

CAR/SAM Regional Guidance Material on Air Traffic Services Quality Assurance Programmes

CAR/SAM Air Traffic Services Quality Assurance Programmes
Seminar

South American Regional Office



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INTERNATIONAL CIVIL AVIATION ORGANIZATION

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CAR/SAM REGIONAL GUIDANCE MATERIAL ON

AIR TRAFFIC SERVICES

QUALITY ASSURANCE PROGRAMMES

Chapter 7

Version 1.0

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Chapter 7.

Air Traffic Services Evaluation Programme





Chapter 7. ATS Evaluation



■ Introduction

- Chapter deals with need for constant and continuous evaluation of individual ATS units and of the overall ATS system

■ Purpose and scope

- Ensure that provision of service is maintained at the highest standard
- Units/personnel apply policies, standards, rules, procedures and separation minimum in approved manner



Chapter 7. ATS Evaluation

- **ATS evaluation activities include**
 - Assessing service provided to users
 - Ensuring operating procedures conform with standards
 - Assessing operational requirements
 - Identifying potential unsafe procedures or operating practices
 - Detecting problem areas or deficiencies
 - Examining effectiveness of intra/inter-unit communications and coordination
 - Examining personnel utilization, position workload and establishments to ensure compatibility
 - Recommending corrective actions



Chapter 7. ATS Evaluation

■ Conduct of evaluation

- Designate team of experienced personnel to conduct ATS evaluations
- At least once every two years
- Notify ATS unit chief prior to conducting evaluation
- Meeting at completion of evaluation with ATS unit chief to discuss significant findings and recommendations
- Prepare written report – ATS evaluation team
- Prepare action plan – ATS unit



Chapter 7. ATS Evaluation

■ ATS evaluation procedures

- This section provides standardized procedures for evaluating compliance with ICAO SARPs and specified directives and procedures at the national and local ATS unit level within a State

– Evaluation process

- Full unit ATS evaluation
- Preparation and notification
 - Use ATS Unit Evaluation Checklist
 - Notify ATS unit chief 30 days prior to evaluation
 - Request data from ATS unit for pre-evaluation review
 - Solicit special interest items that ATS unit would like assessed



Chapter 7. ATS Evaluation

– Evaluation process (cont.)

■ In-briefing

- Introduce team members
- Evaluation schedule and activities
- ATS unit chief staff

■ Conducting the evaluation

- Direct observation
- Control position and/or voice recording or data monitor
- Attendance at staff meetings
- Observation of training
- Review of administrative records
- Interviews/discussions
- Review of in-flight/preflight evaluation reports



Chapter 7. ATS Evaluation

– Evaluation process (cont.)

■ Daily briefings

- Progress of evaluation
- Provided by lead ATS unit evaluator to ATS unit chief

■ Out-briefing

- Briefing of ATS evaluator/team's findings
- Attendance
 - ATS unit chief
 - ATS unit personnel encouraged
- Present draft copy of ATS evaluation report

■ Evaluation critique

- Critique form to be completed by ATS unit chief



Chapter 7. ATS Evaluation

■ Follow-up evaluations

– Preparation and notification

- Unannounced or minimum notification
- On-site evaluation
- Desk audit
- Combination of both
- Conduct no earlier than 6 months after full unit ATS evaluation
- May request data for pre-evaluation review
- Basically follow same process as full unit ATS evaluation



Chapter 7. ATS Evaluation

■ In-flight evaluations

- Conduct at least 2 per year on each ATS unit
- Conducted by ATS evaluators and other authorized ATS personnel
- Use airlines or other operators in which an agreement to conduct such observations is in place
- The following air traffic services may be assessed:
 - Air traffic services reporting office
 - Automatic terminal information service
 - Aerodrome control service
 - Approach control service
 - Air traffic advisory service
 - Other services deemed appropriate



Chapter 7. ATS Evaluation

■ Special evaluations

- May be conducted when deemed necessary by the ATS authority or if requested by the ATS unit

■ Evaluation reports

- Document results of all ATS evaluations
- Complete and distribute final ATS evaluation reports within 30 days of the out-briefing
- Contents of final ATS evaluation reports
 - Results of evaluation pertaining to areas assessed
 - Describe reportable items
 - Assign tracking control numbers to all items identified



Chapter 7. ATS Evaluation

■ Responses to ATS unit evaluations

- Required on all items rated less than satisfactory
- Three-step closure process
 - Action plan
 - Develop and forward action plans to appropriate ATS authority within 30 days of receiving final ATS unit evaluation report
 - First response
 - Completed and distributed to ATS authority with 60 days of ATS unit out-briefing
 - Second response
 - Completed and distributed with 180 days after date of the ATS unit evaluation out-briefing and every 180 days thereafter until all items are closed



Three-step Closure process

- **Three-step closure process.** The three-step closure process is the method by which less than satisfactory items of an evaluation are to be closed. The required responses should be available after 60 days and 180 calendar days and should describe the three steps as follows:
 - a) **Corrective action.** The initial action taken by the ATS unit to correct the discrepancy;
 - b) **Follow-up action.** The action taken over a period of time to validate that the initial action corrected the discrepancy. Include the date(s) when this was accomplished and the results; and
 - c) **Management control.** The action taken by the ATS Authority or ATS Unit that will remain in place to ensure the problem does not reoccur. The action should include identifying those posts within the ATS unit that have responsibility to periodically review the corrected discrepancy and when the review will be accomplished.



Chapter 8. Quality of Services Improvement Programmes

■ Introduction

- Initiatives that can improve the overall quality of air traffic services being provided

■ Random voice recording reviews

- ATS unit quality assurance officers/specialists should complete several random voice recording reviews on a monthly basis
 - Ensure overall quality of ATS is maintained



Chapter 8. Quality of Services Improvement Programmes

- **ICAO phraseology improvement programme**
 - Implement ATS unit phraseology improvement programme
 - Benefit to pilots and controllers
 - Results can improve quality of service and prevention of ATS incidents
 - Method
 - Random voice recording reviews
 - Voice recording monitor evaluations
 - Direct observations
 - Recognition of ATS personnel who demonstrate outstanding phraseology or significant improvement



Chapter 8. Quality of Services Improvement Programmes

■ ATS customer service/feedback

- Important to establish good communications between ATS authorities/units and users
- Users can offer valuable feedback
- Feedback from others organizations/departments/internally
- Obtain feedback through surveys
- ATS quality assurance survey
 - Conduct annually
 - External
 - Internal
 - Analyzed and validate data collected
 - Share results with ATS personnel
 - Issues affecting quality of service should be addressed



Chapter 8. Quality of Services Improvement Programmes

■ Pilot/controller user forums

- Conduct annually
- Can produce good relations and enhance communications between ATS authorities, pilots and controllers
- Main objective
 - Bring together people in the ATS system that work together on a daily basis
 - Pilot on the flight deck
 - Controller in the control room/tower
 - Better understanding of each other's responsibilities and duties
- Avoid conducting in a meeting type format
- Can also be used to present and explain information on the local or national ATS system and procedures



Chapter 8. Quality of Services Improvement Programmes

- **Participation in pilot safety seminars**
 - Participation of ATS authorities in pilot safety seminars
 - Present information regarding the ATS system, safety and quality assurance
- **Pilot visits to ATS units**
 - Encourage pilot visits to ATS units
 - ATS system familiarization
- **ATS system familiarization/education for pilots**
 - Consider developing an ATS system education programme for pilots
 - Education pilots in how to best utilize the ATS system
 - Functions
 - Responsibilities
 - Benefits
 - Services



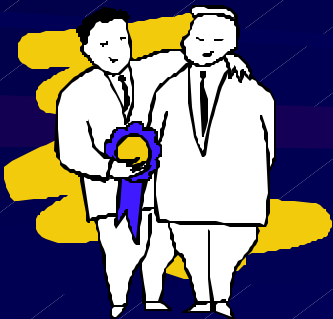
Chapter 8. Quality of Services Improvement Programmes

- **Familiarization training flights for ATS personnel**
 - Establish programmes with airlines
 - ATS supervisors and controllers should be encourage to participate
 - Allows ATS unit personnel to experience first hand the activities on the flight deck
 - View programme as proficiency training



Chapter 8. Quality of Services Improvement Programmes

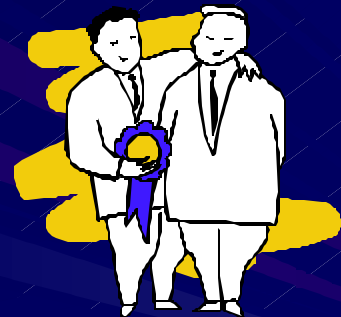
- **Recognition of quality performance**
 - Recognition of positive quality performance is as important as identifying deficiencies
 - Recognition as individuals or as a team
 - Providing a high standard of performance and quality of service



Chapter 8. Quality of Services Improvement Programmes

■ ATS performance measurements

- Important that ATS providers find ways to continually improve the safety and efficiency of ATS services
- Factors when measuring performance and quality of ATS services:
 - Safety
 - Delay
 - Predictability
 - Flexibility
 - Efficiency
 - Availability
 - Access
 - Cost of Service
 - Runway Capacity





THE END

THANK YOU