UMALUSI

Council for Quality Assurance in
General and Further Education and Training

CONSOLIDATING THE SUB-FRAMEWORK

4 National Certificate (NC)

Amended National Senior National National Senior
Senior Certificate Certificate (NSC) Certificate Certificate
Vocational NC(V) for Adults
(NASCA)

NQF L4

CONSOLIDATING THE SUB-FRAMEWORK

3 Intermediate Certificate

4 TVET Colleges
National
Qualifications
Framework Act,
2008

NQF L3

Engineering Studies (N2)

Subject certificates towards
one or more qualification
designated variants

NSC-Gr11 National
Certificate
Vocational L3

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

2 2014

2 Elementary certificate (IC)

NSC-Gr10 National
Certificate
Vocational L2

Elementary
Certificate
of education

NQF
L2

Subject certificates towards
one or more qualification
designated variants

CONSOLIDATING THE SUB-FRAMEWORK

1 NQF L1 General Certificate (GC)

General Certificate of
Education (GCE)
General Education and Training General Education and
Certificate Training
Certificate for Adults

GCE ABET GETCA

GENERAL EDUCATION & TRAINING NQF L1

Subject (LA) certificates for adult learners

1

Strategic Plan
2016/2019

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
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 Practitioners
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
GOCEO	Governance and Office of the Chief Executive Officer
HRM&D	Human Resources Management and Development
HE	Higher Education
IRT	Item Response Theory
ICT	Information Communication and Technology
IT	Information Technology
ISAT	Integrated Summative Assessment (for NCV)
LRA	Labour Relations Act
MIS	Management Information System
MoA	Memorandum of Agreement
MTEF	Medium Term Expenditure Framework

MTSF	Medium Term Strategic Framework
NASA	National Senior Certificate for Adults
NATED	National Education (policy)
NCV	National Certificate Vocational
NQF	National Qualifications Framework
NSC	National Senior Certificate
NDP	National Development Plan
PAJA	Promotion of Administration of Justice Act
PAIA	Promotion of Access to Information Act
PFMA	Public Finance Management Act
QAA	Quality Assurance of Assessment
QC	Quality Council
QCC	Qualifications, Curriculum and Certification
QRG	Quick Reference Guide
SAFCERT	South African Certification Council
SAQA	South African Qualifications Authority
SDA	Skills Development Act
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).

The Council develops and manages a sub-framework of qualifications for general and further education and training, quality assures and benchmarks 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, as accounting authority, provides strategic direction to the organization. The Council's direction is informed by 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 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 (2014) 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.

Official
SIGN-OFF

It is hereby certified that this Strategic 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 outcomes, oriented goals and objectives which Umalusi will endeavour to achieve in the period 1 April 2015 to March 2020.

Mafu Solomon Rakometsi
Chief Executive Officer

John David Volmink
Umalusi Council Chairperson

Part A
STRATEGIC OVERVIEW

1. Introduction

The 2015-2019 Strategic Plan for Umalusi outlines the key priorities, strategic goals and objectives planned to be accomplished over the five-year period. This plan is aligned with the government's National Development Plan 2030 (NDP) whose aim is to eliminate poverty and reduce inequality through uniting South Africans. Umalusi will participate directly in the implementation of Chapter 9, which focuses on Improving education, training and innovation and Chapter 14, which deals with promoting accountability and fighting corruption. In addition, Umalusi will also participate in the implementation of Chapter 13, which focuses on developing a capable state and Chapter 15 which focuses on transforming society and uniting the country.

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.

This Strategic Plan describes Umalusi's work and responsibilities as per the mandate which is to ensure full implementation of the GFETQSF. Part A provides a general background on the organisation, its policy and legislative mandates, the organisational context and the goals, while Part B details the strategic objectives and five-year targets, arranged according to programmes.

Efforts were made to ensure that all objectives comply with SMART principles to enable better evaluation of these objectives.

2. Vision, Mission and Goals

2.1 Vision

A trusted authority in quality assurance of education provision, recognised locally and internationally.

2.2 Mission

To meet educational and societal needs, we shall assure the provision of valid, reliable and equitable examinations and a range of assessment services in a professional, innovative, efficient and effective manner. This will be done through:

- Developing and managing a sub-framework of qualifications for general and further education and training that is benchmarked internationally;
- Quality assuring qualifications and curricula;
- Confirming that assessment is fair, valid and reliable;
- Quality assuring the provision of education and training, and assessment providers; and
- Grounding its work in research to ensure informed positions and approaches.

2.3 Goals

- Improved organisational management, governance and financial viability to ensure high-quality, effective and efficient delivery of Umalusi's mandate; and
- 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

3. Values

As an organization we are guided by the following values which are important to us as an organisation:-

VALUE	BEHAVIOUR
Leadership	Umalusi values leadership in directing performance of others in the sector and leading the way.
Decisiveness	Umalusi is decisive in making decisions that are firm and beyond doubt, leading to conclusiveness.
Diversity	Umalusi embraces difference, variety and innovation within the various services in the sector.
Transparency/ Fairness	Umalusi programmes and services are easy to access and understand. Our decisions and actions are clear, reasonable and open to examination.
Professionalism	Umalusi employees are professionals, well trained in our specialties, committed to service excellence, and dedicated to the successful accomplishment of our mission.
Quality	Umalusi constantly seeks opportunities to improve our services and products. Quality and continuous improvements are an integral part of our daily operations.
Teamwork	Employees work as a team and value the contributions of each individual. We know that our people are our most important resource.
Integrity	Umalusi strives to be honest in our operations, conduct and discipline in the organisations' actions that have Integrity
Equity	Umalusi commits to treat all its stakeholders equally in an equitable way

4. Mandates, Policies and Functions

4.1 Mandates

4.1.1 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.

4.1.2 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

4.1.3 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.

Each of these mandated responsibilities is addressed in associated policy.

4.2 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 relevant Council policies.

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.

4.2.1 Other policy documents include:

a) The General and Further Education and Training Qualifications Sub-framework 2014.

b) Standard Setting and Quality Assurance of the General and Further Education and Training Qualifications Sub-framework: Umalusi, 2014.

c) Policy documents and guidelines pertaining to the National Senior Certificate, Senior Certificate (amended), GETC, NC(V), NATED 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, TVET College Act.

g) PAJA, PFMA, PAIA, LRA, SDA, Treasury Regulations, etc.; and

h) Any other relevant policies and directives issued by the Council.

4.3 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 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;

f) 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;

g) 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;

h) 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);

i) 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.

4.4 Relevant Court Rulings

None.

4.5 Planned Policy Initiatives

Based on the recent uncovering of group copying within certain provinces and schools, Umalusi together with the Department of Basic Education will have to tighten policy in this regard as this phenomenon has never been part of its policy focus.

Umalusi will further have to consider amending its founding Act to accommodate some of the new qualifications that may affect it, in conjunction with the other QC's with regards to the GETCA, NASCA and N qualifications.

Umalusi has considered its contribution to the achievement of relevant targets as per the specified mandates below:

- **NDP**
  - o   Improving the quality of education, skills development and innovation.
  - o   Improving the quality of underperforming school and further education and training colleges.
  - o   High quality, universal early childhood education.
  - o   Quality school education, with globally competitive and numeracy.
  - o   Further and higher education and training that enable people to fulfil their potential.

- **Action Plan to 2019**
  - o   Improving the quality of NSC results.
  - o   Improving the quality of learning outcomes.
  - o   Working with DBE about greater use of anchor items and other techniques that will facilitate monitoring of quality.
  - o   Monitoring of quality of ECD.
  - o   Ensuring maintenance of standards.

- **MTSF**
  - o   South Africans must have access to education and training of the highest quality, characterised by significant improved learning outcomes.
  - o   Improvements in ECD.
  - o   Use of international bench marks e.g. TIMSS and SACMEQ.
  - o   Improvement in ANA performance.

5. Situational Analysis

5.1 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 was the first year that the Umalusi 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 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.

5.2 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.

During the 2015/2016 financial year, corporate services updated the policies and procedures, identified additional policies and procedures that impacted directly on the core business and ensured all the procedures have clearly articulated process flows. This process of improving the policy environment will continue during the 2016/2017 financial year.

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 plans 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.
- Improvement in both the quality and process for quarterly reporting will be further strengthened during the 2016/2017 financial year.

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 will update the Finance Policies and Procedures Manual.

There will be notable improvements in the 2015/2016 financial year and these improvements will be further entrenched during the 2016/2017 financial year. With the introduction of the Planning, Monitoring, Risk and Compliance business unit there will be a marked improvement with respect to planning, reporting 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.

e) 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

6. Description of Strategic Planning Process

Umalusi follows National Treasury's planning and budgeting guidelines. In addition, the Government-wide planning and the MTSF inform and align Umalusi's plans on three levels of planning, namely, the five-year Strategic Plan and Annual Performance Plan (APP) which are broken down into quarterly targets and operational plans. The plans are cascaded respectively into the lowest level planning of business units. The individual performance agreements of senior managers are aligned to these plans.

The review and reprioritisation of plans was facilitated on the basis of the latter policy mandates. Issues of alignment were addressed by demonstrating how Umalusi's future plans would reflect alignment to the mandate of the DBE, DHET, the national outcomes and NDP with achievable targets.

For the planning period 2015/2016–2019/2020, as expected by statutory requirement for the MTEF, Umalusi reviewed and amended the strategic goals and objectives considering relevancy and appropriateness.

The following steps outline the Umalusi's planning process:

Step 1: The detailed facilitated consultations with business units to determine the SWOT, unpack high-level priorities into actionable plans, thereby determining interventions, setting targets and reviewing indicators.

Step 2: Umalusi started its strategic planning sessions from mid-January 2015, the Executive, Senior Management and middle management of the Umalusi convened a strategic review and planning session to reflect on Umalusi's performance and to map out the strategic direction for Umalusi. Umalusi identified the relevant focus on the basis of broader government priorities, the needs of its partners, and the priorities determined by the key stakeholders.

Step 3: Strategic planning at Council level was conducted in February 2015 and mapped the Strategic Planning Imperatives and discussed Strategic Risks and mitigation processes.

Step 4: Post the strategic planning sessions, the strategic plan and annual performance plan was drafted and subjected to a risk assessment.

Step 5: Upon the finalization of the targets and annual performance plan, the budget was developed.

Step 6: The draft strategic and annual performance plans were circulated to all business units in preparation for the operational plans and any further amendments to the strategic and annual performance plans.

Step 7: The priorities were communicated to all business units. This is when detailed annual operational plans are developed at implementation levels.

Step 8: Engagement with the Planning Directorate of the DBE took place in August 2015 for the analysis and support with regards to Umalusi's first draft plans. The feedback was incorporated into the drafts submitted to DBE, DPME and the National Treasury.

Step 9: Approval by the Council - The plan is reviewed and approved by the Council and then the Executive Authority and thereafter submitted to National Treasury.

7. Strategic Outcome Oriented Goals

Preamble

Umalusi's transformational intentions during this strategic planning period is to influence the education system in such a way that the quality assurance landscape is improved and receives the prominence it deserves through thoroughly researching and engaging critically in pursuit of the following:

• That Umalusi deepens its work in the pursuit of quality education to the point of possibly accrediting public institutions and not only private institutions and cross pollinate lessons learnt along with good practice,

- Good quality education in the public sector should not be just another noble intention, but an achieved goal with pockets of excellence being highlighted throughout the country and celebrated,

- Umalusi will continue to broaden its reach into areas untraversed before, like the ANA and IRT and be seen to be the independent quality assuror and Authority that it is, and

- Its structures will continue to expand in line with its mandate without the one surpassing the other, which means being able to do more with less and even more as its takes on its work progressively in line with government increasing its financial commitment to the role of Quality Councils like Umalusi.

STRATEGIC OUTCOMES ORIENTED GOAL	
Strategic Outcome Oriented Goal 1	Improved organisational management, governance and financial viability to ensure high-quality, effective and efficient delivery of Umalusi's mandate
Goal Statement	The goal is to ensure that Umalusi is fully-established, well-resourced and is a high performance institution by 31 March 2020. The goal will be measured annually through the following: • Implementation of effective policies, strategies and plans that comply with legislation, good corporate governance principles and improved organisational performance standards; • Efficient and effective fiscal, infrastructure and human resource planning and management to support the sustainability of Umalusi; • Optimal functioning institutional mechanism for delivery on its mandate; • Effective and efficient service ICT to advanced mandate of Umalusi; and • Clear leadership, and staff who feel empowered, and committed to continuous improvement who enjoy a high level of morale.

STRATEGIC OUTCOMES ORIENTED GOAL	
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
Goal Statement	The goal is to ensure that qualifications are fit for purpose, relevant and credible. This goal will be implemented through the following: • developing, fostering and maintaining an integrated and transparent national framework for the recognition of learning achievements; • ensuring that South African qualifications meet appropriate criteria, determined by the Minister as contemplated in GENFETQA; • ensuring that South African qualifications are of an acceptable quality • efficiently develop qualifications that are up-to-date. Information about candidates and qualifications will need to be accurate, accessible and easily managed by all those involved in the process, as appropriate; and • promote public and professional confidence in the integrity and relevance of certificates awarded.

Part B
STRATEGIC OBJECTIVES

8. Programme 1: Administration

8.1 Overview

The programme Administration's objective is to improve organisational management, governance and financial viability to ensure high-quality, effective and efficient delivery of Umalusi's mandate.

This programme focuses on 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 Communication** – 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 economic, 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.
*   **Planning, Monitoring, Evaluation, Reporting and Knowledge Management** – Institutionalisation of the results based planning, monitoring, evaluation and reporting approach across Umalusi.

8.2 Strategic Objectives

8.2.1 Programme 1: Administration

Strategic Objective	1.1 To improve the effectiveness of Corporate Governance
Strategic Objective Statement	To improve administrative and governance services (Finance, HR, Communication) in order to support the mandate of Umalusi and to strengthen compliance and accountability.
Baseline	Finance: Zero deviations HR- Staff Performance at Level 3 and above Communication: 100%
Justification	The administration functions drive the optimal operations of the department. Compliance to basic administrative legislations by these units leads to a functional organisation

Strategic Objective	1.1 To improve the effectiveness of Corporate Governance (continued)
Links	Labour Relations Act 66 of 1995 as amended, Performance Management and Development System
	Public Finance Management Act No 1 of 1999 as amended
	Promotion of Access to Information Act No 54 of 2007
	Public Administrative Justice Act No. 3 of 2000
	Protection of Personal Information Act No. 4 of 2013
5-year target	Finance: An unqualified Audit / Clean Audit
	HR: 98% of staff performance at level 3 and above
	8 Platforms

Strategic Objective	1.2 To provide ICT Infrastructure and business applications.
Strategic Objective Statement	To provide ICT Infrastructure and business applications so as to promote efficiency through ICT as a business operations enabler on an annual basis.
Baseline	ICT Infrastructure and basic business applications in place
Justification	To provide effective and efficient ICT operations in Umalusi with secure ICT systems and effective Infrastructure plan and the development, enhancement and maintenance of ICT business applications.
Links	DPSA ICT Governance Framework and Public Service Acts and Regulations
5-year target	19 reports

8.3 Resource Considerations - Programme 1 - Administration

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.	

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 (continued)
• Staffing of the Corporate Services Branch will also be fast-tracked during this period due to understaffing that gradually took place as the National Operations of the organisation grew in contrast; due to an ever increasing mandate. It is envisaged that an additional 13 posts are created and approved in 2015/16 to ensure organisational sustainability; thus increasing the staff establishment to 145 staff. • Umalusi in conjunction with the DBE and the National treasury will have to review the baseline allocation to Umalusi as its core business requires payment for flights, accommodation and honoraria to contract employees who quality assure the system; where the annual inflationary increases in the grant are insufficient to cover the actual annual increases in these expenses. Therefore a review of the grant allocation is critical to ensure organisational sustainability in safeguarding quality education in our country. The debate on whether a percentage of the total education vote should be reserved for quality assurance in the system; is a fundamental question and mind shift.

8.4 Strategic Risks: Programme 1 - Administration

NO	BUSINESS PROCESS	RISK DESCRIPTION	MITIGATING
1	Human Resources Management and Development	Insufficient Resources	• Advice on courses to study is provided. • Advertise more broadly to attract more candidates. • Head hunt for certain positions. • Conduct salary market survey every two years. • Staff establishment has been extended. • Use of contractors. • Job evaluations are performed.
2	Governance and Office of the Chief Executive Officer	Unfunded mandate and Insufficient funding for current mandate	• More effective use of the available funding. • Engage with NT and DBE for additional funding. • Engage the Portfolio Committee for basic education for additional funding. • Cost and financial management is performed. • Annual submissions and reporting on expenditure. • Implemented cost containment measures.
3	Human Resources Management and Development	Inadequate resources to efficiently support all business processes	• Advertising of positions. • Submission to appoint two additional programmers on a year contract to fast track development.
4	Governance and Office of the Chief Executive Officer	Not meeting mandate	• Engaging and communicating with stakeholders. • Collaboration.
5	Public Relations and Communications	Poor management of the Media	• Developed a Media and External Communication Plan. • Training on writing press releases. • Communication strategy approved. • Media is warned and follow-up is done, different methods of communication (sms, e-mails).

9. Programme 2: Qualifications and Research

9.1 Overview

The programme's objective is to enhance the quality of national qualifications for schools and colleges through research into the international acceptability of curricula and other matters relating to the qualifications sub-framework, and to measure their uptake annually.

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 qualifications 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 sub-framework. The mandate is to:

- 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.

9.2 Strategic Objectives

9.2.1 Qualifications and Research

Strategic Objective	2.1 To effectively manage the qualifications on the General and Further Education and Training Qualifications Sub-framework
Strategic Objective Statement	This objective ensures an enhanced status and quality of the national qualifications on the sub-framework which Umalusi develops, manages and certifies (Intent). This objective is advanced by: developing new qualifications for registration on the GFETQSF (only as required); reviewing existing qualifications (only when required); evaluating the quality of curricula associated with the qualifications; and certifying and verifying achievement of those qualifications on an annual basis.
Baseline	The sub-framework was determined by the Minister in Gazette No 36 003, published 14 December 2012.
	Umalusi's policy for the General and Further Education and Training Qualifications Sub-Framework came into effect in September 2014 when it was regulated in Government Gazette No 38 029, published 29 September 2014.
	Umalusi policy, Standards and Quality Assurance for General and Further Education and Training (published September 2014) also has reference. Qualifications regulated, reports published, GFETQSF-related policies developed; certification and verification figures.
Justification	In terms of the NQF Act of 2008, Section 27 (e), Umalusi, as a Quality Council is required to develop and manage the General and Further Education and Training Qualifications Sub-framework.

Strategic Objective	**2.1 To effectively manage the qualifications on the General and Further Education and Training Qualifications Sub-framework** (continued)
Justification (continued)	In terms of the General and Further Education and Training Act of 2001 (as amended), Umalusi is expected to 'provide for control over norms and standards of curriculum' (long definition of the Act), and to issue certificates to learners who have achieved qualifications or part qualifications (Section 17A).
Links	NQF Act of 2009; and the amended General and Further Education and Training Quality Assurance Act (Act 58 of 2001, as amended in 2008).
5-year target	Umalusi will: 1. Include into its operational work the development and review of qualifications on the Sub-framework, as the need for these actions are identified; 2. Evaluate a determined number of curricula annually to strengthen the quality of education presupposed by the qualifications on the sub-framework; 3. Evaluate all learner records submitted in terms of the qualification requirements of each of the qualifications Umalusi certifies; and 4. Verifies all verification requests submitted annually.

Strategic Objective	**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**
Strategic Objective Statement	This strategic objective refers to conducting research projects either internally or managing such projects. The research projects are aimed at providing information on either operational issues at Umalusi, or issues falling within the mandate of Umalusi.
Baseline	6
Justification	This objective is about ensuring that Umalusi conducts research projects that are aimed at ensuring that its qualifications are internationally comparable and further helps to ensure continuous improvement of examinations at exit points. Published research strengthens information sharing and dissemination of recommendation to Umalusi stakeholders.
Links	NQF Act of 2009; and the amended General and Further Education and Training Quality Assurance Act (Act 58 of 2001, as amended in 2008).
5-year target	36 research reports produced

9.3 Resource Considerations: Programme 2 – Qualifications and Research

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.	

9.4 Strategic Risks: Programme 2 - Qualifications and Research

NO	BUSINESS PROCESS	RISK DESCRIPTION	MITIGATING
1	Qualification, Curriculum and Certification	Delay in the implementation of new qualifications Umalusi fading from public consciousness and perhaps having our mandate reduced	• Applying pressure on the department through letters and communication and providing guidelines on the work to be done • Advocacy work and executive strategy planning is in place, together with Council advice
2	Qualification, Curriculum and Certification	Lack of agreement regarding roles and responsibilities in qualification development and implementation	• Umalusi Policy in place regarding the sub framework for the development of qualifications and Curriculum • Constant and consistent communication with all stakeholders (meetings and workshops) • Comment on National Policy developed by SAQA, QCs and the Departments in order to create coherence in the NQF space
3	Qualification, Curriculum and Certification	Returning incorrect or fraudulent verification information	• Up to date systems to support process • Staff and client training in understanding processes, procedures and feedback • User access controls • System generated Audit trails
4	Statistical Information and Research	Research does not inform strategic direction and position papers	• Use of Research Advisory Committee to monitor development of position papers

10. Programme 3: Quality Assurance and Monitoring

10.1 Overview

The programme Quality Assurance and Monitoring's objective is to improve 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.

This programme focuses on the quality assurance of assessment and the quality assurance of provision through accreditation of private providers and monitoring of the public provision. This programme is the core of the organisations delivery and includes the following sub-programmes:

• **Quality Assurance of Assessment:** Standards of assessment established, quality assured, maintained and improved. This function entails establishing, maintaining and improving standards and quality in assessment at exit points in general and further education and training. To fulfil this function Umalusi uses five key processes:
  o external moderation of question papers
  o external moderation of continuous assessment
  o verification of monitoring of the conduct administration and management of assessment and examinations processes
  o management of concessions and examination irregularities
  o external moderation of marking
  o moderation of assessment results

- Evaluation and Accreditation: Standards for provision determined, maintained and strengthened in order to do so, implement a system for evaluation and accreditation of private providers of education, training and assessment. In addition, Public assessment bodies will be monitored. The evaluation and accreditation function is responsible for the quality assurance of provision, through an accreditation and monitoring process of institutions offering the qualifications Umalusi certifies. Umalusi evaluates the capacity of education and training providers to implement registered qualifications for which they seek accreditation. Umalusi monitors and evaluates the capacity of providers and assessment bodies to conduct practical, internal and external, assessment of learner achievements that lead to the issuing of registered qualifications by Umalusi.

10.2 Strategic Objectives

10.2.1 Quality Assurance and Monitoring

Strategic Objective	3.1. To ensure the credibility of the Examination results of the qualifications registered in the GENFET sub-framework.
Strategic Objective Statement	To ensure that all Assessment bodies meet the minimum standards across quality assurance of assessment processes in order to increase the credibility of examination results per examination cycle.
Baseline	One Quality Assurance Report per qualification per assessment body per examination cycle
Justification	To ensure compliance to quality standards
Links	Section 17A of the GENFETQA Act, no 58 of 2001 and as amended in 2008 states that: (1) The Council must assure the quality of assessment at exit points (2) The Council must perform the external moderation of assessment of assessment bodies (3) The Council may adjust raw marks during the standardisation process The National Qualification Framework (NQF) Act No. 67 of 2008 Section 27 (h) a. The Council must, in respect of quality assurance within its sub-framework, do the following: • develop and implement policy for quality assurance; • ensure the integrity and credibility of quality assurance; • ensure that quality assurance as is necessary for the sub-framework is undertaken.
5-year target	50 reports

Strategic Objective	3.2. To quality assure the provisioning and assessment on the GFET sub-framework.
Strategic Objective Statement	To improve the provisioning and assessment of qualifications on the GFET sub-framework by evaluating and pronouncing on applications received for accreditation annually.
Baseline	No baseline
Justification	To ensure that all private institutions who apply to Umalusi are evaluated and responded to.
Links	SASA which says that all schools registered to offer qualifications on the GFET sub-framework must be accredited. FET Act, says that all private colleges must be accredited with Umalusi.

Strategic Objective	3.2. To quality assure the provisioning and assessment on the GFET sub-framework. (continued)
Links (continued)	General and Further Education and Training Quality Assurance Act 58 of 2001 as Amended (GENFETQA) mandates Umalusi to quality assure all private institutions of education and independent assessment bodies that offer/assess qualifications on the General and Further Education and Training Qualifications sub-framework (GFETQSF)
5-year target	One report each year

10.3 Resource Considerations: Programme 3 - Quality Assurance and Monitoring

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.

10.4 Strategic Risks: Programme 3 - Quality Assurance and Monitoring

NO	BUSINESS PROCESS	RISK DESCRIPTION	MITIGATING
1	Quality Assurance of Assessment	QAA delay in approving the release of the results.	• Policy for approval of results approved by the Council. • Circulars sent to assessment bodies indicating timeframes. • Regular meeting with assessment bodies explaining processes and mandate of Umalusi. • Also use meetings for feedback to assessment bodies. • Regular meetings (quarterly) with departments and assessment bodies. • Suspend accreditation for private assessment bodies.
2	Quality Assurance of Assessment	Resulting data not received on a timely basis.	• Requirements and specifications directive documents. • Standardisation management plan sent to assessment bodies.
3	Evaluation and Accreditation	Inadequate HR capacity to meet expanding mandate	• Contract workers appointed to help with workload • Umalusi HR organogram • Post approved and advertisement place • Some appointment made
4	Evaluation and Accreditation	Registration/ Accreditation interplay relating to TVET colleges	• Quarterly meetings with DHET

11. 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 2011/2012 from the Minister of HET. The National Development Plan is also a key document that aligns Umalusi work and this strategic plan.

12. 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 planning cycle and should finalize it within the first year or two.

13. Technical Indicators

Programme 1

Strategic objective details	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.
Short definition	The support given by the units in this programme (Finance, HR and Communication) enables Umalusi to perform all other activities optimally and efficiently.
Purpose/ importance	The Finance unit ensures effective management of financial systems. The HR unit ensures optimum utilization of the human resource component and the Communication unit ensures effective communication of key organisational messages to internal and external stakeholders.
Source/collection of data	Finance: Quarterly Finance Reports, Internal and External Audit Reports, Annual Report HR: Quarterly HR Reports Communication: Quarterly Reports
Method of calculation	Finance: External Audit Report HR: (as a percentage) • Total number of staff achieving a level 3 performance and above • Total number of staff performance received Communication: 8 communication clusters
Data limitations	None
Type of indicator	Output
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Full compliance to all key legislations
Indicator responsibility	Compliance, Governance and Risk Manager

Strategic objective details	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.
Short definition	ICT infrastructure means the local and wide area network, computer equipment, server equipment, as well as safeguarding of information, while business applications refers development enhancement and maintenance to software systems. This also includes sourcing and replacement of such.
Purpose/ importance	Ensure that ICT support and services are delivered to Umalusi to enhance business operations.
Source/collection of data	LAN, WAN, VPN, computer equipment (desktop, laptops, 3Gs, tablets) server equipment, software licensing and custom developed software systems.
Method of calculation	Actual verification of the sources of data
Data limitations	None
Type of indicator	Output
Calculation type	Non- cumulative
Reporting cycle	Quarterly
New indicator	New
Desired performance	Achieve optimum availability and functionality of ICT systems and infrastructure continuous basis
Indicator responsibility	Senior Manager: ICT Infrastructure, Systems and Governance

Programme 2

Strategic objective details	2.1. To effectively manage the qualifications on the General and Further Education and Training Qualifications Sub-framework
Indicator title	Management of qualifications on the GFETQSF
Management of qualifications on the GFETQSF	This objective ensures an enhanced status and quality of the national qualifications on the sub-framework which Umalusi develops, manages and certifies. This objective is advanced by: developing new qualifications for registration on the GFETQSF (only as required); reviewing existing qualifications (only when required); evaluating the quality of curricula associated with the qualifications; and certifying and verifying achievement of those qualifications on an annual basis.
Purpose/ importance	To ensure the delivery of Umalusi mandate as stipulated in the NQF and the GENFETQA Acts.
Source/collection of data	Curriculum and qualification documents and resulting databases of different assessment bodies.
Method of calculation	Separate indicators for: • Curriculum: number of local and international curricula used in determining the quality of the curricula associated with the national qualifications quality assured and certified by Umalusi • The percentage of learner records submitted by assessment bodies which have been evaluated in terms of the certification requirements per qualification (100%) • The actual number of certificates issued per qualification (an indicator of uptake, stagnation or decline of the qualification when checked across years) • The actual number of verifications undertaken annually (an indicator of increased demand when considered across years; useful for staff planning as well).
Data limitations	None

Type of indicator	Output
Calculation type	Non-cumulative
Reporting cycle	Annual
New indicator	Yes
Desired performance	Umalusi will: 1. Include into its operational work the development and review of qualifications on the sub-framework, as the need for these actions are identified; 2. Evaluate a determined number of curricula annually to strengthen the quality of education presupposed by the qualifications on the sub-framework; 3. Evaluate all learner records submitted in terms of the qualification requirements of each of the qualifications Umalusi certifies; 4. Record the actual numbers of certificates issued annually per qualification, and 5. Verify all verification requests submitted annually.
Indicator responsibility	Senior Manager: Qualifications, Curriculum and Certification

Strategic objective details	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
Short definition	This indicator refers to conducting research projects either internally or managing such projects. The research projects are aimed at providing information on either operational issues at Umalusi, or issues falling within the mandate of Umalusi.
Purpose/ importance	The importance of this work is to guide Umalusi in operational and strategic terms, providing research-based information to either the organisation or the stakeholders in the General and Further Education and Training sector.
Source/collection of data	Actual publications; completed research reports/documents
Method of calculation	Non-Cumulative
Data limitations	None
Type of indicator	Output
Calculation type	Simple count
Reporting cycle	Annual
New indicator	No
Desired performance	Publication of the desired number of quality research consistently
Indicator responsibility	Senior Manager: Statistical Information and Research

Programme 3

Strategic objective details	3.1. To ensure that all assessment bodies meet the minimum standards across quality assurance of assessment processes in order to increase the credibility of examination results per examination cycle.
Short definition	This objective is to ensure that all applications that are received get processed within eighteen months of their receipt. This will enable Umalusi to ascertain that applicants that apply to offer the qualifications are quality assured by being evaluated and reported on. The independent assessment bodies that apply for accreditation to assess the qualification are evaluated and pronounced on at every milestone, such as desktop, state of readiness and conduct of a pilot exam, etc.
Purpose/ importance	It assists the organisation to ascertain that the private institutions of education that offer or assess the qualification Umalusi quality assures, meet the accreditation criteria.
Source/collection of data	Evaluation Reports Accreditation Committee of Council (ACC) report
Method of calculation	Submission of one report annually
Data limitations	None
Type of indicator	Output
Calculation type	Non-Cumulative
Reporting cycle	Annual
New indicator	Yes
Desired performance	That 100% of applications be evaluated and pronounced on within 18 months and that assessment bodies are evaluated and pronounced at every milestone.
Indicator responsibility	Senior Manager: Evaluation and Accreditation

Notes