



Council for Quality Assurance in
General and Further Education and Training

**POLICY FOR THE QUALITY ASSURANCE OF ASSESSMENT OF
QUALIFICATIONS REGISTERED ON THE GENERAL AND FURTHER EDUCATION
AND TRAINING QUALIFICATIONS SUB-FRAMEWORK OF THE NATIONAL
QUALIFICATIONS FRAMEWORK**

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ABBREVIATIONS AND ACRONYMS

ABET	Adult Basic Education and Training
AET	Adult Education and Training
ASC	Assessment Standards Committee
CAPS	Curriculum and Assessment Policy Statements
CAT	Common Assessment Task
CEO	Chief Executive Officer
CET	Continuing Education and Training
CHE	Council for 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
ICASS	Internal Continuous Assessment
ISAT	Integrated Summative Assessment Task
NASCA	National Senior Certificate for Adults
NATED	National Education
NC (V)	National Certificate (Vocational)
NCS	National Curriculum Statement
NEIC	National Examinations Irregularities Committee
NQF	National Qualifications Framework
NSC	National Senior Certificate
PAM	Personnel Administrative Measures
PAT	Practical Assessment Task

PEIC	Provincial Examinations Irregularities Committee
QC	Quality Council
SAG	Subject Assessment Guideline
SAQA	South African Qualifications Authority
SBA	School-Based Assessment/Site-Based Assessment
SC (a)	Senior Certificate (amended)
SOR	State of Readiness
TVET	Technical and Vocational Education and Training

PREAMBLE

In terms of Section 27 of the National Qualifications Framework (NQF) Act No. 67 of 2008 as amended, Umalusi as a quality council is mandated to develop and implement policy and criteria for assessment with regard to qualifications for its sub-framework. It is also mandated to develop and implement policy for quality assurance, ensure the integrity and credibility of quality assurance; and ensure that such quality assurance as is necessary for the sub-framework is undertaken.

Umalusi is further mandated by the General and Further Education and Training Quality Assurance Act, 2001, (Act no 58 of 2001) as amended, to assure the quality of assessment at exit points and perform the external moderation of assessment of all assessment bodies and education institutions. In order to fulfil its mandate as outlined in the two acts, Umalusi developed this policy, namely, "Policy for the quality assurance of assessment of qualifications registered on the General and Further Education and Training Qualifications Sub-framework (GFETQSF)".

This policy seeks to provide an integrated operational framework to standardise the management of quality assurance of assessment across assessment bodies for qualifications registered on the GFETQSF by specifying the quality assurance processes across the three educational sectors for which Umalusi is responsible for.

Umalusi also endeavours to engender compliance by both public and accredited private assessment bodies regarding quality assurance of assessment by developing a common understanding between the Quality Council and assessment bodies on all aspects of the quality assurance process.

Umalusi hereby gives notice of the publication of the gazette for public comment for the amendment to the Policy for the quality assurance of assessment of qualifications registered on the GFETQSF.



Date: 26 August 2020

Chairperson: Umalusi Council

CHAPTER 1

DEFINITIONS, PURPOSE AND APPLICATION OF THE POLICY

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 a 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)* as amended in 2008, has the same meaning, unless the context indicates otherwise; and
- (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 or 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 (GFETQSF);

“adjustment” means a statistical valuation of the raw mark towards or against a given variable;

“adjusted mark” means a mark awarded to a candidate after the implementation of the standardisation decisions;

“Adult Education and Training Centre” means a public or private Adult Education and Training (AET) Centre that was 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*;

“analysis framework” means a grid showing how each question in the question paper is linked to a topic or sub-topic and how the question is rated in terms of its cognitive demand and level of difficulty;

“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/school-based assessment,

end-of-term and/or once-off end-of-year examinations, in order to ensure a national standard across providers;

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

“assessment concession” means an act of ensuring that candidates are not unfairly disadvantaged due to administrative errors and omissions or unforeseen circumstances.

“assessment irregularity” means any error, act or omission or any alleged event which may undermine or threaten to undermine the integrity, credibility, security or the fairness of the examination and assessment process;

“assessor” means a person able to conduct acceptable internal and external assessment for specific qualifications, part-qualifications, or professional designations in line with Umalusi standards;

“certification” means the formal recognition by Umalusi Council of a qualification or part-qualification/s awarded to a successful learner who has successfully completed the qualification registered on the GFETQSF;

“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 and/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*;

“concessions” means the act of conceding to ensure that candidates are not unfairly disadvantaged due to administrative errors and omissions;

“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 that encompasses three components: intended curriculum, enacted curriculum and assessed curriculum;

“Department of Education” means the Department of Basic Education or Department of Higher Education and Training;

“Director-General” means the Director-General of the Department;

“examination centre” means a site registered by an assessment body for the conduct of examinations;

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

“examiner” means an official appointed by an assessment body to develop internal and external assessment tasks;

“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 assessment” 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 examinations conducted by Umalusi;

“external moderator” means a person, body or organisation that ensures that the assessment of the outcomes described in National Qualifications Framework standards or qualifications is fair, valid and reliable.

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

“Further Education and Training” means all learning and training programmes leading to qualifications from Levels 2–4 of the National Qualifications Framework (NQF), which levels are above general education and training but below higher education;

“General Education and Training” means all learning and training programmes leading to a qualification on Level 1 of the National Qualifications Framework, which level is below further education and training;

“General and Further Education and Training Qualifications Sub-framework” (GFETQSF) means the sub-framework of the NQF for General and Further Education and Training, which is developed and managed by Umalusi;

“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)*;

“integrity” means the practice of being honest and showing consistent and uncompromising adherence to sound moral and ethical principles and values;

“Internal assessment” means any assessment conducted by an education institution the outcomes of which count towards the achievement of a qualification; site-/school-based assessment and internal continuous assessment has the same meaning;

“internal moderation” means the verification of the quality of the internal and/or external examinations conducted by the assessment body;

“internal moderator” means a person appointed by the assessment body that ensures that the assessment of the assessment of the outcomes as described in the qualification is fair, valid and reliable.

“irregularity” means an error, act or omission and any alleged event, act or omission which may undermine or threaten to undermine the integrity, credibility, security or fairness of the examination and assessment process;

“language compensation” means compensation to a candidate based on language considerations;

“learner” means a pupil, student (including an adult learner), a person who attends a school or college undergoing training for particular qualifications or part-qualifications;

“learner evidence” means evidence of learner performance or the learner’s work that is used to compile his or her internal assessment mark;

“lost script” means an examination answer script lost or misplaced by an assessment body;

“marking personnel” means marking officials including markers, senior markers, chief markers, deputy chief markers, internal moderators and officials responsible for the administration of the marking processes;

“Minister” means the Minister of Basic Education and/or the Minister of Higher Education, Science and Innovation;

“missing mark” means a mark where a candidate wrote the examination however, due to unforeseen circumstances beyond the candidate's control, the script is lost before the mark is captured;

“moderation” means a process that ensures that assessment of the outcomes described in the National Qualifications Framework standards, or qualifications, is fair, valid and reliable. This applies to both external and internal moderation, and verification has the same meaning;

“mop up process” means the process of submission, verification and approval of all outstanding marks and/or any changes in marks;

“monitoring” means a process that ensures that assessment is fair, valid and reliable and complies with directives issued by the Department of Higher Education and Training or Department of Basic Education or accredited assessment body to comply with the functions in terms of Sections 17 and 18 of the GENFETQA Act;

“NATED programme” means a National Education programme and refers to the Report 190/191 Engineering Studies N1–N3;

“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 Qualifications Framework” (NQF) means the National Qualifications Framework contemplated in the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)*;

“part qualification” means an assessed unit of learning that is registered as part of a qualification;

“pre-standardisation meeting” means an internal meeting in preparation of the standardisation meeting with an assessment body;

“private college” means any college that provides further education and training on a full-time, part-time or distance basis and which is registered or provisionally registered as a private college under the prescriptions of Chapter 6 of the Continuing Education and Training Act 16 of 2006;

“programme” means same as the 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 and 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)*;

“raw mark” means a mark awarded to a learner for an examination or assessment;

“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;

“remark” means a mark awarded to a learner following the remarking process of a learner’s ‘script’;

“School Based Assessment” means assessment as defined in the policy document, *National Protocol for Assessment Grades R-12*, Government Gazette No. 34600 of 12 September 2011;

“school based assessment adjustment” means an adjustment applied to the school-based assessment mark by means of the statistical moderation process;

“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;

“standardisation” means a process of ensuring fairness using statistical processes and considering qualitative input to mitigate the effects of factors affecting learners’ performance other than the learners’ ability and knowledge;

“standardisation meeting” means a meeting in which the final standardisation decisions per subject, per qualification and per assessment body are communicated and formalised;

“State of readiness” means a quality assurance process undertaken to evaluate as per the set criteria, the level of preparedness of assessment bodies to conduct, administer and manage examinations prior to commencement of examinations;

“statistical moderation” means a process of ensuring that the same assessment standards are applied to both the SBA and the final examination by aligning the SBA marks to that of the examination based on an acceptable **statistical** variation;

“Sub-framework” means one of three qualifications' sub-frameworks, which make up the NQF as a single integrated system: the Higher Education Qualifications Sub-framework (HEQSF); the General and Further Education and Training Qualifications Sub-framework (GFETQSF); and the Occupational Qualifications Sub-framework (OQSF);

“Subject Assessment Guidelines” means the guideline documents that specify the internal and external assessment requirement for each of the listed subjects in the qualification policy and has the same meaning as User Guides and Examination and Assessment Guidelines;

“subject structure” means a composition of all the different components of a subject and the weighting of each component;

“supplementary examination” means an additional examination granted under special conditions to full-time, repeat and part-time candidates in the year following the national end-of-year examination;

“teachers” means teachers at schools; lecturers at colleges; facilitators, assessors, moderators and people teaching, educating, training, facilitating or assessing learners;

“teacher file” means the recording and planning documents used by the teacher, namely the formal programme of assessment, evidence of learner assessment/performance, all formal assessment tasks and marking guidelines, annual teaching plan/work schedule, textbook used and other resources.

“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 the assessment measures what it has been developed to measure.

2. Purpose of the Policy

- (1) The purpose of this policy is to articulate an integrated operational framework to standardise the management of quality assurance of assessment across assessment bodies for qualifications registered on the GFETQSF by specifying the quality assurance processes across the three educational sectors for which Umalusi is responsible; namely, schools, technical and vocational education and training and adult education and training to ensure credibility of assessment.

- (2) Considering the aforementioned *sub-paragraph (1)* Umalusi, as the Quality Council (QC) for General and Further Education and Training, should ensure compliance by both public and accredited private assessment bodies regarding quality assurance of assessment by developing a common understanding between the QC and its assessment bodies on the following key quality assurance processes, as stipulated in Chapters 3–14:
 - (a) moderation of question papers;
 - (b) moderation of internal assessment;
 - (c) moderation of practical assessment;
 - (d) monitoring the state of readiness to conduct, administer and manage examinations;
 - (e) monitoring the writing of the examinations;
 - (f) Marking guideline discussions;
 - (g) monitoring the marking of the examinations;
 - (h) verification of marking;
 - (i) monitoring the management and reporting of irregularities;
 - (j) management of concessions;

- (k) standardisation, statistical moderation and resulting;
and
- (l) approval of the release of results.

3. Application of the policy

This policy is applicable to both the public and accredited private assessment bodies that assess qualifications registered on the GFETQSF of the NQF.

CHAPTER 2

LEGISLATIVE CONTEXT

4. Underpinning legislation

- (1) The policy is premised on the following Acts–
 - (a) *Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996)*;
 - (b) *National Qualifications Framework Act, 2008 as amended in 2019* (hereafter referred to as the *NQF Act*);
 - (c) *General and Further Education and Training Quality Assurance Act, 2001 as amended in 2008 (Act No. 58 of 2001)* (hereafter referred to as the *GENFETQA*);
 - (d) *National Education Policy Act, 1996 (No. 27 of 1996)* (hereafter referred to as the *NEPA*);
 - (e) *South African Schools Act, 1996 (Act No. 84 of 1996)* (hereafter referred to as the *SASA*); and
 - (f) *Continuing Education and Training Act, 2006 (Act No. 16 of 2006)*, (hereafter referred to as the *CET Act*), as amended by the *Further Education and Training Colleges Amendment Act, 2013 (Act No. 1 of 2013)*.

5. Functions assigned to Umalusi

- (1) 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 related quality assurance processes.

- (2) Umalusi's mandate as the Quality Assurance Council for levels 1–4 of the National Qualifications Framework, is stipulated in-
 - (a) section 24 of the NQF Act; and
 - (b) sections 16(2) and 16(3) of the GENFETQA Act.
- (3) In line with the aim of the *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)*, 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) develop and maintain a sub-framework of qualifications for general and further education and training;
 - (b) develop and implement policy for quality assurance;
 - (c) ensure the integrity and credibility of quality assurance; and
 - (d) certify learner achievements.
- (4) In adherence to the NQF objectives as contemplated in the aforementioned *paragraph 1*, Umalusi is, in accordance with sections 17A(1) and 17A(6) of the *GENFETQA Act*, responsible for the quality assurance of assessment at exit points and the issuing of certificates to candidates who have achieved qualifications or part-qualifications respectively.
- (5) Umalusi's mandate as stipulated in the NQF Act is limited to the qualifications and part-qualifications registered on the GFETQSF.

- (6) The qualifications registered on the GFETQSF of the NQF have been designed to have three streams, which are the–
 - (a) academic stream;
 - (b) vocational stream; and
 - (c) adult stream.

- (7) Umalusi, as the QC for General and Further Education and Training, should, in adherence to *section 27(i)* of the NQF Act, develop policy to ensure compliance by both public and accredited private assessment bodies regarding quality assurance of assessment.

6. Supplementary documents

This policy should 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, as amended;*
 - (b) *Regulations Pertaining to the Conduct, Administration and Management of the National Senior Certificate Examinations, Government Gazette No. 31337 of 29 August 2008, as amended;*
 - (c) *Regulations on the Assessment Process and Procedures for Adult Education and Training (AET) National Qualifications Framework (NQF) Level 1, Government Gazette No. 36463 of 15 May 2013; and*
 - (d) *Regulations regarding the Criteria for the Quality Assurance, Accreditation and Monitoring of*

Independent Schools and Private Assessment Bodies;
Government Gazette 41206 of 27 October 2017.

(2) Policies

- (a) Curriculum and Assessment Policy Statements (CAPS) 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, as amended;
- (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, as amended;
- (d) *National Protocol for Assessment Grades R–12*, Government Gazette No. 34600 of 12 September 2012, as amended;
- (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) *National Policy Relating to the Examinations of Formal Technical College Instructional Programmes as promulgated in Government Gazette No. 22760 of 26 October 2001;*
- (i) *National Policy on the Conduct of Adult Basic Education and Training (ABET) Level 4 examinations, Government Gazette No. 23590 of 5 July 2002;*
- (j) *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, Government Gazette 41887 of 7 September 2018;*
- (k) *Policy and Criteria for the Quality Assurance, Accreditation and Monitoring of Independent Schools and Private Assessment Bodies, Government Gazette No. 35830 of 29 October 2012, as amended in Government Gazette 41206 of 27 October 2017;*
- (l) *Regulations regarding the Criteria for the Quality Assurance, Accreditation and Monitoring of Independent Schools and Private Assessment Bodies; Government Gazette 41206 of 27 October 2017;*
- (m) *National Policy on Continuing Education and Training Colleges, Government Gazette No. 38924 of 3 July 2015;*
- (n) *Policy for the Management of Qualifications on the General and Further Education and Training*

Qualifications Sub-framework, a Sub-framework of the National Qualifications Framework;

- (o) *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;*
 - (p) *Policy and Criteria for the Assessment of Qualifications on the GFETQSF.*
 - (q) *National Policy and Criteria for Designing and Implementing Assessment for NQF Qualifications and Part-Qualifications and Professional Designations in South Africa, Government Gazette No. 38246 of 28 November 2014.*
 - (r) *Regulations for the issuing of certificates by the General and Further Education and Training Quality Assurance Council, Government Gazette No. 25794 of December 2003; as amended in 2015*
 - (s) *Policy for the re-issue of National Certificates, Government Gazette No. 41738 of 29 June 2018.*
- (3) Guidelines and Directives
- (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;*
 - (c) *Internal Continuous Assessment (ICASS) Instructions for Report 191 Programmes in TVET Colleges;*

- (d) Internal Continuous Assessment Instructions for the NC(V) Qualifications;
- (e) Subject Assessment Guidelines of public and accredited private assessment bodies; and
- (f) Examination Guidelines of public and accredited private assessment bodies.
- (g) Requirements and Specifications for the Standardisation Statistical Moderation and Resulting Version 5 20160705
- (h) Directives for certification:
 - (i) Directives for Certification of the General Education and training Certificate (SAQA ID 717751) August 2013;
 - (ii) Directives for Certification by Umalusi (Senior Certificate; National Senior Certificate (FET Colleges); N3 Certificate; General Education and training Certificate (ABET Level 4)) - August 2013;
 - (iii) Directives for Certification National Senior Certificate (Schools) - August 2013;
 - (iv) Directives for Certification National Certificate (Vocational) (level 2 – 4)
 - (v) Directives for Certification Senior Certificate, as amended (2017)

CHAPTER 3

MODERATION OF QUESTION PAPERS

7. Rationale

- (1) Umalusi should ensure that the moderation processes conducted for each examination are fair, valid and reliable. To perform this function, Umalusi is required to ensure comparability of standards and assessment practices across assessment bodies.
- (2) Considering the above, public and accredited private assessment bodies should comply with Umalusi's moderation requirements as stipulated in *section 18(c) and (d) of the GENFETQA Act*.

8. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

Assessment bodies should ensure that–

- (a) examiners and internal moderators are appointed;
- (b) the management plan for the training of examiners and internal moderators is submitted to Umalusi;
- (c) the management plan for question paper development is to be submitted to Umalusi **thirty (30) days before** commencement of the cycle for the development of question papers;
- (d) question papers and marking guidelines are approved by Umalusi **eighteen (18) months prior** to the commencement of the conduct of the examination;

- (e) there will always be three approved question papers and marking guidelines available in an effort to deal with the predictability of question papers;
- (f) question papers conform to the requirements of the National Curriculum Statements, the SAG and the examination guidelines;
- (g) the model to be used for question paper development is determined and all security requirements are considered;
- (h) norms and standards for moderation of question papers are submitted to Umalusi;
- (i) secure and conducive facilities are available for moderation of question papers;
- (j) all question papers developed are subjected to internal moderation according to Umalusi criteria;
- (k) all question papers, internal moderators' reports (including the history of the internal moderation process) and assessment framework/grid are submitted simultaneously, in accordance with the approved management plan for each examination cycle;
- (l) competent personnel (language practitioners) are appointed to edit both the question papers and marking guidelines;
- (m) competent personnel are appointed to adapt question papers for learners with special needs;
- (n) print-ready question papers are submitted to Umalusi for external moderation;
- (o) the rejected and conditionally approved question papers and marking guidelines are reviewed and

resubmitted for subsequent moderations according to set timelines;

- (p) the finally approved version of a question paper and marking guideline, together with the translated version, are submitted to Umalusi to be signed off immediately after the completion of the translation;
- (q) the reports are submitted to Umalusi;
- (r) arrangements are made for the bar-coding of the finally approved question papers; and
- (s) a system for the evaluation of examiners and internal moderators is developed and implemented.

(2) Roles and responsibilities of Umalusi

In the development of question papers, Umalusi takes responsibility for the following–

- (a) appraising and approving curriculum and subject assessment guidelines (or equivalent documents for the specific subjects) for both the public and accredited private assessment bodies;
- (b) advising the Minister on criteria for the appointment
- (c) of examiners and internal moderators;
- (d) developing criteria, instruments and procedures for the external moderation of question papers and marking guidelines, including the approval and signing off of question papers;
- (e) setting criteria for norms and standards for moderation of question papers;
- (f) appointing external moderators who are experts in the various subjects in accordance with set criteria;

- (g) training of external moderators on the policy for the quality assurance of assessment; instruments and curriculum, and assessment-related matters;
- (h) moderating, approving and signing off of print-ready question papers and marking guidelines, including adapted question papers where applicable; and
- (i) ensuring that the external moderation reports are explicitly written and provide the assessment body with clear directives for compliance.

9. Criteria

(1) Moderation of question papers–

All question papers from both public and accredited private assessment bodies shall be approved subject to their compliance with the following criteria–

- (a) technical aspects;
- (b) internal moderation;
- (c) content coverage;
- (d) text selection, types and quality of questions;
- (e) cognitive demands and level of difficulty;
- (f) language and bias;
- (g) predictability; and
- (h) overall impression of the question paper.

(2) Moderation of marking guidelines–

All marking guidelines from both public and accredited private assessment bodies shall be approved subject to their compliance with the following criteria–

- (a) format and technical aspects;

- (b) conformity with the question paper; and
- (c) accuracy and reliability of the marking guideline.

10. Reporting

- (1) After the external moderation process, the external moderator should make one of the following recommendations in respect of each question paper–
 - (a) *Approved*: the external moderator recommends the approval of the question paper if it has met all Umalusi requirements as stipulated in the criteria and no amendments, apart from technical changes, are required.
 - (b) *Conditionally approved*: the external moderator recommends that the assessment body make minor adjustments (rephrasing or restructuring of one or two questions) and should resubmit the question paper for subsequent external moderation.
 - (c) *Rejected*: the external moderator recommends that the assessment body make major alterations to the question paper, which should then be resubmitted for subsequent moderations.
 - (d) Providing the assessment bodies with the external moderation feedback within stipulated timeframes.

- (2) Umalusi will–
 - (a) provide assessment bodies with templates for reporting; and
 - (b) present the reports received from assessment bodies and external moderators to the Assessment Standards Committee (ASC) at the pre-standardisation meeting,

and Umalusi Executive Committee of Council (EXCO) at the meeting for the approval of the release of results for each examination cycle. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, and/or the Minister of Higher Education, Science and Innovation or the Chief Executive Officers (CEO) of the accredited private assessment bodies. The reports will provide the assessment body with clear guidelines on areas of compliance, non-compliance and directives for compliance and improvement.

CHAPTER 4

MODERATION OF INTERNAL ASSESSMENT

11. Rationale

(1) Aim of internal assessment

The aim of internal assessment is twofold–

- (a) to offer learners an alternative chance to demonstrate their competence; and
- (b) to assess those skills that cannot be assessed through traditional examinations.

(2) Need for internal assessment

- (a) Internal assessment forms part of the final mark of exit examinations in Schools, Adult Education and Training (AET) as well as in Technical and Vocational Education and Training (TVET).
- (b) Internal assessment is quality assured to ensure uniform standards. The standard and quality of internal assessment, the respective responsibilities of key role players, the presentation of internal assessment to Umalusi for quality assurance, as well as external moderation procedures, are stipulated in this policy.
- (c) The following quality assurance processes and procedures are conducted where possible, to ensure that the quality of internal assessment is of the required standard–
 - (i) moderation of internal assessment tasks where applicable);

- (ii) monitoring the implementation of internal assessment;
- (iii) moderation of evidence of learner performance and assessor files; and
- (iv) statistical moderation of internal assessment results.

12. Roles and Responsibilities

(1) Roles and responsibilities of assessment bodies

Assessment bodies should ensure that–

- (a) internal assessment plans and improvement plans are submitted to Umalusi at the beginning of each academic year;
- (b) internal assessment tasks of the required standard are developed in line with the subject assessment guidelines and/or approved curriculum statement by the Minister of Basic Education/Higher Education, Science and Innovation;
- (c) provinces, districts, schools, colleges, providers and other relevant bodies are capacitated on the development of internal assessment tasks of the required standard;
- (d) CAT/PAT/oral assessments as per subject assessment guidelines/CAPS requirements are set and moderated;
- (e) suitably qualified and experienced examiners and internal moderators are appointed to set and moderate CAT/PAT;

- (f) Umalusi criteria for the internal moderation of internal assessment tasks are adhered to;
- (g) all schools/institutions/sites of learning administer 100% of CAT/PAT;
- (h) CAT/PAT are translated from English to other languages where necessary;
- (i) internal assessment tasks are submitted to Umalusi for external moderation in accordance with Umalusi timelines;
- (j) monitoring and evaluation systems and structures are put in place to ensure that the internal assessment, moderation and verification systems are effective and comply with all assessment policies and guidelines;
- (k) a sample of teacher files and learner evidence files are moderated and consolidated moderation reports are submitted to Umalusi;
- (l) the required sample of evidence of learners' performance/learner files accompanied by the teachers' files are organised and submitted to Umalusi for verification/moderation purposes at a centralised venue, per province/region. The assessment body may not deviate from the given sample of subjects when submitting files for the verification/moderation of internal assessment. The sample should include moderated and unmoderated learner evidence; and
- (m) the performance of examiners and internal moderators is managed through an effective evaluation and development system.

(2) Roles and responsibilities of Umalusi

In the quality assurance of internal assessments Umalusi should take responsibility for the following–

- (a) development of criteria, instruments and procedures for the external moderation of CAT/PAT;
- (b) appointment of qualified and experienced external moderators;
- (c) conducting external moderation of internal assessment on an independent sample of subjects; and verification of the assessment bodies' internal moderation process, on an annual basis;
- (d) communication of the sampled subjects with the assessment bodies in advance to enable them to prepare for the external moderation process;
- (e) conducting external moderation of internal assessment on an annual basis for each qualification, per assessment body and per examination cycle, as follows–
 - (i) GETC;
 - (ii) NSC;
 - (iii) NC(V); and
 - (iv) N1–N3 (Engineering Studies);
- (f) development of consolidated moderation reports to serve as feedback to the various assessment bodies to inform improvements; and
- (g) conducting statistical moderation and standardisation of the internal assessment results.

13. Criteria

- (1) Criteria for the external moderation of internal assessment tasks

- (a) The following criteria will be used for the external moderation of CAT/PAT and tasks in teacher files–
 - (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 systemic assessment practices.

(2) Criteria for the external moderation of teacher and learner evidence files

(a) Structure of the criteria

The criteria for the moderation instrument used for external moderation of internal assessment consist of two parts– Part 1 focuses on the evaluation of the teacher file; and

Part 2 focuses on the evaluation of the learner's evidence of performance;

(b) moderation of teacher file will be based on the criteria listed under Criteria for the external moderation of internal assessment tasks and tasks in teacher's files;

(c) a complete teacher file should be available at all times for moderation. The teacher file should include–

- (i) clear indication of content;
- (ii) teacher information including full names, qualification, SACE registration, teaching experience and/or workplace experience;

- (iii) annual teaching plan/work schedule;
- (iv) latest version of site/school assessment policy, CAPS/SAG;
- (v) assessment plan/programme of assessment;
- (vi) assessment tasks and marking tools;
- (vii) resources required for each assessment task;
- (viii) evidence of effective moderation of each task prior to the administration of the task;
- (ix) evidence of effective moderation of learner evidence;
- (x) a record of learner performance; and
- (xi) feedback reports from moderation of quality assurance of assessment at different levels.

(3) Evidence of learner performance

The evidence of learner performance submitted in fulfilment of the requirements for the internal assessment should include the following–

- (a) full names and identity number of candidate;
- (b) declaration of authenticity (where applicable);
- (c) clear indication of content;
- (d) marked internal assessment tasks/answer scripts; and
- (e) consolidated record of scores, also indicating conversion of scores.

14. Reporting

Umalusi will–

- (a) present reports to the EXCO at the meeting for the approval of the release of results for each examination cycle; and
- (b) provide feedback in the form of reports to the assessment bodies on the standard and quality of the internal assessment tasks set and the conduct thereof. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, or the Minister of Higher Education, Science and Innovation, or the CEO of the accredited private assessment bodies. The reports will provide the assessment body with clear guidelines on areas of compliance and non-compliance, and directives for improvement.

CHAPTER 5

MODERATION OF PRACTICAL ASSESSMENT

15. Rationale

- (1) The aim of the 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.
- (2) The ISAT/PAT forms the practical component of all vocational/practical subjects of the NC(V)/NSC qualification. The requirements for assessment are set out for schools and for the Technical and Vocational Education and Training (TVET) sector in relevant policies, as contained in *Chapter 2*. This chapter should be read in conjunction with the relevant Acts, regulations, policies, directives and guidelines as set out in *paragraph 6 of Chapter 2*.
- (3) 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/SAG of the specific subject; and in line with the latest developments in industry or the workplace.
- (4) The ISAT and PAT should be fair, reliable and representative of an adequate amount of the practical work as outlined in the curriculum.

- (5) The ISAT and PAT should be representative of relevant conceptual domains and representative of relevant levels of cognitive challenge.
- (6) The ISAT and PAT should be conducted according to the task specifications in suitably resourced centres under examination conditions.

16. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

The assessment body should–

- (a) appoint suitable and qualified examiners and internal moderators;
- (b) ensure that the examiners and internal moderators are trained and competent to set PAT/ISAT that are of an acceptable standard;
- (c) ensure that examiners are adequately trained with regard to–
 - (i) the format of the PAT/ISAT;
 - (ii) duration of the PAT/ISAT;
 - (iii) maximum marks required for PAT/ISAT; and
 - (iv) any other prescriptions as per the standards that have to be followed;
- (d) develop policy and standards for setting tasks;
- (e) develop the management plan for the setting and conducting of practical examinations and the PAT/ISAT, and submit the management plan to

Umalusi at the beginning of each year, clearly indicating when the following will take place–

- (i) training of setting panels and internal moderators;
- (ii) setting of PAT/ISAT and marking tools; and
- (iii) internal moderation of PAT/ISAT and marking tools;
- (iv) editing of tasks;
- (v) submission dates of tasks for external moderation (no later than 31 July of the year preceding implementation). The tasks may be submitted earlier than the date indicated, **but not later**; and
- (vi) distribution dates for PAT/ISAT;
- (f) inform examiners and internal moderators of the due dates for the submission of draft and final PAT/ISAT;
- (g) ensure that there is rigorous internal moderation of all the PAT/ISAT before they are submitted to Umalusi for external moderation;
- (h) appoint competent, professional language practitioners to edit all the PAT/ISAT;
- (i) ensure that the PAT/ISAT submitted for external moderation are in their final state (print-ready), having been edited and with all diagrams and sketches in place, and that they are submitted in suitably labelled folders on an electronic system developed for this purpose;
- (j) ensure that complete sets of documents including the task, marking tools, instructions to assessors, instructions to learners and the detailed internal moderator's report are simultaneously submitted for external

- moderation, to enable Umalusi to make an informed judgement on the credibility of the PAT/ISAT;
- (k) ensure that changes suggested by the external moderator are effected;
 - (l) ensure that the PAT/ISAT are resubmitted to the external moderator if it is so required. Ensure that the rejected and conditionally approved tasks and assessment tools are reviewed and resubmitted for subsequent moderations according to set timelines;
 - (m) ensure that there are procedures in place regarding the “signing off” of PAT/ISAT by the external moderators, to ensure that the correct version of the PAT/ISAT, approved by the external moderator, is distributed and implemented;
 - (n) ensure that a system for the evaluation of examiners and internal moderators is developed and implemented;
 - (o) ensure that nationally prescribed ISAT/PAT in each subject are issued;
 - (p) ensure that there is a clear policy and management framework in place for the safekeeping of ISAT/PAT in order to administer a credible examination;
 - (q) ensure that there is effective implementation of ISAT/PAT in suitably resourced centres;
 - (r) ensure that an effective system for internal moderation of the conduct of ISAT/PAT is in place and implemented; and
 - (s) report to Umalusi on the status of the conduct of ISAT/PAT after each examination cycle.

(2) Roles and responsibilities of Umalusi

In the development of PAT/ISAT, Umalusi should–

- (a) develop procedures for the external moderation, approval and signing off of PAT and ISAT, and their accompanying assessment tools and instruction documents;
- (b) appoint suitably and appropriately qualified persons as external moderators;
- (c) conduct training and induction of external moderators before commencement of moderation;
- (d) craft clear moderation criteria to be used in the moderation process;
- (e) provide a report format (instrument) that should be used by all internal and external moderators for reporting to Umalusi on each PAT/ISAT that has been moderated;
- (f) determine the sample of PAT/ISAT to be externally moderated for the NSC and for the NC(V). Umalusi may moderate all PAT and ISAT;
- (g) moderate and return the PAT/ISAT to the assessment body within stipulated timeframes. The norm time for the external moderation and return of the ISAT/PAT to the assessment body will be guided by the length and duration of the task and the nature of the subject;
- (h) manage the external moderation process in such a way that it lends credibility and integrity to the whole assessment process;
- (i) use approved mechanisms to monitor and check whether the PAT/ISAT conducted are those approved by the external moderators;

- (j) monitor/moderate the conduct of the practical examinations (PAT and ISAT) of a sample of subjects according to the assessment bodies' management plan;
- (k) verify the assessment bodies' internal moderation of the conduct process on an annual basis; and
- (l) deal periodically with any issues arising from the external moderators' reports.

17. Criteria

- (1) Criteria for the external moderation of PAT and ISAT

All PAT and ISAT from both the public and accredited private assessment bodies shall be approved subject to their compliance with the following criteria–

- (a) technical aspects;
- (b) internal moderation;
- (c) content coverage;
- (d) cognitive demands and level of difficulty;
- (e) language and bias;
- (f) predictability; and
- (g) adherence to assessment policies and systematic assessment practices.

18. Reporting

- (1) After the external moderation process, the external moderator should make one of the following

recommendations in respect of each practical examination, PAT or ISAT–

- (a) *Approved*: the external moderator recommends the approval of the practical examination, PAT or ISAT, if it has met all Umalusi requirements as stipulated in the criteria, and no amendments apart from technical changes, are required;
- (b) *Conditionally approved*: the external moderator recommends that the assessment body make minor adjustments (rephrasing or restructuring of one or two questions) and should re-submit the practical examination, PAT or ISAT for subsequent external moderation;
- (c) *Rejected*: the external moderator recommends that the assessment body makes major alterations to the practical examination, PAT or ISAT, which should then be resubmitted for subsequent moderations; and
- (d) Providing the assessment bodies with the external moderation feedback within stipulated timeframes.

(2) Umalusi will–

- (a) present reports to the EXCO at the meeting for the approval of the release of results for each examination cycle;
- (b) provide feedback in the form of reports to the assessment bodies on the standard and quality of the PAT or ISAT set and the conduct thereof. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, or the Minister of Higher, Science and Innovation or the CEO of the private

assessment bodies accredited by Umalusi. The reports will provide the assessment body with clear guidelines on areas of compliance and non-compliance, and directives for compliance and improvement.

CHAPTER 6

MONITORING THE STATE OF READINESS FOR THE CONDUCT, ADMINISTRATION AND MANAGEMENT OF EXAMINATIONS

19. Rationale

- (1) The purpose of monitoring is to–
 - (a) gauge the level of readiness to conduct examinations by the different assessment bodies;
 - (b) track progress made on directives for compliance and improvement that were issued in the previous examinations; and
 - (c) report on areas that have a potential to compromise the conduct, administration and management of examinations prior to the commencement of the examination cycle.

20. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

Assessment bodies should, in accordance with the legislation governing the conduct, administration and management of examinations of qualifications registered on the GFETQSF–

- (a) develop, implement and review policies, regulations and guidelines for the conduct of examinations;
- (b) develop, maintain and implement policies for the monitoring of the conduct of writing and marking of national examinations;

- (c) establish and maintain appropriate structures for the conduct of credible examinations including monitoring the writing and marking processes;
- (d) submit the self-evaluation instruments and supporting documents on the state of readiness to conduct examinations on the dates prescribed by Umalusi;
- (e) prepare an appropriate presentation of the state of readiness to administer examinations and make available staff members to support Umalusi during the verification visit;
- (f) prepare and present the relevant evidence for the implementation of various examination processes and systems during the verification visit;
- (g) demonstrate the adequacy and capacity to undertake all examination processes (financial, physical and human capacity, and risk management) and present plans for the monitoring of examinations, including internal assessment, to ensure that examinations are conducted in accordance with the regulations and policies applicable to assessment;
- (h) register independent schools/private colleges that are accredited by Umalusi as examination centres;
- (i) conduct an audit of all registered examination centres/venues and nodal/delivery/distribution points to ensure compliance with the criteria as stipulated in the national regulations; and
- (j) ensure that the state of certification for the previous year's cohort and mop-ups are completed.

(2) Roles and responsibilities of Umalusi

Umalusi should perform the following functions–

- (a) develop state of readiness instrument, schedule dates for the conduct of the state of readiness and share these with the assessment bodies;
- (b) provide the self-evaluation instruments and/or reporting templates to assessment bodies for the state of readiness process a month before the scheduled verification;
- (c) analyse the information supplied on the self-evaluation report and the evidence provided by the assessment body for the state of readiness verification process;
- (d) prepare the state of readiness reports and provide feedback to assessment bodies with regard to the findings; and
- (e) submit the state of readiness reports to the Director-General of the Department of Basic Education, or the Director-General of the Department of Higher Education and Training, or the CEO of accredited private assessment bodies.

21. Criteria

- (1) The criteria for monitoring the state of readiness to conduct, administer and manage examinations is based on the following–
 - (a) availability of policies and regulations on assessment processes and procedures; and
 - (b) quality assurance of the following processes–
 - (i) registration of candidates and examination centres/venues;

- (ii) appointment and training of examiners and internal moderators;
- (iii) facilities and infrastructure for printing and storage of question papers;
- (iv) safety and security systems for the storage of examination materials;
- (v) arrangements for the distribution of question papers;
- (vi) appointment and training of chief invigilators and invigilators;
- (vii) preparation for the marking processes;
- (viii) appointment and training of marking personnel;
- (ix) planning for monitoring;
- (x) auditing/evaluation of examination and marking centres;
- (xi) management of applications for concessions/ accommodations;
- (xii) management and reporting of irregularities; and
- (xiii) management of certification processes.

22. Reporting

- (1) The assessment body should submit the self-evaluation reports on the state of readiness within the prescribed timeframes for submission.
- (2) Umalusi will–
 - (a) provide the assessment body with the self-evaluation instruments on the state of readiness and the

timeframes by which the completed self-evaluation report should be submitted;

- (b) present reports to the EXCO at the meeting for the approval of the release of results for each examination cycle; and provide feedback in the form of reports to the assessment bodies on their state of readiness outcomes. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, or the Minister of Higher Education, Science and Innovation or the CEO of the accredited private assessment bodies. The reports will provide the assessment body with clear guidelines on areas of compliance and non-compliance, and directives for compliance and improvement

CHAPTER 7

MONITORING THE WRITING OF THE EXAMINATIONS

23. Rationale

The purpose of monitoring of examinations is to ensure that–

- (1) examinations of the qualifications registered on the GFETQSF are conducted in accordance with the available policies and regulations in order to ensure valid and reliable results and maintain the credibility of the assessment and education system; and
- (2) assessment bodies comply consistently with the provisions of the regulations and policies for the conduct, administration and management of examinations of qualifications registered on the GFETQSF.

24. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

Assessment bodies should–

- (a) ensure that appropriate policies, regulations and guidelines for the conduct, administration and management of the writing of examinations are available and kept up to date;
- (b) ensure the safety and security of examination material during printing, packaging and distribution to examination centres;

- (c) ensure that examination centres have adequate security systems for the storage of examination material;
- (d) ensure that examination centres have plans for invigilation;
- (e) appoint and ensure that chief invigilators and invigilators are trained on the conduct of the writing of examinations;
- (f) develop, maintain and implement a monitoring policy on the conduct of the writing of examinations;
- (g) establish appropriate structures to monitor the conduct of the writing of examinations;
- (h) ensure that monitoring plans for every examination are submitted to Umalusi thirty (30) days before the commencement of such examination;
- (i) appoint and train personnel to monitor the writing of examinations;
- (j) submit daily occurrence/incident reports during the writing of examinations;
- (k) use the appropriate reporting template to report on examination irregularities; and
- (l) submit improvement plans to Umalusi on the date specified by Umalusi.

(2) Roles and responsibilities of Umalusi

Umalusi should–

- (a) ensure that assessment bodies have management plans in place before the commencement of an examination cycle;

- (b) verify the implementation of assessment bodies' monitoring plans;
- (c) provide assessment bodies with instruments that should be used for daily irregularities reporting during the writing of examinations;
- (d) verify reports received from assessment bodies on the writing of examinations;
- (e) conduct monitoring visits to a sample of examination centres, nodal/distribution/delivery points/circuit/district offices;
- (f) prepare reports on the conduct of the writing of examinations as administered by various assessment bodies for the approval of results process; and
- (g) provide feedback to assessment bodies with regard to the findings of monitoring of the conduct of the writing phase of examinations.

25. Criteria

(1) Criteria for monitoring the writing of examinations

- (a) delivery mode and safety of examination material in transit to the examination centres/venues;
- (b) safety conditions of the storage facilities of the examination material before and after the writing of examinations at the examination centres/venues;
- (c) appointment and training of chief invigilators and invigilators;
- (d) availability and adherence to invigilation timetables;
- (e) time management before, during and immediately after the writing of examinations;

- (f) general conditions of the examination rooms and the immediate environments;
- (g) availability and adherence to seating arrangements/plans of candidates in the examination rooms;
- (h) execution of duties by chief invigilators and invigilators;
- (i) recordkeeping and maintenance of appropriate documentation for the administration of the writing phase of examinations;
- (j) collection of answer scripts from candidates;
- (j) packaging, storage/transmission of answer scripts from the examination centre/venue to the nodal/distribution/delivery points / assessment bodies; and
- (k) evidence of monitoring by the assessment body.

26. Reporting

- (1) The assessment body should–
 - (a) submit daily occurrence/incidents reports during the writing of the examinations;
 - (b) report on their monitoring findings to Umalusi Executive Committee of Council (EXCO) at the meeting for the approval of release of results of such examinations;
 - (c) submit draft consolidated reports on the conduct, administration and management of examinations as well as irregularities identified during the examinations forty-eight (48) hours before the scheduled date of Umalusi's pre-standardisation meeting; and
 - (d) submit a final report on irregularities to Umalusi at least

forty-eight (48) hours before the scheduled date of the approval of the release of results of each examination cycle.

(2) Umalusi will–

- (a) provide assessment bodies with a template for the daily occurrence/incidents and reporting of irregularities during the conduct of the writing of examinations; and
- (b) present reports on the monitoring of examinations conducted to the Umalusi Executive Committee of Council (EXCO) at the meeting for the approval of the release of results for each examination cycle; and provide feedback in the form of reports to the assessment bodies on the gathered findings. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, or the Minister of Higher Education, Science and Innovation or the CEO of the accredited private assessment bodies. The reports will provide the assessment body with clear guidelines on areas of compliance and non-compliance, and directives for compliance and improvement.

CHAPTER 8

MARKING GUIDELINE DISCUSSIONS

27. Rationale

- (1) Marking guideline discussions are conducted to ensure–
 - (a) that the marking panels, including external moderators, engage in a process of finalising the marking guidelines by discussing and agreeing on all possible and alternative responses;
 - (b) that the marking guidelines are approved and signed off;
 - (c) that marking is implemented in accordance with agreed practices and standards;
 - (d) fairness of the marking process and the reliability of the results; and
 - (e) accuracy and consistency in the marking process across subjects and marking centres.

28. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

Assessment bodies should–

- (a) develop and submit the marking guideline discussion schedule to Umalusi within specified timelines;
- (b) ensure a conducive venue with relevant resources;
- (c) ensure that a suitably qualified and experienced internal moderator and chief marker for each subject or question paper are appointed timeously;

- (d) ensure that pre-marking/ dummy scripts are prepared for use in the training of marking personnel;
- (e) ensure that–
 - (i) changes to the marking guidelines at the marking centres are approved by the external moderators responsible for the approval of the question paper; and
 - (ii) that the changes to the marking guidelines, as contemplated in the aforementioned *sub-paragraph (i)* are communicated to all centres timeously if a decentralised model is used;
- (f) ensure that the marking personnel–
 - (i) prepare for the marking guideline discussion meetings by developing a marking guideline prior to attending the meeting; and
 - (ii) conduct pre-marking of a reasonable number of scripts per question paper or subject;
- (g) ensure that the marking personnel attend the marking guideline discussion for the full duration of the meeting and subsequent training sessions;
- (h) ensure that the marking guideline discussion meetings are chaired by the senior marking personnel from the assessment body;
- (i) determine the norm time for the marking guideline discussions of different subjects;
- (j) ensure that preparations and marking guideline processes take place effectively;
- (k) ensure that the marking personnel engage actively and constructively in the discussions;
- (l) ensure that a tolerance range is set for each paper; and

- (m) ensure that a system for the evaluation of marking personnel is developed and implemented.
- (2) Roles and responsibilities of Umalusi

Umalusi should–

- (a) appoint external moderators in all examinable subjects or question papers;
- (b) train external moderators on marking guideline discussion proceedings and other aspects of quality assurance of marking;
- (c) develop the deployment schedule for external moderators according to the schedules provided by the assessment bodies;
- (d) develop criteria and procedures for the marking guideline discussion meetings;
- (e) ensure that the external moderators adjudicate on the differences of opinions during marking guideline discussion meetings; and
- (f) ensure that external moderators sign off the finally approved marking guidelines of each question paper for each examination cycle, where applicable.

29. Criteria

- (1) The marking guideline discussion meetings are evaluated based on the following criteria–
- (a) pre-marking guideline discussion meeting;
 - (b) preparation by chief markers and internal moderators;
 - (c) processes and procedures;
 - (d) training at marking guideline discussion meetings; and

- (e) quality of the finalised marking guidelines.

30. Reporting

- (1) Umalusi will–
 - (a) present the reports received from assessment bodies and external moderators to EXCO at the meeting for the approval of the release of results for each examination cycle. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, or the Minister of Higher Education, Science and Innovation or the CEO of the accredited private assessment bodies. The reports will provide the assessment body with clear guidelines on areas of compliance, non-compliance and directives for compliance and improvement.

CHAPTER 9

MONITORING THE MARKING OF EXAMINATIONS

31. Rationale

Monitoring the marking of the examinations is conducted to ensure that the marking of examinations of qualifications registered on the GFETQSF is conducted in accordance with agreed practices and standards in order to ensure marking is conducted in a fair, valid and reliable manner, as well as to ensure that national standards are applied uniformly.

32. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

Assessment bodies should–

- (a) ensure that appropriate policies, regulations and guidelines for the conduct of the marking phase of examinations are available and kept up to date;
- (b) develop, maintain and implement a monitoring policy on the conduct of the marking phase of examinations;
- (c) establish appropriate structures to monitor the conduct of the marking of examinations;
- (d) appoint and train all marking centre personnel per examination cycle to ensure that centres are managed in accordance with the management plan for marking;
- (e) identify suitable venues with appropriate infrastructure to be used as marking centres;

- (f) ensure that marking management plans for every examination are submitted to Umalusi within specified timeframes before the commencement of the writing phase of each examination cycle;
 - (g) monitor the marking of examinations; and
 - (h) submit consolidated marking reports on monitoring of marking as well as irregularities identified during the marking of examinations.
- (2) Roles and responsibilities of Umalusi

Umalusi should–

- (a) verify the implementation of assessment bodies' management plans;
- (b) verify reports received from assessment bodies on the conduct of the marking of examinations;
- (c) conduct monitoring visits to a sample of marking centres of various assessment bodies; and
- (d) prepare reports on the conduct of the marking phase of examinations as administered by various assessment bodies in preparation for the approval of results process; and provide feedback to assessment bodies with regard to findings of monitoring the conduct of the marking phase of examinations.

33. Criteria

- (1) Criteria for the monitoring of marking

The monitoring of marking will be based on the following–

- (a) availability and implementation of the marking centre management plan;
- (b) delivery, storage and safekeeping of examination material;
- (c) general condition of the marking centre;
- (d) security measures at the marking centre;
- (e) monitoring by the assessment body;
- (f) procedure for quality assurance of answer scripts;
- (g) reporting by marking personnel;
- (h) capturing of marks and quality assurance of the capturing of marks; and
- (i) verify the marking personnel appointments.

34. Reporting

- (1) Umalusi will–
 - (a) provide assessment bodies with templates for reporting; and
 - (b) present reports on the monitoring of the marking conducted to the EXCO at the meeting for the approval of the release of results for each examination cycle; the assessment standard committee at the pre-standardisation meetings and provide feedback in the form of reports to the assessment bodies on the gathered findings. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, or the Minister of Higher Education, Science and Innovation, or the CEO of the accredited private assessment bodies. The reports will provide the assessment body with clear guidelines on areas of

compliance and non-compliance, and directives for compliance and improvement.

CHAPTER 10

VERIFICATION OF MARKING

35. Rationale

- (1) Verification of marking is conducted to–
 - (a) determine whether the approved marking guidelines are adhered to by assessment bodies and applied consistently across the subjects and marking centres;
 - (b) establish if changes are made to the marking guidelines at the marking centres and whether due process was followed;
 - (c) determine if mark allocation and calculations are done accurately and consistently;
 - (d) determine the level of accuracy in the transfer and recording of marks from scripts to mark sheets;
 - (e) ascertain if internal moderation of the required percentage of scripts is conducted during marking;
and
 - (f) confirm if marking is fair, reliable and valid.

36. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

Assessment bodies should ensure that–

- (a) Marking schedules are submitted to Umalusi prior to the commencement of marking, clearly indicating the following–
 - (i) dates and venues for marking; and

- (ii) the names and telephone numbers of the examination official responsible for coordinating marking (provincial heads of examinations in the case of the DBE; and marking centre managers for the DHET and accredited private assessment bodies);
- (b) competent marking personnel are appointed and trained according to relevant legislative frameworks;
- (c) examination assistants are appointed and trained;
- (d) marking plans are developed;
- (e) logistical arrangements for the marking process are made;
- (f) secure transportation of examination materials to and from the marking venues is arranged;
- (g) marking is accurate and consistent;
- (h) the marking personnel who did not attend the training for marking are not allowed to mark;
- (i) internal moderation of a required percentage of scripts is conducted during marking;
- (j) irregularities are identified and managed in line with policy prescriptions;
- (k) secure transportation to Umalusi offices of the candidate answer scripts, in the subjects sampled for centralised verification of marking, is arranged;
- (l) candidates' answer scripts, question papers, marking guidelines and other relevant documents as per Umalusi requirements are submitted; and
- (m) submit consolidated chief marker and internal moderator reports at least forty-eight (48) hours before the scheduled date of Umalusi's pre-standardisation meeting.

(2) Roles and responsibilities of Umalusi

Umalusi should–

- (a) appoint and train external moderators;
- (b) develop criteria and procedures for the verification of marking;
- (c) deploy external moderators to the marking venues to conduct on-site verification of marking;
- (d) develop a schedule for the submission of samples of marked answer scripts to a selected venue or Umalusi offices for centralised verification of marking;
- (e) make logistical arrangements for centralised and on-site verification of marking;
- (f) authorise changes to the marking guidelines before implementation, through its external moderators;
- (g) ensure that external moderators verify a minimum of scripts as prescribed/according to norm time per eight (8) hour day;
- (h) ensure that external moderators submit detailed reports on the quality of marking;
- (i) ensure that the consolidated reports are explicitly written and provide assessment bodies with clear guidelines on areas of non-compliance; and
- (j) provide the assessment bodies with feedback within stipulated timeframes.

37. Criteria

(1) Criteria for the verification of marking

Marking is verified based on the following criteria–

- (a) training of marking officials;
- (b) adherence to marking guidelines and tolerance range;
- (c) quality and standard of marking;
- (d) quality of internal moderation; and
- (e) management of irregularities.

38. Reporting

- (1) The assessment body should submit relevant reports, for example consolidated chief marker or internal moderator reports, in the prescribed formats and templates and within the stipulated timeframes, to Umalusi.

- (2) Umalusi will–
 - (a) provide assessment bodies with templates for reporting; and
 - (b) present the reports received from assessment bodies and external moderators to the ASC at the pre-standardisation meeting, and EXCO at the meeting for the approval of the release of results for each examination cycle. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, or the Minister of Higher Education, Science and Innovation or the CEO of the accredited private assessment bodies. The reports will provide the assessment body with clear guidelines on areas of compliance, non-compliance and directives for compliance and improvement.

CHAPTER 11

MONITORING THE MANAGEMENT AND REPORTING OF IRREGULARITIES

39. Rationale

- (1) As stipulated in section 17A(5)(i) of the GENFETQA Act the Council should, 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 jeopardise the integrity of the assessment or its outcomes.
- (2) Umalusi monitors the management of irregularities to ensure compliance with the policies and regulations on the conduct, administration and management of qualifications registered on the GFETQSF.

40. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

To ensure irregularity-free assessment and examinations, the assessment bodies should–

- (a) ensure that they comply with the national policies and regulations when dealing with irregularities;
- (b) submit daily irregularity reports according to the specified format to Umalusi during the writing phase of the examination;

- (c) ensure that they have systematic procedures and appropriate structures in place to effectively investigate and resolve all irregularities;
- (d) report the following irregularities to Umalusi within twenty-four (24) hours–
 - (i) delays in examination seating times in excess of one hour;
 - (ii) leaked question papers;
 - (iii) unauthorised access to question papers;
 - (iv) assistance given to candidates by officials or other individuals;
 - (v) impersonation;
 - (vi) loss of question paper/s;
 - (vii) opening an incorrect batch of question papers;
 - (viii) administration of an incorrect question paper;
 - (ix) power failure during writing of subjects that require the use of electricity;
 - (x) unrest that may threaten the lives of candidates;
and
 - (xi) natural disasters and unforeseen incidents;
- (e) report all systemic irregularities and group-copying to Umalusi immediately when these are detected;
- (f) submit all action plans with regard to the conduct of investigations/hearings for systemic irregularities and group-copying to Umalusi seven (7) days prior to the process;

- (g) investigate all irregularities and provide Umalusi with a detailed report on the investigation and the corrective measures taken;
- (h) ensure that the marks of candidates implicated in irregularities are excluded from the standardisation datasets submitted to Umalusi;
- (i) present Umalusi with a composite report on all the irregularities and how these were resolved prior to the meeting for the approval for the release of results. The report should also indicate the status of irregularities still to be resolved;
- (j) put measures in place to ensure that candidates who have been barred from writing the examination are not registered for any subsequent examinations until their suspension is served fully; and
- (k) submit examination irregularity committee reports on all outstanding irregularities that were resolved after the meeting of approval of release of results, to the CEO of Umalusi for consideration.

(2) Roles and responsibilities of Umalusi

- (a) In dealing with the management of irregularities, Umalusi should–
 - (i) ensure that daily occurrence/incident reports are submitted by assessment bodies;
 - (ii) instruct monitors and external moderators to report any irregularities to the chief invigilators, marking centre managers and Umalusi;

- (iii) monitor that sanctions are applied consistently across assessment bodies;
 - (iv) report any irregularity which may jeopardise the integrity of an assessment and/or its outcome to the Director-General or the CEO of accredited private assessment bodies;
 - (v) recommend to the Director-General or CEO of accredited private assessment bodies that an investigation be carried out where there is suspicion about the credibility of the results/examination process; and
 - (vi) approve the release of results if satisfied that the outcome as detailed in the irregularity report may not compromise/jeopardise the credibility and integrity of examinations.
- (b) Umalusi may conduct its own independent verification of assessment bodies' reports and relevant evidence prior to the approval of the clearance of irregular results.

41. Criteria

- (1) The criteria for the management of irregularities is stipulated in the policies and regulations for the conduct, administration and management of examinations that govern different qualifications registered on the GFETQSF, and include the following phases–
 - (a) The design phase

- (i) registration of candidates, including applications for concessions and subject changes;
 - (ii) appointment of examiners, internal moderators, markers, senior makers, deputy chief markers; chief markers and marking centre personnel;
 - (iii) setting, moderation, typing, editing, adaptation, proof reading, translating and approval of question papers;
 - (iv) transportation of finally approved question papers from the assessment body to provincial education departments or storage sites or printers;
 - (v) printing, packaging and distribution of question papers and examination materials;
 - (vi) establishment of marking centres;
 - (vii) training of appointed marking personnel; and
 - (viii) appointment and training of staff responsible for invigilation and monitoring.
- (b) ICASS/ Site-/school-based assessment
- (i) setting and moderation of tasks;
 - (ii) marking and moderation of tasks; and
 - (iii) capturing and conversion of marks.
- (c) The writing phase
- (i) safekeeping of question papers and examination materials at storage points;
 - (ii) distribution of question papers and answer scripts to examination centres;
 - (iii) admission of candidates into the examination venue;

- (iv) Seating of candidates according to the seating plans;
 - (v) Completion of attendance registers and script control forms;
 - (vi) issuing of question papers and answer books to candidates; and
 - (vii) invigilation, collection, packaging and return of examination answer scripts.
- (d) The marking phase
- (i) transfer and delivery of answer scripts to the marking centres;
 - (ii) training of marking personnel and examination assistants;
 - (iii) marking and moderation of marking; and
 - (iv) the transfer of marks from answer scripts to approved capturing systems.

42. Reporting

- (1) Assessment bodies should–
 - (a) submit daily occurrence/incident reports to Umalusi during the administration of the writing of the examinations;
 - (b) submit a consolidated report on the management and resolution of irregularities and a list of pending cases and the examination numbers of the candidates whose results should be blocked or nullified and present the report at the approval meeting.

- (c) ensure that marks of candidates implicated in irregularities are excluded from the standardisation datasets submitted to Umalusi; and
 - (d) submit examination irregularity committee reports on all outstanding irregularities that were resolved after the meeting of approval of the release of results.
- (2) Umalusi will–
- (a) provide the assessment bodies with the reporting template;
 - (b) submit irregularity reports from assessment bodies to EXCO; and
 - (c) communicate EXCO decisions to assessment bodies on irregularities that were resolved after the standardisation and approval meetings.

CHAPTER 12

MANAGEMENT OF CONCESSIONS

43. Rationale

- (1) Umalusi should ensure credibility of the assessment components of both internal assessment and external examinations leading to qualifications registered on the GFETQSF.
- (2) Assessment concessions are implemented to ensure that candidates are not unfairly disadvantaged due to administrative errors and omissions.

44. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies

The assessment body should–

- (a) ensure that all assessments are conducted in a fair and credible manner and in accordance with the relevant policies and regulations;
- (b) submit the applications for concessions for marking, i.e. requests for mark totals to be reduced, before the commencement of marking of the subject and include the following supporting documents:
 - (i) approved question paper and proposed amended marking guidelines; and
 - (ii) signed letter with detailed concession request, including motivation for request.

- (c) submit the applications for all other concessions to Umalusi within thirty (30) days after the release of the candidates' results;
- (d) submit any application for an missing/lost script concession to the CEO of Umalusi for approval, in the form of a letter and, , submit the following supporting documents as proof that the affected candidate has written the subject or paper referred to in the application–
 - (i) attendance register, signed by the affected candidate;
 - (ii) the incident report by the chief invigilator or invigilator and marking centre manager; and
 - (iii) any other document that may be deemed necessary for the missing/lost script concession.
- (e) submit any application for an incorrect question paper concession to the CEO of Umalusi for approval, in the form of a letter and submit the following supporting documents as proof that the affected candidate has written the subject or paper referred to in the application–
 - (i) attendance register, signed by the affected candidate;
 - (ii) the incident report by the chief invigilator or invigilator and marking centre manager;
 - (iii) declaration statement by the affected candidate;
 - (iv) proof of the candidate's examination registration form/admission letter/timetable, where an incorrect question paper has been issued; and

- (v) any other document that may be deemed necessary for the incorrect question paper concession.
- (f) The concessions may only be applied by the assessment body, once the assessment body has obtained written authority from Umalusi.

45. Criteria

- (1) Learners absent from one component of assessment–
 - (a) a candidate should satisfy all requirements relating to the external examination and internal assessment, including practical assessment prescribed for the qualification, to be issued with the certificate.
 - (b) In the case of–
 - (i) a candidate, who is unable to write the examination due to illness, trauma or unforeseen circumstances (which include death of immediate family member, appearing in a court hearing, natural disasters and unrest), should apply to the assessment body concerned to write a subsequent examination.
 - (ii) In exceptional cases a candidate may be exempted from the examination if, due to serious illness, the candidate is unable to write the current examination and subsequent examination, in not more than one paper in that subject. In such cases, a detailed medical report from the specialist physician, spanning

the period of incapacitation, must be submitted to the assessment body. The assessment body will study the report and submit a recommendation to Umalusi for exemption, if the case warrants exemption.

(iii) In the case of *sub-paragraph (ii)*, where a candidate is exempted from the examination, the missing mark formula will be applied to calculate the mark of the candidate in not more than one paper in that subject.

(c) Candidates who fail to present themselves for any of the internal assessment components, or candidates who are not granted exemption from part of the internal assessment, will not have their results processed. These results will be regarded as “incomplete” and candidates should complete the outstanding assessment tasks or present themselves for the entire assessment process.

(d) The procedures outlined in *sub-paragraphs (b) and (c)* are applicable to Life Orientation (LO) Common Assessment Task (CAT), as CAT is treated as a component of SBA.

(2) Administrative errors and omissions–

Assessment bodies are required to submit applications for concessions in cases where administrative errors and omissions may unfairly disadvantage learners. The missing mark principle may be applied in the following instances–

(a) the script of a candidate is lost;

- (b) a candidate wrote one of the language papers at a level (FAL, HL, SAL) that is different from the one that he/she is registered for; and
 - (c) a candidate was issued with an incorrect question paper.
- (3) Assessment bodies may submit applications for a concession to mark a question paper out of a total less than planned for in the following cases–
- (a) unclear instructions to the candidates or omissions made it impossible to answer the question;
 - (b) unclear graphics; and
 - (c) content not included in the intended curriculum.

46. Reporting

- (1) Assessment bodies are required to submit concession requests in the prescribed format and within the prescribed timeframes.
- (2) Umalusi will evaluate the concession request, perform the relevant calculations (where applicable) and communicate the outcomes to the assessment body.

CHAPTER 13

STANDARDISATION, STATISTICAL MODERATION AND RESULTING

47. Rationale

- (1) In terms of *Section 17* of the *GENFETQA Act*, Umalusi may adjust raw marks during the standardisation process and assessment bodies may make recommendations to the Council for adjustments during the standardisation process.
- (2) The main purpose of standardisation of results is to–
 - (a) ensure that candidates are not advantaged or disadvantaged by factors other than their knowledge of the subject; abilities and aptitude; and
 - (b) achieve comparability and consistency of results from one examination cycle to the next.

48. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies
 - (a) General responsibilities of the assessment bodies–
 - (i) develop and submit the management plans and capturing plans per qualification per examination cycle to Umalusi before the end of the first month of each calendar year;
 - (ii) seek approval from Umalusi for any new subject changes eighteen (18) months before implementation;

- (iii) submit subject structures for approval to Umalusi before implementation at Grade 10 level (NSC) and Level 2 (NC(V));
- (iv) submit registration data per qualification within timeframes as prescribed by Umalusi;
- (v) develop a computer system for capturing, standardisation, statistical moderation and resulting processes as stipulated by Umalusi;
- (vi) attend standardisation meetings for their qualifications as per Umalusi invitation;
- (vii) present proposed standardisation decisions for their qualifications for approval by ASC during standardisation meetings;
- (viii) perform all necessary calculations on the standardisation, statistical moderation and resulting processes as stipulated by Umalusi;
- (ix) submit data for verification and approval to Umalusi for all standardisation, statistical moderation and resulting processes in the format stipulated by Umalusi;
- (x) proceed to the next standardisation, statistical moderation and resulting process after the approval of the previous process by Umalusi;
- (xi) submit all datasets and documents for approval and presentation within the timeframes stipulated by Umalusi;
- (xii) submit datasets for all processes for approval in the order specified by Umalusi; and
- (xiii) meet the capture rate for standardisation and statistical moderation as specified by Umalusi;

- (xiv) submit information/datasets to Umalusi as stipulated by Umalusi per qualification.
- (b) Responsibilities pertaining to the standardisation process–
- (i) submit registration data per qualification within timeframes stipulated by Umalusi;
 - (ii) submit subject structures per examination cycle before the standardisation processes for verification;
 - (iii) develop the historical averages per qualification as per Umalusi guidelines/directives within the timeframes set by Umalusi;
 - (iv) monitor capturing;
 - (v) capture marks as per regulated policy;
 - (vi) ensure all irregular candidates are excluded from standardisation data;
 - (vii) ensure the capture rate per subject meets the Umalusi-stipulated capture rate before the development of standardisation data;
 - (viii) develop and submit all standardisation datasets and electronic booklets in the format and within timeframes stipulated by Umalusi before the standardisation meeting;
 - (ix) develop standardisation booklets as stipulated by Umalusi; and
 - (x) submit the stipulated number of standardisation booklets to Umalusi within the timeframes stipulated by Umalusi.

- (c) Responsibilities pertaining to standardisation procedures–
 - (i) submit both qualitative and quantitative input as per Umalusi requirements.

- (d) Responsibilities pertaining to the approval of adjustments–
 - (i) capture approved/signed standardisation decisions on the computer system;
 - (ii) submit a dataset with approved adjustment to Umalusi for verification and approval within twenty-four (24) hours after the standardisation meeting; and
 - (iii) only proceed to statistical moderation after the approval of the adjustments by Umalusi.

- (e) Responsibilities pertaining to statistical moderation of SBA/ICASS–
 - (i) submit statistical moderation datasets after approval by Umalusi of capturing of adjustments; and
 - (ii) process statistical moderation datasets and submit for verification and approval within the periods stipulated by Umalusi.

- (f) Responsibilities pertaining to language compensation–
 - (i) apply language compensation to the content subjects of all candidates who take a home language other than English Home Language and Afrikaans Home Language; and

- (ii) apply language compensation during statistical moderation on subject level.

- (g) Responsibilities pertaining to resulting of candidates–
 - (i) using the maximum raw mark stipulated by Umalusi, do all calculations up to and including the pre-promotion mark;
 - (ii) calculate the candidates' results according to the admission and promotion requirements set out in the relevant policy documents;
 - (iii) submit the statistical moderation and candidate record to Umalusi;
 - (iv) result all the candidates who fail to present themselves for SBA/ICASS as “incomplete” or outstanding; and
 - (v) result all candidates whose final marks could not be calculated due to low capture rates during standardisation or statistical moderation as outstanding.

- (h) Responsibilities pertaining to approval of results–
 - (i) submit reports stipulated by Umalusi before an approval meeting;
 - (ii) attend the approval meeting; and
 - (iii) make presentations as stipulated by Umalusi during approval meeting.

- (i) Responsibilities pertaining to the re-marks of examination scripts–
 - (i) in the case of re-marks of examination scripts, readjust the SBA/ICASS marks in the light of

possible changes in the examination marks, except where there is only one (1) candidate at the centre offering the subject; and

- (ii) ensure that all outstanding and absent candidates' marks are submitted and approved by Umalusi during mop-up before submitting re-marks.

(j) Responsibilities pertaining to mop-up data–

- (i) submit all mop-up data to Umalusi before submission of certification datasets. This data includes–

- (aa) all candidates with incomplete results during the standardisation, statistical moderation and resulting process;

- (bb) all candidates who were not resulted during the main examination for reasons other than the above-mentioned; and

- (cc) late registrations;

- (ii) submit only the records of the affected candidates in the format stipulated by Umalusi; and

- (iii) submit the first mop-up dataset before submission of re-marks/rechecks or supplementary examination datasets.

(2) Roles and responsibilities of Umalusi

(a) General roles and responsibilities–

- (i) develop the timeframes for the standardisation meetings, monitoring of capturing and submission

- of data and submit these to assessment bodies;
and
 - (ii) verify, provide feedback and approval for all
standardisation, statistical moderation and
resulting processes.
- (b) Responsibilities pertaining to standardisation process–
- (i) submission of registration data–
 - (aa) verify that all registered candidates' data
are submitted; and
 - (bb) use registration data for verification
process of all the data submitted for
standardisation, statistical moderation
and resulting processes.
 - (ii) Subject structures–
 - (aa) verify that subject information is in
accordance with policy and subject
guidelines; and
 - (bb) assessment bodies' systems are aligned
with the Umalusi's system before the
commencement of standardisation
processes.
 - (iii) Development of the historical average–
 - (aa) verify the calculation and data used in
the development of the historical
average per qualification per assessment
body; and
 - (bb) identify outliers, develop a new historical
average, and submit to the assessment
body.

- (iv) Monitoring of capturing–
 - (aa) verify whether the assessment bodies comply with policy on the capturing of examination marks.

- (v) Verification of standardisation data–
 - (aa) verify and approve the standardisation data before the development of electronic booklets.

- (vi) Standardisation booklets–
 - (aa) verify and approve the electronic booklets before printing; and
 - (bb) verify and approve standardisation booklets before the standardisation meeting.

- (c) Responsibilities pertaining to standardisation meeting procedures–
 - (i) appoint the ASC;
 - (ii) develop the schedule for standardisation meetings;
 - (iii) invite assessment bodies for the standardisation meeting;
 - (iv) may invite professional bodies and officials from other examination councils as observers;
 - (v) host the standardisation meetings;
 - (vi) evaluate recommendations by assessment bodies and provide decisions;
 - (vii) record standardisation decisions; and

- (viii) conduct the standardisation meetings according to the internal directives developed by Umalusi.
- (d) Responsibilities pertaining to the approval of adjustments–
 - (i) verify and approve the correct capturing of standardisation decisions.
- (e) Responsibilities pertaining to statistical moderation of SBA/ICASS–
 - (i) verify the candidates' data, statistical moderation record and approve.
- (f) Responsibilities pertaining to language compensation–
 - (i) determine the language compensation percentage to content subjects for all candidates who take an African Language as a home language and not English or Afrikaans; and
 - (ii) verify and approve the implementation of the language compensation.
- (g) Responsibilities pertaining to resulting of candidates–
 - (i) determine the maximum mark of the raw mark for all calculations up to and including the pre-promotion mark;
 - (ii) verify and approve that candidates' results are calculated according to the admission and promotion requirements set out in the relevant policy documents;

- (iii) verify and approve that all candidates who fail to present themselves for SBA/ICASS have been resulted as “incomplete” or outstanding; and
 - (iv) verify that candidates from centres with a low capture rate during both standardisation and statistical moderation are resulted as outstanding.
- (h) Responsibilities pertaining to approval of results–
Umalusi will only approve the results if the following conditions are met–
- (i) question papers and marking guidelines are of the required standard;
 - (ii) writing of the examination has been conducted as per policy/regulations and was free from any irregularity which would jeopardise the credibility of the assessment;
 - (iii) the results have been standardised and resulted as per the requirements of Umalusi;
 - (iv) resulting has been accurate and correct and in terms of policies and procedures pertaining to the assessment and qualification; and
 - (v) the assessment body has provided Umalusi with a report and evidence that all irregularities have been dealt with appropriately.
- (i) Responsibilities pertaining to the re-marks of examination scripts–
- (i) verify that the SBA/ICASS marks are not re-adjusted in the light of possible changes in the examination marks in the case of re-marks of examination scripts, except where there is only

- one (1) candidate at the centre offering the subject; and
 - (ii) verify that all outstanding marks are submitted and approved during mop-up and before processing re-marks.

- (j) Responsibilities pertaining to mop-up data–
 - (i) verify that all assessment bodies submitted mop-up data before processing certification datasets;
 - (ii) verify that all assessment bodies submitted mop-up data which includes–
 - (aa) all candidates declared not complete during the standardisation process, statistical moderation and resulting process;
 - (bb) all candidates who were not resulted during the main examination; and
 - (cc) late registrations;
 - (iii) verify that in all instances only the affected candidates' marks are submitted to Umalusi;
 - (iv) stipulate the standardisation and resulting of non-standardised subjects as a separate procedure;
 - (v) prepare a management plan for submission of mop-up datasets;
 - (vi) determine the format of datasets to be submitted by assessment bodies; and
 - (vii) verify, approve and provide feedback on mop-up datasets in the format stipulated by Umalusi.

49. Criteria

- (1) The following general principles are applied in the standardisation of examination marks–
 - (a) in general, no adjustment should exceed 10% of the historical average (norm);
 - (b) in the case of the individual candidate the adjustment effected should not exceed 50% of the mark obtained by the candidate;
 - (c) if the distribution of the raw marks is below the historical average, the marks may be adjusted upwards, subject to the limitations in *sub-paragraphs (a) and (b)*;
 - (d) if the distribution of the raw marks is above the historical average, the marks may be adjusted downwards, subject to the limitations in *sub-paragraphs (a) to (c)*;
 - (e) in all the above cases in *sub-paragraphs (a) to (d)*, the result of the adjustments may not exceed the maximum mark or less than zero of a subject or subject component;
 - (f) the computer-adjusted mark is calculated based on the above principles; and
 - (g) Umalusi retains the right to amend these principles where and when deemed necessary, based on sound educational principles.

50. Reporting

- (1) Umalusi will–

- (a) submit signed standardisation decisions to assessment bodies after standardisation; and
- (b) present a report on the standardisation, statistical moderation and resulting to EXCO at the meeting for the approval of the release of results for each examination cycle. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, or the Minister of Higher Education, Science and Innovation, or the CEO of the private assessment bodies accredited by Umalusi. These reports will provide the assessment body with clear guidelines on areas of compliance and non-compliance, and directives for compliance and improvement.

CHAPTER 14

APPROVAL OF THE RELEASE OF RESULTS

51. Rationale

As stipulated in *Section 17A(5)* of the *GENFETQA Act*, the Council should, 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.

52. Roles and Responsibilities

(1) Roles and responsibilities of assessment bodies

The assessment body should–

- (a) ensure adherence to the national policies and regulations for the conduct, administration and management of examinations;
- (b) ensure adherence to the *Policy for the Quality Assurance of Assessment of Qualifications registered on the General and Further Education and Training Qualifications Sub-framework*;
- (c) prepare and present a consolidated report on the cohort profile; size, scope and approach of the examination; conduct, administration and management of examinations; irregularities and sanctions applied before the approval of the release of results meeting; and
- (d) be represented by the DG or CEO of accredited private assessment bodies at approval meetings.

(2) Roles and responsibilities of Umalusi

Umalusi should–

- (a) draft the approval meeting schedules annually;
- (b) coordinate the approval meetings and send invitation letters to assessment bodies prior to the approval meeting;
- (c) conduct quality assurance of assessment of examinations of qualifications registered on the GFETQSF;
- (d) compile a consolidated report on all the quality assurance processes conducted;
- (e) submit the quality assurance of assessment composite report to EXCO and assessment bodies prior to the approval meeting;
- (f) present the Quality Assurance of Assessment Report to EXCO at the approval meeting; and
- (g) issue the letter for the approval of the release of results to the DG or head of assessment body.

53. Criteria

- (1) The Council will approve the release of results if it is satisfied that the assessment body or education institution has–
 - (a) conducted the assessment free from any irregularity that may jeopardise the integrity of the assessment or its outcomes;
 - (b) complied with the requirements prescribed by the Council for conducting assessments;

- (c) applied the standards prescribed by the Council with which a learner is required to comply in order to obtain a certificate; and
- (d) complied with every other condition determined by the Council.

54. Reporting

- (1) Assessment bodies are required to–
 - (a) submit and present the composite irregularity reports, with recommendations from the NEIC/ Irregularity Committee, in a format and template determined by Umalusi;
 - (b) submit composite reports on the moderation of internal assessment, monitoring of the conduct, administration and management of examinations and marking process in a format and template determined by Umalusi;
 - (c) conduct an investigation to determine the extent of serious irregularities and resubmit their reports to Umalusi for evaluation and the approval of the release of outstanding results.

- (2) Umalusi will–
 - (a) issue a letter for approval to release the results within twenty-four (24) hours of the approval to the Director-General or head of assessment body;
 - (b) pronounce the release of the results at a media briefing; and

- (c) submit a consolidated report on all the quality assurance of assessment processes as confirmation that EXCO was satisfied that the assessment body has complied with the requirements prescribed by Council for conducting assessment.

CHAPTER 15

SANCTIONS AND REVIEW

55. Rationale

- (1) The Council may, in accordance with *section 21* of the GENFETQA Act–
 - (a) refuse to issue a certificate if a substantial irregularity has occurred in relation to an external assessment; and
 - (b) may cancel a certificate that has been issued to a learner if, on investigation, the Council found that the learner has not met the requirements for the qualification.

- (2) Assessment bodies may submit their request for a review of quality assurance findings within 10 days of receipt of the draft quality assurance of assessment report. Umalusi's Council, however, reserves the right to approve or not approve the assessment bodies' request/s, based on Umalusi's policies for quality assurance. These reviews are applicable to the following quality assurance of assessment processes–
 - (a) moderation of question papers;
 - (b) moderation of internal assessment;
 - (c) moderation of practical assessment;
 - (d) monitoring of the state of readiness to conduct, administer and manage examinations;
 - (e) monitoring of the selection and appointment of marking personnel;

- (f) monitoring the writing of examinations;
 - (g) marking guideline discussions
 - (h) monitoring the marking of examinations;
 - (i) verification of marking; and
 - (j) monitoring of the management and reporting of irregularities.
- (3) The purpose of the reviews is to provide the assessment body with an opportunity to request Umalusi to review its quality assurance findings.

56. Sanctions relating to non-compliance with regulations

The following are sanctions applicable to assessment bodies, education institutions or individuals, as stipulated in *section 21* of the *GENFETQA Act*–

- (1) Umalusi may decide to withhold the results of the public or accredited private assessment body, institution and/or candidates, if it is proved beyond reasonable doubt that–
- (a) assessment was not conducted in accordance with regulations and policy;
 - (b) the credibility of any assessment is in jeopardy; and
 - (c) assessment outcomes are not valid, reliable and credible.
- (2) The results of candidates who are found to be guilty of acts of dishonesty, behavioural offences, systemic and group-copying irregularities should be nullified and such candidates should be sanctioned according to the regulations pertaining to the qualification.

- (3) Umalusi may not issue certificates of the implicated assessment body/institution/candidates if–
 - (a) the institution administered examination/s in subjects/ programmes they are not accredited for;
 - (b) candidate/s wrote examinations at unaccredited education institutions;
 - (c) irregular results are released without Umalusi approval;
 - (d) results are released before/without EXCO approval;
 - and
 - (e) the assessment body applies assessment concessions without the approval of Umalusi.

- (4) Umalusi may cancel the certificate that has been issued to a learner if, after an investigation, the Council found that the learner had not met the requirements for the qualification and/or there was an irregularity.

57. Review of quality assurance decisions and sanctions

- (1) Moderation of question papers
 - (a) If there are disagreements between the assessment body and the external moderator on the approval of question paper/s or conduct of the external moderator, the Senior Manager: Quality Assurance of Assessment (Umalusi) should be informed and must intervene.
 - (b) If the matter remains unresolved and the parties concerned cannot reach agreement, this should be communicated to the CEO of Umalusi to facilitate an agreement. The CEO should then take a final decision to settle the matter.

(2) Sanctions

If an assessment body wishes to apply for a review against any sanction imposed on it, it may do so in writing to the CEO of Umalusi within thirty (30) days of the decision being communicated to the assessment body.

(3) Umalusi will provide feedback to the assessment body on the proceedings of the review process.

(4) The final decision rests with the CEO of Umalusi to settle the matter.

58. Review of Policies and Regulations

- (1) Should major changes in the curriculum or other legislative framework occur, Umalusi will review this policy to align it with legislation.

- (2) This policy may also be reviewed in order to embrace new developments, including the outcomes of Umalusi research to improve and to enhance the quality assurance processes.

CHAPTER 16

TRANSITIONAL ARRANGEMENTS AND COMMENCEMENT

59. Transitional arrangements

Until such time as the *“Policy for the Quality Assurance of Assessment of Qualifications Registered on the General and Further Education and Training Qualifications Sub-framework of the National Qualifications Framework”* is Gazetted, the said policy will be implemented as *“Policy for the Quality Assurance of Assessment of Qualifications Registered on the General and Further Education and Training Qualifications Sub-Framework”* as approved by Council in June 2016.

60. Short title

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