# *“ANS/ATS Safety inspector workshop”*

**Air Traffic Safety Oversight Organizational Self-Assessment[[1]](#endnote-1)**

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| **Organization Name:** |  | | |
| **Parent Organization:** |  | | |
| **Country:** |  | **Date:** |  |

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| **OBJECTIVES FOR SELF-ASSESSMENT** |
| * Review knowledge of your organization’s structure, characteristics, and capabilities for oversight of Air Navigation Services (ANS) * Identify gaps in key information and focus on key performance requirements and results * If you identify topics for which conflicting, little, or no information is available, use these topics for future action planning |
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| **ORGANIZATIONAL ENVIRONMENT** |
| * What are your stated vision, values, and mission? * What are your organization’s core competencies[[2]](#footnote-1), and what is their relationship to your mission? * What are your organization’s values? * What are your workforce or employee groups and segments[[3]](#footnote-2)? * What are the educational requirements for different employee groups and segments? * What are the key elements that engage them in achieving your mission and vision? * What are your major facilities, technologies, and equipment? * What is the regulatory environment under which you operate? * What are the applicable operating regulations? |

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| **ORGANIZATIONAL RELATIONSHIPS** |
| * What are your organizational structure and governance system[[4]](#footnote-3)? * What are the reporting relationships among your governance board, senior leaders, and parent organization, as appropriate? * What are your key stakeholder groups? * What are their key requirements and expectations of your products, customer support services, and operations[[5]](#footnote-4)? * What are the differences in these requirements and expectations among market segments, customer groups, and stakeholder groups? |
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| **ORGANIZATIONAL SITUATION** |
| * What are your key strategic challenges and advantages[[6]](#footnote-5) in the areas of business[[7]](#footnote-6), operations, and workforce? * What key changes, if any, are affecting your competitive situation, including changes that create opportunities for innovation and collaboration, as appropriate? * What are the key elements of your performance improvement system, including your processes for evaluation and improvement of key organizational projects and processes[[8]](#footnote-7)? |
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| **AIR TRAFFIC SAFETY OVERSIGHT TECHNICAL ASSESSMENT:** **PERSONNEL QUALIFICATION AND TRAINING** |
| * How does your organization determine staffing needs? * What are your organization’s minimum education and experience requirements for a qualified safety inspector candidate? * Does your organization have a training program for safety inspectors? Choose an item. * What are the components of the training program (check all that apply)?  |  |  |  |  |  | | --- | --- | --- | --- | --- | | Classroom | Written study | Proficiency  exam | On-the-Job Training | Peer Mentoring/Evaluation |  * Do inspectors receive both initial and recurrent (periodic) training? Choose an item. * Do inspectors receive additional training in areas such as technical report writing or supervisory training? Choose an item. |
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| **AIR TRAFFIC SAFETY OVERSIGHT TECHNICAL ASSESSMENT:** **PERSONNEL LIcensing** |
| * Has your organization developed rules related to the training and licensing of air traffic controllers in accordance with Annex 1? Choose an item. * Has your organization established criteria for the assessment and approval of applications for licenses and ratings? Choose an item. * List the criteria: * Do the criteria include an assessment of medical fitness in accordance with Annex 1? Choose an item. * Has your organization established procedures for the issuance and management of licenses and ratings? Choose an item. * Has your organization designated individuals to perform any personnel licensing tasks on behalf of the CAA/air traffic safety oversight organization? Choose an item. * If so, has your organization established criteria for the designation and supervision of these individuals? Choose an item. |
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| **AIR TRAFFIC SAFETY OVERSIGHT TECHNICAL ASSESSMENT:** **SURVEILLANCE** |
| * Does your organization provide safety oversight in the following areas:   + ATC Services Choose an item.   + Licensing of Service Provider safety personnel (such as controllers) Choose an item.   + Flight procedures and Flight Inspection Choose an item.   + Aeronautical Telecommunication Services Choose an item.   + Meteorological Services Choose an item.   + Aeronautical Information Services and Aeronautical Information Management Choose an item.   + Search and Rescue Choose an item.   + Cartographic Services Choose an item. * Does your organization conduct surveillance to ensure that Service Providers meet international standards and applicable national requirements? Choose an item. * Is the surveillance conducted on a continuing basis? Choose an item. * What are the components of the surveillance program (check all that apply)?  |  |  |  |  | | --- | --- | --- | --- | | Scheduled inspections and/or audits | No-notice (unscheduled) inspections | Risk-based compliance determinations | Follow-up compliance monitoring |  * List other components not identified above: * How does your organization identify topics for inspections/audits (check all that apply)?  |  |  |  |  |  | | --- | --- | --- | --- | --- | | High-profile accident(s) or incident(s) | Management or Executive request | Routine surveillance | Safety recommendation from accident investigation authority | Other |      * Does your organization maintain records of inspections/audits, including reports and compliance findings? Choose an item. * Are the records available to all safety inspectors? Choose an item. * Does your organization monitor the Safety Management System and safety management practices of Service Providers? Choose an item. |

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| **AIR TRAFFIC SAFETY OVERSIGHT TECHNICAL ASSESSMENT:** **RESOLUTION OF SAFETY CONCERNS** |
| * Does your organization analyze inspection/audit reports and findings to identify patterns of weakness or deficiency? Choose an item. * Does your organization conduct recurring (follow-up) inspections/audits in areas where problems repeatedly occur? Choose an item. * Does your organization require corrective action from Service Providers to mitigate  medium and high-risk compliance issues? Choose an item. * Is the Service Provider required to complete corrective action(s) within a defined time period? Choose an item. * Does your organization conduct follow-up inspections/audits to check the effectiveness of corrective actions? Choose an item. * Is your organization authorized to suspend, revoke, and cancel approvals, certifications, and/or licenses? Choose an item. * How does your organization receive safety-critical information, such as occurrences, faults, defects, and other malfunctions? Choose an item. * Does your organization issue circulars and other safety directives to Service Providers based on safety-critical information? Choose an item. * Does your organization require mandatory incident reporting? Choose an item. * Does your organization keep an accident and incident database? Choose an item. * How does your organization analyze the information in the database? |

1. This Self-Assessment worksheet is modeled in part on the Baldrige Performance Excellence Program *easy*Insight questionnaire and Organizational Profile. The Baldrige Performance Excellence Program is a U.S. public-private partnership operated by the National Institute of Standards and Technology (NIST). NIST is an agency of the U.S. Department of Commerce. More information about Baldrige is available in “The Baldrige Criteria 101” document included in the References folder on your Workshop flash drive, and at the following web link: [Baldrige Performance Excellence](http://www.nist.gov/baldrige/index.cfm). [↑](#endnote-ref-1)
2. “Core competencies” are your organization’s areas of greatest expertise. They are those strategically important capabilities that are central to fulfilling your mission or provide an advantage in your marketplace or service environment. [↑](#footnote-ref-1)
3. Workforce or employee groups and segments (including organized bargaining units) might be based on the type of employment or contract reporting relationship, location, tour of duty, work environment, use of certain family-friendly policies, or other factors. [↑](#footnote-ref-2)
4. For some nonprofit organizations, governance and reporting relationships might include relationships with major funding sources, such as granting agencies or foundations. [↑](#footnote-ref-3)
5. The requirements of your customer groups and market segments might include on-time delivery, low defect levels, **safety**, security, ongoing price reductions, leveraging of technology, rapid response, after-sales service, and multilingual services. The requirements of your stakeholder groups might include socially responsible behavior and community service. For some nonprofit organizations, these requirements might also include administrative cost reductions, at-home services, and rapid response to emergencies. [↑](#footnote-ref-4)
6. Strategic challenges and advantages might relate to technology, products, finances, your operations, your parent organization’s capabilities, your customers and markets, your industry, globalization, your value chain, and people. Strategic advantages might include differentiators such as price leadership, design services, innovation rate, geographic proximity, accessibility, and warranty and product options. For some nonprofit organizations, differentiators might also include relative influence with decision makers, ratio of administrative costs to programmatic contributions, reputation for program or service delivery, and wait times for service. [↑](#footnote-ref-5)
7. Throughout the worksheet, “business” refers to a nonprofit organization’s main mission area or enterprise activity. [↑](#footnote-ref-6)
8. This question is intended to set an overall context for your approach to performance improvement. The approach you use should be related to your organization’s needs. [↑](#footnote-ref-7)