



GUIDELINES - DIRECTIVES

[Date]

DPKO and DFS AVIATION OPERATIONAL RISK MANAGEMENT (IMPLEMENTING GUIDELINES)

Approved by: *[Name and position of approving official]*
Approval date: *[Date approved]*
Contact: *[Office or Officer responsible for holding & maintaining SOP]*
Review date: *[SOP to be reviewed no later than this date]*

DPKO and DFS AVIATION OPERATIONAL RISK MANAGEMENT

IMPLEMENTING GUIDELINES

Contents:	A. Purpose
	B. Scope
	C. Rationale
	D. Procedures
	E. Terms and definitions
	F. References
	G. Monitoring and compliance
	H. Dates
	I. Contact
	J. History

ANNEXURES

A. PURPOSE

1. The present document outlines a set of Guidelines to effectively implement Operational Risk Management (ORM) into the aviation operations of all Peacekeeping Missions. ORM will be implemented at every level of the Aviation decision-making process. Mission senior management will ensure that field managers at all levels are given adequate information regarding acceptability of the risk being taken, as well as all the risk reduction measures being implemented to ensure that their decision is made in respect of the principles of the ORM concept.
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B. SCOPE

2. These implementing guidelines apply to all United Nations civilian or military staff, all aviation related commercial contractors and military units involved directly or indirectly in aviation operations in Peacekeeping Missions. ORM integrates the risk factor into the decision making process for management, supervisors, functional managers, and individuals. Its aim is to maximize operational capabilities while limiting to an accepted level all risks associated with DPKO/DFS aviation activities. ORM shall be integrated into the decision making process of every activity related to DPKO/DFS aviation.
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C. RATIONALE

3. The Aviation ORM implementing guidelines are an integral part of the DPKO/DFS Aviation Operational Risk Management Policy.
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D. ORM IMPLEMENTING GUIDELINES

4. DPKO and DFS will implement ORM as an integral part of both the planning and the decision-making process of DPKO/DFS air operations. In this respect Missions' Senior Management will establish properly documented procedures for the full implementation of ORM in all aviation related activities. Missions will establish an Implementation Task Group (ITG) consisting of management personnel from Aviation, MovCon, Aviation Safety, Security, Police and Military Command.
5. This ITG will be charged with the following essential activities:
 - 5.1. For all aviation activities and especially for all types of flights, determine acceptable risk levels (Acceptable Risk Matrix). These risk levels will be reviewed on a prescribed regular basis or when changes occur in mission mandates, objectives, and type of operations or assets. The following is a non-exhaustive list of domains requiring the determination of acceptable risk levels:
 - a. Types of flights (Routine – Special – Military combat and combat support – Night operations)
 - b. Type of Aircraft – Capabilities - Equipment
 - c. Airspace management
 - d. Airfield infrastructure and management
 - e. Cargo and passenger management
 - f. Other relevant activities
 - 5.2. Establish a Mission decision-making structure, with clearly identified responsibilities and accountability, enabling designated responsible staff to make their decisions based on a pre-determined acceptable risk level and furthermore to elevate the decision to the next level when risk levels are beyond their identified responsibilities. This decision-making structure will ensure that the following tasks and responsibilities are clearly identified:
 - a. Mission Aviation Staff must understand and effectively implement risk management processes through:
 - (1) Adapting Standard Operating Procedures (SOP) and checklists, performing the major tasks of the ORM process, identifying hazards, determining their associated risk levels, identifying and proposing risk mitigation measures to aviation management who will make risk control decisions.
 - (2) Maintaining constant awareness of changes. Identifying changes emerging between planned and actual situations and re-evaluating risks that may require a new mitigation process.
 - (3) Ensuring the effective implementation of risk mitigation measures.
 - (4) Maintaining a constant coordination with all parties involved directly or indirectly in aviation activities.
 - b. Mission Aviation Safety staff will:
 - (1) Actively support the whole ORM process; provide adequate information from past incidents/accidents and hazard reports, investigations and analysis, monitor the ORM process to ensure its continuity.

- (2) Contribute to the identification of hazards, evaluate the adequacy of risk mitigation measures and monitor the efficiency of the ORM process
 - c. Other members of the ITG (MovCon, Security, Police, Military Command, etc...) will gather relevant information and data from their area and provide it to the ITG for analysis.
- 5.3. Conduct an initial, in-depth, ORM process for all aviation activities consisting of thorough hazard detection and the determination of related risk levels, an analysis of possible risk mitigation measures and the effective implementation of those selected measures and finally ensuring, by appropriate supervision, that the residual risks are at an acceptable level. Activities that require the systematic application of ORM process are:
 - a. Planning of flying activities: regular scheduled flights, special flight requests, night flying (with and without night vision devices),
 - b. Airspace management – Air Traffic Control
 - c. Airfield and Helicopter landing site management – Ramp management
 - d. Passenger and cargo handling
 - e. Military operations
 - f. Other relevant activities
- 5.4. Develop the Mission ORM SOP ensuring that ORM is a fully integrated and continuous process.
 - a. This SOP will address (but not limited to):
 - (1) Mission operational planning,
 - (2) The management of the execution of aviation activities,
 - (3) Acceptable levels of risk for each type of operation in the Mission area,
 - (4) A risk management decision-making structure
 - (5) The management of changes,
 - (6) Risk management of military air operations.
 - b. The SOP will ensure adequate coordination and exchange of information between all Mission users of aviation assets. Risk communication shall include information about the existence, nature, form, severity or acceptability of risks. The following requires special attention:
 - (1) Management must be made aware of all risks that present potential loss to the organization.
 - (2) Those exposed to the identified risks must have a clear knowledge of the severity and likelihood of occurrence.
 - (3) Those who identified the hazard need feedback on proposed actions.
 - (4) Those affected by any planned changes need to be apprised of both the hazards and the rationale for the action taken
 - c. The SOP will also include the requirements for adequate information gathering means that should be procured.

- d. The SOP will describe a feedback procedure to ensure efficient supervision and corrective actions when and where necessary during the continuous ORM process.
- e. The SOP will describe the ORM education and training programme to ensure all staff acquire and maintain practical ORM skills in order to adequately and efficiently perform risk management activities in all their tasks.

E. TERMS AND DEFINITIONS

Operational Risk Management: A continuous, systematic process of identifying hazards and controlling associated risks in all activities according to a set of pre-conceived parameters by applying appropriate management policies and procedures.

Risk: The chance that an event (hazard) results in personal injury or property damage or loss, in terms of severity of outcome (impact) and probability of occurrence (Likelihood).

Risk Assessment: The systematic process of identifying hazards and evaluating their risk levels within a particular task or activity.

Hazard: Any real or potential condition that can endanger an activity or a mission; cause personal injury, illness or death; or damage equipment or property.

Probability: The likelihood that an event will occur.

Severity (Impact): An event's potential consequences in terms of degree of damage, injury or impact on the mission or activity.

Exposure: The amount of time, number of people or equipment involved in a given event expressed in time, proximity, volume or repetition.

Risk control/mitigation: The process of analyzing risk reduction measures/options and implementing the most effective combination of options with the objective to reach an acceptable risk level before conducting an activity.

F. REFERENCES

Normative or superior references

DPKO/DFS Aviation Manual, Version 1, May 2005

DPKO/DFS Aviation Safety Manual, Revision 6, February 2003

DPKO/DFS Aviation Operational Risk Management Policy-Directive, Version 1. XXXXX

Support material

A summary of the DPKO Aviation Operational Risk Management methodology in support of the implementation of ORM will be issued separately. Any queries or requests for clarifications regarding this ORM methodology should be addressed to Aviation Safety/LSD/DFS.

G. MONITORING AND COMPLIANCE

6. The Director Logistics Support Division (LSD), DFS will ensure that Missions management effectively develops and implements Aviation ORM SOPs and procedures in line with the present guidelines and the DPKO/DFS Aviation Operational Risk Management Policy-Directive. Compliance with these guidelines and SOP will be evaluated through regular Aviation Safety Assistance Visits and follow up of action plans on recommendations arising from inspections, investigations and meetings
7. Mission Management will submit to the Director LSD, a roadmap for the implementation of ORM. This roadmap will contain implementation strategies, integration domains and milestones.

H. DATES

I. CONTACT

8. The Chief Aviation Safety, LSD/DFS (3-7307) is the contact person for this implementing directive

J. HISTORY

SIGNED:

DATE:
