Safety Officer attends relevant aviation safety training programmes. Recommendation 2 remains open pending receipt of documentation showing the attendance of Aviation Safety Unit staff in mandatory aviation safety training programmes.*

### **B. Regular inspection reports on airports/helipads**

14. A staff member from the Air Operations Section conducts regular on-site inspection visits to check the conformity with the International Civil Aviation Organization (ICAO) standards of the airfields/helipads used or to be used by UNOCI aircraft. Sometimes, these site visits are conducted in cooperation with the Aviation Safety Officer.

15. As a rule, the Aviation Safety Officer should participate in all initial inspections of airfield/helipads planned to be used by UNOCI. However, a review of inspection reports indicated that the Aviation Safety Officer was not regularly part of the team who conducted an initial inspection of an



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airfield/helipad. This was mainly due to the lack of staff in the Aviation Safety Unit and coordination of efforts between the Aviation Safety Unit and Air Operations Section.

16. While the Aviation Safety Officer conducts regular on-site visits of airfields/helipads as part of the quarterly risk assessments of air operations, the results of such inspection visits are not formally documented, unless there is an air safety issue to be addressed. The Aviation Safety Manual (paragraph 1.4.3.6.10) states that the “Aviation Safety Officer should maintain an adequate diary of all safety activities carried out”.

17. The monthly activity reports drafted and submitted by the Aviation Safety Officer to the CAO make a generic reference to site visits but do not specify the dates and the locations visited during the month.

18. Furthermore, inspection forms, which are completed by the Air Terminal Unit staff member who conducted the site visits, have not been regularly signed by the Aviation Safety Officer and the Chief Aviation Officer (CAVO). During the audit, the CAVO signed all the inspection reports, which were drafted in the past and stated that all future inspection reports would be signed.

#### **Recommendations 3 to 5**

##### **The UNOCI Administration should ensure that:**

**(3) The Aviation Safety Officer takes part in all initial inspections of airfields/helipads;**

**(4) The Aviation Safety Officer maintains an adequate record of all aviation safety inspection activities and provides the pertinent details in the monthly activity reports submitted to the Chief Administrative Officer; and**

**(5) The Chief Aviation Officer and the Aviation Safety Officer review and sign the inspection forms to show that they have reviewed the inspection of airfield and helipads performed by the staff.**

19. *The UNOCI Administration did not accept recommendations 3 and 5, stating that the UNOCI Aviation Safety Unit participates in the initial approval of all airfield/helipads but not necessarily the initial inspection of sites. The initial inspection is driven by the Mission’s operational needs. When a site is identified, ASU then makes an assessment of its safety compliance including recommending corrective actions for any deficiencies. The ASU approves the site only when it finds that the site is in compliance with all safety regulations. This mode of operation conforms to both the DPKO Aviation Manual and Air Safety Manual. OIOS acknowledges the Mission’s response but wishes to clarify that recommendation 3 calls for the Aviation Safety Officer’s approval of potential airfields/helipads prior to their use, while recommendation 5 calls for the adequate documentation of the Chief Aviation Officer and Aviation Safety*

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Officer's review of airfield/helipad inspections performed by their staff, which were not directly addressed by the Mission's comments. It is also not clear how the ASU can assess the safety of airfields/helipads without inspecting them. OIOS is therefore reiterating recommendations 3 and 5, and requests that the Mission reconsider its initial response to these recommendations.

20. *The UNOCI Administration accepted recommendation 4 and stated that the Air Safety Unit modified its recordkeeping method to conform to the recommendation.* Recommendation 4 remains open pending verification by OIOS that the Aviation Safety Officer has maintained an adequate record of all aviation safety inspection activities.

### **C. Emergency response plan**

21. OIOS' review of the Mission Emergency Response Plan, drafted by the Aviation Safety Unit and approved by the CAO, showed the following deficiencies:

(a) A search and rescue exercise was conducted on 26 September 2006 in the absence of the Aviation Safety Officer. Similarly, the Fire Marshall was not informed of and did not participate in the fire drill exercise, which took place on 18 September 2006.

(b) A desk exercise conducted on 17 November 2005 in line with the Emergency Response Plan was not documented. Hence, neither the Mission nor OIOS can assess the effectiveness of the desk exercise and draw lessons learned there from it.

(c) The Sector East, Bouake, has yet to be included in the Emergency Response Plan.

(d) The list of key personnel (in Annex B, Appendix 6 of the plan) to be notified in case of air accident/overdue aircraft needs to be updated as it includes names of staff members who are no longer serving in the Mission.

#### **Recommendations 6 and 7**

##### **The UNOCI Administration should:**

**(6) Ensure that search and rescue exercises are conducted with the participation of all the relevant sections/units as defined in the Mission Emergency Response Plan and that lessons learned from such exercises are fully documented; and**

**(7) Amend the Emergency Response Plan to include Sector East (Bouake) and update the list of key personnel to be notified in case of air accident/overdue aircraft.**

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22. *The UNOCI Administration accepted recommendation 6 and stated that search and rescue exercises are planned for May 2007. Recommendation 6 remains open pending receipt of documentation from UNOCI showing that the planned May 2007 SAR exercises have been performed.*

23. *The UNOCI Administration accepted recommendation 7 and stated that at the time of the audit, the Sector East emergency response plan was under review by various stakeholders. This project was completed in December 2006. Recommendation 7 remains open pending receipt of a copy of the amended Emergency Response Plan for Sector East and the updated list of key personnel to be notified in case of air accident/overdue aircraft.*

#### **D. Arrangements for the use of airfields and helipads**

24. Twenty-one airports/airstrips and helipads in Côte d'Ivoire are used by UNOCI aircraft. However, the Mission has yet to sign a Memorandum of Understanding (MOU) with the Government of Côte d'Ivoire to regularize the utilization of these airports/helipads as well as the installations within the Military Air Force Base at the Abidjan International Airport.

25. A draft MOU for the utilization of the installations at the Military Air Force Base at the Abidjan International Airport exists since August 2004, but has not yet been finalized. In addition, the Mission found that the Government of Côte d'Ivoire deleted certain provisions in the draft MOU related to transparency and fairness in the bidding process and access of UN vehicles and personnel to the Military Air Force Base. These deletions are not in accordance with the UN rules and regulations. The Mission, in an official letter (4 December 2006) from the SRSG to the Government of Côte d'Ivoire, protested such deletion of pertinent provisions in the draft MOU.

26. Also, since the government is currently not able to exercise its authority in the north, the Mission should consider this and should initiate discussions with the Forces Armées des Forces Nouvelles (FAFN) authorities for the utilization of the airports and helipads in the areas controlled by them.

#### **Recommendations 8 and 9**

**The UNOCI Administration should:**

**(8) Ensure that a clearly defined Memorandum of Understanding is signed with the government for the utilization of the installations at the Military Air Force Base in Abidjan as well as other airports/helipads in the south; and**

**(9) Initiate discussions with the Forces Armées des Forces Nouvelles to define the terms of use of airports/helipads in the north of the country.**

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27. *The UNOCI Administration accepted recommendations 8 and 9, stating that after the signing of the SOFA in 2004, UNOCI submitted to the competent local authorities a draft MOU for the provision of office and storage capacity at the Military Air Force Base. After several unsuccessful attempts by UNOCI to move the process forward (including an official letter of protest sent by the SRSG in December 2006), only recently has the Government shown an indication of proceeding with the MOU. With respect to the use of airports in Côte d'Ivoire, an MOU is being negotiated with SODEXAM (a state-owned company that provides ground handling services at airports in Cote d'Ivoire) for the use of seven airports throughout the country (north and south). In this regard, in February-March 2007, UNOCI and SODEXAM had already a positive exchange of letters providing the Mission with the necessary authorization to install its equipment and deploy personnel to the different sites. Based on the action taken by UNOCI, recommendations 8 and 9 have been closed.*

## **E. Aviation safety risk assessment**

28. OIOS' review of the five quarterly risk assessment reports prepared by the Aviation Safety Assistant for the period from June 2005 to October 2006 indicated the following:

(a) The Mission has not adequately addressed the issues raised in the risk assessment reports. These issues were also noted and reiterated in the Aviation Assistance Visit Report (dated 3 November 2006) prepared by DPKO. Some of the issues raised, characterized as medium risk, relate to the following areas of air operations and safety:

- Emergency response plan;
- Cargo and passenger management;
- Meteorology and weather;
- Aircraft rescue and fire-fighting;
- Apron and runway facilities;
- Helipads and helicopter facilities.

(b) The risk assessment reports did not provide sufficient details on the progress made from the previous reporting period, work to be done and deadlines for the proposed corrective actions. Recently, the Aviation Safety Officer has restructured the format of the recommendations to include the deadline and focal point for each suggested corrective action.

(c) There was no mechanism to monitor the risk assessment recommendations.

29. The Aviation Safety Manual (paragraph 1.5.2.2.) states "...the Aviation Safety Council will meet whenever necessary but not less than once a month". OIOS' review of the minutes of meetings of the Aviation Safety Council held between 1 January 2005 and 7 November 2006 showed that the council was not convened monthly and that the council members met only six times during this period. The inadequate action on the risk assessment reports, discussed above,

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could be attributed to the failure of the Aviation Safety Council to meet regularly and follow up on the progress made on the issues raised.

### **Recommendations 10 to 12**

**The UNOCI Administration should:**

**(10) Immediately implement the recommendations contained in the Mission's Aviation Safety Officer's quarterly risk assessment reports and the DPKO's Aviation Assistance Visit Report of 3 November 2006;**

**(11) Establish a mechanism to monitor the implementation of recommendations contained in the aviation safety risk assessment reports; and**

**(12) Ensure that the Aviation Safety Council meets at least once a month, in accordance with the Aviation Safety Manual, to ensure that aviation safety issues are properly prioritized and addressed.**

30. *The UNOCI Administration accepted recommendation 10 and stated that all recommendations contained in the Safety Mitigation Action Plan have been implemented.* Based on the action taken by UNOCI, recommendation 10 has been closed.

31. *The UNOCI Administration accepted recommendation 11 and stated that the Mission has developed a risk mitigation matrix which is reviewed on a monthly basis. Implementation of mitigating solutions to deficiencies identified in the quarterly assessments is evaluated during these reviews.* Based on the action taken by UNOCI, recommendation 11 has been closed.

32. *The UNOCI Administration accepted recommendation 12 and stated that the Mission finds this Aviation Safety Manual provision impractical due to Mission dynamics and the need to maintain constant oversight of safety issues. In this regard, the Mission has determined that it is prudent to convene the Aviation Safety Council only as needed.* In OIOS' opinion, it is because of the Mission dynamics and the need to maintain constant oversight of safety issues that the Mission needs to convene the Aviation Safety Council on a monthly basis. Hence, OIOS is reiterating recommendation 12 and requests that the Mission reconsider its initial response to this recommendation.

### **F. Fire protection**

33. The following fire risks at airports/helipads being used by UNOCI aircraft have not been adequately addressed:

(a) Out of the 56 landing sites being used by the UNOCI air fleet, only three sites are equipped with fire trucks, i.e., Abidjan (three fire trucks), Daloa (one fire truck) and Bouake (one fire truck).

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(b) Three of the five fire trucks do not meet the category 5<sup>1)</sup> recommendations for airports as per ICAO standards. Two fire trucks have water tank capacity of 11,000 liters and the remaining three fire trucks have a water tank capacity of 3,000 liters, while ICAO standards require that water tanks of fire trucks stationed at category 5 airdromes should have a minimum capacity of 5,400 litres. Furthermore, due to the absence of water reservoirs at all major airports/airfields, except in Abidjan, fire trucks need to drive up to 10 km to refill the water tank and return to the fire location.

(c) The existing fire trucks have no foam capability since the foam propellant systems installed on them are not operational and there are no foam branches to activate the foam.

(d) Fire fighters do not have the necessary personal protective equipment to carry out their duties effectively. Purchase orders 6OCI-300694 and 6OCI-300695 for the procurement of foam and protective equipment have been finalized and sent to the supplier on 16 October 2006.

(e) In November 2006, the Fire Marshal tendered his resignation with effect on 15 December 2006. To date, the Mission has not filled the post.

34. Due to the significance of the subject matter, OIOS issued a separate letter to the SRSG on 17 November 2006.

#### **Recommendations 13 to 15**

##### **The UNOCI Management should:**

**(13) Take the necessary measures to ensure that the airports/airstrips and helipads used by UN aircraft are equipped with sufficient numbers of fire trucks fitted with adequate water tank capacity and foam capability, in accordance with the International Civil Aviation Organization standards;**

**(14) Follow up with the Procurement Section on the acquisition of foam and protective personal equipment for fire fighters; and**

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<sup>1</sup> ICAO Standards in Annex 14 determine the category of aerodromes for rescue and fire fighting and categorizes the aerodromes based on the overall length and fuselage of the aircraft using these aerodromes. The biggest aircraft in the UNOCI air fleet is a Dash 7 which has an overall length of 24 to 28 meters. ICAO standards determine all airports used by an aircraft the size of a Dash 7 as category 5.

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**(15) Expedite the recruitment of the new Fire Marshal to ensure that fire safety functions are properly discharged.**

35. *The UNOCI Administration accepted recommendation 13 and stated that, on 3 May 2007, UNOCI requested UNHQ assistance in identifying and sourcing fire trucks that conform to ICAO standards. Recommendation 13 remains open pending the procurement of fire trucks that conform to ICAO standards.*

36. *The UNOCI Administration accepted recommendation 14 and stated that the Procurement Section has completed the acquisition of foam and other protective equipment for fire fighters. Based on the action taken by UNOCI, recommendation 14 has been closed.*

37. *The UNOCI Administration accepted recommendation 15 and stated that the new Fire Marshal has been recruited and that he arrived in the mission on 4 May 2007. Based on the action taken by UNOCI, recommendation 15 has been closed.*

**G. Field visit observations at airports and helipads**

38. OIOS conducted site visits to various airports/airstrips and helipads on 17 and 21 November 2006. The Aviation Safety Officer was present during the site visit on 21 November 2006. OIOS' observations during these site visits are as follows:

(a) Bouake Airport: The existing water reservoir is not operational. The lack of protective barriers near the runway increases the risk of animal, human crossing on the runway threatening flight.

(b) Korhogo Airport: There is no fire-fighting equipment at this airport. The Aviation Liaison Officer mentioned the absence of technical infrastructure for communicating with UNOCI Headquarters in Abidjan and/or other UN offices through HF (high frequency) and/or VHF (very high frequency) radios. No passenger or cargo check-in services are provided as technical equipment and installations do not exist.

(c) Bouna Airstrip: The runway, which is made of rubble, has no markings. There is no fire-fighting equipment at the airstrip and no Aviation Liaison Officer (ALO) has been assigned. Infrastructure for passenger and cargo check in does not exist.

(d) Daloa Airport: Markings on the runway need to be refreshed. There is no X-ray machine for cargo check-in.

(e) Man Helipad: The actual field used as a helipad by UN helicopters is an area covered with grass and not the area marked as the helipad because of the dust. A ditch is being constructed to secure the helipad area. Each landing and take off causes a strong dusty wind. The helipad sometimes receives two simultaneous flights.

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(f) Bangolo Helipad: There is no fire-fighting equipment at this helipad.

(g) Due to the lack of refuelling stations in most of the destination points, aircraft had to fly through Yamoussoukro to refuel. This increases operational costs in terms of time and fuel consumption.

#### **Recommendations 16 and 17**

##### **The UNOCI Administration should:**

**(16) Take immediate action to rectify the deficiencies noted during OIOS' inspections of the airports/airstrips and helipads; and**

**(17) Consider installing refuelling stations in destination points without one to save on costs associated with stopping and refuelling at airstrips/airports or helipads with a refuelling facility.**

39. *The UNOCI Administration accepted recommendation 16 and stated that UNOCI Management takes seriously the implementation of remedial actions to rectify any safety deficiency. Toward this end, the Aviation Safety Council and Safety Matrix are used to monitor the implementation of all accepted safety recommendations. Recommendation 16 remains open pending OIOS' verification of the action taken by the Mission to rectify the deficiencies noted during OIOS' inspections.*

40. *The UNOCI Administration accepted recommendation 17 and stated that in light of the improvement in the security environment, UNOCI has solicited proposal from Total-CI to expand its services to six additional airports. UNOCI is waiting for Total-CI's response and the process is expected to go through the normal procurement process. In addition, UNOCI is awaiting the arrival of 15 containerized storage tanks that were procured for this purpose. The intent is to establish fuel farms at these airports and place them under Total-CI's management. Based on the action taken by UNOCI, recommendation 17 has been closed.*

#### **H. Recovery of costs of additional flights from contractors**

41. There were six instances in the period from January 2005 to December 2006 where UNOCI made extra flights to bring back UN personnel and/or to provide seats for technicians of the contractor to repair an aircraft that malfunctioned. OIOS found that the Mission has not recovered from the contractors the cost of these flights, \$40,104. In OIOS' opinion, contractors have a legal obligation to keep the aircraft in good condition and that they should bear any costs involved in addressing technical problems.



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### **Recommendation 18**

**(18) The UNOCI Administration should recover the cost (\$40,104) of additional flights made to transport contractor personnel involved in repairing aircraft that malfunctioned.**

42. *The UNOCI Administration accepted recommendation 18 and stated that UNHQ is responsible for the management of all aviation contracts. UNOCI has accordingly referred this matter to the appropriate UNHQ office. Recommendation 18 remains open pending receipt of documentation showing the recovery of flight costs (\$40,104) from the concerned contractor.*

### **I. Documentation of approval for special flights**

43. Requests for special flights outside the Mission area are subject to UNHQ approval. However, OIOS' review of 10 sample cases indicated that in four cases, no formal approval was received from UNHQ. Specifically, two cases involved special flight requests for an official visit of the SRSG to Banjul for the African Union Summit and to Dakar and on to New York in April and June 2006 respectively. Other special flights related to the official visit of the SRSG for Children and Armed Conflicts in November 2005 and travel of a UN delegation from Abuja to Banjul in September 2006.

44. The requirement for the approval of special flights is an internal control mechanism that alerts UNHQ of the potential abuse of the Organization's air assets, especially in instances where the number of requests for such special flights is increasing. In OIOS' opinion, it is important that these special flights be approved and documented to ensure that special flights are adequately monitored.

### **Recommendation 19**

**(19) The UNOCI Administration should ensure that approvals for special flights are obtained and documented to allow for the proper monitoring of special flights.**

45. *The UNOCI Administration accepted recommendation 19 and stated that approval of all flights including special flights is carried out as per the UN Air Transport Manual and Mission SOP. Recommendation 19 remains open pending verification by OIOS of approvals for special flights.*

### **J. Insurance coverage**

46. OIOS reviewed insurance policies pertaining to the nine aircraft leased from commercial contractors to ensure compliance with the contract provisions on insurance. The review indicated the following:

(a) The insurance policy for UNO460 did not specify the amount of coverage or show the UN as the additional insured;

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(b) The insurance policy for UNO461 wrongly named the Mission as MINUCI;

(c) The insurance policies for UNO460, UNO461 and UNO464 placed geographical restrictions, contrary to the UN Rules and Regulations requiring the geographical limits be set as worldwide;

**Recommendation 20**

**(20) The UNOCI Administration should require the contractors to provide the Mission with new insurance policies that comply with the relevant contract provisions on insurance.**

47. *The UNOCI Administration accepted recommendation 20 and stated that the Mission complies with all UN insurance requirements. All aircraft contractors operate with the necessary insurance policies as per Procurement Service regulations and UN air transport policy. Recommendation 20 remains open pending verification by OIOS that insurance policies comply with relevant contract provisions.*

**V. ACKNOWLEDGEMENT**

48. 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.

## STATUS OF AUDIT RECOMMENDATIONS

Recom. no.	C/O <sup>1</sup>	Actions needed to close recommendation	Implementation date <sup>2</sup>
1	O	Submission to OIOS of documentation showing that the Regional Aviation Safety Officer, which will be responsible for air safety in peacekeeping missions located in the western region of Africa including UNOCI, has been appointed	Not provided
2	O	Submission to OIOS of documentation showing the attendance of Aviation Safety Unit staff in mandatory aviation safety training programmes	Ongoing
3	O	Reconsideration by the Mission of its initial response to this recommendation	Not provided
4	O	Verification by OIOS that the Aviation Safety Officer has maintained an adequate record of all aviation safety inspection activities	Jan 2007
5	O	Reconsideration by the Mission of its initial response to this recommendation	Not provided
6	O	Submission to OIOS of documentation showing that the planned May 2007 SAR exercises have been performed	30 May 2007
7	O	Submission to OIOS of a copy of the amended Emergency Response Plan for Sector East and the updated list of key personnel to be notified in case of air accident/overdue aircraft	December 2006
8	C		Ongoing
9	C		Ongoing
10	C		May 2007
11	C		Ongoing
12	O	Reconsideration by the Mission of its initial response to this recommendation	Ongoing
13	O	Submission to OIOS of documentation showing the procurement of fire trucks that conform to ICAO standards	UNHQ
14	C		January 2007
15	C		May 2007
16	O	Verification by OIOS of the action taken by the Mission to rectify the deficiencies noted during OIOS' inspections	Ongoing
17	C		Ongoing
18	O	Submission to OIOS of documentation showing the recovery of flight costs (\$40,104) from the concerned contractor	UNHQ
19	O	Verification by OIOS of approvals for special flights	Ongoing
20	O	Verification by OIOS that insurance policies comply with relevant contract provisions	January 2007

<sup>1</sup> C = closed, O = open<sup>2</sup> Date provided by UNOCI in response to recommendations

## Air operations budget for fiscal years 2004-05 and 2005-06

Category	Performance Report 2005/06 *			Performance Report 2004/05		
	Appropriation (1)	Expenditure (2)	Variance (3)=(1)-(2)	Appropriation (1)	Expenditure (2)	Variance (3)=(1)-(2)
<b>15. Air transportation</b>						
Equipment and supplies	100.0	420.6	( 320.6)	305.3	416.4	(111.1)
Services	60.0	0.6	59.4	54.8	—	54.8
Landing fees/ground handling charges	420.0	280.4	139.6	407.1	223.1	184.0
Aircrew subsistence allowance	78.8	174.5	( 95.7)	68.4	133.3	( 64.9)
Petrol, oil and lubricants	6 720.2	5 392.0	1 328.2	6 002.4	2 966.4	3 036.0
<i>Fixed Wing</i>						
Liability insurance	30.0	32.9	( 2.9)	36.5	29.8	6.7
Rental and operation	5 148.3	7 730.3	( 2 582.0)	4 685.5	4 889.1	( 203.6)
<i>Helicopters</i>						
Liability insurance	180.0	102.8	77.2	317.3	113.6	203.7
Rental and operation	33 298.0	18 161.3	15 136.7	18 806.4	13 827.7	4 978.7
<b>Total</b>	<b>46 035.3</b>	<b>32 295.4</b>	<b>13 739.9</b>	<b>30 683.7</b>	<b>22 599.4</b>	<b>8 084.3</b>

**UNITED NATIONS**



**OIOS Client Satisfaction Survey**

**Audit of: Air operations in UNOCI**

**(AP2006/640/07)**

	1	2	3	4	5
<b>By checking the appropriate box, please rate:</b>	Very Poor	Poor	Satisfactory	Good	Excellent
1. The extent to which the audit addressed your concerns as a manager.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. The audit staff's understanding of your operations and objectives.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. Professionalism of the audit staff (demeanour, communication and responsiveness).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. The quality of the Audit Report in terms of:					
• Accuracy and validity of findings and conclusions;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Clarity and conciseness;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Balance and objectivity;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Timeliness.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. The extent to which the audit recommendations were appropriate and helpful.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. The extent to which the auditors considered your comments.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Your overall satisfaction with the conduct of the audit and its results.</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please add any further comments you may have on the audit process to let us know what we are doing well and what can be improved.

Name: \_\_\_\_\_ Title: \_\_\_\_\_ Date: \_\_\_\_\_

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*Thank you for taking the time to fill out this survey. Please send the completed survey as soon as possible to:  
 Director, Internal Audit Division, OIOS  
 By mail: Room DC2-518, 2 UN Plaza, New York, NY 10017 USA  
 By fax: (212) 963-3388  
 By E-mail: knutsen2@un.org*