

1. Policy, Strategy, Resources

CANSO HPM WG Controlled:
Version 2.0: February 2025

Objective To establish a Human Performance Management system which supports the achievement of the organisation's goals

| Level | Capability Statement | Assessment Question | Comments |
|---------------------------------|---|--|----------|
| A: Informal Arrangements | There is no recognition of the importance of Human Performance Management in achieving the organisation's goals. | | |
| B: Defined | There is recognition that Human Performance Management will bring benefit | Is there recognition that Human Performance Management will bring benefit? | |
| | Plans are in place to set up a Human Performance Management system | Are plans in place to set up a Human Performance Management system? | |
| | Plans are in place to set target levels of maturity for each of the elements within the Human Performance Management system | Are plans in place to set target levels of maturity for each of the elements within the Human Performance Management system? | |
| C: Managed | There is a Human Performance Management policy | Is there a policy for Human Performance Management? | |
| | There is a Human Performance Management strategy | Is there a strategy for Human Performance Management? | |
| | The target levels to be achieved for each element are agreed at the appropriate level | Are the target levels to be achieved for each element agreed at the appropriate level? | |
| | There is a procedure in place that manages the interrelationships between different elements | Is there a procedure in place that manages the interrelationships between different elements? | |
| | A person is identified with a clear responsibility for the Human Performance Management system | Is a person identified with a clear responsibility for the Human Performance Management system? | |
| | The responsible person has a budget and programme for Human Performance Management | Does the responsible person have a budget and programme for Human Performance management? | |
| | Appropriate resources are provided to undertake the programme | Are appropriate resources provided to undertake the programme? | |
| | A Human Performance Management system is implemented according to the policy and strategy | Is a Human Performance Management system implemented according to the policy and strategy? | |
| D: Assured | Performance indicators are used to assess the effectiveness of the Human Performance Management system | Are performance indicators used to assess the effectiveness of Human Performance Management system? | |
| | Based on performance indicators, priorities for improvements to the Human Performance Management system are identified, documented and acted upon | Based on performance indicators, are priorities for improvements to the Human Performance Management system identified, documented and acted upon? | |
| | Appropriate expertise, including Human Factors capability, is deployed in a way that is tailored and proportionate to the size and complexity of the organisation | Is appropriate expertise, including Human Factors capability, deployed in a way that is tailored and proportionate to the size and complexity of the organisation? | |
| | Resources are continually available to fulfil the goals of the Human Performance Management strategy | Are resources continually available to fulfil the goals of the Human Performance Management strategy? | |
| | The availability of a Human Performance Management system supports the achievement of the organisation's business goals | Does the availability of a Human Performance Management system support the achievement of the organisation's goals? | |
| E: Optimised | The Human Performance Management system supports the organisation's long term strategy | Does the Human Performance Management system support the organisation's long term strategy? | |
| | The effectiveness of actions implemented for improving the Human Performance Management system is measured and evaluated | Is the effectiveness of actions implemented for improving the Human Performance Management system measured and evaluated? | |
| | The knowledge gained for each element is incorporated into the other Human Performance Management elements | Is the knowledge gained for each element incorporated into the other Human Performance Management elements? | |
| | The organisation learns about Human Performance Management from external stakeholders and other industries | Does the organisation learn about Human Performance Management from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practices in Human Performance Management | Does the organisation actively participate in developing industry best practice in Human Performance Management? | |

3. ATM Equipment and Support Tools

Objective

To manage human performance requirements during the design, implementation and operation of ATM equipment and support tools

CANSO HPM WG Controlled:
Version 2.0: February 2025

| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|--|---|-------|
| A: Informal Arrangements | ATM equipment and support tools are implemented without consideration of human performance requirements | | |
| | Human performance requirements are only based on common sense and operational experience | | |
| B: Defined | A process exists to identify and address human performance requirements for ATM equipment and support tools | Does a process exist to identify and address human performance requirements for ATM equipment and support tools? | |
| | Plans are in place to implement Human Factors design guidelines and standards | Are plans in place to implement Human Factors design guidelines and standards? | |
| | A process exists to integrate user feedback into the design, implementation and operation of ATM equipment and support tools | Does a process exist to integrate user feedback into the design, implementation and operation of ATM equipment and support tools? | |
| C: Managed | | | |
| | Resources [financial and personell] are deployed to support the process for managing the human performance requirements | Are resources deployed to support the process for managing the human performance requirements? | |
| | Human Factors design guidelines and standards and other procedures are consistently used to identify human performance requirements | Are Human Factors design guidelines and standards used consistently to identify human performance requirements? | |
| | Feedback from end users is integrated into the design, implementation and operation of ATM equipment and support tools | Is feedback from end users integrated into the design, implementation and operation of ATM equipment and support tools? | |
| | A procedure is used throughout the project lifecycle to assess whether the human performance requirements will be / are being achieved | Is a procedure used throughout the project lifecycle to assess whether the human performance requirements will be / are being achieved? | |
| D: Assured | Measures are used to provide assurance that human performance requirements will be / are being achieved | Are measures used to provide assurance that human performance requirements will be / are being achieved? | |
| | Feedback from end users of the ATM equipment and support tools is used to continually improve current and future designs | Is feedback from end users of the ATM equipment and support tools used to continually improve current and future designs? | |
| | Data is used to determine how the ATM equipment and support tools are actually used compared to their intended concept of use [<i>work as imagined vs. work as done</i>] | Is data used to determine how the ATM equipment and support tools are actually used compared to their intended concept of use [<i>work as imagined vs. work as done</i>]? | |
| | Lessons learned from data are used in current operations and future projects | Are lessons learned from data used in current operations and future projects? | |
| | Lessons learned from data are used to improve the management of human performance requirements associated with ATM equipment and support tools | Are lessons learned from data used to improve the management of human performance requirements associated with ATM equipment and support tools? | |
| E: Optimised | The organisation learns about managing human performance requirements from external stakeholders and other industries | Does the organisation learn about managing human performance requirements from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practice in managing human performance requirements | Does the organisation actively participate in developing industry best practice in managing human performance requirements? | |

4. Operational Procedures

Objective

To manage human performance requirements during the design, implementation and application of operational procedures

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| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|---|--|-------|
| A: Informal Arrangements | Operational procedures are implemented without consideration of human performance requirements | | |
| | Human performance requirements are only based on common sense and operational experience | | |
| B: Defined | A process exists to identify human performance requirements for operational procedures | Does a process exist to identify human performance requirements for operational procedures? | |
| | Plans are in place to address human performance requirements in the design, implementation and application of operational procedures | Are plans in place to address human performance requirements in the design, implementation and application of operational procedures? | |
| C: Managed | A process exists to integrate user feedback into the design, implementation and application of operational procedures | Does a process exist to integrate user feedback into the design, implementation and application of operational procedures? | |
| | A procedure for identifying human performance requirements is consistently applied | Is a procedure for identifying human performance requirements consistently applied? | |
| | Resources [financial and personell] are deployed to support the process for managing the human performance requirements | Are resources deployed to support the process for managing the human performance requirements? | |
| | Feedback from end users is integrated into the design, implementation and application of operational procedures | Is feedback from end users integrated into the design, implementation and application of operational procedures? | |
| D: Assured | A procedure is used to assess whether the human performance requirements will be / are being achieved | Is a procedure used to assess whether the human performance requirements will be / are being achieved? | |
| | Measures are used to provide assurance that human performance requirements will be / are being achieved | Are measures used to provide assurance that human performance requirements will be / are being achieved? | |
| | Feedback from end users is used to continually improve current and future operational procedures | Is feedback from end users used to continually improve current and future operational procedures? | |
| | Data is used to determine how the operational procedures are actually used compared to how they were intended to be used | Is data used to determine how the operational procedures are actually used compared to how they were intended to be used? | |
| | Lessons learned from data are used to improve current and future operational procedures | Are lessons learned from data used to improve current and future operational procedures? | |
| E: Optimised | Lessons learned from data are used to improve the management of human performance requirements associated with operational procedures | Are lessons learned from data used to improve the management of human performance requirements associated with operational procedures? | |
| | The organisation learns about managing human performance requirements from external stakeholders and other industries | Does the organisation learn about managing human performance requirements from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practice in managing human performance requirements | Does the organisation actively participate in developing industry best practice in managing human performance requirements? | |

5. Teamwork and Communication

Objective To have an effective exchange of information and safety awareness through teamwork and communication

CANSO HPM WG Controlled:
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| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|--|--|-------|
| A: Informal Arrangements | Consideration of teamwork and team performance is not routine as part of the service delivery and may be undertaken at the discretion of individuals | | |
| | Operational personnel do not communicate effectively | | |
| B: Defined | The organisation actively supports operational groups in working towards a common goal or purpose | Does the organisation actively support operational groups in working towards a common goal or purpose? | |
| | There are processes within the organisation that describe how the different groups work together in a coordinated manner | Are there processes within the organisation that describe how the different groups work together in a coordinated manner? | |
| | Teamwork and communication are recognised as contributing factors to safe operations | Are teamwork and communication recognised as contributing factors to safe operations? | |
| | The organisation has developed a plan how to address team attitudes, behaviours and teamwork in order to improve human performance | Has the organisation developed a plan how to address team attitudes, behaviours and teamwork in order to improve human performance? | |
| | There are activities that focus on information exchange and safety awareness that involve all members of staff? | Are there activities that focus on information exchange and safety awareness that involve all members of staff? | |
| C: Managed | Teamwork and communication are systematically trained in order to support human performance | Are teamwork and communication systematically trained in order to support human performance? | |
| | There is a documented requirement to develop and reinforce teamwork and communication | Is there a documented requirement to develop and reinforce teamwork and communication? | |
| | Operational personnel are systematically trained on positive attitudes, behaviours and effective communication strategies | Are operational personnel systematically trained on positive attitudes, behaviours and effective communication strategies? | |
| | Activities that reinforce teamwork and communication are regularly conducted | Are activities that reinforce teamwork and communication regularly conducted? | |
| D: Assured | There is a systematic training programme for teamwork and communication applied for all operational personnel (including engineers / technicians) | Is a systematic training programme for teamwork and communication applied for all operational personnel (including engineers / technicians)? | |
| | The results of the training programme are documented | Are the results of the training programme documented? | |
| | The impact of the training programme on human performance is regularly evaluated | Is the impact of the training programme on human performance regularly evaluated? | |
| | Multi-disciplinary teams within the organisation work proactively to improve safety | Do multi-disciplinary teams within the organisation work proactively to improve safety? | |
| | Organisational changes that may affect teamwork and communication are proactively identified and managed | Are organisational changes that may affect teamwork and communication proactively identified and managed? | |
| | Lessons learned from other teams [as in group of people] are exchanged and used to improve current and future performance. | Are lessons learned from other teams [as in group of people] are exchanged and used to improve current and future performance? | |
| E: Optimised | Effective team communication and working practices take place across organisational and international boundaries | Do effective team communication and working practices take place across organisational and international boundaries? | |
| | Proactive identification and management of organisational issues concerning team communication and working practices occurs | Does proactive identification and management of organisational issues concerning team communication and working practices occur? | |
| | People across the organisation are proactively engaging to improve human performance | Are people across the organisation proactively engaging to improve human performance? | |
| | The organisation learns about teamworking and communication from external stakeholders and other industries | Does the organisation learn about teamworking and communication from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practice in teamwork and communication | Does the organisation actively participate in developing industry best practice in teamwork and communication? | |

6 Operational Training

CANSO HPM WG Controlled:
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Objective

To ensure that human performance aspects are incorporated into the design, content and delivery of operational training

| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|---|--|-------|
| A: Informal Arrangements | There is no consideration of human performance aspects when designing operational training | | |
| | Human performance aspects are not included in the content of operational training | | |
| | Human performance aspects are not included in the delivery of operational training | | |
| B: Defined | Human performance aspects for the operational training syllabus have been identified | Have human performance aspects for the operational training syllabus been identified? | |
| | Plans are in place to consider the method of delivery of the human performance aspects of operational training | Are plans in place to consider the method of delivery of the human performance aspects of operational training? | |
| | | | |
| | There is a process in place to review whether operational training reflects the impact of change on human performance aspects | Is there a process in place to review whether operational training reflects the impact of change on human performance aspects? | |
| | There is a process in place to incorporate changes to human performance aspects into operational training | Is there a process in place to incorporate changes to human performance aspects into operational training? | |
| | There is a process in place for operational training to be aligned with the human performance aspects of the operation | Is there a process in place for operational training to be aligned with the human performance aspects of the operation? | |
| C: Managed | Human performance aspects are systematically incorporated into the delivery of operational training by both the trainee and the instructor | Are human performance aspects systematically incorporated into the delivery of operational training by both the trainee and the instructor? | |
| | The trainees' understanding of the human performance aspects of the operational training content is assessed | Is the trainees' understanding of the human performance aspects of operational training content assessed? | |
| | The human performance aspects associated with a change are systematically incorporated into operational training by both the trainee and the instructor | Are the human performance aspects associated with a change systematically incorporated into operational training by both the trainee and the instructor? | |
| | Operational training is systematically aligned with the human performance aspects of the operation | Is operational training systematically aligned with the human performance aspects of the operation? | |
| | Periodic refresher training on pertinent human performance aspects is provided | Is periodic refresher training on pertinent human performance aspects provided? | |
| D: Assured | The effectiveness of the human performance aspects of operational training is continually assessed | Is the effectiveness of the human performance aspects of operational training continually assessed? | |
| | The human performance aspects of operational training are continually revised based on feedback | Are the human performance aspects of operational training continually revised based on feedback? | |
| | There is a procedure in place that considers the impact of future operational concepts on the human performance aspects of operational training | Is there a procedure in place that considers the impact of future operational concepts on the human performance aspects of operational training? | |
| | The effectiveness of the human performance aspects of operational training in meeting future operational concepts is assessed | Is the effectiveness of the human performance aspects of operational training in meeting future operational concepts assessed? | |
| E: Optimised | The organisation learns about the human performance aspects of operational training from external stakeholders and other industries | Does the organisation learn about the human performance aspects of operational training from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practice in the human performance aspects of operational training | Does the organisation actively participate in developing industry best practice in the human performance aspects of operational training? | |

7 Selection

CANSO HPM WG Controlled:
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Objective To ensure that selection incorporates both current and future human performance requirements

| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|--|---|-------|
| A: Informal Arrangements | There is no consideration of human performance requirements in selection process | | |
| B: Defined | It is recognised that current human performance requirements should be included in the selection process | Is it recognised that current human performance requirements should be included in the selection process? | |
| | Plans are in place to identify the current human performance requirements that should be considered during selection process | Are plans in place to identify the current human performance requirements that should be considered during selection process? | |
| | Plans are in place to translate current human performance requirements into selection criteria | Are plans in place to translate current human performance requirements into selection criteria? | |
| | Plans are in place to use appropriate tests for the current human performance selection criteria | Are plans in place to use appropriate tests for the current human performance selection criteria? | |
| | There is a selection process that includes current human performance requirements | Is there a selection process that includes current human performance requirements? | |
| | There is a process that includes tests for the current human performance selection criteria | Is there a process that includes tests for the current human performance selection criteria? | |
| C: Managed | A selection procedure, including tests for current human performance requirements, is used systematically | Is a selection procedure, including tests for current human performance requirements, used systematically? | |
| | Data is collected to assess whether the selection criteria and tests meet the human performance requirements for current operations | Is data collected to assess whether the selection criteria and tests meet the human performance requirements for current operations? | |
| D: Assured | The data collected is analysed to determine the effectiveness of the selection criteria and tests in meeting the human performance requirements for current operations | Is the data collected analysed to determine the effectiveness of the selection criteria and tests in meeting the human performance requirements for current operations? | |
| | Selection criteria and tests are continually updated taking account of the data collected | Are selection criteria and tests continually updated taking account of the data collected? | |
| | There is a procedure in place that considers the impact of future operational concepts on human performance selection criteria and tests | Is there a procedure in place that considers the impact of future operational concepts on human performance selection criteria and tests? | |
| | Data is analysed to determine the effectiveness of the selection criteria and tests in meeting future human performance requirements | Is data analysed to determine the effectiveness of the selection criteria and tests in meeting future human performance requirements? | |
| E: Optimised | The organisation ensures that the human performance requirements associated with future operational concepts are integrated into the selection criteria and tests | Does the organisation ensure that the human performance requirements associated with future operational concepts are integrated into the selection criteria and tests? | |
| | The organisation learns about human performance selection criteria and tests from external stakeholders and other industries | Does the organisation learn about human performance selection criteria and tests from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practice in human performance selection criteria and tests | Does the organisation actively participate in developing industry best practice in human performance selection criteria and tests? | |

8. Impact of Change

Objective To identify, analyse and manage the impact of change on human performance

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| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|---|--|-------|
| A: Informal Arrangements | Considering the impact of change on human performance is not routine and may be undertaken at the discretion of the individual performing the task | | |
| | The organisation believes that individuals will naturally adapt to change without negative impact on human performance | | |
| | End users are not routinely involved when considering planned changes and how to ensure their success | | |
| B: Defined | End users are informed about any kind of change. | Are end users informed about any kind change? | |
| | End users are involved in identifying the human performance aspects associated with a planned change | Are end users involved in identifying the human performance aspects associated with a planned change? | |
| | There is a process defined that considers human performance aspects in change assessments | Is there a process defined that considers human performance aspects in change assessments? | |
| C: Managed | Appropriate resources [financial and personnel] are deployed to derive and assess Human performance requirements associated with change. | Are appropriate resources deployed to derive and assess Human performance requirements associated with change? | |
| | Human performance requirements associated with change are identified | Are human performance requirements associated with change identified? | |
| | A procedure exists that describes how human performance requirements are systematically addressed | Does a procedure exist that describes how human performance requirements are systematically addressed? | |
| | The achievement of human performance requirements is systematically monitored and documented | Is the achievement of human performance requirements systematically monitored and documented? | |
| | End users have an opportunity to impact the change in a timely manner | Do end users have an opportunity to impact the change in a timely manner? | |
| D: Assured | There is a procedure in place that identifies and manages the potential impact of multiple changes on human performance at the individual, group, unit and organisational level | Is there a procedure in place that identifies and manages the potential impact of multiple changes on human performance at the individual, group, unit and organisational level? | |
| | The organisation assesses readiness for change through analyzing the organization's environment, processes, resources, culture, and capabilities. | Does the organisation assess readiness for change through analyzing the organization's environment, processes, resources, culture, and capabilities? | |
| | Human performance assessments are conducted throughout the change lifecycle [design, development, implementation and operational stages] | Are human performance assessments conducted throughout the change lifecycle [design, development, implementation and operational stages]? | |
| | Assessments provide increasing confidence that human performance requirements are being met and sustained | Do assessments provide increasing confidence that human performance requirements are being met and sustained? | |
| | Actions are taken if human performance requirements are not achieved | Are actions taken if human performance requirements are not achieved? | |
| E: Optimised | External environmental changes [social, cultural and demographic] that may impact human performance are recognised | Are external environmental changes [social, cultural and demographic] that may impact human performance recognised? | |
| | The impact of external environmental changes are predicted and proactively addressed | Is the impact of external environmental changes predicted and proactively addressed? | |
| | Emerging risks or changing trends in human performance inside and outside of the industry are monitored | Are emerging risks or changing trends in human performance inside and outside of the industry monitored? | |
| | The organisation learns about human performance as it relates to the impact of change from external stakeholders and other industries | Does the organisation learn about human performance as it relates to the impact of change from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practice in human performance as it relates to the impact of change | Does the organisation actively participate in developing industry best practice in human performance as it relates to the impact of change? | |

9. Leadership

Objective To drive human performance throughout the organisation through ownership, direction and implementation

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| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|--|---|-------|
| A: Informal Arrangements | Leaders are not aware of Human Performance Management | | |
| | There is no recognition of the effect that leadership has on human performance | | |
| B: Defined | Plans are in place to provide leaders with an understanding of Human Performance Management | Are plans in place to provide leaders with an understanding of Human Performance Management? | |
| | There is recognition of the role that leadership throughout the organisation plays in driving human performance | Is there recognition of the role that leadership throughout the organisation plays in driving human performance? | |
| | Plans are in place to provide leaders with the capability to drive human performance | Are plans in place to provide leaders with the capability to drive human performance? | |
| C: Managed | Leaders are trained in Human Performance Management appropriate to their position in the organisation | Are leaders trained in Human Performance Management appropriate to their position in the organisation? | |
| | Leaders understand which elements of Human Performance Management are critical for their role | Do leaders understand which elements of Human Performance Management are critical for their role? | |
| | Procedures to support a leader's role and responsibilities for managing human performance are implemented | Are procedures to support a leader's role and responsibilities for managing human performance implemented? | |
| | Human performance data is made available to leaders that is appropriate to their position in the organisation | Is human performance data made available to leaders that is appropriate to their position in the organisation? | |
| | Leaders recognise the importance of involving informal leaders | Do leaders recognise the importance of involving informal leaders? | |
| D: Assured | Leaders act on the data available to make improvements to human performance | Do leaders act on the data available to make improvements to human performance? | |
| | Leaders share the lessons learnt from the assessment of the effectiveness of actions to improve human performance. | Do leaders share the lessons learnt from the assessment of the effectiveness of actions to improve human performance? | |
| | Leaders are proactive in managing human performance | Are leaders proactive in managing human performance? | |
| | Leaders involve informal leaders to drive human performance | Do leaders involve informal leaders to drive human performance? | |
| E: Optimised | The organisation learns from external stakeholders and other industries about the role of leadership in driving human performance | Does the organisation learn from external stakeholders and other industries about the role of leadership in driving human performance? | |
| | The organisation actively participates in developing industry best practice in the role of leadership in driving human performance | Does the organisation actively participate in developing industry best practice in the role of leadership in driving human performance? | |

10. Roles and Responsibilities

Objective To ensure that roles are defined and responsibilities are fulfilled with respect to Human Performance Management

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| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|---|---|-------|
| A: Informal Arrangements | Roles and responsibilities are not linked to the Human Performance Management goals of the organisation | | |
| B: Defined | Plans are in place to identify the roles and responsibilities necessary to deliver the elements of the Human Performance Management system | Are plans in place to identify the roles and responsibilities necessary to deliver the elements of the Human Performance Management system? | |
| | Plans are in place to undertake a mapping of the existing roles and responsibilities against those needed for the respective elements of the Human Performance Management system Plans are in place to identify the training requirements for the successful fulfillment of these roles and responsibilities | Are plans in place to undertake a mapping of the existing roles and responsibilities against those needed for the respective elements of the Human Performance Management system? Are plans in place to identify the training requirements for the successful fulfillment of these roles and responsibilities? | |
| C: Managed | Roles and responsibilities necessary to deliver the elements of the Human Performance Management system are identified | Are roles and responsibilities necessary to deliver the elements of the Human Performance Management system identified? | |
| | Training is provided to assigned individuals to enable them to fulfil their roles and responsibilities associated with the respective elements of the Human Performance Management system Changes in the elements of the Human Performance Management system are reflected in updated roles and responsibilities | Is training provided to assigned individuals to enable them to fulfil their roles and responsibilities associated with the respective elements of the Human Performance Management system? Are changes in the elements of the Human Performance Management system reflected in updated roles and responsibilities? | |
| D: Assured | The organisation continually evaluates whether the system is effective in delivering the elements of Human Performance Management. | Does the organisation continually evaluate whether the system is effective in delivering the elements of Human Performance Management? | |
| | The human performance management system is continually revised based on feedback about effectiveness. | Is the human performance management system continually revised based on feedback about effectiveness? | |
| E: Optimised | The organisation learns from external stakeholders and other industries about the roles and responsibilities necessary to deliver best practice in Human Performance Management | Does the organisation learn from external stakeholders and other industries about the roles and responsibilities necessary to deliver best practice in Human Performance Management? | |
| | The organisation actively participates in developing industry best practice concerning the roles and responsibilities necessary to deliver Human Performance Management | Does the organisation actively participate in developing industry best practice concerning the roles and responsibilities necessary to deliver Human Performance Management? | |

11. Human Performance Investigation and Learning

Objective

To identify strengths and weaknesses related to human performance. To share and implement lessons learnt across the organisation

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| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|---|--|---|
| A: Informal Arrangements | Consideration of human performance aspects during an investigation is not routine and may be undertaken at the discretion of the individual performing the task | | Authors Note: This is the only element with a two-part objective. Sharing and implementing across the organisation also refers to communication and team work. |
| | The investigation stops at the human error seeing it as the root cause of negative outcomes | | |
| B: Defined | A process for identifying human performance aspects in investigations is defined | Is there a process for identifying human performance aspects in investigations defined? | |
| | Plans are in place to implement processes and / or establish requirements to identify the human performance aspects during an investigation | Are plans in place to implement processes and / or establish requirements to identify the human performance aspects during an investigation? | |
| | Plans are in place for the dissemination and implementation of lessons learnt on human performance aspects | Are plans in place for the dissemination and implementation of lessons learnt on human performance aspects? | |
| C: Managed | Investigators are trained and qualified to consider the human performance aspects when investigating. | Are investigators trained and qualified to consider the human performance aspects when investigating? | |
| | A procedure for investigating human performance aspects is fully documented and is applied systematically | Is there a procedure for investigating human performance aspects that is fully documented and applied systematically? | |
| | There is a framework in place for categorising and classifying the human performance aspects | Is a framework in place for categorising and classifying the human performance aspects? | |
| | A procedure that defines the dissemination and implementation of lessons learned on human performance aspects within the organisation is applied systematically | Is a procedure that defines the dissemination and implementation of lessons learned on human performance aspects within the organisation applied systematically? | |
| D: Assured | Human performance trends and indicators [positive and negative] are defined and identified by using different data sources | Are human performance trends and indicators [positive and negative] defined and identified by using different data sources? | |
| | Underlying and systemic factors of human performance are investigated based on an established framework | Are underlying and systemic factors of human performance investigated based on an established framework? | |
| | Developing human performance trends are identified and distributed within the organisation | Are developing human performance trends identified and distributed within the organisation? | |
| | Lessons learnt on human performance are fed back into training, design, projects and other areas to reduce the likelihood of reoccurrence | Are lessons learnt on human performance fed back into training, design, projects and other areas to reduce the likelihood of reoccurrence? | |
| E: Optimised | Actions taken based on lessons learnt are evaluated to determine whether they achieve positive results [improvement circle] | Are actions taken based on lessons learnt evaluated to determine whether they achieve positive results? | |
| | Multiple data sources are used in an integrated, organisational manner to anticipate human performance variation and identify organisational drift | Are multiple data sources used in an integrated, organisational manner to anticipate human performance variation and identify organisational drift? | |
| | Lessons learnt related to human performance are shared with external stakeholders | Are lessons learnt related to human performance shared with external stakeholders? | |
| | The organisation learns about human performance investigation and lesson learning from external stakeholders and other industries | Does the organisation learn about human performance investigation and lesson learning from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practice in human performance investigation and lesson learning | Does the organisation actively participate in developing industry best practice in human performance investigation and lesson learning? | |

12. Human Performance Management Assurance

Objective To provide assurance that Human Performance Management is effective

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| Level | Capability Statement | Assessment Question | Notes |
|---------------------------------|--|---|-------|
| A: Informal Arrangements | There is no recognition of the need for Human Performance Management assurance | | |
| B: Defined | A plan is in place for how the organisation will provide Human Performance Management assurance | Is a plan in place for how the organisation will provide Human Performance Management assurance? | |
| | A process exists to review the progress being made towards the achievement of the target levels for each of the elements | Does a process exist to review the progress being made towards the achievement of the target levels for each of the elements? | |
| C: Managed | A plan is in place to assess whether the interrelationships between the elements within the Human Performance Management programme are being managed | Is a plan in place to assess whether the interrelationships between the elements within the Human Performance Management programme are being managed? | |
| | The assurance process covers Human Performance Management | Does the assurance process cover Human Performance Management? | |
| | The progress of the plans to obtain the target levels of maturity for each element is assessed | Is the progress of the plans to obtain the target levels of maturity for each element assessed? | |
| | The management of the interrelationships between the elements within the Human Performance Management programme is assessed | Is the management of the interrelationships between the elements within the Human Performance Management programme assessed? | |
| D: Assured | Data on the effectiveness of the Human Performance Management programme is collected | Is data on the effectiveness of the Human Performance Management programme collected? | |
| | The assurance process measures the effectiveness of Human Performance Management | Does the assurance process measure the effectiveness of Human Performance Management? | |
| | Based on data, plans for obtaining the target levels of maturity for each element are updated | Based on data, are plans for obtaining the target levels of maturity for each element updated? | |
| | Data is used to ensure that the management of interrelationships between elements within the Human Performance Management programme is effective | Is data used to ensure that the management of interrelationships between elements within the Human Performance Management programme is effective? | |
| | Positive and negative findings concerning the effectiveness of the Human Performance Management programme are acted upon | Are positive and negative findings concerning the effectiveness of the Human Performance Management programme acted upon? | |
| | The Human Performance Management programme is continually demonstrated to be fit for purpose | Is the Human Performance Management programme continually demonstrated to be fit for purpose? | |
| E: Optimised | Business benefits resulting from the Human Performance Management programme are delivered | Are business benefits resulting from the Human Performance Management programme delivered? | |
| | The organisation learns about Human Performance Management assurance from external stakeholders and other industries | Does the organisation learn about Human Performance Management assurance from external stakeholders and other industries? | |
| | The organisation actively participates in developing industry best practice in Human Performance Management assurance | Does the organisation actively participate in developing industry best practice in Human Performance Management assurance? | |