

ORDER

U. S. DEPARTMENT OF TRANSPORTATION
FEDERAL AVIATION ADMINISTRATION

WP 1800.26B

03/31/1999

SUBJ: REGIONAL AIRWAY FACILITIES EVALUATION PROGRAM

1. **PURPOSE.** This order establishes evaluation policy for the Airway Facilities Division programs and management.
2. **DISTRIBUTION.** This order is distributed to the branch and staff level and above in the Airway Facilities Division and with limited distribution to all Systems Management Offices (SMO) and subordinate Systems Services Centers (SSC) in the Western-Pacific Region.
3. **CANCELLATION.** Order WP 1800.26A, Regional Airway Facilities Evaluation Program, dated August 09, 1989, is canceled.
4. **BACKGROUND.** The objective of the evaluation program is to provide management at all levels with an analysis of program status, the accomplishment of short and long term goals and objectives, efficient use of resources, early detection of potential problem areas, and the degree to which the mission of maintaining the National Airspace System (NAS) is being met.
5. **OBJECTIVES.** The primary objectives of the management evaluation program are to:
 - a. **Provide management with a continuous and independent assessment of how well our systems are performing and our programs are being carried out.**
 - b. **Determine the level and quality of service being provided to all customers.**
 - c. **Determine progress in achieving stated goals and objectives - national, service, regional, divisional, and local.**
 - d. **Determine compliance with and assess the adequacy of established policies, standards, and regulations, and determine the reasons for any deviations.**
 - e. **Provide information to management which will serve as a basis for decision making and future goal planning.**
 - f. **Strengthen the communications process among and between levels of management, between management and employee, and between all AF elements and AF customers.**
 - g. **Identify outstanding performance, adverse trends, and problems and deficiencies.**
 - h. **Identify and recommend the controls management may establish to assure compliance with agency/regional standards, policies, and directives.**

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Initiated By: AWP-410

6. TYPE AND SCOPE OF EVALUATIONS.

a. Program Evaluation. Evaluations of Regional Airway Facilities programs that are recommended by the Division Executive Staff. Specific Airway Facilities Division program areas will be scheduled and evaluated on a region-wide basis with on-site visits to SMO's or other appropriate offices. The Executive Staff will be assisted by an appropriate number of qualified personnel. Appendix 1 contains a list of AF regional programs.

b. Comprehensive Management Evaluations (CME). These evaluations are conducted on an organizational basis and generally concern matters such as organizational structure and function, administrative support, supply support, and financial planning and controls that affect several program areas. The evaluations will be conducted by the Executive Staff with *ad hoc* members as needed. They will be conducted as scheduled in Appendix 3 unless requested by the Division Manager.

c. Technical Inspections. Periodic facility technical inspections are conducted at selected facilities on a yearly rotating schedule. The criteria for technical inspections is outlined in Order 6040.6F, Airway Facilities NAS Technical Evaluation Program. This program is administered by the Manager, Operations Branch, AWP-470.

d. Internal Evaluations. An internal evaluation of an organization is an effective way to assure management awareness of program administration through an inward look at the Manager's organization. Practices and problems affecting people, productivity, and facility performance may be discovered that might otherwise be overlooked. These evaluations can be performed on any branch, staff, SMO or ANI element and the staff considers itself under "contract" to that manager. The requesting office is responsible for any travel costs incurred by the staff. Guidelines for this type of evaluation are contained in Appendix 2.

7. PROCESSES AND PROCEDURES. The following processes and procedures will be used to set the evaluation schedule each year.

a. Call for Ad Hoc Team Members. In the first month of the new fiscal year, the Executive Staff, AWP-410, will issue a memo to all AFD/ANI organizational elements soliciting volunteers for *Ad Hoc* team members. This list will be the primary source for team members during the year. Other sources might be candidates participating in the Women's Executive Leadership Program (WEL), Executive Potential Program (EPP), and Airway Facilities Succession Planning Program (AFSPP) Candidates.

b. Program Evaluations.

(1) Call for Evaluation Input. In order to determine the types of programs to be evaluated each year, the staff will issue a Call for Evaluation Input to all AFD/ANI elements. This call will normally occur during the last 2 months of the fiscal year for evaluations to be conducted in the next fiscal year. During the call, all elements of each branch, platform and SMO can make suggestions for program areas that require Program Evaluations.

(2) The staff will evaluate all input and recommend to the Division Manager areas to be evaluated. The ANI manager and each branch and SMO manager will be advised of those programs selected by the Division Manager. Program evaluations in the ANI organization will be accomplished with the concurrence of the ANI manager.

(3) A complete PROSPECTUS will be approved by the Division Manager before any evaluation can start. The prospectus will establish the requirement, goals and objectives, scope, methodology, necessary resources, report format, and action and follow-up procedures to use in conducting the evaluation.

(4) Recommended action items will be forwarded to the appropriate program manager through the Division Manager. The Executive Staff will track the status all action items until completion.

c. Comprehensive Management Evaluations (CME).

(1) CME's will be accomplished during the year as scheduled in Appendix 3. CME's will normally be completed during the third and fourth quarters of the fiscal year with reports and recommendations being issued during the fourth and first quarters.

(2) A PROSPECTUS will be approved by the Division Manager before any evaluation can start. The prospectus will establish the requirement, goals and objectives, scope, methodology, necessary resources, report format, and action and follow-up procedures to use in conducting the evaluation

(3) A final report will be forwarded to the Division Manager. The report will be arranged in three major segments, Facilities Performance Program, Human Resources Program, and Management Program. Each program in a major segment will be listed with a description of the evaluator's findings, commendations of exceptionally well run programs, and any recommendations or suggestions for changes or improvements to the programs.

(4) Recommendations for action items will be listed at the end of each section. Action items will be assigned by the Division Manager and will be tracked until completion by the staff. Suggestions should be reviewed for possible action, but do not require actions or follow-up.

d. Internal Evaluations.

(1) Internal Evaluations may be requested by any management level. SMO Branch and ANI managers may submit requests directly to the Executive Staff. The staff will coordinate with the manager to produce a PROSPECTUS for the evaluation. The staff will coordinate final reports with the SMO Branch or ANI manager and will assist the manager with any follow-up or additional analysis required. Internal evaluations do not require coordination with or approval from the division unless the requesting manager deems it necessary.

(2) Guidelines for the accomplishment of internal evaluations are contained in Appendix 2.

(3) Union Notification. Once a PROSPECTUS has been approved by the appropriate management level, the Professional Airway Systems Specialists and the National Air Traffic Controllers Association (Engineers) will be notified of the pending evaluation and the completion schedule at a comparable representational level. Both unions will be afforded the opportunity provide a representative during interviews with bargaining unit members.

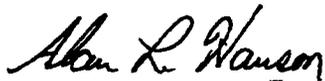
8. REPORTS AND FOLLOW-UP. An exit briefing will normally be held following completion of an evaluation to give SMO Branch or ANI management an overview of the findings and to highlight time critical or safety items needing immediate correction. A formal report summarizing findings and recommended actions will be prepared for each evaluation and submitted to the appropriate manager for approval. For Program evaluations and Comprehensive Management Evaluations the Division Manager will assign action items. For Internal evaluations, the manager contracting with the staff will assign action items. Action offices will develop a plan to accomplish each action item. WP Form 1800-27, Evaluation Follow-up Report, will be used for follow-up reports.

a. The Initial Report. An initial report on action items will be forwarded to the Executive Staff, AWP-410, within 60 days of receipt of the final report. Refer to Appendix 4 for a sample of WP Form 1800-27.

b. Progress Report. A progress report will be sent to the staff at the close of each quarter until the action has been completed on each assigned recommendation.

c. Final Report. A final report will be submitted to the Staff when all assigned recommendations have been completed.

9. INDEPENDENCE. The overall purpose of any evaluation is to provide an independent, non-biased look at programs. Evaluation Teams will function as independent entities at all times during the evaluation process. They will make every effort to keep office disruption to a minimum; however, utmost cooperation of personnel is encouraged and expected to assist in completing the evaluation in a timely and efficient manner.



Donald Tom
Manager, Airway Facilities Division, AWP-400

APPENDIX 1 - AF PROGRAM AREAS

These program areas are subject to either an internal or external evaluation.

A. PROGRAM ADMINISTRATION

Regional and Field Staffing
Regional and Field Structure
Regional Management Evaluations
Field Maintenance Party
Special Maintenance Projects
Regional Management
SMO Management
Aircraft Accidents and Incidents
Occupational Safety Program

B. PROGRAM MANAGEMENT AND PLANNING

Budget and Planning
Fiscal Management
Fiscal Summary Reports
Obligation Establishment
Goals
Logistics Management
Labor and Overhead Expenses
Manpower Utilization
Joint Acceptance Inspections
Drafting
Unsatisfactory Conditions Reports

C. ENGINEERING & TECHNICAL PROGRAMS

Contract Management
Project Management (Includes Engineering Packages)
Leased Communications Program
Frequency Management Program
Technical Support Programs
Maintenance Programs (Including Documentation)
Technical Inspection Program
Facility Master File and Facility Equipment Service Profile Programs
NAPRES Reporting and NASPAS Programs
NAS Change Proposal Program
Modification & Waivers Programs
Test Equipment Program
Facility Spares Program
Military and Non-Fed Facility Programs
Facilities Spares Program

D. PERSONNEL MANAGEMENT

Recruitment Program
Career Development and Mentoring
Classification Program
Awards Program
Employee Suggestion Program
Labor Relations (Including EIP, ULP's, Grievances)
Equal Employment Opportunity Programs
Training
Human Relations

APPENDIX 2 - INTERNAL EVALUATIONS

1. **PURPOSE.** Internal evaluations provide the individual branch, staff, and SMO managers the opportunity to review their internal and external programs. Internal evaluations can help uncover problem areas and work to improve management to employee communications in the resolution of problems and improvement in effectiveness, efficiency, and productivity. Internal evaluations afford an opportunity for all organizational levels to use the Staff to help them evaluate themselves, consider the strengths and weaknesses of their operations, and to provide all employees an opportunity to make suggestions and recommendations for improvement. The office requesting the internal evaluation is responsible for funding any travel necessary to accomplish the evaluation.

2. **PROGRAM AREAS.** Internal evaluations might cover (but are not limited to) these areas:
 - a. Staffing
 - b. Maintenance Engineering Support
 - c. Problem Facilities
 - d. Training and Certification Program
 - e. JAI Program
 - f. NAPRES Reporting
 - g. Interface with NAS Implementation Program
 - h. Logistics
 - i. EEO Activities
 - j. Modifications and Waivers
 - k. National Change Proposals
 - l. Internal and External Coordination
 - m. Fiscal Management

3. **CONSIDERATIONS.** Four considerations for each program area would be:
 - a. Appropriateness - is the activity directed towards important problems or issues
 - b. Adequacy - how much of the problem or activity has been controlled
 - c. Effectiveness - were pre-determined objectives achieved
 - d. Efficiency - is the cost of obtaining objectives reasonable

4. **EVALUATION REQUESTS.** A manager may request an internal evaluation directly to the Staff. The Staff will:
 - a. Consult with the manager to determine the best possible methods to accomplish the request
 - b. Provide the manager with a cost estimate for travel if necessary
 - c. Coordinate with the manager to schedule a time for the evaluation
 - d. Submit a PROSPECTUS to the manager for approval
 - e. Perform the evaluation using Staff and local organization employees as determined by the manager
 - f. Produce a final report containing data gathered, analysis, and recommendations to the manager
 - g. Assist the manager with any follow-on actions required

5. RESULTS. Internal evaluations can result in action items to address problem areas. Action items should be determined and action plans developed by using teamwork, proven analysis methods, and problem solving techniques. Action plans are best developed by allowing all employees the opportunity to participate in the process. Employee Involvement is the preferred process to use for this.

APPENDIX 3 - COMPREHENSIVE MANAGEMENT EVALUATION SCHEDULE

This chart is a five year cycle for CME's and Program Evaluations to be accomplished in the Airway Facilities Division. A specific date will be arranged with the manager at least 90 days prior to the evaluation. Preliminary data collection may begin several months prior to the evaluation.

Systems Management Offices	FY-99	FY-00	FY-01	FY-02	FY-03
Desert-To-The-Sea SMO			3 rd Qtr		
Golden Gate SMO				3 rd Qtr	
Hawaiï-Pacific SMO					3 rd Qtr
Pacific-Desert SMO		3 rd Qtr			
Sierra-Nevada SMO	3 rd Qtr				
Branches and Staff					
AWP-410			4 th Qtr		
AWP-420				4 th Qtr	
AWP-470					4 th Qtr
Program areas listed in Appendix 1 will be evaluated at the discretion of the Division Manager during the 1 st and 2 nd quarters of the fiscal year.					

INSTRUCTIONS FOR COMPLETING FOLLOW-UP REPORT

Prepare an original plus one copy for AWP-410. If submitting electronically, the data file is sufficient.

1. Check Initial Report, Progress Report, or Final Report as appropriate/ The initial report may also be checked as a final report if all necessary actions have been completed. Do not check "Final Report" until all actions are complete.
2. Report Title and Date: Enter as shown on the formal evaluation report. Use date of report (not date of evaluation).
3. Recommendation Number and/or Title: Enter the recommendation number and title as shown in the formal evaluation report. Restate the recommendation as shown on the report. Each recommendation or sub-recommendation should be covered by an individual report.
4. Proposed Action: State the proposed action you intend to take.
5. Progress to Date: Show action taken including dates, types of communications, and offices involved. Furnish a copy of letters, directives, etc., that confirm the action taken. Draft documents or proposed documents are not the basis for declaring an action completed or final. They may be referred to in an initial or progress report but should not be enclosed with the report.
6. Estimated Action Completion Date: If the item is closed out, indicate "Action Complete". If it is not, indicate the month and year completion is estimated.
7. Fill in the appropriate offices, date, and signature blocks.
8. Continue any blocks on plain paper as necessary.