

SOUTHERN REGION

01/11/02

SUBJ: FLIGHT STANDARDS DIVISION EVALUATION SYSTEM

- * 1. **PURPOSE.** This Order prescribes the guidelines and procedures governing the conduct of Flight Standards Division evaluation of field activities in the Southern Region.
2. **DISTRIBUTION.** This Order is being distributed to the section level in the Flight Standards Division, to all Southern Region Flight Standards District Offices, with information copies to Flight Standards Divisions in all regions.
3. **CANCELLATION.** SO 1800.18C is cancelled.
4. **BACKGROUND.** The Flight Standards Division office evaluation system is used to assure the Division Manager that agency and regional policies, regulations and procedures are being complied with. This process will also be used to assist the Division Manager in determining vulnerability of programs and functions conducted in these offices as required by the Federal Managers' Financial Integrity Act (FMFIA) of 1982.
5. **OBJECTIVES OF EVALUATION SYSTEM.** The evaluation system encompasses all assigned Flight Standards Division and field office functions. It includes all aspects of managerial and technical organizations and operations established to accomplish the Flight Standards programs. It is designed to identify problem areas, to determine cause, to recommend corrective action, and to follow-up to ascertain if corrective action has been taken. It is directed toward constructive goals, the identification of deficiencies for the purpose of improvement, and the identification of positive areas deserving recognition. Specific objectives are as follows:
- a. To determine the extent of compliance with national and regional programs, policies, standards, and procedures.
 - b. To determine the effectiveness, efficiency, and economy of program accomplishments among the regional office branches and district offices.
 - c. To determine uniformity of application of programs, policies, standards, and procedures among the regional office branches and district offices.
 - d. To identify practices which can be considered for general application in other field office branches and district offices.
 - e. To determine the effectiveness of regional programs, policies, standards, and procedures. *

- * f. To determine the adequacy of guidance, coordination, resources, and assistance provided to lower echelons by each successive level of supervision within the Flight Standards organization.
- g. To promote increased understanding and communications among personnel of regional offices and district offices.
- h. To provide comparative data analysis among the various offices evaluated so that trends, both positive and negative, can be highlighted and appropriate attention may be applied as necessary.

6. **TYPES OF EVALUATIONS.** There are three basic types of evaluations:

a. Standard Evaluations. These are scheduled in advance and consist of overall inspections of Flight Standards activities within the region. Standard evaluations will be conducted for each district office not less than one each three years contingent upon available resources. The Evaluation Services Office (ESO-31) will coordinate and lead the evaluation. The team will consist of ESO-31 members, Administrative Services Branch (ASO-210) members, Air Safety Regulation Branch (ASO-250) representatives, and other team members as appropriate.

b. Special Evaluations. These are evaluations or inspections with a specifically defined scope (usually less than overall coverage of the standard evaluation) which will be conducted by individuals to evaluate specific issue areas, follow-up evaluations, or situations which may, in the opinion of the Division Manager, need immediate attention. This type of evaluation will be conducted as needed and as available resources permit. All findings and actions required will be reported utilizing established reporting formats.

c. Internal Control Review (ICR). An internal control review is a detailed examination of a system of internal control to determine whether adequate control measures exist and are implemented to prevent or detect the occurrence of potential risks in a cost efficient manner. Based on an evaluation of vulnerability assessment results, ICRs will be scheduled for all highly vulnerable (and if feasible, all moderately vulnerable) areas. The Federal Managers' Financial Integrity Act (FMFIA) is an example of an ICR.

7. **SCHEDULE AND NOTIFICATIONS.** A schedule for standard evaluations will be published at the beginning of each fiscal year. Formal notification will be made by the Manager of the Evaluation Services Office to the manager of the office to be evaluated at least 10 working days in advance of the arrival of the evaluation team. The manager should notify his partner pair of the office evaluation. The notification will contain the following information:

- a. Establish date of arrival of the evaluation team.
- b. Names of persons comprising the team.
- c. Estimated duration of the evaluation.
- d. Request for transportation, accommodations, or other assistance.

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8. **CONDUCTING THE EVALUATION.** The team members will use standardized checklists and will direct their assessments toward assigned program areas. Areas appropriate for the office evaluation program currently include, but are not limited to:

- a. Best Practices.
- b. Labor Management Relations and Communications.
- c. Performance Management.
- d. Position Management.
- e. EEO Program.
- f. Fiscal Programs.
- g. Automation.
- h. Training & Development.
- i. Office Management.
- j. Security.
- k. RASIP/DOD/OSIP/National Reports.
- l. Accident/Incident Enforcement.
- m. Aircraft Management Program.
- n. Operations Programs.
- o. Airworthiness.
- p. FAA Forms 8430-13.
- q. Safety Program.
- r. Incentive Awards.

Data collection and analysis must be accurate, pertinent, complete, and contain recommendations for corrective action based on facts. Evaluators will record the findings "on the spot" to ensure accuracy and completeness. An evaluation checklist will be provided to each office.

9. **EVALUATION BRIEFINGS.** An initial verbal briefing will be given to appropriate office personnel on the evaluation team's plans for conducting the evaluation by the team leader. Team members will meet after each day of the evaluation to discuss the day's findings and to ensure that members are not duplicating efforts and plan the next day's approach. A daily briefing will be given to the management staff (including a PASS representative) of the office being evaluated of findings documented that day. A final briefing will be held at the conclusion of the evaluation with appropriate office supervisory personnel. Any finding or significant observation and/or occurrence during the evaluation will be objectively discussed. This will ensure that all satisfactory as well as unsatisfactory conditions are known prior to being recorded in a formal report. The Manager, Flight Standards Division, will be given a verbal briefing immediately following each evaluation trip.

10. **EVALUATION REPORTS.** A written report will be prepared for each evaluation, either standard or special. The report will provide a record of significant matters which require attention by appropriate authority. Reports will be written in sufficient detail so that each finding is readily identified and can be clearly understood. Instances of outstanding performance or achievement, conditions which measure the effectiveness, efficiency, and economy of operations, should be included in the report, as well as the deficiencies. For each deficiency reported there shall be subparagraphs entitled "Finding," "Reference," and "Recommendation." The discrepancy must

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- * relate the factual finding to current written instructions, policies, and guidelines. Each office evaluated shall receive, as part of a final report, an improvement plan, which serves as a mechanism for listing and tracking progress on required action items.

11. **REPORT PREPARATION**. Each day at the time agreed upon by the team, each evaluator shall submit draft findings and observations to the team leader. These draft findings will be used to brief the office on a daily basis. When evaluators are on site without the entire team present, the evaluators will prepare a report covering his/her assigned area(s) of evaluation. The report will identify the program area and will give a detailed statement of each finding with the discussion and recommendation. When corrective action is required by an entity other than the office being evaluated, the appropriate organizational element will be notated to designate the appropriate action office. These individual reports should be prepared in final form and forwarded to ESO-31 no later than 10 working days after the evaluator has completed his/her evaluation. Reports must be submitted in typed format (Appendix 1) and a floppy disk containing the report should accompany the typed document at the time of the report's submission to ESO-31.

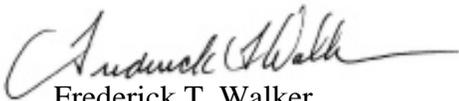
12. **DISTRIBUTION OF REPORTS**. A copy of the report will be forwarded to the Manager of the office evaluated, one copy to the PASS partner pair, one copy to the Regional Division Manager of Flight Standards, and one copy will be retained by ESO-31.

13. **ACTION**. Within 30 working days following receipt of the evaluation report, the Office Manager will either comply with the recommendations for improvement or request adjustments to the recommendations. If the requested adjustments are approved, they will be implemented on a timely basis, with the Division being kept apprised (at least every 30 days) of implementation status or problems encountered.

14. **FOLLOW-UP INSPECTIONS**. Periodically during each fiscal year, ESO-31 will conduct follow-up inspections. Follow-up inspections ensure that appropriate resolutions to findings have been made and that previous problem areas continue to be maintained appropriately. Findings for the follow-up inspections must be corrected in a timely manner by the office evaluated.

15. **OTHER REQUIRED ACTIONS**. This Order will be reviewed annually by the appropriate branches and ESO-31. ESO-31 is the designated focal point and is responsible for ensuring revisions are incorporated in a timely manner.

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Frederick T. Walker
Manager, Flight Standards Division

APPENDIX 1. OFFICE EVALUATION

Status Report

OFFICE _____.

FINDING: _____ Date completed _____.

Action Taken: _____

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FINDING: _____ Date completed _____.

Action Taken: _____

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FINDING: _____ Date completed _____.

Action Taken: _____

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FINDING: _____ Date completed _____.

Action Taken: _____

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FINDING: _____ Date completed _____.

Action Taken: _____

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FINDING: _____ Date completed _____.

Action Taken: _____

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