Advisory Circular:

DEVELOPMENT OF APPROVAL FOR AVIATION SECURITY TRAINING ORGANISATIONS AND SCREENER CERTIFICATIONS

Date: 16 September 2009

TABLE OF CONTENTS

1. Approval of Aviation Security Training Organisations
   1.1. Definition of Approval
   1.2. Definition of Approval venues
   1.3. Criteria for Approval
      1.3.1. General criteria
      1.3.2. Additional criteria
   1.4. Process of Approval
   1.5. Conditions of Approval

2. Assessment
   2.1. Introduction
      2.1.1. Competence defined
      2.1.2. Assessment defined
      2.1.3. Competence as applied on assessment
   2.2. Who does Assessment?
      2.2.1. Categories of Assessors
      2.2.2. Requirements for Assessors
2.2.3. Records of assessment

2.3. What needs to be assessed?

2.4. When does Assessment take place?

2.5. Where would Assessment happen?

2.6. How do you assess?

3. REGISTRATION OF LEARNERS

4. MODERATION AND QUALITY AUDITS OF APPROVED TRAINING

4.1. Introduction

4.2. Moderation

4.3. Moderation guidelines

5. CERTIFICATION OF LEARNERS

5.1. Qualifications

5.2. Certification by CAA

6. NON-CONFORMANCE AND CORRECTIVE MEASURES

7. APPROVAL FEES

7.1. Process for training organisation’s initial approval
1. APPROVAL OF AVSEC TRAINING ORGANISATIONS

1.1. Definition of Approval

Approval refers to the assumption that the training organisation will be able to comply with the overall quality control system required to ensure quality of training and assessment. It is an up-front check of policies and procedures as well as review mechanisms to ensure that training organisations have the competence and capacity to deliver and assess training required by South African Civil Aviation Authority (SACAA).

1.2. Definition Of Approved Venues

In order for the training organisation to be approved, both the institutional as well as the curriculum and/or training requirements must be met. This means that both the organisation and the programme/curriculum have to be approved for effective training and learning to take place.

1.3. Criteria For Approval

The South African Civil Aviation Authority (SACAA) sets the criteria that each applicant must comply with if such applicant requires approval.

SACAA has to approve any training organization that meets the prescribed criteria.

SACAA will expect every applicant to measure itself against the prescribed criteria prior to submission of an application so as to ensure that compliance with these criteria is met.

1.3.1. General Criteria

1.3.1.1. All training should meet an identified need within the Aviation industry.

1.3.1.2. All training should result in the learners gaining meaningful skills that can be used to their advantage and personal development.

1.3.1.3. All skills should be consistent with SACAA career paths. (Note: This is a long term criterion and will be established over time.)

1.3.1.4. The applicant must be registered in terms of all applicable legislation. (Registrar of Companies, UIF, Registered as an employer with the Receiver of Revenue, VAT - Receiver of Revenue, Workman's compensation, etc).
1.3.1.5. The applicant will:

(a) have a quality control system which includes but is not limited to –

- **quality management policies** which define that which the training organisation wishes to achieve;
- **quality management procedures** which will enable the training organisation to practice its defined quality management policies; or
- **review mechanisms** which ensure that the quality management policies and procedures defined are applied and remain effective

(b) be able to develop, deliver and evaluate learning programmes which culminate in specified learning programmes (modules); (Should a training organisation not have the capacity to develop suitable learning programmes/training material, it could be outsourced).

(c) Submit proof of the following:

- policies and practices for staff selection, appraisal and development;
- policies and practices for learner entry, guidance and support systems;
- policies and practices for the management of off-site practical or work site components;
- policies and practices for the management of assessment;
- necessary reporting procedures

1.3.2. Additional Criteria

Whether training takes place at education and training centres or on actual work sites, the following additional criteria must be adhered to:

1.3.2.1 Adequate training material (consumables), facilities, tools and equipment must be available.

1.3.2.2 Relevant material for tasks must be available, where applicable.

1.3.2.3 Safe and accessible conditions for learners.

1.3.2.4 Learning material/modules must be available and kept in a safe place.

1.3.2.5 All training records and results of training in progress should be available on site and will be kept after completion of training at the administrative centre of the training provider. Records will be at the disposal of any SACAA representative on request. Training schedules (prescribed forms) of all instructors will also be available at this
1.3.3 **What are the steps in the approval process?**

The approval process comprises six major phases that follow in sequence and that form a process cycle. The phases in the process cycle are progressive and each phase needs to be completed for the next to be successfully achieved. The phases are briefly outlined below:

1.3.3.1 **The application phase:**

This phase involves ensuring that you fit within the SACAA AVSEC Training spectrum and that the primary focus has met the legislative requirements.

1.3.3.2 **The self-evaluation phase:**

The self-evaluation phase requires you to conduct wide-ranging and thoughtful self-evaluation against CAA criteria using information collected from a variety of sources. The objective of the self-evaluation is to identify areas for further improvement and to determine whether the provider of training is ready to move into the verification phase.

1.3.3.3 **The verification phase:**

This phase involves external verification on your status as a provider in relation to the different core criteria, i.e. learning programmes (modules), practitioners, assessment, etc.

1.3.3.4 **The approval phase:**

During this phase the SACAA – Training & Certification department will approve you as a provider of aviation security training if you meet the criteria.

1.3.3.5 **The approval monitoring phase:**

The phase involves ensuring that you continue to observe the criteria for approval. Monitoring includes the quality assurance of learning achievements whereby CAA Training & Certification checks that the results you submit to it are an accurate reflection of learner competence against standards; and then CAA can endorse these results for certification.

1.3.3.6 **The review phase:**
Before the expiry of approval, providers of aviation security training are required to seek a review of their approval status.
1.4. PROCESS OF APPROVAL

1.4.1. Applicants must obtain an application form from the offices of SACAA or download it from CAA website.

1.4.2 Documentation proving the institutions compliance with the criteria must be submitted with the application.

1.4.3 The Training and Certification department within SACAA will evaluate the application and make a recommendation once all the requirements are met and all information is checked and confirmed.

1.4.4 The Training and Certification Manager will acknowledge the receipt of such submission to the applicant electronically or by post.

1.4.5 The Manager will arrange for an audit of the training facilities and programme of the applicant.

1.4.6 The SACAA inspectors will conduct in-depth audits of the Training Organisations to verify all the information supplied and to check compliance and conformance with the CARS 109 and Technical Standards.

1.4.7 Once the applicants meet all the set criteria, an approval letter/signed by the delegated Commissioner will be issued to the applicant.

1.4.8 The Training and Certification Division within AVSEC Department will notify the applicant in writing of the outcome of the CAA decision.

1.4.9 If the application is successful, a letter will be issued to the applicant.

1.4.10 Applications for renewal must be submitted to the offices of SACAA – AVSEC Department, Training and Certification. New letters will be issued accordingly.

1.5. CONDITIONS OF APPROVAL

By signing the application for approval, it is accepted that the conditions of approval as stipulated below are also noted and will be adhered to by management with executive powers as well as all other members of the training organisations.

Failure to adhere to these conditions will result in penalisation of the training organisation and may lead to the cancellation of the approval of the training organisation.

1.5.1. Records of training must be kept. These results (hard copies) must be retained on file for three years.
1.5.2. A training schedule of each instructor (practitioner) must be available at the training site.

1.5.3. Personal records of each practitioner must be kept, including a CV, development progress, accreditation certificates etc. This must be updated regularly.

1.5.4. Random monitoring of training will be conducted regularly to determine the standard of training delivered by each training organisation.

1.5.5. Training organisations take full responsibility for the practitioners/instructors in its employ and will ensure that they will adhere to the conditions of approval of the SACAA as contained in this document.

1.5.6. Training organisations must inform SACAA of any new practitioner/instructor appointment or resignation within a calendar month thereof. The latter will further be evaluated by CAA inspectors for suitability (including via class visits).

If the training organisation or any practitioner/instructor in its employ does not comply with any rule, regulation, or condition of accreditation as laid down by SACAA, SACAA shall not grant any approval.

2. ASSESSMENT

2.1. INTRODUCTION

All training organizations are required to have a quality control system in place, which includes policies, procedures, and review mechanisms for all programmes. Included among these are policies, procedures, and mechanisms for the management of assessment - both internal and external.

2.1.1. Competence defined

If competence is what assessment is all about, an obvious starting point would be to agree on a definition of competence. The following definition is suggested, based on the definition of Ian Bellis:

"I am competent when I can deliver the relevant desired performance in a specific situation whilst demonstrating such an understanding of the performance, of its knowledge base and of the system in which the performance is carried out, that I would be able to deliver equally desired performances in other related contexts, illustrating the ability to innovate when appropriate".
In the above definition "desired performance" represents the performance as it is described in the relevant documentation for all learning programmes, accompanied by the assessment criteria. This broader and more comprehensive definition of competence would require a broader and more comprehensive concept and application of assessment as well. Assessment will have to be more of a continuous, formative and summative. All continuous assessment activities will progressively add towards the final summative assessment results, with the latter carrying bigger percentage in determining final competence.

2.1.2. Assessment defined

Assessment is the process of collecting sufficient evidence about the performance and the related understanding of a person and making a judgement about whether it conforms to the outcomes as described in the learning programme.

2.2. WHO DOES ASSESSMENT

2.2.1. Categories of Assessors

Assessment is a key function in the approval process. An approved training organisation will have the ultimate responsibility to ensure that assessment of its learners are conducted in terms of this policy, although the physical assessment will be done by the following categories of assessors:

2.2.2. Practitioner/Instructor

As a learner progresses through the training, continuous formative assessment is necessary and the practitioner/instructor does this.

2.2.3. Assessor employed by approved training organisation

This could be a practitioner or someone who specialises in assessments only.

2.2.4. Assessor practicing as a consultant

An assessor can operate as a consultant conducting assessments under the auspices of the AVSEC approved training organisation.
2.3. WHAT NEEDS TO BE ASSESSED

2.3.1. The competence of the learner needs to be assessed -competence as defined in above.

2.4. WHEN DOES ASSESSMENT TAKE PLACE

2.4.1. If assessment is formative the assessor will have the discretion as to when evidence of different kinds will be gathered. The latter evidence should be in terms of the training organisation’s assessment policy as underpinned by its QMS.

2.5. WHERE WOULD ASSESSMENT HAPPEN

2.5.1. Assessment based on initial training shall be conducted under simulated conditions, either at the venue of the institutional training centre. Assessment based on OJT shall take place at the work place area where screeners will be doing OJT under the supervision and offer refresher/recurrent training.

2.5.2. More realistic assessment can be conducted on the job on a work place. Such an assessment could however be limited to the activities, which are prevalent on a specific site at a specific time.

2.5.3. In the above-mentioned cases an effort should be made to ensure that the assessment covers the integration of knowledge and skills as far as possible.

2.5.4. Additional assessment in the form of written theoretical tests might be necessary to assess knowledge, understanding and innovation, during initial classroom and refresher/recurrent training.

2.5.5. For the most cost-effective assessment it would be critical for the assessor/examiner to liaise very closely with the training organisation.

2.6. HOW DO YOU ASSESS

2.6.1. In assessment the assessor/examiner should facilitate learners to take control of their own learning.

2.6.2. The nature or type of assessment should be:

2.6.2.1. Formative

2.6.2.2. Summative, or

2.6.2.3. Diagnostic
2.6.3. Assessment must be:

2.6.3.1. Valid
2.6.3.2. Fair
2.6.3.3. Reliable
2.6.3.4. Flexible
2.6.3.5. Cost effective
2.6.3.6. Transparent
2.6.3.7 Supportive to the learning process.

2.6.4. Learners with special needs must be accommodated (language problem or physically handicapped).

2.6.5. A judgement of the learner being:

2.6.5.1. Competent, or
2.6.5.2. Not yet competent,
2.6.5.3. This should in both cases be supported by sufficient evidence

2.6.6. The process of assessment should include:

2.6.6.1. Planning the assessment.
2.6.6.2. Preparing and informing the learner.
2.6.6.3. Conducting the assessment.
2.6.6.4. Providing feedback to the learner and the SACAA.
2.6.6.5. Recording the results.
2.6.6.6. Evaluating/reviewing the process of assessment.
2.6.6.7. Dealing with appeals where applicable.

3. REGISTRATION OF LEARNERS

3.1. Training organisations will register all learners entering all learning programmes/modules.

3.2. The training organisation will have the responsibility to issue certificates to
candidates that have successfully completed the learning programmes.

3.3. Training organisations will be expected to keep data records of all learners trained by that specific organisation.

3.4. The training organisation will keep record of any learner’s individual performance and progress.

3.5. All training and assessment conducted by the CAA approved organisations will be ratified/verified by CAA and the latter will certify screener through CAA exams.

4. MODERATION AND QUALITY AUDITS OF APPROVED TRAINING

4.1. INTRODUCTION

The objective of moderation and quality audits is to verify whether approved training organisation conform to the conditions of approval. These conditions are aimed at ensuring that the training standards as prescribed are being complied with.

4.2. MODERATION

Moderation would concentrate on evaluating whether the relevant prescribed standards are effectively applied. Representatives of SACAA will execute moderation activities.

4.3. MODERATION GUIDELINES

In order to provide guidance to prospective applicants, broad focus areas of the moderation panel are mentioned below:

4.3.1. Does the approved training organisation in terms of its scope of approval comply with the following?

4.3.1.1. Are practitioners/instructors suitably qualified?

- Do the qualifications and nature of training/experience of practitioners technically equip them for areas of instruction?
- Are practitioners suitably qualified/experienced/skilled as practitioners?

4.3.1.2. The necessary:

- Training projects.
- Opportunities for work place exposure negotiated.
- Machines, and
4.3.2. Are the training standards as detailed in the relevant standards documentation being complied with?

4.3.2.1. Are practitioners familiar with the contents of the unit standards?

4.3.2.2. Do practitioners understand the meaning of conformance with the prescribed performance standards?

4.3.2.3. Is the procedure followed during assessment such that the result can be seen as a true reflection of the competency of the learner?

4.3.2.4. Do the end products of performance fully conform to the specifications as detailed in the standards documentation?

5. CERTIFICATION OF LEARNERS

5.1. QUALIFICATIONS

The certification for formal exit points reached by learners will be done by the approved training organizations.

5.2. CERTIFICATION BY CAA

- All Screeners at airports, airlines, and cargo agencies shall sit for CAA examinations as a requirement for certification.
- No person shall act as a screener at airports, airlines and regulated agents unless such person is the holder of a valid screener certification issued by the Commissioner in terms of Part 110 regulation and associated technical standards.
- In future all screeners shall be trained by CAA AVSEC Training Organisations approved in terms of Part 109 of the Civil Aviation Regulations and associated technical standards.

6. NON-CONFORMANCE AND CORRECTIVE MEASURES

It is the responsibility of an approved training organisation to ensure that the training outcomes conform to the prescribed standards and module objectives and that the conditions of approval are adhered to.

An effective Quality Management System adhered to by the provider’s staff will
minimise the possibility that non-conformance will occur.

7. APPROVAL/CERTIFICATION FEES

The fees are paid in accordance with the fee structure as prescribed in Part 187 of the Civil Aviation Regulations.

7.1. PROCESS FOR TRAINING ORGANISATIONS INITIAL APPROVAL

The applicants must ensure that the correct application forms are utilised and that the correct amount is paid in accordance with the fee structure as prescribed in Part 187 of the Civil Aviation Regulations.

ISSUED BY: TRAINING AND CERTIFICATION
DIVISION: AVSEC
APPROVED BY SM: TRAINING AND CERTIFICATION

<table>
<thead>
<tr>
<th>SIGNATURE OF SM: TRAINING AND CERTIFICATION</th>
<th>NAME IN BLOCK LETTERS</th>
<th>DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>EDMUND NXUMALO</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>