

GOVERNMENT NOTICE OF 2018

THE COUNCIL FOR GENERAL AND FURTHER EDUCATION AND TRAINING QUALITY ASSURANCE ("UMALUSI")

GENERAL AND FURTHER EDUCATION AND TRAINING QUALITY ASSURANCE ACT, 2001 (ACT NO. 58 OF 2001)

CALL FOR WRITTEN SUBMISSIONS FROM STAKEHOLDER BODIES AND MEMBERS OF THE PUBLIC ON THE POLICY AND CRITERIA FOR ASSESSMENT OF QUALIFICATIONS ON THE GENERAL AND FURTHER EDUCATION AND TRAINING QUALIFICATIONS SUB-FRAMEWORK

1. I, John Volmink, Chair of the Umalusi Council, hereby, in terms of sections 17A(1) and 23(1) of the *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)*, give my intention to develop the *Policy and Criteria for Assessment of Qualifications on the General and Further Education and Training Qualifications Sub-framework*. In view of this, I invite stakeholder bodies and members of the public to comment on this policy as set out in the **Schedule**.

BACKGROUND

2. The *National Qualifications Framework Act, 2008 (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.
3. Umalusi's responsibility is to quality assure exit point assessments and provision for qualifications in schools, Technical and Vocational Education and Training Colleges, Community Education and Training Colleges and Private Colleges.

4. The purpose of standards, standard setting and quality assurance is to stipulate and control the administration, management of the systems, processes and procedures for assessment and quality assurance at exit points used by Umalusi.
5. The policy will be applicable to-
 - (a) all schools, Technical and Vocational Education and Training Colleges, Community Education and Training Colleges and Private Colleges offering qualifications registered on the General and Further Education and Training Qualifications Sub-framework; and
 - (b) Public and Private Assessment Bodies responsible for internal assessment and external examinations conducted at the institutions listed above.

AVAILABILITY OF THE POLICY DOCUMENT

6. The **Schedule** referred in paragraph 1 is available on Umalusi's website: www.umalusi.org.za

SUBMISSIONS

7. It would greatly assist Umalusi if all submissions could be prepared under the headings listed in the policy document, *Policy and Criteria for Assessment of Qualifications on the General and Further Education and Training Qualifications Sub-framework*, as set out in the **Schedule**. If you do not wish to comment under a particular heading, please indicate "No comment".
8. The name, address, telephone number and fax number of the person or organisation responsible for submitting comments must be provided.

CLOSING DATE

9. The closing date for the receipt of comments is set as **21 days** after publication of this Notice.

ADDRESS FOR SUBMISSIONS

10. Please send or deliver your submission to-

The Chief Executive Officer

Umalusi

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PROFESSOR J VOLMINK

CHAIR OF THE UMALUSI COUNCIL

DATE: 28/02/2018

**POLICY AND CRITERIA FOR ASSESSMENT OF QUALIFICATIONS ON
THE GENERAL AND FURTHER EDUCATION AND TRAINING
QUALIFICATIONS SUB-FRAMEWORK (GFETQSF)**

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ABBREVIATIONS AND ACRONYMS

ABET	Adult Basic Education and Training
AET	Adult Education and Training
ASC	Assessment Standards Committee of Council
CAPS	Curriculum and Assessment Policy Statements
CAT	Common Assessment Task
CEO	Chief Executive Officer
CET	Continuing Education and Training
CHE	Council on Higher Education
DBE	Department of Basic Education
DG	Director-General
DHET	Department of Higher Education and Training
EXCO	Executive Committee of Umalusi Council
FET	Further Education and Training
GENFETQA	General and Further Education and Training Quality Assurance
GET	General Education and Training
GETC	General Education and Training Certificate

GETCA	General Education and Training Certificate for Adults
GFETQSF	General and Further Education and Training Qualifications Sub-framework
HEQSF	Higher Education Qualifications Sub-framework
ICASS	Internal Continuous Assessment
ISAT	Integrated Summative Assessment Task
NATED	National Education
NASCA	National Senior Certificate for Adults
NCS	National Curriculum Statement
NC (V)	National Certificate (Vocational)
NEIC	National Examination Irregularities Committee
NEPA	National Education Policy Act
NQF	National Qualifications Framework
NSC	National Senior Certificate
OQSF	Occupations Qualifications Sub-framework
PAT	Practical Assessment Task
PED	Provincial Education Department
PEIC	Provincial Examinations Irregularities Committee

QC	Quality Council
QCTO	Quality Council for Trades and Occupations
SAQA	South African Qualifications Authority
SASA	South African Schools Act
SBA	School Based Assessment / Site Based Assessment
SC (a)	Senior Certificate (amended)
TVET	Technical and Vocational Education and Training
VET	Vocational Education and Training

CHAPTER 1

DEFINITIONS, OBJECTIVES AND APPLICATION

1. Definitions

The purpose of these definitions is to define the terminology used in developing this policy.

In this Policy-

- (a) any word or expression to which meaning has been assigned in the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)* and the *General and Further Education and Training Quality Assurance Act 2001, (Act No. 58 of 2001)*, shall have the meaning so assigned to it, unless the context otherwise indicates-
- (b) the singular shall include the plural and *vice versa*-

“accreditation” – means **the outcome of a quality assurance** process of evaluating-

- (a) a private assessment body to determine whether its capacity, systems, processes and products are of the appropriate quality to deliver valid, reliable, fair and credible assessments and
- (b) an independent school and a private college to determine whether it has, in accordance with the policy and criteria for quality assurance as set out in this policy, the capacity to offer a qualification or programmes leading to a qualification on the General and Further Education and Training Qualifications Sub-framework

“Adult Education and Training Centre” – means a public or private Adult Education and Training (AET) Centre that is in existence immediately before the commencement of the Continuing Education and Training Act, 2006 and was established as a public AET Centre in terms of *section 3(1) (b)* of the *Adult Education and Training Act, 2000 (Act No. 52 of 2000)* as repealed by the *Continuing Education and Training Act, 2006*. An AET Centre continues to exist and is deemed to have been established as a Community Education and

Training College in terms of *section 3(1)(b)* of the principal Act as amended by the *Continuing Education and Training Act, 2006*;

“assessment” - means the process of identifying, gathering and interpreting information about a learner’s achievement in order to-

- (a) assist the learner’s development and improve the process of learning and teaching; and
- (b) evaluate and certify competence in order to ensure qualification credibility. Assessment includes national examinations, and site-based assessment;

“assessment body” - means a juristic body accredited by Umalusi to quality assure internal assessment and conduct external examinations, or a department of education;

“assessed curriculum” – means the part of the intended curriculum which features in assessment or examinations;

“certification” - means the formal recognition by Umalusi of a qualification or part qualification awarded to a successful learner;

“college” – means

- (a) a public college that is established or declared in terms of the CET Act as-
 - (i) a technical and vocational education and training college; or
 - (ii) community education and training college; or
- (b) a private college offering Adult Education and Training/or Further Education and Training programmes leading towards the achievement of a qualification or part-qualification on the General and Further Education and Training Qualifications Sub-framework;

“community college” – means a public institution within the Post-School Education and Training System established and declared as a community college in terms of the *Continuing Education and Training Act, 2006*;

“concession” – means an act of granting something as a right or accepting something as true;

“continuing education and training” – means all post-school learning and training programmes leading to qualifications or part-qualifications on the General and Further Education and Training Qualifications Sub-framework;

“Council” – refers to Umalusi, the Quality Council for General and Further Education and Training; as contemplated in the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)*, and the *General and Further Education and Training Quality Assurance Act 2001, (Act No. 58 of 2001)*;

“credibility” – means a state of a desired assessment outcome which indicates that the assessment process was fair, valid and reliable;

“curriculum” - means a statement which encompasses three components: intended curriculum, enacted curriculum and assessed curriculum;

“enacted curriculum” - means the delivery of the curriculum in an institution which includes leadership and management, the ethos and values , teaching and learning, extra-curricular activities, learner support, institutional performance and the management of quality towards improvement;

“examination centre” – means a centre registered by an assessment body;

“examination cycle” – commences with the registration of candidates and includes the conduct, administration and management of examinations and concludes with resulting;

“examined curriculum” – means that part of the intended curriculum which features in assessment or examinations; and “assessed curriculum” has the same meaning;

“exit point” - means a point in General and Further Education and Training at which a learner is required to demonstrate competence with a view to obtaining documentary proof of proficiency;

“external examination” - means assessment conducted by a public or accredited private assessment body, the outcomes of which count towards the achievement of a qualification or part-qualification;

“external moderation” – means the authentication of internal and external assessment conducted by Umalusi;

“fairness” – means that there is no bias towards any learner on the basis of social class, ethnicity, gender and disability;

“Further Education and Training” - means all learning and training programmes leading to qualifications from Levels 2, 3 and 4 of the National Qualifications Framework (NQF);

“General Education and Training” - means all learning and training programmes leading to a qualification on Level 1 of the National Qualifications Framework;

“General and Further Education and Training Qualifications Sub-framework” - means the Sub-framework of the NQF for General and Further Education and Training that is developed and managed by Umalusi;

“Head of Department” – means the head of a department responsible for education in a province;

“independent school” - means a school registered or deemed registered in terms of *section 46* of the *South African Schools Act, 1996 (Act No. 84 of 1996)*;

“intended curriculum” - means the documented curriculum for a qualification that provides a more detailed description in terms of the depth, breadth and

level of difficulty and cognitive demand of what is required for the purpose of the qualification to be fulfilled;

“internal assessment” – means any assessment, conducted by an education institution, the outcomes of which count towards the achievement of a qualification;

“Minister” – means the Minister of Basic Education and Minister of Higher Education and Training;

“Moderation” – means a process which ensures that assessment of the outcomes described in the National Qualifications Framework standards or qualifications is fair, valid and reliable;

“National Senior Certificate” as contemplated in the policy, *National policy pertaining to the Programme and Promotion requirements of the National Curriculum Statement, Grades R–12*, published in *Government Gazette No. 34600* of 12 September 2011;

“National Qualification Framework” (NQF) means the national qualifications framework contemplated in the National Qualifications Framework Act, 2008;

“private college” – means any college that provides continuing education and training on a full-time, part-time and distance basis and which is registered or provisionally registered as a private college in terms of *Chapter 6* of the *Continuing Education and Training Act, 2006*;

“private education institution” as contemplated in the *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)*;

“processes and procedures for the assessment of learner achievement” – means the conduct, administration and management of internal assessment, end-of year examination, and the final National Senior Certificate *Pertaining to the Programme and Promotion Requirements of the National Curriculum*

Statement Grades R–12, and the policy document, *National Protocol for Assessment Grades R-12*, *Government Gazette No. 34600* of 12 September 2011;

“programme” - means the same as curriculum in the Act and in this policy;

“Provincial Education Department” - means an education department, contemplated in *Section 1* of the *Employment of Educators Act, 1998 (Act No. 76 of 1998)*;

“public college” – means any college that provides continuing education and training on a full-time, part-time or distance basis which is-

- (a) established or regarded as being established as a public college under section 3 of the *Continuing Education and Training Act, 2006*; or
- (b) declared as a public college under section 4 of the *Continuing Education and Training Act, 2006*;

“qualification” - as contemplated in the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)*;

“quality assurance” - means the process of measuring, evaluating and reporting on quality against standards, and monitoring for ongoing improvement in the qualification, the curriculum/programme, the assessment, the implementation and delivery of the curriculum/programme and the capacity of the institution or assessment body to offer and/or assess the qualification;

“Quality Council (QC)” - as contemplated in *sections 24-27* of the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)*;

“reliability” – means the overall consistency of measure. A measure is said to be highly reliable if it produces similar results under consistent conditions. In assessment reliability refers to the extent to which in similar contexts the same assessment related judgements can be made;

“registered qualification” - means a qualification registered on the National Qualifications Framework by SAQA in terms of *section 13(1)(h)* of the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)*;

“Senior Certificate (amended)” – means a qualification awarded to adult learners who are 21 years and older and out of school youth 18-21 years old who could not complete their school education, as set out in *Government Notices No. 612 and 613 in Government Gazette, No.37902* of 11 August 2014;

“Umalusi” – means the Quality Council for General and Further Education and Training established by the *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)*. In terms of the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)*, it is tasked to support the achievement of the objectives of the NQF and to develop and manage the General and Further Education and Training Qualifications Sub-framework.

“validity” - means the extent to which assessment measures what it has been developed to measure. Validity is about the appropriateness, usefulness, and meaningfulness of assessment procedures, methods, instruments, and materials. Assessment is valid when the assessment item actually test the knowledge and skills required for defined competencies and learning outcomes.

2. Purpose of the policy

- (1) The *National Qualifications Framework Act, 2008 (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.

- (2) In order to achieve the objectives of the NQF with regard to qualifications registered on the GFETQSF, Umalusi is required to develop and implement the policy and criteria for assessment.
- (3) The aim of this policy, *is to-*
 - (a) establish a coherent, coordinated and integrated system for establishing and maintaining standards in assessment (Chapters 3 and 4); and
 - (b) outline the systems, processes and procedures used by Umalusi to ensure the development, maintenance and improvement of standards in assessment (Chapter 5).

3. Application

- (1) This policy applies to all-
 - (a) schools, Technical and Vocational Education and Training Colleges, Continuing Education and Training Colleges and Private Colleges offering qualifications registered on the GFETQSF; and
 - (b) public and accredited private assessment bodies responsible for internal assessment and external examinations conducted at the institutions contemplate in *sub-paragraph (a)*.

CHAPTER 2

LEGISLATIVE CONTEXT

4. Underpinning Legislation

- (1) This policy is premised on the following acts-
 - (a) *The Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996);*
 - (b) *National Qualifications Framework Act, 2008 (Act No. 67 of 2008) (hereafter referred to as the NQF Act);*
 - (c) *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001) (hereafter referred to as the GENFETQA Act);*
 - (d) *National Education Policy Act, 1996 (No. 27 of 1996);*
 - (e) *South African Schools Act, 1996 (Act No. 84 of 1996); and*
 - (f) *Continuing Education and Training Act, 2006 (No. 16 of 2006) (Previously “Further Education and Training Colleges Act).*

5. Mandate and responsibilities of Umalusi as Quality Council of the GFETQSF

- (1) Mandate of Umalusi as QC of the GFETQSF
 - (a) *Section 2 of the GENFETQA Act, indicates the said Act’s application to education institutions established, declared or registered in terms of-*
 - (i) *South African Schools Act, 1996 (Act No. 84 of 1996); and*
 - (ii) *Continuing Education and Training Act, 2006 (No. 16 of 2006).*

- (b) The *NQF Act* 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.
 - (c) Umalusi's mandate as the Quality Council for bands 1-4 of the National Qualifications Framework, is stipulated in-
 - (i) *Section 24* of the *NQF Act*; and
 - (ii) *Sections 16(2) and 16(3)* of the *GENFETQA Act*.
- (2) Responsibilities of Umalusi as QC of the GFETQSF
- (a) Umalusi's responsibilities as *QC for the GFETQSF*, are stipulated in *Section 27* of the *NQF Act* and in *Sections 16, 17, 17A, 18 and 23* of the *GENFETQA Act* and comprise the following-
 - (i) the management of a sub-framework of qualifications at Levels 1-4 on the NQF, which entails-
 - (aa) development, registration and publication of qualifications;
 - (bb) establishment of the need for the development of a qualification, as contemplated in *sub-paragraph (a)(i)(aa)*, for the sector; and
 - (cc) recommendation to SAQA for the registration qualifications;
 - (dd) quality assurance of exit point assessments; and
 - (ee) provision for qualifications in schools, TVET Colleges and Community Colleges;

- (ii) development and implementation of policy and criteria for-
 - (aa) assessment,
 - (bb) recognition of prior learning; and
 - (cc) credit accumulation and transfer;

- (iii) quality assurance within the GFETQSF with the aim of-
 - (aa) developing and implementing policy for quality assurance;
 - (bb) ensuring the integrity and credibility of quality assurance; and
 - (cc) ensuring that such quality assurance as is necessary for the sub-framework is undertaken.

- (b) To determine and maintain the standard of qualifications in the GFETQSF, Umalusi must ensure the following-
 - (i) the associated qualifications and curricula registered on the GFETQSF are quality assured;
 - (ii) education institutions, contemplated in *sub-paragraph (i)*, that offer provision towards the achievement of such qualifications are quality assured;
 - (iii) assessment bodies/agencies and systems that externally examine such qualifications are accredited, monitored and quality assured; and
 - iv) the conduct of national external examinations for qualifications on the framework is monitored and reported on.

- (c) Umalusi is also required, in terms of its quality assurance of assessment responsibilities, to-

- (i) 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;
- (ii) develop policy for assessment, including internal assessment where such contributes to the final marks, and standardisation;
- (iii) ensure and verify the implementation of such policy by the assessment bodies responsible;
- (iv) report irregularities which may jeopardise the integrity of an assessment or its outcome to the relevant Director-General (DG); and issue certificates to learners who have achieved qualifications or part-qualifications.

6. National Policy of the Department of Basic Education in terms of the *National Education Policy Act, 1996 (No. 27 of 1996)*

- (1) *Section 3(4)(l) of the National Education Policy Act, 1996 (No. 27 of 1996)* makes provision for the determination of national education policy by the Minister of Basic Education regarding curriculum frameworks, core syllabuses and education programmes, learning standards, examinations and the certification of qualifications for the following qualifications registered on the GFETQSF-
 - (a) National Senior Certificate (NSC); and
 - (b) Senior Certificate (amended) (SC(a)).

- (2) *Section 6A of the South African Schools Act, 1996 (Act No. 84 of 1996)* forms the basis for the Minister of Basic Education to determine minimum outcomes and standards, as well as the processes and procedures for the assessment of learner achievement to be applicable to public and those independent

schools registered for the National Senior Certificate and the Senior Certificate (amended) examinations.

7. National Policy of the Department of Higher Education and Training in terms of the *Continuing Education and Training Act, 2006 (Act No. 16 of 2006)*

- (1) The *Continuing Education and Training Act, 2006 (Act No. 16 of 2006)* (hereafter referred to as the *CET Act*) which commenced on 11 December 2006, repealed the *Adult Education and Training Act, 2000 (Act No. 52 of 2000)*.
- (2) The CET Act will govern-
 - (a) Technical Vocational Education and Training Colleges;
 - (b) Continuing Education and Training Colleges; and
 - (d) Private Colleges as defined in terms of this Policy.
- (3) In terms of *section 41B(4)* of the *Continuing Education and Training Act, 2006 (No. 16 of 2006)*, the Minister of Higher Education shall determine national policy for the programmes, monitoring, evaluation and well-being of the further education and training system for the following qualifications registered on the GFETQSF-
 - (a) National Certificate (Vocational) (NC(V));
 - (b) NATED Report 190/191 PART 1: Engineering Studies (N2-3) programmes;
 - (c) National Senior Certificate for Adults (NASCA);
 - (d) General Education and Training Certificate: Adult Basic Education and Training (GETC:ABET) Level 4; and
 - (e) General Education and Training Certificate for Adults (GETCA).

8. Development of Policy

- (1) *Section 27(l) of the NQF Act enables Umalusi to develop and implement policy for quality assurance applicable to all schools, Technical and Vocational Education and Training Colleges, Community Colleges and Private Colleges offering qualifications registered on the GFETQSF to ensure that such quality assurance as is necessary is undertaken, and by doing so, to ensure the integrity and credibility of quality assurance.*
- (2) *In terms of sections 17A(2)(a) and 23(1), 23(2)(a), 23(2)(b) and 23(2)(c) of the GENFETQA Act, Umalusi may develop policy for the accreditation of private assessment bodies and quality assurance of private education institutions.*
- (3) *In compliance with section 27(i) of the NQF Act, and sections 17A(1) and 17A(3) of the GENFETQA Act, Umalusi has developed Policy for the quality assurance of qualifications registered on the general and further education and training qualifications sub-framework.*

9. Supplementary documents

This Policy must be read in conjunction with the following documents-

- (1) Regulations
 - (a) *Regulations Pertaining to the National Curriculum Statement Grades R-12, Government Gazette No. 36041 of 28 December 2012;*
 - (b) *Regulations Pertaining to the Conduct, Administration and Management of the National Senior Certificate Examinations, Government Gazette No. 31337 of 29 August 2008; and*

- (c) *Regulations on the Assessment Process and Procedures for Adult Education and Training (AET) National Qualifications Framework (NQF) Level 1.*

(2) Policies

- (a) *Curriculum and Assessment Policy Statements for each approved school subject as listed in the policy document National policy pertaining to the programme and promotion requirements of the National Curriculum Statement Grades R – 12*
- (b) *National Policy Pertaining to the Programme and Promotion requirements of the National Curriculum Statement Grades R-12, Government Gazette No. 36042 of 28 December 2012;*
- (c) *National Policy Pertaining to the Conduct, Administration and Management of the National Senior Certificate examination, Government Notice No. 564 in Government Gazette No. 30048 of 6 July 2007;*
- (d) *National Protocol for Assessment Grades R-12, Government Gazette No. 34600 of 12 September 2012;*
- (e) *National Policy on Formal Further Education and Training College Programmes at levels 2-4 on the National Qualifications Framework (NQF), Government Gazette No. 33795 of 23 November 2010;*
- (f) *National Policy on the Conduct, Administration and Management of the Assessment of the National Certificate (Vocational), Government Gazette No. 30287 of 12 September 2007;*
- (g) *Reports 190/191 PART 1: Engineering Studies (N1-3) programmes, Department of Education (2001/08), listed*

as part of the GFETQSF in Government Gazette, No. 38029 of 29 September 2014;

- (h) *Policy for the Quality Assurance of Private Colleges for Continuing Education and Training offering qualifications registered on the General and Further Education and Training Qualifications Sub-framework, and the Accreditation of Private Assessment Bodies;*
- (i) *Policy and Criteria for the Quality Assurance of Independent Schools and Private Assessment Bodies, Government Gazette No. 35830 of 3 July 2015;*
- (j) *National Policy on Continuing Education and Training Colleges, Government Gazette No. 38924 of 3 July 2015;*
- (k) *Policy for the Management of Qualifications on the General and Further Education and Training Qualifications Framework, a Sub-framework;*
- (l) *General and Further Education and Training Qualifications Sub-framework, promulgated in Government Gazette No. 36006 of 14 December 2012, as amended in Government Gazette No. 36803 of 30 August 2013, and published on 8 September 2014;*
- (m) *Policy for the quality assurance of assessment of qualifications registered on the general and further education and training qualifications sub-framework*
- (n) Credit Accumulation Exemption, Recognition and Transfer Policy
- (o) *National Policy and Criteria for Designing and Implementing Assessment for NQF Qualifications and Part Qualifications and Professional Designations in South Africa, 2 April 2015 (SAQA).*

- (3) Guidelines
- (a) Standard Setting and Quality Assurance of the General and Further Education and Training Qualifications Sub-framework, Umalusi, 2014;
 - (b) Qualifications Framework for General and Further Education and Training, Umalusi 2014;
 - (c) Internal Continuous Assessment (ICASS) Guidelines for Report 191 Programmes in TVET Colleges; and
 - (d) Internal Continuous Assessment Guidelines for the NC(V) Qualifications.
 - (e) Subject Assessment Guidelines/User Guides of public and accredited private assessment bodies.
 - (f) Examination Guidelines of public and accredited assessment bodies.

CHAPTER 3

STANDARD SETTING IN GENERAL AND FURTHER EDUCATION AND TRAINING

10. Underpinning components of standard setting

- (1) Standard setting for qualifications is based on the curricula which explicate the component parts of the qualification in detail. For this purpose, Umalusi discharges its standard setting responsibilities in respect of qualifications by focusing on *the intended, enacted and assessed* curricula for the subjects, and by extension, for the qualification as a whole.
- (2) The *intended* curriculum is evaluated through an analysis, which examines, amongst other things-
 - (a) its organising principles;
 - (b) the content and skills in the curriculum;
 - (c) the weighting of different parts of the curriculum;
 - (d) the guidance given for assessment; and
 - (e) the manner in which the related assessment informs the levels of cognitive demand and degree of difficulty of the subject.
- (3) The *enacted* curriculum is the curriculum that is delivered in an institution and is quality assured amongst other things through the evaluation of-
 - (a) leadership and management;
 - (b) the ethos and values;
 - (c) resourcing of the school for curriculum delivery;
 - (d) teaching and learning;
 - (e) extra-curricular activities;
 - (f) learner support;
 - (g) institutional performance and

(h) the management of quality towards improvement.

- (4) The *assessed* curriculum is subject to a coherent set of quality assurance practices and processes which all contribute to a single end, namely that Umalusi must be able to give assurance by means of the issuing of certificates at the endpoint of learning in general and further education and training that credible learning has taken place, been assessed and achieved at an identifiable standard.

11. Standard Setting Processes

- (1) The following standard setting efforts must ensure that all the various aspects of the education process contributed to valid, reliable and fair assessment that can be nationally certified-
- (a) the development or quality assurance of qualifications and curricula;
 - (b) the evaluation and accreditation of providers; and
 - (c) the quality assurance of assessment in all its aspects.

12. Umalusi's Mandated Responsibilities

- (1) In order to undertake its mandated responsibilities as quality council for education in General and Further Education and Training, Umalusi maintains the capacity to-
- (a) develop and maintain the GFETQSF;
 - (b) monitor and report on the quality of provision;
 - (c) quality assure the assessment related to all the qualifications on its sub-framework;
 - (d) accredit and monitor institutions capable of offering one of more of the qualifications or part-qualifications registered on its sub-framework;

- (e) accredit and monitor assessment bodies which provide the assessments associated with the qualifications;
 - (f) monitor the public assessment system, including the national departments and provincial departments of education, as appropriate;
 - (g) issue certificates to learners who have successfully achieved qualifications or part-qualifications;
 - (h) research matters which relate to the sub-framework, its qualifications and curricula, institutions, assessment, as well as more general educational and strategic issues; and
 - (i) provide strategic guidance to the Ministers and Departments of Education in respect of Basic (General) Education as well as Technical and Vocational Education and Training (TVET); and Adult programmes, which include adult learning at Levels 1 to 4 offered at Community and Private Colleges.
- (2) In respect of each of the nine outcomes, contemplated in the afore-mentioned *sub-regulation (1)*, Umalusi has developed policies which help it, and its partners in education and training, set and maintain the necessary standards to ensure that it fulfils the purpose of its Act. Together, the set of policies defines the complex and coherent understanding of standard setting which Umalusi promotes. The documented processes and practices, in respect of these areas of responsibility, enable Umalusi to maintain and improve the overall standards of education offered to large numbers of learners.
- (3) *Paragraph 12* must be read in conjunction with Umalusi's model for quality assuring educational standards as set out in its policy document *Standards and Quality Assurance for the General and Further Education and Training Qualifications Sub-framework (2013)*.

CHAPTER 4

STANDARDS FOR ASSESSMENT

13. Purpose of Standards for Assessment

In order to make justifiable inferences about candidates' abilities based on their examination marks, an examination must do what it is designed to do and must also be consistent.

14. Principles of Assessment

The purpose of these principles is to ensure that assessment bodies design, develop and deliver assessment products which are fair, valid and reliable and which lead to credible assessment outcomes.

(1) **Fairness** is when-

- (a) learners are assessed on what they know and have been taught; and
- (b) where questions are set in relation to the cognitive and affective curriculum covered. in the teaching and learning that led to the teaching concerned.

(2) **Validity** is-

- (a) where assessment procedures, methods, instruments and materials are appropriate, useful and meaningful; and
- (b) when assessment tasks test the knowledge and skills required for defined competencies and learning outcomes, namely the extent to which an examination measures what it is expected to measure.

- (3) **Reliability** is-
- (a) where to a great extent, similar assessment-related judgements are made across similar contexts in consistent ways; and
 - (b) where assumptions about learners do not influence assessment processes, namely whether an examination measures consistently across different examination sittings.
- (4) **Credibility** means a respected outcome, process or product which results from a fair, valid and reliable validation process designed to enhance the quality of the qualification or part qualification.

15. Framework for Setting and Maintaining Standards for Learner Assessments

- (1) The framework for setting and maintaining standards for learner assessments and achievements is based on established and existing practices in assessment for certification.
- (2) External examinations set sound standards for educational attainment that are specified in very precise terms for a large system; and through implementing processes and procedures to manage the conduct and administration of examinations.
- (3) National assessments are offered by the public assessment bodies and by private assessment bodies accredited to do so by Umalusi.
- (4) Umalusi's approach to ensuring standards in large assessments has, as its cornerstone, external examinations for qualifications on the General and Further Education and Training Sub-framework and entails-

- (a) the examination systems, processes, and procedures which form the foundation on which Umalusi's quality assurance of assessment systems is built; and
 - (b) application of Umalusi's own systems, processes and procedures to evaluate, inspect, monitor and report on the examination products and systems, processes, and procedures in both public and private assessment bodies and providers, in order to drive the development, maintenance and improvement of standards in assessment.
- (5) External examinations, at the exit point of qualifications have high levels of currency and credibility and are used by Umalusi at exit points as-
- (a) the critical quality assurance lever to influence quality in the education system;
 - (b) to engender public trust in the education system; and
 - (c) to drive the quality of attainment and educational standards in all the sectors within which Umalusi works-
 - (i) Schools;
 - (ii) Adult Education and Training; and
 - (iii) Technical and Vocational Education and Training.
- (6) The value of external examinations is displayed in-
- (a) setting common standards for educational attainment that can be specified and articulated in very precise terms for a large system; and
 - (b) implementing processes and procedures to manage the conduct and administration of examinations.

16. Setting and Evaluating the Standards of Assessment

In setting and evaluating the standards of assessments, Umalusi conducts quality assurance processes in respect of the following-

(1) Fairness

- (a) Umalusi judges the fairness of examination question papers through its rigorous quality assurance processes.
- (b) The moderation and approval process ensures that question papers are set in relation to the Curriculum and Assessment Policy Statement (CAPS), Examination Guidelines and Subject Assessment Guidelines which stipulate the distribution of cognitive demands per topic and the content coverage per subject.
- (c) Umalusi standards and criteria for the external moderation of question papers are stipulated in the *Policy for the Quality Assurance of Assessment of Qualifications Registered on the General and Further Education and Training Qualifications Sub-framework*.
- (d) The purpose of the policy, as contemplated in the above-mentioned *sub-paragraph (c)*, is to-
 - (i) ensure that assessment Instruments are designed and developed in such a way that learners are treated equally and fairly, regardless of differences in personal characteristics such as race, ethnicity, gender, or disability that are irrelevant to the construct being measured;

- (ii) to avoid material that is unnecessarily offensive, controversial, inflammatory or upsetting;
- (iii) represent the accomplishments of South Africa's diverse population; and
- (iv) to minimise the effects of construct-irrelevant knowledge or skills.

(2) Adherence to Policy

- (a) Umalusi judges the quality and standard of examinations by determining the level of adherence to policy in implementing examination-related processes.
- (b) The production and delivery of the assessments for any qualification certificated by Umalusi must be structured by the following policies and attendant regulations-
 - (i) qualification policy documents (which must include sections on external and internal assessment specifications); and
 - (ii) policy documents which stipulate the conduct, administration and management of examinations for the particular qualification.
- (c) The qualification policy documents must meet the requirements as stipulated in the Umalusi policy document, *Policy for the General and Further Education and Training Qualifications Sub-framework, 2014*.
- (d) With regard to qualifications administered by the Department of Basic Education, the following official policy documents should be used-
 - (i) *National Policy Pertaining to the Conduct, Administration and Management of the National*

- Senior Certificate Examination, Government Gazette No. 30048 of 6 July 2007;*
- (ii) *National Policy Pertaining to the Programme and Promotion Requirements of the National Curriculum Statement Grades R– 12, Government Gazette No. 36042 of 28 December 2012;*
 - (iii) *National Protocol on Assessment for Schools in the General and Further Education and Training (Grades R– 12), Government Gazette No. 34600 of 12 September 2012;*
 - (iv) *Regulations Pertaining to the National Curriculum Statement Grades R-12, Government Gazette No. 36041 of 28 December 2012; and*
 - (v) *Regulations Pertaining to the Conduct, Administration and Management of the National Senior Certificate Examinations, Government Gazette No. 31337 of 29 August 2008.*
- (e) With regard to qualifications administered by the Department of Higher Education and Training, the following official policy documents should be used-
- (i) *National Policy on the Conduct, Administration and Management of the Assessment of the National Certificate (Vocational), Government Gazette No. 30287 of 12 September 2007;*
 - (ii) *Policy for the Quality Assurance of Private Adult Learning Centres, Private Further Education and Training Colleges and Accreditation of Private Assessment Bodies, Government Gazette No. 33237 of 28 May 2010;*
 - (iii) *NATED Report 190/191 PART 1: Engineering Studies (N2-N3) programmes; and*

- (iv) *Regulations on the Assessment Process and Procedures for Adult Education and Training (AET) National Qualifications Framework (NQF) Level 1.*

(3) Validity and Reliability of External Assessment

- (a) The standards for assessment which will determine the validity and reliability of external assessment, are stipulated in the Umalusi approved qualification or national policy and guideline documents. The documents must specify the content and cognitive weighting of the assessments.
- (b) Umalusi judges the quality and standard of assessment instruments by determining the-
 - (i) cognitive challenge and levels of difficulty of examination question papers;
 - (ii) the appropriateness and weighting of content in question papers in relation to the curriculum; and
 - (iii) the quality of presentation of examination question papers.
- (c) The standards of question papers are also judged through the post examination analysis of question papers and scripts. This process involves question papers being evaluated by independent panels to determine the standard of question papers across years. The process also lends itself to compare (within limits) the judgments of the independent panels and the moderators.
- (d) Standards for the marking of examinations are established through Umalusi approval of the-
 - (i) marking guidelines;
 - (ii) monitoring of the marking centres; and

- (iii) verification of marking.
- (e) The verification of marking involves the moderation of a sample of scripts across the marking centres to determine the standard and consistency of marking across the marking centres.

(4) Validity and Reliability of Internal Assessment

- (a) The standards for internal assessment are stipulated in the Umalusi approved qualification policy documents and Umalusi directives on internal assessment.
- (b) *Section 17* of the *GENFETQA Act* stipulates that the Council may issue directives for internal assessment to ensure the reliability of assessment outcomes and that such directive must include measures for verification.
- (c) Umalusi judges the quality and standard of internal assessment by-
 - (i) moderating a pre-determined representative sample of the internal assessment tasks;
 - (ii) moderating the assessment of a representative sample of the tasks; and
 - (iii) monitoring and verification of the assessment bodies' moderation processes.

(5) Credibility of the Examination Process

- (a) The standards for the administration and conduct of the examinations are stipulated in Umalusi-approved qualification or national policy documents as contemplated in *paragraph 9(3)(c)* of this policy.

- (b) The documents must specify the systems and processes to regulate the conduct, administration and management of examinations.
- (c) Umalusi judges the standard (efficiency and effectiveness) of the examinations through-
 - (i) auditing the assessment bodies' monitoring systems;
 - (ii) auditing and monitoring their state of readiness to administer examinations; and
 - (iii) monitoring the administration and conduct of examinations.

(6) Consistency of Standards

- (a) The standardisation of the examination results is necessary to take care of the variation in the standard of the question papers.
- (b) Other sources of variability include-
 - (i) undetected errors; and
 - (ii) learner interpretation of questions.
- (c) Standardisation is also necessary to achieve comparability and consistency of examinations across years.
- (d) The method used to standardise results is that of "norm-referencing". Statistical moderation consists of comparisons between the mark distributions of the current examination and the corresponding average distributions over a number of years, to determine the extent to which they correspond.
 - (i) If there is good correspondence, then it can be accepted that the examinations were of comparable standard.

- (ii) If there are significant differences then the reasons for those differences should be established.

- (e) In the absence of valid reasons for the differences, it should be accepted that the differences are due to deviations in the standards of the examination or of the marking, and the marks should be adjusted to mitigate deviations on learner performance.

CHAPTER 5

THE QUALITY ASSURANCE OF ASSESSMENT SYSTEMS AND LEARNER ACHIEVEMENTS

17. Umalusi's Quality Assurance of Assessment System

- (1) Umalusi's quality assurance of assessment system comprise the following processes and procedures-
 - (a) evaluation and accreditation of private education institutions and private assessment bodies;
 - (b) ongoing monitoring of private education institutions and private assessment bodies and their systems; and
 - (c) quality assurance of external examinations through the-
 - (i) moderation of examination question papers;
 - (ii) moderation of internal assessment which make up part of the final result;
 - (iii) moderation of practical assessment which make up part of the final result;
 - (iv) audit of the assessment bodies on their state of readiness to conduct, administer and manage all phases of the examination;
 - (v) monitoring the writing and marking of examinations;
 - (vi) marking guideline discussions;
 - (vii) quality assurance (verification) of marking;
 - (viii) monitoring the management and reporting of irregularities
 - (ix) management and approval of assessment concessions;
 - (x) standardisation, statistical moderation and resulting;
 - (xi) approval of the release of results

- (2) The requirements indicated in the afore-mentioned *sub-paragraph (1)(a)-(1)(b)* form part of the accreditation requirements as stipulated in-
- (a) The *Policy and Criteria for the Quality Assurance, Accreditation and Monitoring of Independent Schools and Private Assessment Bodies* (Government Gazette No. 41206, of 27 October 2017).
 - (b) The *Regulations for the Quality Assurance, Accreditation and Monitoring of Independent Schools and Private Assessment Bodies* (Government Gazette No. 41206, of 27 October 2017; and
 - (c) *Policy for the Quality Assurance of Private Colleges for Continuing Education and Training, offering qualifications registered on the General and Further Education and Training Qualifications Sub-framework, and the Accreditation of Private Assessment Bodies.*
- (3) Accredited assessment bodies must demonstrate compliance with all Umalusi's requirements and those outlined in the *GENFETQA Act*.
- (4) The requirements for the core processes are indicated in the afore-mentioned *sub-paragraph (1)(c)(i)-(1)(c)(xi)* and are stipulated in the following Umalusi documents-
- (a) *Policy for the Quality Assurance of Assessment of Qualifications Registered on the General and Further Education and Training Qualifications Sub-framework.*
- (5) Umalusi's Processes and Procedures of the Quality Assurance Systems as contemplated in *Paragraph 17(1)(c)* are set out in *Paragraph 18-*

18. Enunciation of Umalusi's Processes and Procedures of the Quality Assurance System

- (1) Moderation of examination Question Papers
 - (a) All question papers are developed by the assessment bodies according to the curriculum and assessment policy statements, examination guidelines and subject assessment guidelines for the specific subjects and learning areas.
 - (b) Umalusi moderates these question papers to ensure that the standard of the question papers is-
 - (i) compliant with the qualification and curriculum policy prescripts; and
 - (ii) is comparable-
 - (aa) across years; and
 - (bb) across assessment bodies.
 - (c) To maintain public confidence in the examination system, the question papers must be-
 - (i) fair;
 - (ii) reliable;
 - (iii) representative of an adequate sample of the curriculum;
 - (iv) representative of relevant conceptual domains; and
 - (v) representative of relevant levels of cognitive challenge and levels of difficulty.
 - (d) External moderators are contracted, on behalf of Umalusi, to moderate the question papers carefully, recommend improvements and, finally, approve the question papers.

- (e) Question papers submitted for moderation must have been internally moderated by the assessment body and must be accompanied by a full report which includes-
 - (i) the history of the development of the question paper; and
 - (ii) a completed analysis grid.

 - (f) The following criteria must be used to evaluate question papers-
 - (i) face validity;
 - (ii) internal moderation;
 - (iii) content validity;
 - (iv) cognitive demand and level of difficulty;
 - (v) marking guideline (memorandum);
 - (vi) language and bias;
 - (vii) predictability; and
 - (viii) overall impression of the paper.
- (2) Moderation of Internal Assessment which make up part of the final result
- (a) Internal assessment is set, marked and graded at site level.

 - (b) The aim of internal assessment is: to-
 - (i) offer learners an alternative chance to demonstrate their competence; and
 - (ii) assess those skills that cannot be assessed through traditional examinations.

 - (c) Internal assessment forms part of the final mark of exit examinations in-
 - (i) Schools;
 - (ii) Adult Basic Education and Training; and
 - (iii) Technical and Vocational Education and Training.

- (d) Internal assessment must be standardised to ensure uniform standards.

- (e) The following internal assessment requirements, as stipulated in the *Policy for the Quality Assurance of Assessment of Qualifications Registered on the General and Further Education and Training Qualifications Sub-framework*, must be adhered to in all cases where internal assessment forms part of the final mark of exit examinations-
 - (i) assurance of quality external moderation of internal assessment;
 - (ii) respective responsibilities of key role players;
 - (iii) presentation of internal assessment; and
 - (iv) moderation procedures.

- (f) Umalusi's quality assurance of the internal assessment system comprises the following processes and procedures-
 - (i) moderation of assessment tasks (where applicable);
 - (ii) monitoring the implementation of internal assessment;
 - (iii) moderation of learner evidence of performance and educator files; and
 - (iv) statistical moderation of School-Based Assessment results.

- (3) Moderation of practical assessment which make up part of the final result;
- (a) The aim of Practical Assessment Task (PAT) of the NSC qualification, and the Integrated Summative Assessment Task (ISAT) of the NC(V) qualification is to demonstrate the learner's practical application of theoretical knowledge through a custom-designed assessment task that simulates a workplace or real-life process and/or product.
 - (b) The ISAT/PAT forms the practical component of examinations of all vocational/practical subjects of the NC(V)/NSC qualification respectively. The requirements for assessment are set out for schools and for the Vocational Education and Training (VET) sector in relevant policies.
 - (c) ISAT and PAT are moderated to confirm that the tasks are of the appropriate standard and in line with the practical work to be mastered as per the CAPS/SAGs of the specific subject and in line with the latest developments in industry or the workplace.
 - (d) The ISAT and PAT must be fair, reliable and representative of an adequate amount of the practical work as outlined in the curriculum.
 - (e) The ISAT and PAT must be representative of relevant conceptual domains and representative of relevant levels of cognitive challenge.
 - (f) The ISAT and PAT must be conducted as per the specifications of the tasks in suitably resourced centres under examination conditions.

- (g) All PAT and ISAT from both the public and private assessment bodies shall be approved, subject to their compliance with the following criteria-
 - (i) technical aspects;
 - (ii) internal moderation;
 - (iii) content coverage;
 - (iv) cognitive demands and level of difficulty;
 - (v) language and bias;
 - (vi) predictability; and
 - (vii) adherence to assessment policies and systematic assessment practices.

- (4) Audit of the assessment bodies on their state of readiness to conduct, administer and manage all phases of the examination
 - (a) Umalusi conducts a rigorous and extensive monitoring of the following examination functions in order to verify the authenticity of the reports submitted by the assessment bodies-
 - (i) the assessment bodies' monitoring systems;
 - (ii) state of readiness of assessment bodies to administer examinations; and
 - (iii) conduct, administration and management of examinations.

 - (b) Assessment bodies monitoring systems
 - (i) Assessment Bodies are required to monitor and report to Umalusi on all the phases of the examination.

 - (c) Monitoring the State of Readiness

- (i) Umalusi must-
 - (aa) verify/audit the state of readiness of assessment bodies to administer the examinations.
 - (bb) schedule the dates for the state of readiness at the beginning of the financial year and share them with the assessment bodies;
 - (cc) draft the State of Readiness programmes and submit them to the assessment body 14 days before the initial visit;
 - (dd) provide the self-evaluation instruments and/or reporting templates to assessment bodies for the state of readiness process a month before the scheduled verification visit;
 - (ee) prepare the state of readiness reports and provide feedback to assessment bodies with regard to the findings; and
 - (ff) submit the state of readiness reports to the relevant Ministers and private assessment bodies accredited by Umalusi.
- (ii) Assessment bodies must submit completed self-evaluation instruments to Umalusi annually.
- (iii) The reports, contemplated in the above-mentioned *sub-paragraph (4)(c)*, are evaluated and assessment bodies informed of areas of good practice and areas of non compliance.

- (iv) The evaluation process, contemplated in *sub-paragraph (4)(c)*, is supplemented by the deployment of Umalusi staff members and monitors to verify information and evidence submitted in the self-evaluation.
- (v) Umalusi staff members may accompany the assessment body teams on their monitoring visits to examination centres to verify the veracity of the assessment body monitoring process.
- (vi) The following aspects of the examination processes must be evaluated-
 - (aa) availability of policies and regulations on assessment processes;
 - (bb) registration of candidates;
 - (cc) the appointment and training of examiners and internal moderators;
 - (dd) facilities for printing and storage of question papers;
 - (ee) security systems for examination materials;
 - (ff) arrangements for the distribution of question papers;
 - (gg) appointment and training of invigilators and chief invigilators;
 - (hh) preparation for marking processes;
 - (ii) plan for invigilation;
 - (jj) appointment and training of markers and examination assistants;
 - (kk) planning for monitoring; and
 - (ll) the auditing/evaluation of examination and marking centres.

- (5) Monitoring the writing and marking of examinations
- (a) Umalusi's monitoring processes determine the degree of compliance of the assessment bodies with the policies stipulating the conduct, administration and management of examinations for particular qualifications.
 - (b) The writing and marking phases of the examinations are monitored across a sample of examination and marking centres.
 - (c) Monitoring is conducted by Umalusi monitors.
 - (d) Umalusi staff also conduct unannounced "shadow" visits to determine the veracity with which the Umalusi monitors execute this function.
 - (e) Aspects monitored during the writing phase include-
 - (i) general management of the examination with respect to provision of adequate and suitable facilities;
 - (ii) the processes followed at the commencement, during and after the examination session; and
 - (iii) all aspects of security relating to question papers and examination material.
 - (f) Aspects monitored during the marking phase include-
 - (i) general management of the marking process with respect to provision of adequate and suitable facilities;
 - (ii) the marking and moderation processes followed; and
 - (iii) all aspects of security relating to answer scripts.

(6) Marking guideline discussions

Marking guideline discussions are conducted to ensure:

- (a) that marking is implemented in accordance with agreed practices and standards;
- (b) fairness of the marking process and the reliability of the results.
- (c) that the marking panels, including external moderators, engage in a process of finalising the marking guidelines by discussing and agreeing on all possible and alternate responses.
- (d) accuracy and consistency in the marking process across subjects and marking centres.
- (e) The marking guideline discussion meetings are evaluated based on the following criteria-
 - (i) pre-marking guideline discussion meeting;
 - (ii) preparation by chief markers and internal moderators;
 - (iii) processes and procedures;
 - (iv) training at marking guideline discussion meetings; and
 - (v) quality of the finalised marking guidelines.

(7) Quality Assurance (Verification) of Marking

- (a) Umalusi verifies the marking of scripts to ensure reliability and standardisation of the marking.
- (b) Quality assurance (verification) of marking comprises the following processes-
 - (i) approval of the final marking guidelines at the marking guideline discussion meetings; and
 - (ii) centralised/decentralised verification of marking.

- (c) Marking guideline discussion meetings, hosted by the assessment bodies must ensure that all possible responses are accommodated in the final approved marking guidelines prior to the commencement of marking.
 - (d) Final marking guidelines must be approved by the Umalusi external moderators, with the exception of technical and vocational education and training.
 - (e) Verification of marking confirms that there was correct and consistent application of the marking guideline across the different marking centres which will, in turn, attest to the consistency and accuracy in marking.
 - (f) For centralised verification of marking, assessment bodies may be required to submit a specified sample of scripts to Umalusi. These scripts are then moderated to determine compliance with the approved marking guidelines.
 - (g) The onsite verification of marking is mostly preferred as Umalusi moderators are able to offer inputs that lead to the improved quality of marking.
- (8) Monitoring the management and reporting of irregularities
- (a) As stipulated in Section 17A(5)(i) of the GENFETQA Act the Council must with the concurrence of the Director General and after consultation with the relevant assessment body or education institution approve the publication of the results of learners, if the Council is satisfied that the assessment body or education institution has conducted the assessment free from any irregularity that may jeopardize the integrity of the assessment or its outcomes.

- (b) Umalusi monitors the management of irregularities to ensure compliance with the policies on the conduct, administration and management of qualifications registered on the GFETQSF.
- (c) The criteria for the management of irregularities is stipulated in the policies and regulations for the conduct, administration and management of examinations of qualifications registered on the GFETQSF and includes the following phases:
 - (i) The design phase
 - (aa) registration of candidates;
 - (bb) appointment of Examiners, Internal moderators, markers, chief markers, deputy chief markers and senior markers;
 - (cc) setting, moderation, typing, editing, proof reading, translating and approval of question papers;
 - (dd) identification of question papers riddled with errors and highlight the content of translated versions differing from the original approved question paper;
 - (ee) transportation of consignment of question papers from the assessment body to Provincial Education Departments /nodal points/ distribution points/ examination centres (private assessment bodies);
 - (ff) printing, packaging and distribution of examination materials;
 - (gg) establishment of marking centres;
 - (hh) appointment and training of marking centre personnel; and
 - (ii) appointment and training of Invigilators.

- (ii) The conduct of examinations
 - (aa) safe keeping of examination materials at examination centres;
 - (bb) admission of learners into the examination centre;
 - (cc) distribution of question papers and answer scripts;
 - (dd) invigilation, collection, packaging and return of examination scripts;
 - (ee) training of markers and Examination Assistants;
 - (ff) marking and moderation of marking; and
 - (gg) the transfer of marks from answer scripts to mark sheets.
- (iii) Irregularities occurring during the marking process relate to-
 - (aa) irregularities committed by an assessment official;
 - (bb) irregularities identified by markers on scripts; and
 - (cc) irregularities identified by chief markers, deputy chief markers, senior markers and external moderators during the verification of marking.
- (iv) Irregularities involving assessment body officials include the following-
 - (aa) selection and appointment of markers;
 - (bb) transfer and delivery of scripts to the marking centres;
 - (cc) the administration of the marking process, which include recording, storage and issuing and security of scripts;
 - (dd) the actual marking process;

- (ee) the checking and totalling of marks on scripts;
 - (ff) the internal and external moderation of marks; and
 - (gg) transfer of marks to mark sheets.
- (v) irregularities identified by markers and external moderators include the following-
- (aa) the answer script handed in differs from that issued by the invigilator which means that the answer script will differ from the rest in the same centre;
 - (bb) different handwritings in the answer script (however there are candidates who have varying handwritings);
 - (cc) crib notes discovered;
 - (dd) no crib notes but clear evidence of copying;
 - (ee) evidence of possible assistance by an invigilator or any individual;
 - (ff) two examination answer scripts submitted by the candidate;
 - (gg) indication that the candidate has been allowed to be examined in terms of an open book examination; and
 - (hh) responses that arouse suspicion.
- (vi) Irregularities identified by the Internal moderator/chief marker/deputy chief marker/ senior markers/external moderators include the following-
- (aa) inconsistency in marking;
 - (bb) inaccurate addition of marks; and
 - (icc) erroneous transfer of marks from scripts to mark sheets.
- (vii) Irregularities identified during the standardisation, resulting and certification phases.

(9) Management of concessions

- (a) Umalusi must ensure credibility of the assessment components of both internal assessment (SBA, ISAT, PAT, ICASS) and external examinations leading to qualifications registered on the GFETQSF.
- (b) Assessment concessions are implemented to ensure that candidates are not unfairly disadvantaged due to administrative errors and omissions.
- (c) This may include candidates absent from one component of assessment due to unforeseen circumstances.

(10) Standardisation, Statistical Moderation and Resulting

- (a) Umalusi quality assures resulting by-
 - (i) determining criteria and standards for standardisation of results and resulting;
 - (ii) conducting standardisation meetings; and
 - (iii) verification of resulting data and processes.
- (b) Umalusi standardises both the examination marks and internal assessment scores, including those for practical, simulated and workplace-based assessment.
- (c) *Standardisation*, commonly known as *statistical moderation* of raw scores, is a process used in all large scale assessments globally to mitigate the effects on learner performance caused by factors other than the learners' subject knowledge, abilities and aptitude.

- (d) Standardisation of results is necessary to address the variation in the standard of question papers and marking that may occur across institutions and examining bodies.
- (e) The objectives for standardisation are-
 - (i) to ensure that a cohort of learners is not advantaged or disadvantaged by extraneous factors other than their knowledge of the subject, abilities and their aptitude; and
 - (ii) to achieve comparability and consistency from one year to the next. For example, it should not be easier or harder to obtain a distinction in one year than it is in another year.
- (f) In standardising assessment results, Umalusi engages the following processes-
 - (i) statistical moderation of the results of the external examination in accordance with norms (historical averages);
 - (ii) statistical moderation of internal assessment;
 - (iii) qualitative reviews of the results based on detailed reports submitted by moderators involved in the quality assurance of the assessment; and
 - (iv) analysis of research reports from a post examination analysis process and research aimed at maintaining standards.
- (g) The standardisation is conducted by the Assessment Standards Committee (a Committee of Council) in terms of the approved principles and processes governing the standardisation process.

- (h) The data requirements, principles and methodology are captured in Umalusi's Directives document, *Requirements and Specifications for the Standardisation, Statistical Moderation and Resulting*, and must be read in conjunction with this Policy.

- (i) Statistical data considered during the standardisation process include-
 - (i) the number of candidates who wrote the subject;
 - (ii) subject percentage capture;
 - (iii) mark distribution;
 - (iv) performance of previous years' cohorts in the subject;
 - (v) historical means; and
 - (vi) pairs analysis.

- (j) Qualitative data considered during the standardisation process include-
 - (i) External Moderator reports;
 - (ii) Chief Markers and Internal Moderator reports;
 - (iii) post examination analysis reports;
 - (iv) intervention strategy reports; and
 - (v) research-based educational input.

- (k) Umalusi verifies the resulting process to ensure that standardisation decisions are correctly applied and that candidates are correctly resulted.

- (l) Datasets are processed through Umalusi's "test modules" to ensure that the resulting processes of the assessment bodies are accurate.

- (11) Approval of the release of results
- (a) As stipulated in Section 17A(5) of the GENFETQA Act the Council must with the concurrence of the Director General and after consultations with the relevant assessment body or education institution approve the publication of the results of learners, if the Council is satisfied that the assessment body or education institution has
 - (i) conducted the assessment free from any irregularity that may jeopardise the integrity of the assessment or its outcomes.
 - (ii) complied with the requirements prescribed by the Council for conducting assessments

 - (b) Assessment bodies must ensure that:
 - (i) assessment and examinations are conducted free from any irregularity that may jeopardise the integrity of the assessment or its outcomes;
 - (ii) requirements prescribed by the Council for conducting assessments are complied with;
 - (iii) the standards prescribed by the Council with which a learner is required to comply with in order to obtain a certificate are complied with; and
 - (iv) every other condition determined by the Council are complied with.
 - (v) Assessment bodies are required to submit and present the composite irregularity reports with recommendations from the NEIC/ Irregularity Committee for approval by EXCO.
 - (vi) All sanctions should be in accordance with the national regulations for the conduct, administration and management of examinations prescribed per

- qualification.
- (vii) EXCO reserves the right to approve the release of the results if the assessment body has complied with all the requirements set by Council.
 - (viii) If there are serious irregularities that may compromise the credibility of the results, EXCO shall withhold the results and the assessment body will be required to conduct an investigation to determine the extent of the irregularities.
 - (ix) Assessment bodies that have been required to conduct an investigation to determine the extent of the irregularities, as contemplated in the above *sub-paragraph (h)*, are required to resubmit their irregularity reports to EXCO for the approval of the release of outstanding results.
 - (x) Umalusi Council shall pronounce the release of the results at a media briefing.
 - (xi) Assessment bodies shall not release their results prior to EXCO approval or announcement of the release of results.

19. Reporting

- (a) The end of the examination cycle culminates in a comprehensive report on the quality assurance of the examination and assessment for the particular qualification. The reports comment on the findings of Umalusi's quality assurance processes highlighting areas of compliance, areas of non-compliance and provide directives for compliance and improvement.
- (b) The reports fulfil the following purposes-
 - (i) inform Umalusi's "approval of results" process;
 - (ii) report to the Minister on the quality assurance of the examinations and assessments; and

- (iii) inform the assessment body on the quality assurance of the examinations and assessments.
- (c) Assessment bodies must develop and submit improvement plans based on the directives for improvement highlighted in the reports.
- (d) The improvement plans form the basis of subsequent monitoring of assessment body systems culminating in a longitudinal monitoring report.

20. Assessments Standard Committee

- (a) The Assessments Standards Committee of Umalusi Council provides guidance to the Quality Assurance of Assessment Unit and Council on matters relating to the quality of assessment standards.
- (b) The Committee carries out the process of standardisation and moderation of internal assessment and examination results for all qualifications that Umalusi certifies.
- (c) The Committee recommends to Council the standardisation of results of exit qualifications certified by Umalusi.
- (d) The Committee regularly reviews and interrogates the statistical and educational validity of the moderation and standardisation policies, processes and procedures employed in the quality assurance of assessment.

CHAPTER 6

REPEAL OF POLICY, TRANSITIONAL ARRANGEMENTS AND SHORT TITLE

21. Repeal of Policy

The *Policy Framework for Quality Assurance of Assessment Qualifications on the General and Further Education and Training Qualifications Sub-framework* will be repealed on the day of the promulgation of the *Policy and Criteria for Assessment of Qualifications on the General and Further Education and Training Qualifications Sub-framework (GFETQSF)* in the *Government Gazette*.

22. Transitional Arrangements

Until such time the Minister has promulgated the *Policy and Criteria for Assessment of Qualifications on the General and Further Education and Training Qualifications Sub-framework (GFETQSF)*, the *Policy Framework for Quality Assurance of Assessment Qualifications on the General and Further Education and Training Qualifications Sub-framework*, will apply to-

- (a) all schools, Technical and Vocational Education and Training Colleges, Community Colleges and Private Colleges offering qualifications registered on the GFETQSF; and
- (b) private assessment bodies responsible for internal assessment and external examinations conducted at the institutions contemplate in *sub-paragraph (a)*.

23. Short Title

This Policy may be cited as the *Policy and Criteria for Assessment of Qualifications on the GFETQSF* and will commence on the day of its promulgation in the *Government Gazette*.