

TECHNICAL GUIDANCE MATERIAL

for

ATS Designated Examiners and Oversight

SUBJECT: TECHNICAL GUIDANCE MATERIAL FOR ATS DESIGNATED EXAMINERS AND OVERSIGHT

EFFECTIVE DATE: 11 September 2023

1. APPLICABILITY

1.1 This document applies to the following:

- 1.1.1 Guideline for DEs for the conduct of assessments;
- 1.1.2 Reference to Authorised Officers who conduct oversights on DEs.

1.2 This document does not apply to any assessment that does not require a Designated Examiner.

1.3 The SACAR and SACATS were consulted during the compiling of this document:

2. PURPOSE

2.1 **The purpose of this document is to:**

- 2.1.1 Expand on the basic principles and methodologies applied by the DE during the administration of an assessment.
- 2.1.2 Describe and emphasise the professional behaviours and conduct which shall be always displayed by DEs while exercising their privileges.

3. REFERENCE:

- i. Annex 1
- ii. Part 65

4. ABBREVIATIONS:

ABBREVIATIONS	MEANING
AO	Authorised Officer
ATC	Air Traffic Services
ATO	Aviation Training Organisation
ATSU	Air Traffic Services Unit
CARs;	Civil Aviation Regulations
DCA	Director of the Civil Aviation

DE	Designated Examiner
SACATS	South African Civil Aviation Technical Standards
SACAA	South African Civil Aviation Authority
SACAR	South African Civil Aviation Regulation
SACATS	South African Civil Aviation Technical Standards

5. GENERAL

- 5.1 A person is designated as Examiner by the DCA in compliance with the SACAR 65 and associated SA-CATS.
- 5.2 The designation is granted at the entire discretion of the DCA and shall therefore be considered a privilege and not a right.
- 5.3 It remains the obligation of the DE to ensure the maintenance of the highest standards and to comply with all regulatory requirements to maintain the designation.

6. RESPONSIBILITIES OF DEs

- 6.1 The DE should check the licence of the trainee for validity before commencement of the assessment.
- 6.2 The DE should check the training log of the trainee to confirm if the minimum training hours have been met.
- 6.3 The DE should confirm with the trainee his/her readiness to commence with the assessment.
- 6.4 It is the responsibility of the DE to be clear about his/her role and professional etiquette by referring to Annexure 1: Code of Conduct for Air Traffic Services Designated Examiners

7. STANDARDISATION AND OVERSIGHTS

- 7.1 SACAA has the mandate to supervise the activities of all DEs in order to ensure that the assessment standards are achieved uniformly and at a satisfactory level.
- 7.2 To this effect, the DCA has appointed Authorised Officers (AOs) who are trained and suitably qualified to conduct oversights on the activities of DEs.
- 7.3 The purpose of oversights is to ensure that the DEs achieve the required standards and that they conduct themselves in conformity with the Code of Conduct and guidelines provided in this document.
- 7.4 An oversight may only be conducted over one DE during the administration of an assessment.
- 7.5 An oversight may be carried out during the administration of a desktop exercise.
- 7.6 In case of an actual assessment, the DE should inform the candidate(s) about the assessment and its purposes well in advance. The assessment may not take place without prior consent of the candidate(s).
- 7.7 AOs are responsible for arranging their oversight with DE. The request for an oversight shall be addressed in writing via email to the relevant ATSU/ATO.

8. DUTIES AND RESPONSIBILITIES OF THE AO DURING AN OVERSIGHT

- 8.1 During an oversight, the AO assumes an administrative duty and does not conduct a licensing action. He or she may therefore by no means interfere with the flow or the outcome of the assessment unless it is imperative in the interests of safety.
- 8.2 In the case of a DE finding a candidate competent for the assessment, and the AO is not in agreement with the finding, the AO will discuss the matter with the DE prior to the debriefing.
- 8.3 An oversight shall be deemed to be incomplete if an AO does not observe the entire assessment, which includes the pre-brief, de-brief and administrative procedures where possible.
- 8.4 An Oversight may only be conducted during the administration of an assessment which requires a DE.

- 8.5** During an oversight, the AO evaluates the DE against all aspects and items listed in the “DE oversight report.”
- 8.5.1** The AO will also ensure that the DE:
- a. is acting within the limits of his or her authority.
 - b. displays a satisfactory level of knowledge and skills appropriate to the assessment conducted.
 - c. is well conversant with the SACAR, SACATS and all SACAA Aeronautical Information Publications.
 - d. conducts the assessments fairly, in compliance with the Technical Standards, and in accordance with the guidelines provided in this manual.
 - e. covers all required assessment sections and aspects contained in the applicable CA 65-17 form; and
 - f. follows administrative procedures in compliance with the requirements of the SACAR and SACATS.
- 8.6** The AO shall always be on time. In case of an unexpected delay, he or she shall inform the DE as soon as practical.
- 8.7** The AO shall meet the DE at least 15 minutes prior to the assessment in order to discuss the terms and conditions as well as the rules of engagement applied during the conduct of the oversight.
- 8.8** The AO shall introduce himself or herself to the candidate(s) in a professional manner, explaining the objectives of the oversight and indicating that he or she will mainly focus on the performance of the DE. The AO should also ensure that the DE agrees verbally with the oversight processes.
- 8.9** An AO shall be professional and suitably dressed at all times as he or she represents the Director of Civil Aviation.
- 8.10** After completion of the assessment, and upon request from the DE, the AO may provide input to the candidate(s). The AO may also brief, coach or mentor the candidate(s) and/or DE on any matter(s) pertaining to the SACAA.
- 8.11** After the conclusion of the assessment, the AO shall debrief the DE, ensuring that all deficiencies and deviations from standards are dealt with in a constructive and professional manner.
- 8.12** The AO and DE shall at all times engage with each other with the highest degree of respect and politeness.

9. PRINCIPLES OF EVALUATION

- 9.1** The aim of an assessment is to:
- 9.1.1** assess skills, knowledge and attitude relevant to a licence and/or a rating.
 - 9.1.2** determine whether the candidate:
 - a. is capable of applying his or her knowledge to real live events.
 - b. is capable of making the appropriate decisions;
 - c. applies acceptable risk management;
 - d. maintains acceptable levels of safety in accordance with SA CATS and CARs;
 - 9.1.3** improve the standards of instruction and training of those exercises and procedures that are weak; and
 - 9.1.4** promote learning.
- 9.2** Assessment plan:
- 9.2.1** In preparation for the assessment, the DE should be well conversant with assessment form CA 65 17 and annexure 2 of this document.
 - 9.2.2** A CA 65 17 is a useful tool which can:
 - a. enhance the effectiveness of the evaluation processes;
 - b. assist the DE with achieving the objectives;
 - c. cater for contingencies in case of deficient performance (additional questions, another scenario etc.); and
 - d. prevent the accidental omission of compulsory aspects.

9.3 Evaluation Cycle

9.3.1 The evaluation process is a five-stage cycle:

- a. **Objective:** The first stage determines the objective of the assessment aspects. Since it would be meaningless to assess the candidate's performance without considering what that performance should be, the process of assessment should begin with clearly defined objectives. These objectives are specified in the DE assessment form.
- b. **Standards:** To be proficient in evaluating a candidate's performance during an assessment, the DE must be completely familiar with the standards for each aspect. These standards are described in the Standards and Procedures Manual.
- c. **Performance:** The DE assigns the tasks and observes the candidate's performance in response to the situations presented.
- d. **Observation:** The DE observes the performance and compares it to the performance criteria for the task.
- e. **Assessment:** Based on an observation of the candidate's performance under existing conditions, the DE assesses the performance and assigns a grading. When a candidate commits significant errors during the performance of a task, the DE must state the nature of the problem(s) on the comments page of the assessment form. To be useful, the notes must be clear and support the grading which has been assigned.

9.4 Factors affecting the evaluation.

9.4.1 An evaluation may become useless if certain principles are not respected. The following 5 (five) characteristics, when used carefully in the conduct of an assessment, will result in an accurate and effective evaluation.

- a. **Reliability.** Reliability ensures consistent results. As applied to the assessment, this would mean that two identical performances should result in the same assessment grading and marking.
- b. Human factors can have a significant effect on skills test reliability. Some of these factors are:
 - i. **fatigue** - insufficient sleep or rest prior to the test
 - ii. **emotions** - work or home personal problems
 - iii. **health** - cold, flu, etc.
 - iv. **time of day** - very early in the morning, or late afternoon.
 - v. **distractions** - noise, interruptions, etc.
- c. DEs should be conscious of these factors and attempt to limit their effects as much as possible for they may adversely affect the candidate's performance.

Note: The DE may also be affected by these factors which could deteriorate his or her assessing capabilities.

- d. **Validity:** Assessments and checks are valid if they measure what they are supposed to measure and nothing else. The scope of the assessment must be such that when candidates are marked and graded as competent, they have met the knowledge, skill and attitude requirements for the issuance or maintenance of a specific licence or rating.
- e. **Comprehensive:** An assessment is comprehensive if it contains a sample of all course material and measures each area of skill and knowledge required to ensure the standard is met.

- f. **Discernment:** In assessing, discernment enables the DE to detect different levels of achievement among candidates. Discernment separates a standard performance from an excellent, mediocre or poor performance. The grading scale is designed to reveal how candidates perform and allows for a greater degree of discernment than one that simply distinguishes between pass and fail.
- g. **Objectivity:** Objectivity ensures that the DEs personal opinions will not affect the outcome of the assessment. The grading awarded must be made in accordance with the applicable performance criteria.

Note: An assessment is inevitably influenced by some degree by subjective opinions.

9.5 Evaluation Errors

9.5.1 In order to assess effectively, the DE requires not only a sound knowledge of the characteristics of evaluation, but also a firm understanding of the possible errors that can occur throughout the assessment process. Errors in assessment fall into several categories.

- a. **Personal Bias Error.** A bias is defined as a prejudice in favour of or against someone or something. DEs must not allow personal prejudices to interfere with the objective evaluation of a candidate's performance.
- b. **Central Tendency errors.** Central tendency errors are indicated by a tendency to rate all or most candidates as average. The DE really “feels” that the performance of most candidates is not as good as it should be and therefore underscores a candidate’s good performance. On the other hand, the DE is reluctant to cope with the possible emotional response of a candidate or a recommending instructor. This results in padded or inflated assessments of poor performance. This error may also occur because a DE does not want to put effort into making a decision. An average grade is easier to defend.
- c. **Generosity errors.** Generosity errors are indicated by a tendency to rate all individuals at the *high end* of the scale and are probably the most common type of personal bias. This could be caused by a DEs desire to be known as a nice person.
- d. **Severity errors.** In this case, all or most candidates are graded at the *low end* of the scale. DEs may feel that the published standards are too low and score the test against their own set of standards. This type of DE feels that few people can conduct their duties as well as they can.
- e. **Halo Effect.** The halo effect is the tendency for an impression created in one area to influence opinion in another area. It is a cognitive bias in which an observer's overall impression of a person influences his or her feelings and thoughts about that person. This occurs when a DEs overall impression of a candidate is allowed to influence the assessment of performance. For example, when assessing a friend, acquaintance, or high-profile individual, a DE may give undeservedly high grades.
- f. **Logical error.** Logical error occurs when a DE assumes that a high degree of ability in one area means a similar degree of competency in another. If a candidate is assessed as competent in one or two aspects, it does not mean the candidate is also competent in all remaining aspects. The full assessment must be completed and assessed.
- g. **Error of delayed grading.** This type of error occurs when there is a delay in the assessment of a performance, resulting in a tendency to award average grades due to the lack of information and/or poor recall. By not making an assessment immediately after observing the performance, DEs may award a grading

based upon an overall impression of the assessment. This results in an erroneous assessment that is of little value to the training industry and SACAA standards monitoring system.

- h. **Standards error.** Standards error is a result of all the errors we have discussed. However, if a DE is not thoroughly familiar with established standards, as outlined in the applicable forms, SA-CATS and this document, assessing an applicant against those requirements is virtually impossible.

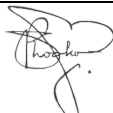
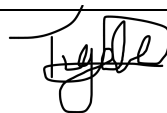

9.6 Handling a failed assessment

- 9.6.1 DEs should be sensitive to the fact the candidate may become aware or assume that an assessment aspect has been performed at an unacceptable level without the DE's input. The Des should then encourage the candidate to continue, provided that he or she is still eligible, and agrees to complete the assessment.
- 9.6.2 DEs should terminate the assessment when it becomes evident that a complete re-assessment is required, unless the candidate wishes to complete the remaining aspects for the benefit of learning.

9.7 Unsuccessful DE oversight

Should the AO find the DE unsuccessful the following shall apply:

- 9.7.1 The AO will inform the DE of the unsuccessful oversight and state reason(s) as to why the DE was deemed unsuccessful as per CA65-16 and ATS DE Technical Guidance Material.
- 9.7.2 The DE will undergo remedial action focusing on the reasons mentioned in a) above, that deemed him/her unsuccessful.
- 9.7.3 The DE can only request a DE oversight 21 days after an unsuccessful oversight.
- 9.7.4 Requests for DE oversights are limited to only two attempts per annum.
- 9.7.5 Should the DE be found unsuccessful on all three (initial plus two attempts) annual oversights, the DE will only be eligible to apply for the designation after 24 months post an unsuccessful third attempt.

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**CODE OF CONDUCT FOR AIR TRAFFIC SERVICES
DESIGNATED EXAMINERS (ATS DE's)**

1. Introduction

The Designated Examiners (DEs) are appointed by the Director of Civil Aviation (DCA) in terms of CAR 65 to carry out assessments for licensing purposes on her or his behalf. The Designated Examiners are therefore representatives of the DCA and have a statutory obligation to demonstrate a high standard of behaviour and professionalism.

2. Purpose of the Code of Conduct

The purpose of this document is to develop and maintain a conduct that is acceptable from a representative of the DCA.

3. The role of a Designated Examiner

3.1. A DE is appointed to assess Air Traffic Services (ATS) personnel performance against SACAA standards, and to:

3.1.1. Evaluate the ATS personnel ability to apply the required knowledge and perform the tasks to the required level of skills;

3.1.2. identify and deal with hazardous (inappropriate) behaviours;

3.1.3. promote safety at all times;

3.1.4. encourage learning;

3.1.5. assist the training organizations with training standard improvement;

3.1.6. maintain efficient line of communication with SACAA.

3.2. DEs have the obligation to provide a prompt service, on request by industry, private individuals or on instruction by the DCA; to any person, who wishes to undergo an assessment, provided such person complies with all regulatory requirements pertaining to such assessment.

3.3. DEs are expected to honour appointments unless circumstances warrant cancellation or postponement. If a DE is conducting an assessment outside the service provider where they are employed, the DE should notify SACAA ATS section of the planned assessment. In the event of a cancellation, this must be communicated to the client timely and the SACAA notified. The DE may refer the client to another available DE or may arrange to conduct the assessment at a mutually acceptable date and time.

3.4. DEs should endeavour to understand and adopt the guidelines contained in the Technical Guidance Material.

3.5. DEs should make recommendations to the SACAA for the issuance of ratings or validations to Air Traffic Service personnel.

4. Professional Etiquette

DEs, as representatives of the DCA, are required to:

- 4.1. be professional and act with integrity;
- 4.2. be on time;
- 4.3. not discriminate against others;
- 4.4. be polite and courteous;
- 4.5. be respectful;
- 4.6. be strict but fair;
- 4.7. be unbiased and uncompromised;
- 4.8. endeavour to maintain a high level of knowledge in his or her areas of expertise as well as in the relevant SA-CAR, SA-CATS and applicable SACAA Aeronautical Information Publications;
- 4.9. be well familiarized with the SACAA website;
- 4.10. act in ethical manner;
- 4.11. remain independent from external stakeholders when conducting his/her duties.

A DE shall, at all cost and at any given time, refrain from defaming and deforming the character of SACAA and its staff. Such behaviour is viewed in a serious light.

5. Acknowledgement

I acknowledge that I received a copy of the Code of Conduct for ATS Designated Examiners dated and confirm that I fully understand the content thereof.

I herewith commit to abide by this Code of Conduct and to represent the Director of Civil Aviation in a professional and uncompromised manner.

I understand that a breach of any part of this Code of Conduct may lead to enforcement action and removal of my appointment as Designated Examiner.

SIGNATURE OF DESIGNATED EXAMINER	NAME IN BLOCK LETTERS	DATE