UMALUSI

Council for Quality Assurance in
General and Further Education and Training

CONSOLIDATING THE SUB-FRAMEWORK

4 National Certificate (NC)
NQF L4
Amended Senior Certificate
National Senior Certificate (NSC)
National Certificate Vocational NC(V)
National Senior Certificate for Adults (NASCA)
CONSOLIDATING THE SUB-FRAMEWORK

TVET Colleges
National Qualifications Framework Act, 2008
NQF L3

Intermediate Certificate
NSC-Gr11
National Certificate Vocational L3
Engineering Studies (N2)
Subject certificates towards one or more qualification designated variants

2014

The General and Further Education and Training Quality Assurance Act, 2001

Elementary certificate (IC)
NSC-Gr10
National Certificate Vocational L2
Elementary Certificate of education
NQF L2
Subject certificates towards one or more qualification designated variants

NQF L1
General Certificate (GC)
General Certificate of Education (GCE)
General Education and Training Certificate
General Education and Training Certificate for Adults
GCE ABET NQF L1 GETCA
GENERAL EDUCATION & TRAINING
Subject (LA) certificates for adult learners

Annual Performance Plan
2016/2017

CONTENTS

List of
ACRONYMS

ABET	Adult Basic Education and Training
ANA	Annual National Assessments
APP	Annual Performance Plan
CAPS	Curriculum and Assessment Policy Statements
CEO	Chief Executive Officer
CA	Continuous Assessment
CHE	Council on Higher Education
DBE	Department of Basic Education
DHET	Department of Higher Education and Training
E&A	Evaluation and Accreditation
EoR	Examination on Request
ETDP	Education, Training and Development Practices
FET	Further Education and Training
F&SCM	Finance and Supply Chain Management
GENFETQA	General and Further Education and Training Quality Assurance
GET	General Education and Training
GETC	General Education and Training Certificate
GFETQSF	General and Further Education and Training Qualifications Sub-framework
GFET	General and Further Education and Training
GOCEO	Governance and Office of the Chief Executive Officer
HRM&D	Human Resources Management and Development
HE	Higher Education
HET	Higher Education and Training
IRT	Item Response Theory
ICT	Information Communication and Technology
IT	Information Technology
ISAT	Integrated Summative Assessment (for NCV)
MIS	Management Information System

MoA	Memorandum of Agreement
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NASCA	National Senior Certificate for Adults
NATED	National Education (policy)
NCV	National Certificate Vocational
NECT	National Education Collaboration Trust
NQF	National Qualifications Framework
NEEDU	National Education and Development Unit
NSA	National Skills Authority
NRLD	National Learners' Records Database
NSC	National Senior Certificate
NDP	National Development Plan
PFMA	Public Finance Management Act
QAA	Quality Assurance of Assessment
QC	Quality Council
QCC	Qualifications, Curriculum and Certification
QCTO	Quality Council for Trade and Occupations
QRG	Quick Reference Guide
SAIVCET	South African Institute for Vocational and Continuing Education and Training
SAQA	South African Qualifications Authority
SF	Sub-Framework
SIR	Statistical Information and Research
SITA	State Information Technology Agency
SLA	Service Level Agreement
SMART	Specific, Measurable, Achievable, Realistic, Timely
TVET	Technical and Vocational Education and Training
WSP	Workplace Skills Plan

FOREWORD

Umalusi is the Quality Council for General and Further Education and Training (GENFET). Umalusi Council, as the accounting authority, has provided clear policy priorities and guidelines as stipulated in the General and Further Education and Training Quality Assurance (GENFETQA) Act, 2001 (Act No. 58 of 2001, as amended). Umalusi's strategic plans are derived from the government's priorities, of which providing quality basic education is one, and a skilled and capable workforce to support an inclusive growth path is another.

The Council develops and manages a sub-framework of qualifications for general and further education and training, quality assures and benchmarks qualifications and curricula, monitors and moderates assessments at exit points, and certificates learner achievements. The Council also quality assures provision, and accredits private providers of education, training and assessment to deliver and assess qualifications.

Umalusi's mandate was established through the GENFETQA Act No. 58 of 2001, and in 2008 the mandate was extended through the promulgation of the National Qualifications Framework Act, 2008 (Act No. 67 of 2008) and amendments to the GENFETQA Act in 2008.

The Umalusi Council provides strategic direction to the organization. The strategy is further informed by the White Paper for Post School Education and Training (Nov 2013); as well as the Guidelines on Strategies and Priorities for the NQF as provided by the Minister of Higher Education and Training (HET); and further by critical issues in the education and training system in respect of basic education, and vocational and adult education and training. In developing the strategic plan, the Council reviewed its previous SWOT analysis and interrogated various scenarios to ensure that all environmental factors were taken into consideration.

The Council therefore endorses the Annual Performance Plan and commits to supporting Umalusi in ensuring its implementation being motivated by the four strategic imperatives listed on page 8 of the Strategic Plan.

Official
SIGN-OFF

It is hereby certified that this Annual Performance Plan was developed by the management of Umalusi, under the guidance of the Council and CEO, and takes into account its mandate and all the relevant policies, directives, and legislation for which Umalusi is responsible. It accurately reflects the strategic outcome-oriented goals and objectives that Umalusi will endeavour to achieve in the period 1 April 2016 to March 2017.

Mafu Solomon Rakometsi
Chief Executive Officer

John David Volmink
Umalusi Council Chairperson

Part A
STRATEGIC OVERVIEW

1. Updated Situational Analysis

Education, training and innovation are central to South Africa's long-term development. They are core elements in eliminating poverty and reducing inequality, and the foundations of an unequal society. Education, training and innovation are not a solution to all problems, but society's ability to solve problems, develop competitively, eliminate poverty and reduce inequality is severely hampered without them. Schools are the building blocks for learning and socialization. The values learnt at school permeate society. The quality of the schooling systems impacts significantly on further education, college, higher education and society's ability to innovate.

Umalusi together with the Department of Basic Education understands the need to improve the quality of the outcomes at different grades for all subjects. However, the emphasis is on mathematics, literacy and science. Umalusi through its assessment and accreditation process must contribute to the ambitious targets for 2024.

Umalusi's focus remains on delivery against its core mandate and through this support the implementation of the NDP targets. During the 2015/2016 financial year, coordination and integration of the core functions has taken place in order to support effective and efficient delivery in Umalusi. Some policy shifts have taken place with respect to expanding Umalusi's mandate on the one hand and the phasing out of some of the programmes.

For the 2015-2019 Strategic Planning cycle, Umalusi Council's has identified four strategic imperatives:

1. Systemic standard setting and measuring of standards in the system through research,
2. Benchmarking qualifications and quality assurance of curriculum delivery, provision of teaching, learning and assessment to ensure credibility and international comparability,
3. Advocate and prioritise articulation of qualifications on the GFET Qualifications Sub-framework within and across sub-frameworks, and
4. Amend the founding Acts in order to accommodate desired extensions in the mandate of quality assurance.

In order to accomplish the above, the following will be undertaken:

(a) Provide governance and oversight in respect of Umalusi's sustainability with regard to financial viability, Human Resources, IT systems and information management;
(b) Establish and maintain strategic relationships with all relevant stakeholders, and through collaboration with them, (DBE, DHET, SAQA, NEEDU, QCTO, CHE, SAIVCET, NECT, and NSA, etc.) ensure that the national education and training priorities are met as agreed to by the two Ministers of Education.

1.1 Performance Environment

The performance environment is guided by the Guidelines on Strategy and Priorities for the NQF 2014/2015 (Minister of HET); the strategic plans of the Department of Basic Education; and the strategic plans of the Department of Higher Education and Training. In short, Umalusi has the responsibility for developing and managing a sub-framework of qualifications for general and further education and training, providing quality assurance and certification services.

The 2012/13 financial year was the first year that the Umalusi's grant increased substantially thus resulting in Umalusi not having to collect revenue for certification from the Provincial Departments of Education and Public TVET colleges. This was welcomed and improved Umalusi's ability to plan knowing the financial resources to expect. Although private providers apply to Umalusi for accreditation, Umalusi has no way of predicting the number of applications in any given year. Accreditation fees as a source of revenue, therefore, is unpredictable. The gazetted General and Further Education and Training Qualifications Sub-framework policy and certain quality assurance policies have been approved and Umalusi is rolling out the full accreditation of private providers in GFET.

Umalusi views the credibility of its certificates as central evidence of acceptable standards in general and further education and training. Umalusi is of the view that standards are developed and maintained through the design and quality of qualifications and curricula that are benchmarked locally and internationally; through good practices in the enactment of the curriculum; and through the integrity of the internal assessment and national examinations. This approach, informed by penetrating and insightful research, ensured that Umalusi remained grounded and steadfast in a challenging quality assurance landscape.

Conceptually, the intended, enacted and assessed curriculum form a continuum; therefore setting standards and quality assuring these aspects, which are reliant on each other, cannot be divided artificially into separate processes. To that end, the organisation has continued to refine efficiency, through cross-unit coordination of its work and information sharing through service level agreements between units involved in cross-unit work.

1.2 Organisational Environment

With the expansion of Umalusi's mandate resulting in rapid expansion in terms of an increased staff complement and an increased workload, the development of internal business operations lagged behind. This lag impacted on the efficacy of the organisation to deliver against its mandate. These issues were highlighted in the 2014/2015 External Auditor report and the ongoing feedback by the Internal Auditors. In the main the issues that needed to be addressed during the 2015/2016 financial year were:

a) **Policies and procedures**

Some of the policies in particular the financial management and human resources policies were in the process of being updated. It was recommended that these policies and procedures should be regularly reviewed and approved by senior management. In essence, policies and procedures are designed to influence and determine all major decisions and actions, and all activities take place within the boundaries set by them.

b) **Strategic Plan and APP**

In accordance with National Treasury's framework for strategic plans and annual performance plans paragraph 5.3.6 states that Institutions can link programmes and selected sub-programmes to strategic objectives. In addition, the strategic objectives as stated in the strategic plan must be consistent with those included in the annual performance plan. A comparison of the strategic objectives as per the strategic plan to those disclosed in the annual performance plan revealed that the strategic objectives as per strategic plan did not agree fully to the strategic objectives as per annual performance plan.

In preparation for the 2016/2017 APP and to address the anomalies Umalusi, undertook a major rework of both the 2015-2019 Strategic Plan and the 2015/2016 APP. The 2016/2017 APP is a manifestation of

the improvement in the planning processes. Furthermore, this planning processes ensured full alignment between the strategic plan and APP as well as complied with the National Treasury's framework for strategic and annual performance plans.

c) Quarterly Reporting

Paragraph 4.4 of the Framework for Strategic Plans and Annual Performance Plans states that changes to planned targets should not be made in quarterly performance reports. A comparison of indicators and targets between the quarterly performance reports and the quarterly indicators and targets in the annual performance plan revealed that there were some inconsistencies. In addition, there were no technical indicator definitions to validate each achievement reported.

During the 2015/2016 financial year, a tremendous effort will be made to ensure:

- Reviews are performed on a quarterly basis to validate the achievements reported by senior officials within each unit.
- That where any exceptions or differences are noted, adequate procedures are taken to correct errors before the submission of quarterly reports for consolidation.
- The correct template for the compilation of quarterly reports is used and is in line with the requirements of National Treasury.
- That there is consistency between the quarterly indicators and targets in the quarterly performance reports and that which is included in the annual performance plan. The main purpose is to ensure that the progress towards achieving those targets was monitored consistently throughout the year and corrective action taken where necessary.
- Development of operational plans. These operational plans are derived directly from the annual performance plans and only linked to indicators and targets that are set in the annual performance plan as these are linked to the budget.

d) Supply Chain Management

According to section 38 (1) (a) (iii) of PFMA no 1 of 1999, the accounting officer for a department, trading entity or constitutional institution must ensure that the department, trading entity or constitutional institution has and maintains an appropriate procurement and provisioning system which is fair, equitable, transparent, competitive and cost effective. The main challenge identified was the supply chain management policy has a few gaps. During the 2015/2016 financial year, corporate services updated the Finance Policies and Procedures Manual.

There will be notable improvements in the 2016/2017 financial year. With the introduction of the Planning, Monitoring, and Reporting unit there will be a marked improvement with respect to planning, reporting, risk management and overall compliance across the organisation. This business unit will continue to address any gaps by developing and institutionalizing various mechanisms that minimise any non-compliance and improving accountability.

1.3 The SWOT analysis

AREA OF FOCUS	STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS
1. Policies, procedures, processes, controls and systems in place and implemented to varying degrees	• Internal controls were in place • SCM processes were operational • HRMD policies and processes were established • Financial and non-financial reporting obligations were fulfilled • A complete range of established policies and directives based on good practice and research existed, all of which are NQF aligned with the capacity to review and implement policies • In-depth knowledge of GENFETQA and NQF Acts with the capacity to implement the sub-framework • Provide advisory services to the Minister with respect to the sub-framework • Accreditation of assessment bodies - is grounded in established approaches and existing pieces of legislation and national policies	• Sub-optimal compliance by business units to internal controls, processes, policies, financial and non-financial reporting requirements • SCM processes and policies were not fully subscribed to • There were gaps in knowledge and understanding of internal policy and treasury regulations • The current HRMD polices were dated and was non complaint with the current legislation, • There was no approved policy for the Exam on Request (EoRs) and irregularities that govern/regulate systemic issues • Inconsistencies were observed with the enforcement of policies • There was a lack of under-standing internally of the mandate and of the SF, and this impacted on the implementation of the policy and sub-framework; • Instruments and guidelines for the assessment bodies was not of the desired quality • Lack of enforcement of the Research Framework by SIR Unit compromised the credibility of the research products	• Continued improvement of the internal controls to ensure that there is improved compliance, in particular controls reimbursement of moderators and assessors and debt recovery • Develop an organisational performance reporting system • Knowledge sharing sessions with all staff to ensure that all internal policies and treasury regulations are complied with. • Review and update all HRMCD policies, and standard operating procedures • Reinforce policies to ensure Umalusi's independence and integrity • Policies to be aligned and developed with GENFETQA and NQF Acts;	• Non-compliance with Treasury regulations and Internal Control policies (Audit qualification) • Non-compliance with the cost containment measure may result in irregular expenditure and fruitless and wasteful expenditure • Lack of compliance with HRDM policies and procedures compromises the credibility of Governance • Non-compliance with Umalusi policies and directives by assessment bodies regarding reporting of irregularities, timelines, data submission etc. threatens the integrity of the national examinations and Umalusi's reputation as a QC. • Lack of expertise within both the stakeholders and their service provider regarding policy and the application results places undue pressure on Umalusi staff
2. Human Resources	• Umalusi has staff with the requisite skills to meet its mandate • Recognition of staff performance was done annually • Personal development opportunities were identified for individual staff members	• Inability to attract people from designated equity target groups and people living with disabilities (head hunting, extensive advertising) • Limited growth opportunities for staff	• Utilise a more innovative and aggressive approach to recruit for scarce and critical skills • Opportunity to upskill to be provided • Build capacity of staff for more effective implementation of Umalusi's Mandate (IRT)	• inability to attract people with relevant skills, unavailability of experienced staff in the program language and unavailability of staff with knowledge about the Education system could compromise delivering on Umalusi's mandate

AREA OF FOCUS	STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS
2. Human Resources (continued)	• Experienced staff members to deliver on Umalusi's mandate (E.g. QA, Research, accreditation, certification and Evaluation) • There is access to relevant capacity and expertise to provide the required technical input by drawing on expertise of specific sectors by involving QRGs in the development and review processes	• Non-compliance with WSP targets due to unavailability of staff for training/workshops • Experts from other sectors and industry are frequently not readily available for QRG work and/or curriculum research • Limited expert human resource capacity in curriculum evaluation and in conducting and publishing research;		• Increasing demands impacts on the staff capacity (HR, expertise, IT systems,) to deliver services in an effective and efficient manner • Over use of external expertise minimises the development of institutional history.
3. IT Systems	• IT system and framework is functional, reliable and secure • Internal and external user requirements are met • Technology is responsive to the changing needs and mandate of Umalusi • Electronic systems increased efficiencies	• Electronic documents systems were not adequately used • Systems is costly to implement and manage due to aging technology • Proper system documentation (user and technical documentation) is outdated • With regards to Users there were inadequate user specification, User testing and sign off was not in place and the growing demands for internet bandwidth cannot be met due to cost	• Monitor effective and efficient use of document management system • Modernization of the system • Implementation of IT governance and enforcing best practices	• Loss of information has legal implications • Aging infrastructure could limit capacity of the MIS and mainframe
4. Organizational Systems	• Systems and processes were in place to deliver on Umalusi mandate • There is a credible system with a national footprint in traditional schools, FET colleges, AET providers and Assessment Bodies	• Inadequate QA assurance for supplementary examinations, and re-marks. • Record keeping is erratic and disorganized	• Inadequate QA assurance for supplementary examinations, and re-marks. • Record keeping is erratic and disorganized Extend the database of subject experts; • Establish a consistent and reliable paper trail through formalised documentation • Develop an integrated and reliable data collection, storage and analysis system so that systemic reports can be generated	• Inaccurate data delays the standardisation and approval of results • Inadequate QA assurance of supplementary examinations, and re-marks compromise the credibility of supplementary results • Poor record keeping and inconsistent reporting pose a legal risk threat to Umalusi

AREA OF FOCUS	STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS
5. Research	• The approved Research Framework, with its transparent procedures, enables Umalusi to produce credible research to inform policy and practice. • Strong collaboration with HEIs, researchers from HEIs and researchers in the sectors	• Duplication of research efforts and the lack of sharing of best practice by QC • Limited utilisation of research products for policy and decision-making	• Study visits and collaboration with international organizations that do similar work to broaden experience and inform innovative initiatives • Use research outputs to influence policy • Lead NQF research programme by establishing a co-ordinating platform for NQF research • re-packaging research findings and recommendations for specific audiences for more effective utilisation and implementation of research findings	• None
6. Structures	• Structures are in place for Umalusi to fulfil its function	• Units operate in silos as there is a lack of integration as it relates research, qualifications, accreditations and assessment requirements • Organisationally, the shift from Quality Assurer to QC is not yet well understood and implemented • Umalusi's uptake of the NQF Level 5 space was still uncertain • Articulation with QAA regarding the monitoring of assessment bodies remains an area of contestation • Quality assurance of sectors outside the traditional schools and colleges are not accommodated in the accreditation system	• ntegrate work-flow processes across the business units to increase credibility of accreditation, assessments, quality assurance and qualifications • Reclaiming the processes that is part of Umalusi's mandate to ensure credibility of accreditation, assessments, quality assurance and qualifications • Work - towards a more informed understanding of the QC mandate from both top management and unit level internally by advocating the new roles and functions • Improved the level of involvement from external stakeholders • Collaboration with PDEs and DBE and other bodies to create a water tight system that positively impacts on the education system	• Short timeframe for the writing and release of examination results creates a threat that could compromise the quality of Umalusi's QA work • The model used for the moderation of papers compromises the credibility and independence of Umalusi i.e. DBE convenes and pays for external moderators • Inconsistent reporting of irregularities by assessment bodies creates a threat to the credibility of the national examinations and the credibility of the NSC • Schools and colleges and AET centres are not meeting the accreditation criteria, however are permitted to continue in the system • Lack of cooperation with other stakeholders could result in the Umalusi's research outputs not being optimally utilised by key decision makers

2. Revisions to Legislative and other Mandates

2.1 Mandates

2.1.1 Constitutional Mandates

The Constitution is the supreme law of the Republic and any law or conduct inconsistent with the constitution is invalid; the obligations imposed by the constitution must be fulfilled. All citizens are equally entitled to the rights, privileges and benefits of citizenship and, equally, subject to the duties and responsibilities of citizenship.

The Constitution of the Republic of South Africa (Act No. 108 of 1996) and the South African Schools Act (SASA) (No. 84 of 1996) provide for the establishment of independent schools and public schools. Independent schools are required to register with the relevant provincial department of education.

Section 29 (1) of the Constitution states that everyone has a right to a basic education, including adult basic education and further education, which the State, through reasonable measures, must make progressively available and accessible. Sub-section 2 states that everyone has the right to receive education in the official language or languages of their choice in public educational institutions, where that education is reasonably practicable. Sub-section 3 states that everyone has the right to establish and maintain, at their own expense, independent educational institutions that:

a)   do not discriminate on the basis of race;
b)   are registered with the State; and
c)   maintain standards that are not inferior to standards at comparable public educational institutions.

2.1.2 Legislative Mandates

The National Qualifications Framework (NQF) Act No. 67 of 2008, provides for the establishment of Umalusi as a Quality Council that is responsible for the development and management of a sub-framework of qualifications at levels 1-4 of the National Qualifications Framework and the related quality assurance processes. The NQF Act No. 67 of 2008 determines that the Quality Council must, in respect of quality assurance within its sub-framework, do the following:

a)   develop and implement policy for quality assurance;
b)   ensure the integrity and credibility of quality assurance;
c)   ensure that quality assurance as is necessary for the sub-framework is undertaken;

The General and Further Education and Training Quality Assurance (GENFETQA) Act (No 58 of 2001), as amended in 2008, assigns responsibility for the quality assurance of independent schools to Umalusi (Chapter 3, 23 (2) (a)). In line with the object of the GENFETQA Act, namely, to enhance the quality of general and further education and training, Umalusi was established with the purpose of maintaining norms and standards in general and further education and training and as such its mandate is confirmed as follows:

a)   Developing and maintaining a sub-framework of qualifications for general and further education and training;
b)   Quality assurance of all exit point assessment of such qualifications
c)   Certification of learner achievements;
d)   Quality assurance of independent schools;
e)   Accreditation of private assessment bodies.

2.1.3 Umalusi Mandate

The promulgation of the NQF Act, Act 67 of 2008, constituted Umalusi as the Quality Council for General and Further Education and Training, as provided for in the amended GENFETQA Act of 2008. It thus serves as

one of three Quality Councils, alongside the Council for Higher Education (CHE) and the Quality Council for Trades and Occupations (QCTO); it is required to collaborate with the South African Qualifications Authority and the other Quality Councils (QCs), subject to the NQF Act, its founding Act, and the National Education Policy Act (Act No 27 of 1996).

In addition to the responsibilities outlined in its founding Act, and which are set out in subsequent paragraphs, the Council is responsible for the sub-framework of qualifications for general and further education and training. In terms of Paragraph 27 of the NQF Act, Umalusi as a QC must, in respect of its sub-framework:

a) Develop and manage its sub-framework;

b) Advise and make recommendations related to the sub-framework to the relevant Minister;

c) Consider and agree to level descriptors, and ensure that they remain current and appropriate;

d) Propose policy for the development, registration, and publication of qualifications for its sub-framework in accordance with requirements outlined in the NQF Act, as well as;

e) Ensure the development of such qualifications and part-qualifications as are necessary for the sector, including indication of appropriate measures for the delivery and assessment of learning achievement, and recommend them to SAQA for registration;

f) Propose policy for quality assurance within the sub-framework;

g) Ensure the autonomy, integrity, and credibility of quality assurance for qualifications registered on its sub-framework;

h) Maintain a database of learner achievement and related matters;

i) Conduct or commission and publish research on issues relevant to the development and implementation of the sub-framework

j) Provide information regarding the sub-framework to the public; and

k) Perform any other functions required by the NQF Act, or functions consistent with this Act which the relevant Minister may determine.

In terms of The General and Further Education and Training Quality Assurance Act, Act 58 of 2001, as amended, Umalusi is also required in terms of its quality assurance of assessment responsibilities to:

a) ensure the necessary quality assurance work is undertaken by the QC itself or by a body to which such powers have been delegated, and that the outcomes of such work are reported;

b) develop policy for assessment, including internal assessment where such contributes to the final marks, and standardization;

c) ensure and verify the implementation of such policy by the assessment bodies responsible;

d) report irregularities which may jeopardize the integrity of an assessment or its outcome to the relevant Director-General; and

e) Issue certificates to learners who have achieved qualifications or part-qualifications.

Each of these mandated responsibilities is addressed in associated policy.

Also in terms of its founding act, as amended, Umalusi with respect to private provision is required to undertake the following accreditation responsibilities:

a) develop policy, which must be regulated by the Minister, for the accreditation of assessment bodies, other than departments of education, and accredit assessment bodies accordingly;

b) develop policy and criteria for the quality assurance of private education institutions, including independent schools, private colleges and private Adult Basic Education and Training centres;

c) Ensure that any institution required to register as a private school, college, or ABET centre complies with the quality assurance policy and criteria determined by Umalusi; and affirm or withdraw the accreditation status of the private institution concerned.

2.2 Policies

Umalusi is responsible – within the General and Further Education and Training Qualifications Sub-framework – for developing and managing a sub-framework of qualifications, and developing and implementing the attendant quality assurance policies, including those for curriculum, assessment, provision and certification. It is also responsible for researching matters related to GFET qualifications sub-framework and advising and making recommendations to the Minister on determining the policy for the sub-framework. Umalusi's qualifications sub-framework must be read in conjunction with the following policy documents:

- The National Qualifications Act, No. 67 of 2008;
- Guidelines on Strategy and Priorities for the NQF 2011/2012 (Minister of HET);
- The General and Further Education and Training Quality Assurance Act, No. 58 of 2001;
- The General and Further Education and Training Quality Assurance Amendment Act, No. 50 of 2008;
- The South African Schools Act, No. 84 of 1996, with all subsequent amendments;
- The FET Colleges Act, No. 16 of 2006, as amended in 2010;
- The ABET Act, No. 52 of 2000, as amended in 2010;
- The national policies governing existing qualifications (including their assessment) currently certificated by Umalusi; and
- All the Council's policies related to standards and quality assurance.

The purpose of the GFET Qualifications Sub-framework is to provide a sub-framework for the development and provision of general and further education qualifications in order to develop a single yet differentiated general and further education and training sector.

Other Policy Documents Include:

a) The General and Further Education and Training Qualifications Sub-framework 2011

b) Standard Setting and Quality Assurance of the General and Further Education and Training Qualifications Sub-framework: Umalusi, 2011

c) Policy documents and guidelines pertaining to the National Senior Certificate and the National Curriculum Statements; and any other qualification on the General and Further Education and Training Qualifications Sub-framework as applicable;

d) Other related legislation as appropriate to the various education and training sectors Umalusi is mandated to work in

e) Council policies and directives on the conduct, administration and management of the assessments for the qualifications on The General and Further Education and Training Qualifications Sub-framework

f) The regulations pertaining to qualifications on The General and Further Education and Training Qualifications Sub-framework that are developed by the Department of Basic Education and gazetted by the Minister on assessment and certification including those that are promulgated by provincial legislatures: and

g) Any other relevant policies and directives issued by the Council

2.3 Functions of Quality Councils

27. A QC must, in order to achieve the objectives of the NQF

a) perform its functions subject to this Act and the law by which the QC is established;

b) comply with any policy determined by the Minister in terms of section 8(2)(b);

c) consider the Minister's guidelines contemplated in section 8(2)(c);

d) collaborate with the SAQA and other QCs in terms of the system contemplated in section 13(1)(f)(i);

e) develop and manage its sub-framework, and make recommendations thereon

f) to the relevant Minister;

i.   advise the relevant Minister on matters relating to its sub-framework;

ii.   with regard to level descriptors;

iii.   consider and agree to level descriptors contemplated in section 13(1)(g)(i); and

iv.   ensure that they remain current and appropriate;

g)   with regard to qualifications for its sub-framework

i.   develop and implement policy and criteria, taking into account the policy and criteria contemplated in section 13(1)(h)(i), for the development, registration and publication of qualifications;

ii.   develop and implement policy and criteria, taking into account the policy and criteria contemplated in section 13(1)(h)(iii), for assessment, recognition of prior learning and credit accumulation and transfer;

iii.   ensure the development of such qualifications, or part qualifications as are necessary for the sector, which may include appropriate measures for the assessment of learning achievement; and

iv.   recommend qualifications, or part qualifications, to the SAQA for registration;

h)   with regard to quality assurance within its sub-framework

i.   develop and implement policy for quality assurance;

ii.   ensure the integrity and credibility of quality assurance;

iii.   ensure that such quality assurance as is necessary for the sub-framework is undertaken;

i)   with regard to information matters

i.   maintain a database of learner achievements and related matters for the purposes of this Act; and

ii.   submit such data in a format determined in consultation with the SAQA for recording on the national learners' records database contemplated in section 13(1)(l);

j)   with regard to other matters

i.   conduct or commission and publish research on issues of importance to the development and implementation of the sub-framework;

ii.   inform the public about the sub-framework;

iii.   perform any other function required by this Act; and

iv.   perform any function consistent with this Act that the relevant Minister may determine.

The General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001, as amended), Umalusi Council's founding Act, outlines the responsibilities of Umalusi as follows:

16. (1)   The Council performs its functions subject to

       (a)   the National Qualifications Framework Act; and

       (b)   the National Education Policy Act, 1996 (Act No. 27 of 1996)

(2)   The Council is the quality council for general and further education and training as contemplated in the National Qualifications Framework Act and has the functions contemplated in section 28 of that Act.

(3)   The Council is responsible for the sub-framework for general and further education and training of the National Qualifications Framework determined by the Minister in terms of section 9(2)(e) of the National Qualifications Framework Act.

(4)   The Council, with the approval of the Minister, may assume its functions progressively, depending on its capacity.

(5)   The Council must perform any function consistent with this Act that the Minister may determine.

2.4 Relevant Court Rulings

None.

3. Overview of 2015/16 Budget and MTEF Estimates

3.1 Expenditure Estimates

Statement of financial performance	Audited Outcome			Revised estimate	Average growth rate (%)	Expenditure/ total: Average	Medium-term estimate			Average growth rate (%)	Expenditure/ total: Average (%)
	2012/13	2013/14	2014/15	2015/16	2012/13-2015/16		2016/17	2017/18	2018/19	2015/16 - 2018/19	
REVENUE											
Tax revenue	–	–	–	–	–	–	–	–	–	–	–
Non-tax revenue	**39,196**	**23,471**	**30,083**	**21,934**	**-17.6%**	**26.4%**	**20,895**	**29,009**	**32,594**	**14.1%**	**17.5%**
Sale of goods and services other than capital assets	36,292	20,614	24,636	21,301	-16.3%	23.8%	20,168	28,062	31,954	14.5%	17.0%
of which:											
Administrative fees	36,292	20,614	24,636	21,301	-16.3%	23.8%	20,168	28,062	31,954	14.5%	17.0%
Sales by market establishment	–	–	–	–	–	–	–	–		–	–
Other sales	–	–	–	–	–	–	–	–	–	–	–
Other non-tax revenue	2,904	2,857	5,447	633	-39.8%	2.6%	727	947	640	0.4%	0.5%
Transfers received	**42,330**	**97,662**	**107,354**	**112,705**	**38.6%**	**73.6%**	**118,678**	**124,612**	**131,839**	**5.4%**	**64.9%**
Total revenue	**81,526**	**121,133**	**137,437**	**134,639**	**18.2%**	**100.0%**	**139,573**	**153,621**	**164,433**	**6.9%**	**100.0%**
EXPENSES											
Current expenses	**88,884**	**101,362**	**131,505**	**185,299**	**27.7%**	**99.8%**	**139,350**	**153,383**	**164,173**	**-4.0%**	**79.9%**
Compensation of employees	35,452	41,112	49,949	60,444	19.5%	37.7%	69,509	79,936	86,331	12.6%	46.7%
Goods and services	51,201	57,805	78,544	122,354	33.7%	60.0%	67,391	70,842	75,342	-14.9%	51.5%
Depreciation	2,231	2,445	3,012	2,501	3.9%	2.1%	2,450	2,605	2,500	-0.0%	1.6%
Interest, dividends and rent on land	–	–	–	–	–	–	–	–	–	–	–
Transfers and subsidies	**173**	**168**	**210**	**172**	**-0.2%**	**0.2%**	**223**	**238**	**260**	**14.8%**	**0.1%**
Total expenses	**89,057**	**101,530**	**131,715**	**185,471**	**27.7%**	**100.0%**	**139,573**	**153,621**	**164,433**	**-3.9%**	**100.0%**
Surplus/(Deficit)	**(7,531)**	**19,603**	**5,722**	**(50,832)**			**–**	**–**	**–**	**-100.0%**	

R thousand	Audited Outcome	Audited Outcome	Audited Outcome	Revised estimate	Average growth rate (%)	Expenditure/ total: Average (%)	Medium-term estimate			Average growth rate (%)	Expenditure/ total: Average (%)
	2012/13	2013/14	2014/15	2015/16	2012/13-2015/16		2016/17	2017/18	2018/19	2015/16 - 2018/19	
PROGRAMME 1: ADMINISTRATION											
Administration	31,836	36,131	47,402	96,175	45%	40%	47,868	53,304	56,886	-16%	39%
PROGRAMME 2: QUALIFICATIONS AND RESEARCH											
Qualifications, curriculum and certification	8,620	14,555	17,549	14,236	18%	11%	15,109	16,162	17,454	7%	10%
Statistical information and research	8,322	7,907	10,731	10,558	8%	8%	11,073	14,686	15,861	15%	8%
PROGRAMME 3: QUALITY ASSURANCE AND MONITORING											
Quality assurance of assessment	26,692	30,126	36,505	43,092	17%	28%	43,250	44,636	47,412	3%	28%
Evaluation and accreditation	13,587	12,811	19,528	21,410	16%	14%	22,273	24,833	26,820	8%	15%
Total expense	**89,057**	**101,530**	**131,715**	**185,471**	**28%**	**100%**	**139,573**	**153,621**	**164,433**	**-4%**	**100%**

3.3 Relating Expenditure Trends to Strategic Outcome Orientated Goal

EXPENDITURE TRENDS	
Strategic Outcome Oriented Goal 1	Improved organisational management, governance and financial viability to ensure high-quality, effective and efficient delivery of Umalusi's mandate

The goal is to ensure that Umalusi is fully-established, well-resourced and is a high performance institution by 31 March 2020.

Key expenditure management for this planning period is as follows:

- To ensure compliance and value in the implementation of effective policies, strategies and plans that comply with legislation, good corporate governance principles and improved organisational performance standards; Umalusi will establish a Strategic Planning unit headed by a Senior Manager and staff to oversee this aspect of its work as well as the administration of the Council and its Committees;

- To improve efficient and effective fiscal, infrastructure and human resource planning and management to support the sustainability of Umalusi; it is intended to renovate the newly acquired premises adjacent to its current building to accommodate staff and fill all newly created vacant posts to ensure sustainability. In order to fast track the recruitment processes, Umalusi is also developing an online E-recruitment system.

EXPENDITURE TRENDS	
Strategic Outcome Oriented Goal 2	Improved assessment and quality assurance that is relevant and internationally benchmarked and supports the nation's strategic interests for a highly skilled workforce and well qualified citizens

- With the roll out of full accreditation Umalusi is reviewing its modus operandi so that processes are not too cumbersome and ensure that they are cost effective for private providers of education and training. In order to ensure that this sector complies, Umalusi has employed several Evaluators and going forward the justification for permanent appointment needs to be reviewed.

- In terms of its mandate Umalusi is reviewing whether its operations go sufficiently deep into educational aspects and quality assurance processes or whether it needs to be broad and of a light touch in nature. This internal research is continuing and requires a constant trickle of funding in order to finalise a position on the matter through its Statistical Information and Research unit.

- The introduction of new qualifications requires enduring funding and the security features of certificates needs ongoing improvement as the market introduces new technologies both for certification IT programmes and certification documents. These will be closely monitored and adjusted as improvements in this sector are introduced.

Part B
PROGRAMME PLANS

4. Programme Structure

Programme 1: Administration

Sub-Programmes

- Governance and Office of the Chief Executive Office   (GOCEO)
- Public Relations and Communications   (PR)
- Information Technology   (IT)
- Finance and Supply Chain Management   (F&SCM)
- Human Resource Management and Development   (HRM&D)

Programme 2: Qualifications and Research

Sub-Programmes

- Qualifications, Curriculum and Certification   (QCC)
- Statistical Information and Research   (SIR)

Programme 3: Quality Assurance and Monitoring

Sub-Programmes:

- Quality Assurance of Assessment   (QAA)
- Evaluation and Accreditation   (EA)

4.1 Programme 1: Administration

Programme Purpose: Provide management, strategic and administrative support services to ensure effective delivery of learning programmes, skills planning, research, monitoring and evaluation. The programme is aimed at accelerating delivery of programmes in 2015/16.

The programme consists of the following sub-programmes:

- **Governance and Office of the Chief Executive Officer** – provides good corporate governance of the organisation and supports the functions of the Council; reports on the performance against the Strategic and APP targets and evaluates both organizational performance and programmes.
- **Public Relations and Communications** – ensures that Umalusi's mandate and sub-framework is understood by both internal and external stakeholders.
- **Information Communication Technology** – provides for the Information and Communications Technology (ICT) needs and requirements of Umalusi.
- **Finance and Supply Chain Management** – renders effective and efficient financial management and administrative support to Umalusi and ensures the management of the flow of goods and services. In addition, it safeguards that all SCM regulations are adhered to and there is no fruitless and wasteful expenditure.
- **Human Resource Management and Development** - ensures optimum and efficient utilization and development of Human Capital and provides an advisory service on matters pertaining to organisational effectiveness and development, individual performance management, sound employee relations, employee health and wellness, as well as effective and efficient recruitment, selection and placement services including research, development and implementation of human resources policies and practices.

4.1.1 Programme Performance Indicators, Annual and Quarterly Targets for 2015/16 to 2019/20

a) Annual Targets

STRATEGIC OBJECTIVE	PROGRAMME PERFORMANCE INDICATOR	STRATEGIC PLAN TARGET	AUDITED ACTUAL PERFORMANCE		ESTIMATED PERFORMANCE		MEDIUM-TERM TARGETS		
			2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
1.1 To improve administrative and governance services (Finance, HR, Communication) in order to support the mandate of Umalusi and to strengthen compliance and accountability.	1.1.1 Achievement of a financially unqualified opinion	Unqualified Audit	Unqualified Audit	Unqualified Audit	Unqualified Audit	Unqualified Audit	Unqualified Audit	Unqualified Audit	Unqualified Audit
	1.1.2 Percentage of service providers paid within 30 days	100%	100%	100%	100%	100%	100%	100%	100%
	1.1.3 Percentage of staff meeting level 3 and above of their performance target on the Performance Management and Development System (PMDS)	98%	97%	98%	98%	98%	98%	98%	98%
	1.1.4 Number of communication platforms used by stakeholder clusters within the GFET sub-framework to access information.	8	N/A	-	7	7	8	8	8
1.2 To provide ICT Infrastructure and business applications so as to promote efficiency through ICT as a business operations enabler on an annual basis.	1.2.1 A report providing an executive summary of the status of the ICT Infrastructure.	16 reports	-	-	-	4 reports	4 reports	4 reports	4 reports
	1.2.2 A report on the customer satisfaction survey on performance of the ICT system	3 reports	-	-	-	-	A report	A report	A report

a) Annual Targets

PERFORMANCE INDICATORS	REPORTING PERIOD	ANNUAL TARGET 2016/2017	QUARTERLY TARGETS			
			1st	2nd	3rd	4th
Achievement of a financially unqualified opinion Audit Status	Annually	0%	0%	0%	0%	Unqualified Audit
Percentage of service providers paid within 30 days	Quarterly	100%	100%	100%	100%	100%
Percentage of staff meeting level 3 and above of their performance target	Bi-Annually	98%	N/A	N/A	98%	98%
Number of communication platforms used by stakeholder clusters within the GFET sub-framework to access information.	Quarterly	7	7	7	7	7
A report providing an executive summary of the status of the ICT Infrastructure	Quarterly	4 reports	1 report	1 report-	1 report	1 report
A report on the customer satisfaction survey on performance of the ICT system	Annual	1 report	-	-	-	1 report

4.1.2 Relating Expenditure Trends to Strategic Outcome Oriented Goal

EXPENDITURE TRENDS	
Strategic Outcome Oriented Goal 1	Improved organisational management, governance and financial viability to ensure high-quality, effective and efficient delivery of Umalusi's mandate

The goal is to ensure that Umalusi is fully-established, well-resourced and is a high performance institution by 31 March 2020.

Key expenditure management for this planning period is as follows:

- To ensure compliance and value in the implementation of effective policies, strategies and plans that comply with legislation, good corporate governance principles and improved organisational performance standards; Umalusi will establish a Strategic Planning unit headed by a Senior Manager and staff to oversee this aspect of its work as well as the administration of the Council and its Committees;

- To improve efficient and effective fiscal, infrastructure and human resource planning and management to support the sustainability of Umalusi; it is intended to renovate the newly acquired premises adjacent to its current building to accommodate staff and fill all newly created vacant posts to ensure sustainability. In order to fast track, the recruitment processes, Umalusi is also developing an online E-recruitment system.

R thousand	Audited Outcome 2012/13	Audited Outcome 2013/14	Audited Outcome 2014/15	Revised estimate 2015/16	Average growth rate (%) 2012/13-2015/16	Expenditure/ total: Average (%)	Medium-term estimate 2016/17	2017/18	2018/19	Average growth rate (%) 2015/16 - 2018/19	Expenditure/ total: Average (%)
PROGRAMME 1: ADMINISTRATION											
Administration	31 836	36 131	47 402	81 745	37%	42%	94 891	109 347	123 024	15%	62%
Sub-Total	**31 836**	**36 131**	**47 402**	**81 745**			**94 891**	**109 347**	**123 024**		

4.2 Programme 2: Qualifications and Research

Programme Purpose: Improved assessment and quality assurance that is relevant and internationally benchmarked and supports the nation's strategic interests for a highly skilled workforce and well qualified citizens.

The programme consists of the following sub-programmes:

(a) Qualifications, Curriculum and Certification is responsible for:

- ensuring and enhancing the status and quality of qualifications the sub-framework which Umalusi develops, manages, and reviews.
- evaluating curricula to ensure that they are of acceptable quality.
- the certification of learner performance for all the qualifications on the GFETQSF.
- verifying all qualification that it and its predecessor SAFCERT have issued since 1992.

(b) Statistical Information and Research:

- Umalusi conducts research and analysis and reports on quality within the general and further education and training qualification sub-framework.
- Conduct research that is informed by the emerging needs of the education system to engage stakeholders towards innovative thinking
- Report on the key indicators of quality and standards in general and further education and training;
- Establish and maintain databases;
- Lead research and analysis and provide statistical support and information across Umalusi.

4.2.1 Programme Performance Indicators, Annual and Quarterly Targets for 2015/16 to 2019/20

a) Annual Targets

STRATEGIC OBJECTIVE	PROGRAMME PERFORMANCE INDICATOR	STRATEGIC PLAN TARGET	AUDITED ACTUAL PERFORMANCE		ESTIMATED PERFORMANCE		MEDIUM-TERM TARGETS		
			2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
2.1 To effectively manage the General and Further Education and training Qualifications Sub-framework	2.1.1 Number of curricula evaluated annually	SA:117 Int: 130	SA: 37 Int: 18	SA: 18 Int: 45	SA: 37 Int: 27	SA: 12 Int: 1	SA: 6 Int: 18	SA: 3 Int: 9	SA:4 Int
	2.1.2 Percentage of learner records evaluated per qualification in terms of certification requirements	100%	100%	100%	100%	100%	100%	100%	100%
	2.1.3 Number of certificates issued per qualification annually	As per datasets eval-uated and found to be certifiable	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET
	2.1.4 Number of verifications completed annually	As per requests received	275 621	303 049	320 000	336 000	353 000	370 000	389 000
2.2. To undertake research projects annually in order to plan and strategize for the emerging needs of the Quality Council as well as the General and Further Education and Training Sector	2.2.1 Number of research reports published	36 research reports	-	-	6	6	8	8	8

b) Quarterly Targets

PERFORMANCE INDICATORS	REPORTING PERIOD	ANNUAL TARGET 2016/2017	QUARTERLY TARGETS			
			1st	2nd	3rd	4th
Number of curricula evaluated annually	Annual	SA: 12 Int: 1	SA: 12 Int: 1	SA: 12 Int: 1	SA: 12 Int: 1	SA: 12 Int: 1
Percentage of learner records evaluated per qualification in terms of certification requirements	Annual	100%	100%	100%	100%	100%
Number of certificates issued per qualification annually	Quarterly; Annual cumulative total	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET	• SC • NSC • NC(V) 2 • NC(V) 3 • NC(V) 4 • N 3 • GETC: ABET
Number of verifications completed annually	Quarterly; Annual cumulative total	As per number of requests received from clients that are verified and feedback given	As per number of requests received from clients that are verified and feedback given	As per number of requests received from clients that are verified and feedback given	As per number of requests received from clients that are verified and feedback given	As per number of requests received from clients that are verified and feedback given
Number of research reports published	Annual	6	-	-	-	6

4.2.2 Relating Expenditure Trends to Strategic Outcome Oriented Goal

EXPENDITURE TRENDS	
Strategic Outcome Oriented Goal 2	Improved assessment and quality assurance that is relevant and internationally benchmarked and supports the nation's strategic interests for a highly skilled workforce and well qualified citizens

- In terms of its mandate Umalusi is reviewing whether its operations go sufficiently deep into educational aspects and quality assurance processes or whether it needs to be broad and of a light touch in nature. This internal research is continuing and requires a constant trickle of funding in order to finalise a position on the matter through its Statistical Information and Research unit.
- The introduction of new qualifications requires enduring funding and the security features of certificates needs ongoing improvement as the market introduces new technologies both for certification IT programmes and certification documents. These will be closely monitored and adjusted as improvements in this sector are introduced.

R thousand	Audited Outcome 2012/13	Audited Outcome 2013/14	Audited Outcome 2014/15	Revised estimate 2015/16	Average growth rate (%) 2012/13-2015/16	Expenditure/ total: Average (%)	Medium-term estimate 2016/17	2017/18	2018/19	Average growth rate (%) 2015/16 - 2018/19	Expenditure/ total: Average (%)
PROGRAMME 2											
Qualifications, Curriculum and Certification	8 620	14 555	17 549	6 201	-10%	10%	8 715	8 810	8 898	13%	5%
Statistical Information and Research	8 322	7 907	10 731	4 440	-19%	7%	4 874	5 360	5 896	10%	3%
Sub-total 2	**16 942**	**22 462**	**28 280**	**10 641**			**13 589**	**14 170**	**14 794**		

4.3 Programme 3: Quality Assurance and Monitoring

Programme Purpose: To ensure that the providers of education and training have the capacity to deliver and assess qualifications and learning programmes and are doing so to expected standards of quality.

The programme consists of the following sub-programmes:

(a)   Quality Assurance of Assessment

- Standards of assessment established, quality assured, maintained and improved.
- Establishing, maintaining and improving standards and quality in assessment at exit points in general and further education and training.
- Umalusi uses six key processes:
  - external moderation of question papers
  - external moderation of continuous assessment
  - verification of monitoring of the assessment systems, conduct administration and management of assessment and examinations processes
  - management of concessions and examination irregularities
  - external moderation of the marking processes
  - statistical moderation of assessment results

(b)   Evaluation and Accreditation

- Standards for provision determined, maintained and strengthened
- Public and Private assessment bodies will be monitored.
- Quality assurance of provision, through an accreditation and monitoring process of private institutions offering the qualifications Umalusi certifies.
- Evaluates the capacity of private education and training providers to implement registered qualifications for which they seek accreditation.
- Monitors and evaluates the capacity of private providers and assessment bodies to conduct practical, internal and external, assessment of learner achievements that lead to the issuing of registered qualifications by Umalusi.

4.2.1 Programme Performance Indicators, Annual and Quarterly Targets for 2015/16 to 2019/20

a) Annual Targets

STRATEGIC OBJECTIVE	PROGRAMME PERFORMANCE INDICATOR	STRATEGIC PLAN TARGET	AUDITED ACTUAL PERFORMANCE		ESTIMATED PERFORMANCE		MEDIUM-TERM TARGETS		
			2013/2014	2014/2015	2015/2016	2016/2017	2017/2018	2018/2019	2019/2020
3.1 To ensure the credibility of the Examination results of the qualifications registered in the GFET sub-framework.	3.1.1 Number of question papers quality assured per qualification per assessment body.	GETC 88 (DHET 52 - IEB 34 - BENCH MARK 2) DBE NSC- 262 DBE SC- 90 IEB NSC 126 SACAI-91 NC(V)- 390 NATED 116 Annually	1035	1035	GETC 88 (DHET 52 - IEB 34 - BENCH MARK 2) DBE NSC- 262 DBE SC- 90 IEB NSC 126 SACAI-91 NC(V)- 390 NATED 116	GETC 88 (DHET 52 - IEB 34 - BENCH MARK 2) DBE NSC- 260 DBE SC- 90 IEB NSC 126 SACAI-93 NC(V)- 390 NATED 116	GETC 88 (DHET 52 - IEB 34 - BENCH MARK 2) DBE NSC- 260 DBE SC- 98 IEB NSC 126 SACAI-95 NC(V)- 390 NATED 116	GETC 88 (DHET 52 - IEB 34 - BENCH MARK 2) DBE NSC- 267 DBE SC- 90 IEB NSC 126 SACAI -97 NC(V)- 390 NATED 116	
	3.1.2 Number of quality assurance of assessment reports per qualification, per assessment body, per examination cycle.		-	-	-	5- GETC, 3-NSC, 3-VET and 1 SC reports per examination cycle	5- GETC, 3-NSC, 3-VET and 1 SC reports per examination cycle	5- GETC, 3-NSC, 3-VET and 1 SC reports per examination cycle	5- GETC, 3-NSC, 3-VET and 1 SC reports per examination cycle
3.2 To improve the provisioning and assessment of qualifications on the General and Further Education and Training sub-framework by evaluating and pronouncing on applications received for accreditation annually	3.2.1 A report on Evaluation and Accreditation of private education institutions and independent assessment bodies	1 report annually	-	-	-	-	1 report	1 report	1 report

b) Quarterly Targets

PERFORMANCE INDICATORS	REPORTING PERIOD	ANNUAL TARGET 2016/2017	QUARTERLY TARGETS			
			1st	2nd	3rd	4th
Number of question papers quality assured per qualification per assessment body	GETC Quarterly	GETC (DHET 52 -IEB 34-BENCH MARK 2)	64	8	10	6
	NSC end of 2nd quarter	NSC (DBE – 260, IEB-126, SACAI -93)	-	479	-	-
	SC end of 1st quarter	DBE SC- 90	90	-	-	-
	NCV end of 4th quarter	NC(V)- 390	-	-	390	-
	NATED end of 2nd, 3rd and 4th quarter	NATED 112	-	36	40	36
Number of quality assurance of assessment reports per assessment body, per qualification, per examination cycle.	2nd, 3rd and 4th quarter	5- GETC reports,	-	2	-	3
		3-NSC reports,	-	-	-	3
		3-VET (NATED and NCV) report	-	1	1	1
		1 SC report	-	1	-	-
A report on Evaluation and Accreditation of private education institutions and independent assessment bodies	Annual	1 report	-	-	-	1 report

4.3.2 Relating Expenditure Trends to Strategic Outcome Oriented Goal

EXPENDITURE TRENDS	
Strategic Outcome Oriented Goal 2	Improved assessment and quality assurance that is relevant and internationally benchmarked and supports the nation's strategic interests for a highly skilled workforce and well qualified citizens
• With the roll out of full accreditation Umalusi is reviewing its modus operandi so that processes are not too cumbersome and ensure that they are cost effective for private providers of education and training. In order to ensure that this sector complies, Umalusi has employed several Evaluators and going forward the justification for permanent appointment needs to be reviewed.	

R thousand	Audited Outcome 2012/13	Audited Outcome 2013/14	Audited Outcome 2014/15	Revised estimate 2015/16	Average growth rate (%) 2012/13-2015/16	Expen-diture/ total: Average (%)	Medium-term estimate 2016/17	2017/18	2018/19	Average growth rate (%) 2015/16 - 2018/19	Expen-diture/ total: Average (%)
PROGRAMME 3											
Quality Assurance of Assessment	26 692	30 126	39 598	32 495	7%	28%	35 880	39 467	43 415	10%	23%
Evaluation and Accreditation	13 587	12 811	19 528	9 758	-10%	12%	10 830	11 914	13 105	10%	7%
Sub-total 3	**40 279**	**42 937**	**59 126**	**42 253**			**46 710**	**51 381**	**56 520**		

Part C
LINKS TO OTHER PLANS

Umalusi invited officials from the Departments of Basic and Higher Education and Training to submit their strategic plans to ensure alignment with Departmental plans. Umalusi has also taken note of the Guidelines on Strategy and Priorities for the NQF 2014 from the Minister of HET. Despite the fact that there is alignment, Umalusi continues to await a remit from these departments to formally inform its work. The National Development Plan and the White Paper for a Post School Education and Training are key documents to which Umalusi has aligned its work and this strategic plan.

5. Links to the Long-Term Infrastructure and other Capital Plans

Umalusi has been able to make long-term infrastructure plans by using its reserve funds as approved by the National Treasury and the Minister of Basic Education to acquire additional premises along with renovations to accommodate additional staff and ensure smooth operations. Umalusi will be renovating these premises during this strategic

Part D
ANNEXURES

TECHNICAL INDICATOR DESCRIPTIONS

Programme 1: Administration

Purpose/ importance	1.1.1 Achievement of a financially unqualified opinion
Short definition	There are different performance levels. The audit status Umalusi is planning for is an Unqualified opinion with no findings (clean audit). Umalusi achieves a financially unqualified opinion with no findings, commonly known as a clean audit opinion, when its financial statements are unqualified, with no reported audit findings in respect of either reporting on predetermined objectives or compliance with key legislation.
Purpose/ importance	Audits help organizations achieve goals and objectives by measuring overall performance and productivity, as detected in transactions and business records. Further, an audit protects an organization from financial misstatements, presenting a reliable health picture of the organization to National Treasury. Fraud protection is a benefit of audits achieved through internal controls that prevent and detect accounting irregularities. Strengthening the financial integrity of an organization through an audit reduces risk and the cost of capital.
Source/collection of data	External audit reports.
Method of calculation	Number of audit findings and matters of emphasis
Data limitations	None
Type of indicator	Output
Calculation type	Non-Cumulative
Reporting cycle	Annual
New Indicator	No
Desired performance	Unqualified Audit
Indicator responsibility	Chief Financial Officer

Indicator details	1.1.2 Percentage of Service providers paid within 30 days.
Short definition	Services providers are referred to as suppliers for goods and services, e.g. stationary, printing repairs. This includes also external moderators, evaluators, consultants and researchers. The 30 days will be calculated from the date of receipt of invoice and claims in the finance unit.
Purpose/ Importance	It is the contribution of Umalusi in growing the economy of the country through supporting SMMEs and professional service providers.
Source/Collection of data	Register of all invoices received in the unit. Register of all paid invoices

Method of calculation	Number of service providers paid within 30 days
	Total number of service providers invoice and claims received within 30 day X 100
Data limitations	Invoices and claims that have errors of inaccuracies that cannot be paid
Type of indicator	Output
Calculation type	Non- cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	All invoices and claims received and paid within 30 days
Indicator responsibility	CFO

Indicator title	1.1.3 Percentage of staff members meeting level 3 and above of their performance target on the Performance Management and Development System (PMDS)
Short definition	The indicator measures the number of staff members who have fully met the standards expected in all areas of the job. The assessment standard in the PMDS indicates that the employee who has fully achieved effective results against all significant performance criteria will be measured at level 3 and above. Level 1 and 2 are regarded as not having achieved all significant performance criteria. By staff members, it is referred to employees who are employed on a permanent and fixed term basis by Umalusi. PMDS is a system developed to assess performance of employees and it is in line with public service standards.
Purpose/ importance	Performance management within Umalusi and using it as a strategic business tool drives productivity, engagement and compliance. It assists the organisation to monitor the contribution by individual staff to the key results and the commitments detailed in the APP.
Source/collection of data	• Performance assessment reports • Summary report of overall performance of employees
Method of calculation	Total number of staff achieving a level 3 performance and above Total number of staff performance received X 100
Data limitations	Sharing of information is of a confidential nature and not all the information will be disclosed.
Type of indicator	Output
Calculation type	Non-cumulative
Reporting cycle	Bi-annually
New Indicator	Yes
Desired performance	100%
Indicator responsibility	Manager: Human Resources Management & Development

Indicator title	1.1.4 Number of communication platforms used by stakeholder clusters within the GFET sub-framework to access information.
Short definition	The indicator measures communication platforms used by stakeholder clusters. By communication platforms we mean the following: • electronic platforms such as hotline and email. • online platforms such as website and social media (such as twitter, facebook) • print platforms such as promotional material and newsletters. Stakeholder clusters include the following: 1. Policy Makers such as portfolio committees of parliament and the two Ministers of Education, 2. Policy Implementers such as DBE, DHET, SAQA, CHE, QCTO, Universities, Assessment Bodies etc. 3. Policy Beneficiaries such as learners and parents, 4. Umalusi staff, 5. General public. The GFET sub-framework refers to NQF levels 1-4 of the National Qualifications Framework which falls within Umalusi's legislative mandate. Information means information about the GFET sub-framework.
Purpose/ importance	The purpose of this indicator is to assess the number of communication platforms used by key Umalusi stakeholders and to review the effectiveness of these platforms based on stakeholder needs.
Source/collection of data	Website visits, Number of Facebook and Twitter friends, Internal and external newsletters, promotional material, info-emails for queries, hotline reports.
Method of calculation	Count of all the platforms identified above for usage.
Data limitations	None
Type of indicator	Output
Calculation type	Cumulative add up numbers from each platform above
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	To enable all stakeholder group to have access to various communication platforms.
Indicator responsibility	Senior Manager: PR and Communication unit

Indicator title	1.2.1 A report providing an executive summary of the status of the ICT Infrastructure
Short definition	This indicator aims to measure the status of the ICT Infrastructure used by Umalusi staff. By status it is referred to as an objective scoring of the health of the following measures, Operating system score, Disk score, Event log score, Alarm score and server uptime score calculated as a percentage that indicates the health of the Umalusi ICT Infrastructure.
Purpose/ importance	To report on the usability and functionality of the ICT Infrastructure in Umalusi.
Source/collection of data	A quarterly report of the status of the ICT Infrastructure for the last quarter.
Method of calculation	A report
Data limitations	None

Type of indicator	Output
Calculation type	Non-cumulative
Reporting cycle	Annual
New Indicator	Yes
Desired performance	95%
Indicator responsibility	Senior Manager: ICT Infrastructure, Systems and Governance

Indicator title	1.2.2 A report on the customer satisfaction survey on performance of the ICT system
Short definition	This indicator aims to report on levels of satisfaction of Umalusi ICT users. The report will be derived from the customer satisfaction survey on ICT systems. ICT systems refer to as custom developed software as well as off-the-shelf business applications.
Purpose/importance	To report on the usability and functionality of the software systems in Umalusi.
Source/collection of data	The report from the survey A 5% sample of completed survey Register of submission of survey by customers
Method of calculation	A report
Data limitations	None
Type of indicator	Output
Calculation type	Non-cumulative
Reporting cycle	Annual
New Indicator	Yes
Desired performance	To received responses indicating high level of satisfaction by users
Indicator responsibility	Senior Manager: ICT Infrastructure, Systems and Governance

Programme 2: Qualifications and Research

Indicator title	2.1.1 Number of curricula evaluated annually
Short definition	The number of curricula evaluated annually are reflected as the number of South African curricula – past and present – under investigation, as well as the number of international curricula being used to benchmark the local curricula.
Purpose/importance	The purpose of curriculum evaluation is to benchmark the curricula associated with the qualifications on the GFETQSF, which Umalusi quality assures, to ensure that the curriculum is relevant, fit for purpose and internationally comparable. The research involves comparing selected current curricula with the curricula they have replaced and with selected comparable international curricula. The research is used to strengthen national understanding of the quality of the curricula, to make recommendations for strengthening the curricula and to use the findings to strengthen the quality of teaching and assessment.
Source/collection of data	Selected curricula associated with one or more of the qualifications on the GENFETQSF, both past and present; comparable selected international curricula for benchmarking and related curriculum research; reports generated by the evaluation teams using instruments developed for the purpose; final reports published;

Method of calculation	Number of South African curricula, past and present under scrutiny, and the number of international curricula used to benchmark the local curricula
Data limitations	None
Type of indicator	Output
Calculation type	Non-Cumulative,
Reporting cycle	Annually
New Indicator	Yes
Desired performance	To produce quality reports that guides education department and institutions in respect of teaching, assessing and strengthening curricula.
Indicator responsibility	Senior Manager: Qualifications, Curriculum and Certification

Indicator title	2.1.2 Percentage of learner records evaluated per qualification in terms of certification requirements
Short definition	The percentage of learner records, which Umalusi receives from the assessment body, and which are evaluated against the standards/ requirements set in the qualification, and which are reflected in the certification directives. Assessment bodies submit learner records in a format supplied in the directives. Evaluated records are either accepted by Umalusi, or rejected for non-compliance and returned to the assessment body with an error report. This measure will indicate the volume of work undertaken by the unit on an annual basis by reflecting the total number of records received for all qualifications certified by Umalusi, and the total number evaluated (Qualifications: SC, (A)SC; NSC, NC(V) 2 – 4; N3; GETC: ABET). Further analysis of the records accepted will be provided in the narrative.
Purpose/ importance	Umalusi is mandated to certify learner records of achievement for qualifications on the GFETQSF. This indicator provides a measure of the efficiency of the processes required for certification.
Source/collection of data	Datasets submitted by the various assessment bodies both the state and those accredited by Umalusi; datasets approved for printing; datasets returned to the assessment bodies with error reports.
Method of calculation	Total number learner records evaluated: Total number of learner records received X 100
Data limitations	Non-submission of data by the assessment bodies; reliability and validity of the data submitted by the assessment bodies
Type of indicator	Output
Calculation type	Cumulative,
Reporting cycle	Quarterly
New Indicator	Yes
Desired performance	100% of all records received are evaluated and processed accordingly
Indicator responsibility	Senior Manager: Qualifications, Curriculum and Certification

Indicator title	2.1.3 Number of certificates issued per qualification annually
Short definition	This indicator uses the number of certificates awarded to successful learners by Umalusi as an index of the usefulness of the qualifications it quality assures. A record of the total number of certificates issued annually per qualification will indicate - across years – whether a qualification is successfully servicing a need in the national system, stagnating or declining in usefulness. This data serves as an indicator to the system where quality assurance efforts should be focused. Further analysis of the data in the narrative indicates the number of complete qualifications (certificates) vs incomplete qualifications (subject statements) issued each year.
Purpose/ importance	This indicator provides a measure of the uptake of the GFET qualifications in the national system across years.
Source/collection of data	Certification records
Method of calculation	Total number of certificates issued per qualification each year.
Data limitations	Submission of data by the assessment bodies; reliability and validity of the data submitted by the assessment bodies
Type of indicator	Output
Calculation type	Cumulative,
Reporting cycle	Quarterly
New Indicator	Yes
Desired performance	To monitor the uptake of qualifications and the effectiveness of their delivery
Indicator responsibility	Senior Manager: Qualifications, Curriculum and Certification

Indicator title	2.1.4 Number of verifications completed annually.
Short definition	Umalusi provides a service to contracted clients, which submit requests for the verification of certificates which have been issued by Umalusi, and by its predecessor, SAFCERT, since 1992. Clients submit requests in one of 3 formats, and Umalusi confirms the authenticity of the data submitted by the client – or indicates it not able to do so. The demand for this service increases each year. It is a service which generates income that supports the work that Umalusi does to quality assure education and training.
Purpose/ importance	To monitor the number of verifications completed quarterly and annually, and assists Umalusi in invoicing clients, and in determining the usefulness of its service. The indicator is used for staff and work planning in the sub-unit responsible for verification.
Source/collection of data	Information on the IT system
Method of calculation	Sum of the number of records per e-verification method for each client per quarter
Data limitations	
Type of indicator	Performance Indicator
Calculation type	Cumulative
Reporting cycle	Quarterly
New Indicator	No
Desired performance	All verifications are processed and invoiced as per client request
Indicator responsibility	Senior Manager: Qualifications, Curriculum and Certification

Indicator title	2.2.1 Number of research reports published
Short definition	This indicator shows the number of research findings that were published as printed reports or digital-only reports by the Statistical Information and Research Unit within the specified financial year. By publishing, it refers to a final approved report.
Purpose/ importance	To strengthen the delivery of the mandate of Umalusi as a quality council. It keeps the organisation up to date with the developments and challenges within the sub-framework and assists in providing recommendations for improvement.
Source/collection of data	Completed research reports/documents
Method of calculation	Count
Data limitations	None
Type of indicator	Output
Calculation type	Non-cumulative
Reporting cycle	Annual
New indicator	No
Desired performance	Publication of the desired number of quality research reports consistently
Indicator responsibility	Senior Manager: Statistical Information and Research

Programme 3: Quality Assurance and Monitoring

Indicator title	3.1.1 Number of question papers quality assured per qualification per assessment body
Short definition	The indicator measures the number of question papers submitted by assessment bodies to Umalusi for external moderation and approval. By qualification, it is referred to as registered programme of learning that leads to a certification. Assessment bodies are entities accredited by Umalusi to conduct external summative assessment and moderate site-based assessments for qualification registered on the GFET sub-framework.
Purpose/ importance	The purpose of this indicator is to ensure the credibility and integrity of examination question paper evaluated by Umalusi.
Source/collection of data	• External moderation reports for moderation of question papers, • List of question papers submitted per qualification per assessment body per examination. • Quality assurance of assessment report per assessment body per qualification per examination cycle • List of question papers quality assured.
Method of calculation	Count
Data limitations	Question papers cannot be provided as evidence before the examination is conducted because of the confidentiality status.
Type of indicator	Output
Calculation type	Non-cumulative: report at end of each examination cycle.

Reporting cycle	Per Assessment body per examination cycle:
	• General Education and Training Certificate (GETC)- Every semester: end of 2nd and 4th quarters.
	• National Senior Certificate (NSC)- Annual: end of 4th quarter
	• Senior Certificate – End of 2nd quarter
	• National Certificate (Vocational) [NC (V)] - Annual: end of 4th quarter
	• NATED- Trimester: End of 2nd, 3rd and 4th quarters.
New indicator	Yes
Desired performance	To ensure that all examination papers meet the external moderation criteria in terms of cognitive demands, predictability, technical aspects, internal moderation, bias and fairness, internal moderation and content coverage.
Indicator responsibility	Senior Manager: Quality Assurance

Indicator title	3.1.2 Number of quality assurance of assessment reports per qualification, per assessment body, per examination cycle.
Short definition	The indicator aims to measure the number of reports on the assessment bodies' compliance to Umalusi directives across the quality assurance processes. Assessment bodies are entities accredited by Umalusi or deemed accredited to conduct external summative assessment and moderate site-based assessments for qualification registered on the GFET sub-framework. By qualification, it is referred to as registered programme of learning that leads to a certification. Examination cycle for the purpose of reporting on this indicator is as follows:
	• General Education and Training Certificate (GETC)- 5 reports
	• National Senior Certificate (NSC)- 3 reports
	• Senior Certificate (SC) - 1report
	• National Certificate (Vocational) [NC (V)] and NATED
Purpose/ importance	For compliance to the GENFETQA 58 of 2001 as amended
	To inform and report to assessment bodies of areas of compliance and improvement.
Source/collection of data	Quality of Assurance assessment reports per assessment body per qualification per examination cycle.
	Monitoring and moderation reports
Method of calculation	Count - (GETC)- 5 reports
	(NSC)- 3 reports
	(SC) – 1 report
	[NC (V)] and NATED - 3 reports
	Total of 12 Reports
Data limitations	None
Type of indicator	Output
Calculation type	Cumulative: add up all the reports produced in different quarters at the end of the financial year.

Reporting cycle	Per Assessment body per examination cycle:
	• General Education and Training Certificate (GETC)- Every semester: end of 2nd and 4th quarters.
	• National Senior Certificate (NSC)- Annual: end of 4th quarter
	• Senior Certificate – End of 2nd quarter
	• National Certificate (Vocational) [NC (V)] - Annual: end of 4th quarter
	• NATED- Trimester: End of 2nd, 3rd and 4th quarters.
New indicator	Yes
Desired performance	Reports are produced per assessment body per qualification per examination cycle
Indicator responsibility	Senior Manager: Evaluation and Accreditation

Indicator title	3.2.1 A report on evaluation and accreditation of education institutions and independent assessment bodies.
Short definition	The indicator aims to report on the evaluation and accreditation of applications received from education institutions and independent assessment bodies. Education institutions refer to private schools, private colleges and private adult education centres. Independent assessment bodies are entities accredited by Umalusi to conduct external summative assessment and moderate site-based assessments for qualification registered on the GFET sub-framework.
Purpose/ importance	To inform and report on applications received from independent education institutions and assessment bodies that have applied for accreditation.
Source/collection of data	Umalusi Management Information System (MIS) Evaluation Reports Accreditation Committee of Council (ACC) report Tracking form Letter: Response to the applicant
Method of calculation	Produce 1 Report
Data limitations	None
Type of indicator	Output
Calculation type	Non-cumulative
Reporting cycle	Annual
New indicator	Yes
Desired performance	Table the report before the Umalusi Council.
Indicator responsibility	Senior Manager: Evaluation and Accreditation

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