

# Follow-up audit of the implementation of key recommendations

Federal Office of Civil Aviation

## Key facts

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In 2018 and 2019, the Swiss Federal Audit Office (SFAO) conducted two audits at the Federal Office of Civil Aviation (FOCA). The first concerned air traffic management governance and supervision, and led to the SFAO issuing six recommendations<sup>7</sup>. The second was an audit of subsidies linked to the special financing for air transportation, and included nine recommendations<sup>8</sup>.

As part of this follow-up audit, the SFAO reviewed the implementation of ten recommendations that it considered essential, i.e. five per audit. The audit findings were positive. All of the recommendations have been implemented and can thus be closed.

### **The FOCA has taken appropriate measures to implement the recommendations**

In the case of the 2018 audit, the FOCA has developed a methodology for assessing safety risks. In addition, it has defined a process and an internal directive regarding sexual and psychological harassment. The risk of "control over the FOCA regulatory authority" has been adapted. Managers are taken into consideration for the risk of conflicts of interest, as are employees with supervisory functions. The FOCA has also revised its code of conduct and has had all employees sign a declaration of impartiality. Finally, an escalation procedure has been defined in the event of a difference of opinion on the part of management.

With regard to the second audit, the processes associated with the internal control system and the corresponding risk matrices have been updated and formalised in a new application, which was launched on 1 January 2023. The procedure for processing subsidies has been conceptualised and its implementation makes it possible to speed up decision-making. The criteria for deadweight effects and multiple subsidies are described and are included in the analysis used to determine subsidy amounts. Moreover, a supervisory concept has been established to prioritise control resources according to the risks identified. Finally, the FOCA now systematically requires a statement of actual costs and a report on the hours charged to the project before paying the balance of the subsidy.

**Original text in French**

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<sup>7</sup> "Audit of air traffic management governance and supervision" (audit mandate 18445), available on the SFAO website.

<sup>8</sup> "Subsidy audit" (audit mandate 19375), available on the SFAO website.