

GOVERNMENT NOTICE OF 2018

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

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

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

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

**BACKGROUND**

2. The 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 General and Further Education and Training Qualifications Sub-framework.
3. Umalusi must ensure compliance with this policy by both private and public assessment bodies regarding quality assurance of assessment.
4. The policy will be applicable to-

- (a) all schools, Technical and Vocational Education and Training Colleges, Community Education Centres and Private Colleges offering qualifications registered on the General and Further Education and Training Qualifications Sub-framework; and
- (b) Public and Private Assessment Bodies responsible for internal assessment and external examinations conducted at the institutions listed above.

#### **AVAILABILITY OF THE POLICY DOCUMENT**

5. The **Schedule** referred in paragraph 1 is available on Umalusi's website: [www.umalusi.org.za](http://www.umalusi.org.za)

#### **SUBMISSIONS**

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

#### **CLOSING DATE**

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

#### **ADDRESS FOR SUBMISSIONS**

9. Please send or deliver your submission to-

**The Chief Executive Officer**

**Umalusi**

**Attention: Ms Z Modimakwane**

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**PROFESSOR J VOLMINK**

**CHAIR OF THE UMALUSI COUNCIL**

**DATE: 28/02/2018**



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**

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## ABBREVIATIONS AND ACRONYMS

ABET	Adult Basic Education and Training
AET	Adult Education and Training
CAPS	Curriculum and Assessment Policy Statements
CAT	Common Assessment Task
CEO	Chief Executive Officer
CET	Continuing Education and Training
DBE	Department of Basic Education
DG	Director-General
DHET	Department of Higher Education and Training
EoR	Examination on Request
EXCO	Executive Committee of Umalusi Council
GENFETQA	General and Further Education and Training Quality Assurance
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
SBA	School Based Assessment/Site Based Assessment
SC(a)	Senior Certificate (amended)
TVET	Technical and Vocational Education and Training

## 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)*, 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 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;

**“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 assessment;

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

**“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;

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

**“college”** – means

- (a) a public college that is established or declared in terms of the CET Act as-
  - (i) a technical and vocational education and training college; or
  - (ii) community education and training college; or
- (b) a private college offering Adult Education and Training 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*;

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

**“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)*;

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

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

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

**“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 Minister of Higher Education and Training;

**“missing mark”** – means a situation where a candidate’s examination script is not marked and he/she not obtained any marks due to either writing a subject not registered for or writing an incorrect paper;

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

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

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

**“processes and procedures for the assessment of learner achievement”** – means the conduct, administration and management of internal assessment, end-of year examination, and the final National Senior Certificate examination as stipulated in the policy document, *National policy pertaining to the programme and promotion requirements of the National Curriculum Statement Grades R–12*, and the policy document, *National Protocol for Assessment Grades R-12*, Government Gazette No. 34600 of 12 September 2011;

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

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

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

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

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

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

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

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

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

## 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, vocational education and training and adult education and training;
- (2) Considering the afore-mentioned *sub-paragraph (1)* Umalusi as the Quality Council (QC) for General and Further Education and Training must 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) monitoring the marking of the examinations;
  - (g) marking guideline discussions;
  - (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.

## CHAPTER 2

### LEGISLATIVE CONTEXT

#### 4. Underpinning legislation

- (1) The policy is premised on the following acts-
  - (a) The *Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996)*;
  - (b) *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)* (hereafter referred to as the *NQF Act*);
  - (c) *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)* (hereafter referred to as the *GENFETQA Act*);
  - (d) *National Education Policy Act, 1996 (No. 27 of 1996)*;
  - (e) *South African Schools Act, 1996 (Act No. 84 of 1996)*; and
  - (f) *Continuing Education and Training Act, 2006 (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) 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.
  
- (2) 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.
  
- (3) Umalusi's mandate as stipulated in the NQF Act is limited to the qualifications and part-qualifications registered on the GFETQSF which includes the following-
  - (a) National Senior Certificate (NSC);
  - (b) Senior Certificate (amended) (SC(a));
  - (c) National Certificate (Vocational) (NC(V));
  - (d) NATED Report 190/191 PART 1: Engineering Studies (N1-N3) programmes;
  - (e) National Senior Certificate for Adults (NASCA);
  - (f) General Education and Training Certificate: Adult Basic Education and Training (GETC:ABET) Level 4;  
and
  - (g) General Education and Training Certificate for Adults (GETCA).
  
- (4) The qualifications registered on the GFETQSF, as contemplated in the afore-mentioned *sub-paragraph (3)*, has been designed to have three streams which are the-
  - (a) academic stream;
  - (b) vocational stream; and
  - (c) adult stream.

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

## 6. Supplementary documents

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

- (1) Regulations
  - (a) *Regulations Pertaining to the National Curriculum Statement Grades R-12, Government Gazette No. 36041 of 28 December 2012;*
  - (b) *Regulations Pertaining to the Conduct, Administration and Management of the National Senior Certificate Examinations, Government Gazette No. 31337 of 29 August 2008; and*
  - (c) *Regulations on the Assessment Process and Procedures for Adult Education and Training (AET) National Qualifications Framework (NQF) Level 1.*
- (2) Policies
  - (a) Curriculum and Assessment Policy Statements for each approved school subject as listed in the policy document *National policy pertaining to the programme and promotion requirements of the National Curriculum Statement Grades R – 12;*
  - (b) *National Policy pertaining to the Programme and promotion requirements of the National Curriculum Statement Grades R-12, Government Gazette No. 36042 of 28 December 2012;*

- (c) *National Policy Pertaining to the Conduct, Administration and Management of the National Senior Certificate examination, Government Notice No. 564 in Government Gazette No. 30048 of 6 July 2007;*
- (d) *National Protocol for Assessment Grades R-12, Government Gazette No. 34600 of 12 September 2012;*
- (e) *National Policy on Formal Further Education and Training College Programmes at levels 2-4 on the National Qualifications Framework (NQF), Government Gazette No. 33795 of 23 November 2010;*
- (f) *National Policy on the Conduct, Administration and Management of the Assessment of the National Certificate (Vocational), Government Gazette No. 30287 of 12 September 2007;*
- (g) *Reports 190/191 PART 1: Engineering Studies (N1-3) programmes, Department of Education (2001/08), listed as part of the GFETQSF in Government Gazette, No. 38029 of 29 September 2014;*
- (h) *Policy for the Quality Assurance of Private Colleges for Continuing Education and Training offering qualifications registered on the General and Further Education and Training Qualifications Sub-framework, and the Accreditation of Private Assessment Bodies;*
- (i) *Policy and Criteria for the Quality Assurance of Independent Schools and Private Assessment Bodies, Government Gazette No. 35830 of 3 July 2015;*
- (j) *National Policy on Continuing Education and Training Colleges, Government Gazette No. 38924 of 3 July 2015;*
- (k) *Policy for the Management of Qualifications on the General and Further Education and Training*

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

- (l) *General and Further Education and Training Qualifications Sub-framework*, promulgated in *Government Gazette No. 36006* of 14 December 2012, as amended in *Government Gazette No. 36803* of 30 August 2013, and published on 8 September 2014;
  - (m) *Policy and criteria for the Assessment of Qualifications on the GFETQSF.*
- (3) Guidelines
- (a) Standard Setting and Quality Assurance of the General and Further Education and Training Qualifications Sub-framework, Umalusi, 2014;
  - (b) Qualifications Framework for General and Further Education and Training;
  - (c) Internal Continuous Assessment (ICASS) Guidelines for Report 191 Programmes in TVET Colleges; and
  - (d) Internal Continuous Assessment Guidelines for the NC(V) Qualifications.
  - (e) Subject Assessment Guidelines/User Guides/Examination and Assessment Guidelines of public and accredited private assessment bodies.
  - (f) Examination Guidelines of public and accredited assessment bodies.

## CHAPTER 3

### MODERATION OF QUESTION PAPERS

#### 7. Rationale

- (1) Umalusi must ensure that the moderation processes conducted for each examination are fair, valid and reliable. To perform this function, Umalusi is required to ensure that the quality, or standards, of all the assessment practices associated.
- (2) Considering the above, public and accredited private assessment bodies must 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 shall be responsible for ensuring 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 to is submitted to Umalusi **30 days before** commencement of the cycle for the development of question papers;
- (d) all question papers are moderated and all internal moderator reports are submitted to Umalusi;

- (e) question papers and marking guidelines are approved by Umalusi **eighteen (18) months prior** to the commencement of the conduct of the examination;
- (f) there will always be three approved question papers and marking guidelines available in an effort to deal with the predictability of question papers;
- (g) question papers are conforming to the requirements of the National Curriculum Statements and the SAG and the examination guidelines;
- (h) the model to be used for question paper development, is determined and all security requirements are considered;
- (i) norms and standards for moderation of questions papers are submitted to Umalusi;
- (j) secure conducive facilities are available for moderation question papers;
- (k) all question papers developed are subjected to internal moderation according to Umalusi criteria;
- (l) 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;
- (m) competent personnel (language practitioners) to edit both the question papers and marking guidelines, are appointed;
- (n) print ready question papers are submitted to Umalusi for external moderation;
- (o) corrected question papers and marking guidelines for correction are submitted for subsequent external moderation to be signed off;

- (p) the originally 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) a system for the evaluation of examiners and internal moderators are developed and implemented;
- (r) ensuring that the rejected and conditionally approved question papers and marking guidelines are reviewed and resubmitted for subsequent moderations according to set timelines; and
- (s) submitting the reports to Umalusi and arrange for the signing off and bar-coding of the approved question papers.

(2) Roles and responsibilities of Umalusi

In the development of question papers, Umalusi shall be responsible for the following-

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

- (e) appointing external moderators who are experts in the various subjects in accordance with set criteria;
- (f) training of external moderators on the policy for the quality assurance of assessment; instruments and curriculum and assessment related matters;
- (g) moderating, approving and signing off of print ready question papers and marking guidelines;
- (h) ensuring that a performance management and development system is in place and implemented to evaluate performance of external moderators;
- (i) ensuring that the external moderation reports are explicitly written and provides the assessment body with clear directives for compliance; and
- (j) providing the assessment bodies with the external moderation feedback within stipulated timeframes.

## **9. Criteria**

- (1) Moderation of question papers  
All question papers 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) 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 the public and the accredited private assessment bodies shall be approved, subject to their compliance with the following criteria

(a) format and technical aspects;

(b) conformity with question paper; and

(c) accuracy and reliability of the marking guideline.

## 10. Reporting

(1) Umalusi will-

(a) provide feedback in the form of reports to the assessment bodies on the standard and quality of the question papers set and the conduct thereof;

(b) submit a final detailed report at the end of the moderation cycle within stipulated timeframes;

(c) ensure that the external moderation reports are explicitly written and provide the assessment body with clear guidelines on areas of non-compliance. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, Minister Higher Education and Training and the Executive Officers of the private assessment bodies; and

(d) ensure that a performance management and development system is in place and implemented to evaluate performance of external moderators.

After the external moderation process, the external moderator must 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 required.
- (b) *Conditionally approved:* the external moderator recommends that the assessment body make minor adjustments (rephrasing or restructuring of one or two questions) and re-submit 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 must then be resubmitted for subsequent moderations.

## 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 of 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 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 assessment tasks/common assessment tasks (CAT) (pre- and post-moderation, where applicable);
- (ii) monitoring the implementation of internal assessment;
- (iii) moderation of evidence of learner performance and educator files; and
- (iv) statistical moderation of internal assessment results.

## **12. Roles and responsibilities**

### **(1) Roles and responsibilities of assessment bodies**

Assessment bodies shall be responsible for ensuring 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 and Training;
- (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 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 system is effective and complies with all assessment policies and guidelines;
- (k) a sample of educator's assessment 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 educator's file are organised and submitted to Umalusi for the 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 must 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 shall be responsible for the following-

- (a) development of criteria, instruments and procedures for the external moderation of Common Assessment Tasks/Practical Assessment Tasks;
- (b) appointment of qualified and experienced external moderators;
- (c) conduct of 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) conduct external moderation of internal assessment on an annual basis for each qualification, per assessment body per examination cycle as follows-
  - (i) GETC – per examination cycle;
  - (ii) EoR – per quarter;
  - (iii) NSC – twice a year;
  - (iv) NC(V) – twice a year; and
  - (v) N1-N3 (Engineering Studies) – per trimester;
- (f) development of consolidated moderation reports to serve as feedback to the various assessment bodies to inform improvements;
- (g) conduct of statistical moderation and standardisation of the internal assessment results; and

- (h) development of a performance management system to evaluate performance of external moderators.

### 13. Criteria

#### (1) Criteria for the external moderation of CAT/PAT

- (a) The following criteria will be used for the external moderation of CAT/PAT and tasks in educator evidence files-
  - (i) technical criteria;
  - (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 educator 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 educator's portfolio of assessment; and

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

- (b) moderation of Educator Assessment file will be based on the criteria listed under Criteria for the external moderation of CAT/PAT and tasks in educator evidence files;
- (c) a complete educator file should be available at all times for moderation. The educator file must include-
  - (i) clear indication of content;
  - (ii) educator 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/SAGs;
  - (v) school assessment plan/programme of assessment;
  - (vi) assessment tasks and marking tools;
  - (vii) the resources required for each assessment task;
  - (viii) evidence of effective pre-moderation for each task;
  - (ix) evidence of effective post-moderation for each task including notes on improvement of tasks and marking tools;
  - (x) a record of learner progress including evidence of conversion and electronic capturing of marks;
  - (xi) evidence of diagnostic and statistical analysis;
  - (xii) evidence that repeaters/part time candidates' work is assessed and that

quality feedback is provided to the educator;  
and

(xiii) feedback reports are provided to the  
teacher.

(3) Evidence of learner performance

The evidence of learner performance submitted in fulfilment of the requirements for the internal assessment must 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**

(1) Umalusi will-

- (a) provide feedback in the form of reports to the assessment bodies on the standard and quality of the PAT/CAT set and the conduct thereof;
- (b) submit a final detailed report at the end of the moderation cycle within stipulated timeframes;
- (c) ensure that the external moderation reports are explicitly written and provide the assessment body with clear guidelines on areas of non-compliance.  
These reports will form part of the consolidated quality assurance of assessment reports that will be

submitted to the Minister of Basic Education, Minister of Higher Education and Training and the Executive Officers of the private assessment bodies; and

- (d) ensure that a performance management and development system is in place and implemented to evaluate performance of external moderators.

## CHAPTER 5

### MODERATION OF PRACTICAL ASSESSMENT

#### 15. Rationale

- (1) The aim of Practical Assessment Task (PAT) of the NSC qualification, and the Integrated Summative Assessment Task (ISAT) of the NC(V) qualification is to demonstrate the learner's practical application of theoretical knowledge through a custom-designed assessment task that simulates a workplace or real-life process and/or product.
- (2) The ISAT/PAT forms the practical component of examinations of all vocational/practical subjects of the NC(V)/NSC qualification. The requirements for assessment are set out for schools and for the Vocational Education and Training (VET) sector in relevant policies as contained in *Chapter 2*. This chapter must be read in conjunction with the relevant acts, regulations, policies and 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/SAGs of the specific subject and in line with the latest developments in industry or the workplace.
- (4) The ISAT and PAT must be fair, reliable and representative of an adequate amount of the practical work as outlined in the curriculum.
- (5) The ISAT and PAT must be representative of relevant conceptual domains and representative of relevant levels of cognitive challenge.

- (6) The ISAT and PAT must be conducted as per the specifications the tasks in suitably resourced centres under examination conditions.

## **16. Roles and responsibilities**

- (1) Responsibilities of assessment bodies

It is the responsibility of the assessment body to -

- (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 conduct of practical examinations, and the conduct of 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 who 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, with all the diagrams and sketches in place, and that they are submitted in suitably labelled folders on an electronic system developed for this purpose or on a DVD;
  - (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; that will 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 in order 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 are 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's responsibility is to-

- (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 suitable 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 must 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;
- (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 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) Umalusi will-
  - (a) provide feedback in the form of reports to the assessment bodies on the standard and quality of the PAT/SATs set and the conduct thereof;
  - (b) submit a final detailed report at the end of the moderation cycle within stipulated timeframes;
  - (c) ensure that the external moderation reports are explicitly written and provide the assessment body with clear guidelines on areas of non-compliance. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, Minister of Higher Education and Training and the Executive Officers of the private assessment bodies; and
  - (d) ensure that a performance management and development system is in place and implemented to evaluate performance of external moderators.
  
- (2) After the external moderation process, the external moderator must make one of the following recommendations in respect of each PAT or ISAT-
  - (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 required.
  - (b) *Conditionally approved*: the external moderator recommends that the assessment body make minor adjustments (rephrasing or restructuring of

one or two questions) and re-submit 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 must then be resubmitted for subsequent moderations.

## CHAPTER 6

### MONITORING THE STATE OF READINESS TO CONDUCT, ADMINISTER AND MANAGE EXAMINATIONS

#### 19. Rationale

- (1) The purpose of monitoring is to gauge the level of readiness to conduct examinations by the different assessment bodies.
- (2) To track on progress made on the previous examinations directives that were issued.
- (3) Ensure that assessment bodies submit desktop evaluation reports.
- (4) To report on short-comings after evaluation and verification was completed, but prior to the commencement of the examination cycle.

#### 20. Roles and responsibilities

- (1) Responsibilities of assessment bodies

Both the private and public assessment bodies must in accordance to 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 it is conducted in accordance with the regulations and policies applicable to assessment;
- (h) register independent schools/assessment centres 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) Responsibilities of Umalusi

Umalusi will perform the following functions-

- (a) schedule the dates for the conduct of the state of readiness at the beginning of the financial year and share them with the assessment bodies;
- (b) draft the State of Readiness programmes and submit them to the assessment body 14 days before the initial visit;
- (c) provide the self-evaluation instruments and/or reporting templates to assessment bodies for the state of readiness process a month before the scheduled verification visit;
- (d) analyse the information supplied on the self-evaluation form and the evidence provided by the assessment body for the state of readiness verification process;
- (e) prepare the state of readiness reports and provide feedback to assessment bodies with regard to the findings; and
- (f) submit the state of readiness reports to the Director-General of Basic Education, the Director-General of Higher Education and Training and to the CEOs of accredited private assessment bodies.

**21. Criteria**

(1) Criteria for monitoring the state of readiness to conduct examinations

The criteria for state of readiness to administer credible examinations is based on the following:

- (a) the availability of policies and regulations on assessment processes and procedures; and
- (b) the quality assurance of the following processes:
  - (i) the registration of candidates and examination/assessment centres/venues;
  - (ii) the appointment and training of examiners and internal moderators;
  - (iii) the facilities and infrastructure for printing and storage of question papers;
  - (iv) the safety and security systems for the storage of examination materials;
  - (v) the arrangements for the distribution of question papers;
  - (vi) the appointment and training of Chief Invigilators and Invigilators;
  - (vii) the preparation for the marking processes;
  - (viii) the appointment and training of marking personnel;
  - (ix) the planning for monitoring;
  - (x) the 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 must submit the self-evaluation instrument on the state of readiness and the timeframes by which the completed self-evaluation instrument must be submitted.
  
- (2) Umalusi will:
  - (a) provide the assessment body with the self-evaluation instrument on the state of readiness and the timeframes by which the completed self-evaluation instrument must be submitted.
  - (b) use the prescribed and appropriate reporting template for the verification audit when conducting the state of readiness process.
  - (c) will consolidate findings into one report which will be presented to the assessment body and Umalusi's Executive Committee of Council (EXCO) during the approval of results of such examinations. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, Minister of Higher Education and Training and the Executive Officers of the private assessment bodies;

## 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 guarantee valid and reliable results and maintain the credibility of the assessment and education system.
- (2) both public and accredited private 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) Responsibilities of assessment bodies

Assessment bodies must perform the following responsibilities-

- (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 (30) thirty days before the commencement of such examination;
- (i) appoint and train personnel to monitor the writing of examinations;
- (j) submit daily irregularities reports during the writing of examinations;
- (k) submit monitoring reports, including irregularities, for each of the examinations administered until the last subject is written;
- (l) submit improvement plans to Umalusi on the date specified by Umalusi; and
- (m) use appropriate reporting template to report on examination irregularities.

## (2) Responsibilities of Umalusi

Umalusi has the following responsibilities with regard to monitoring the conduct, administration and management of examinations of qualifications on its sub-framework-

- (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 must be used for daily irregularities reporting, during the writing of examinations;
- (d) verify reports received from assessment bodies on the conduct of writing examinations;
- (e) conduct monitoring visits to a sample of examination centres, nodal/distribution/delivery points/circuit/district offices during the writing sessions of examination cycles;
- (f) prepare reports on the conduct of the writing of examinations as administered by various assessment bodies in preparation for the approval of results process;
- (g) provide feedback to assessment bodies with regard to findings of monitoring the conduct of the writing phase of examinations; and
- (h) submit reports on the monitoring process to the Minister of Basic Education, Minister of Higher Education and Training and the CEOs of accredited private assessment bodies.

## **25. Criteria**

### (1) Criteria for monitoring the writing of examinations

Monitoring visits using a sample of examinations centres/nodal points/circuits or district offices will be conducted with the aim of verifying compliance with the regulations and policies pertaining to the conduct, administration and management of examinations for the qualifications registered on the GFETQSF.

- (a) The monitoring will be based on the on the following aspects relating to the conduct of writing phase of examinations-
  - (i) delivery mode and safety of examination material in transit to the examination centres/venues;

- (ii) safety conditions of the storage facilities of the examination material before and after the writing of examinations at the examination centres/venues;
- (iii) appointment and training of Chief Invigilators and Invigilators;
- (iv) availability and adherence to invigilation timetables;
- (v) time management before, during and immediately after the writing of examinations;
- (vi) general conditions of the examination rooms and the immediate environments;
- (vii) availability and adherence to seating arrangements/plans of candidates in the examination rooms;
- (viii) execution of duties by Chief Invigilators and Invigilators;
- (ix) recordkeeping maintenance of appropriate documentation for the administration of the writing phase of examinations;
- (x) collection of answer scripts from candidates;
- (xi) packaging, storage/transmission of answer scripts from the examination centre/venue to the nodal/distribution/delivery points / assessment bodies; and
- (xii) evidence of external monitoring by the assessment body.

## **26. Reporting**

(1) The assessment body must:

- (a) Report on their monitoring findings to Umalusi Executive Committee of Council (EXCO) at the approval of results of such examinations; and
- (b) submit its irregularities report to Umalusi seven 48 hours before the scheduled date of the approval of results of the examination cycle.

(2) Umalusi will:

- (a) provide assessment bodies with a template for daily reporting irregularities during the conduct of the writing of examinations.
- (b) consolidate the monitoring findings of each assessment body into one report which would then be presented by the assessment body to Umalusi Executive Committee of Council (EXCO) at the approval of results of such examinations. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, Minister of Higher Education and Training and the Executive Officers of the private assessment bodies;

## CHAPTER 8

### MONITORING THE MARKING OF EXAMINATIONS

#### 27. 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 and reliable manner, as well as to ensure that national standards are applied uniformly.

#### 28. Roles and responsibilities

##### (1) Responsibilities of assessment bodies

Assessment bodies must carry out the following responsibilities-

- (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) appoint and ensure that all marking personnel are trained per examination cycle;
- (f) identify suitable venues with appropriate infrastructure to be used as marking centres;

- (g) ensure that management plans for every examination are submitted to Umalusi sixty (60) days before the commencement of such examination;
- (h) establish appropriate structures to monitor the conduct of the marking of the examinations
- (i) monitor the marking of examinations;
- (j) submit consolidated marking reports on irregularities identified during the marking of examinations;
- (k) submit a consolidated monitoring report of each examination administered a week before the approval of results before approval meeting; and
- (l) use prescribed report formats to report on the marking of examinations and reporting of irregularities;

(2) Responsibilities of Umalusi

In verifying the integrity and credibility of the marking processes, Umalusi undertakes to monitor the marking centres per examination cycle with the aim of, monitoring the assessment bodies' compliance to examination policies and regulations of the Departments of Basic Education, Higher Education and Training, accredited private assessment bodies and Umalusi.

Umalusi has the following responsibilities with regard to the monitoring of the marking of examinations of qualifications on the GFETQSF -

- (a) verify the implementation of assessment bodies' management plans;
- (b) provide assessment bodies with instruments that must be used for daily reporting;
- (c) verify reports received from assessment bodies on the conduct of the marking of examinations;

- (d) conduct monitoring visits to a sample of marking centres for examination cycles as administered by various assessment bodies;
- (e) prepare reports on the conduct of the marking phase of examinations as administered by various assessment bodies in preparation for the approval of result process;
- (f) provide feedback to assessment bodies with regard to findings of monitoring the conduct of the marking phase of examinations; and
- (g) submit reports on monitoring processes to the Minister of Basic Education, Minister of Higher Education and Training and CEOs of accredited private assessment bodies accredited by Umalusi.

## **29. Criteria**

### **(1) Criteria for the monitoring of marking**

The monitoring of marking will be based on the following:

- (a) the availability and implementation of the marking centre management plan;
- (b) the delivery, storage and safe keeping of examination material;
- (c) the general condition of the marking centre and the immediate environment;
- (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; and

- (h) capturing of marks and quality assurance of the capturing of marks.

### **30. Reporting**

(1) The assessment body must:

- (a) submit their monitoring reports to Umalusi a week before the scheduled date of the approval of results of the examination monitored;
- (b) submit their consolidated chief marker and internal moderator reports a week before the scheduled date of the approval of results of the examination.

(2) Umalusi will:

- (a) consolidate findings at marking centres monitored into one report which would then be presented to the assessment body and the Umalusi Executive Committee of Council (EXCO) for the approval of results of such examinations.
- (b) provide assessment bodies with templates for reporting.

## CHAPTER 9

### MARKING GUIDELINE DISCUSSIONS

#### 31. Rationale

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

#### 32. Roles and responsibilities

- (1) Roles and responsibilities of assessment bodies

Assessment bodies shall be responsible to-include the following-

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

- (d) ensure that pre-marking/ dummy scripts are prepared for use in the training of chief markers and internal moderators;
- (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 internal moderator and the chief markers-
  - (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) attend the marking guideline discussion for the full duration of the meeting and subsequent training sessions. The senior marking personnel from the assessment body must chair/lead during marking guideline discussion meetings;
- (h) determine the norm time for the marking guideline discussions of different subjects. The duration of the marking guideline discussion meeting (norm time) will be determined by the duration of the question paper and the nature of the subject;
- (i) ensure that all preparation and marking guideline processes take place without compromising quality;
- (j) ensure that all the marking officials present actively and constructively engage in the discussions;
- (k) ensure that a tolerance range is set for each paper; and

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

Umalusi shall be responsible for the following-

- (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 assessment processes;
- (c) develop the deployment schedule for external moderators according to the schedules provided by the assessment bodies;
- (d) develop criteria and directives 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 finalised marking guideline;

### **33. 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.

#### **34. Reporting**

- (1) Umalusi will:
  - (a) ensure that external moderators sign off marking guidelines (where applicable);
  - (b) ensure that the consolidated reports are explicitly written and provide the assessment bodies with clear guidelines on areas of non-compliance;
  - (c) these reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, Minister of Higher Education and Training and the Executive Officers of the private assessment bodies; and
  - (d) must provide the assessment bodies with feedback within stipulated timeframes.

## CHAPTER 10

### VERIFICATION OF MARKING

#### 35. Rationale

- (1) The purpose of verification of marking is to-
  - (a) determine whether the approved marking guidelines were adhered to by assessment bodies and applied consistently across the subjects and marking centres;
  - (b) establish if changes were made to the marking guidelines at the marking centres and whether due process was followed;
  - (c) determine if mark allocation and calculations were 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 was conducted during marking; and
  - (f) confirm if marking was fair, reliable and valid.

#### 36. Roles and responsibilities

- (1) Roles and responsibilities of assessment bodies

Assessment bodies shall be responsible for ensuring that-

- (a) qualified marking personnel for each subject are appointed and trained. For this purpose, the assessment body is required to provide Umalusi with a schedule, prior to the commencement of marking clearly indicating the following-
  - (i) dates and venues for marking;

- (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);
  - (iii) centre, telephone number, fax number and e-mail address for sending feedback; and
  - (iv) name of the courier company that will be used for sending and collecting sample scripts for central verification of marking;
- (b) the marking personnel is appointed legally using relevant legislative frameworks; e.g. the Personnel Administrative Measures (PAM) document as minimum requirement;
- (c) additional criteria for appointment of marking personnel to ensure that all marking personnel with the best qualification, experience and competence are appointed;
- (d) examination assistants are appointed and trained;
- (e) marking plans are developed;
- (f) logistical arrangements for the marking process including the adequacy and security of the marking venues are made;
- (g) secure transportation of examination materials to and from the marking venues is arranged;
- (h) marking is accurate and consistent;
- (i) internal moderation of a sample of scripts across all the examination centres is conducted;
- (j) irregularities are identified and managed in line with policy prescriptions;

- (k) secure transportation of the candidate answer scripts in the subjects sampled for centralised verification of marking to Umalusi offices is arranged;
  - (l) candidates' answer scripts, mark sheets, question papers, marking guidelines and attendance registers are submitted according to Umalusi's timelines;
  - (m) unqualified and incompetent markers are not appointed;  
and
  - (n) the marking personnel including internal moderators and chief markers who did not attend the training for marking are not allowed to mark.
- (2) Roles and responsibilities of Umalusi

In the verification of the marking process, Umalusi shall be responsible for the following -

- (a) appointment and training of external moderators;
- (b) development of criteria and directives for the verification of marking;
- (c) deployment of external moderators to the marking venues to conduct on-site verification of marking;
- (d) development of a schedule for the submission of sample scripts for the delivery of candidate answer scripts to Umalusi offices for centralised verification of marking;
- (e) logistical arrangements for centralised and on-site verification of marking;
- (f) authorisation of changes to the marking guidelines before implementation through its external moderators;

- (g) ensuring that external moderators verify a minimum of twenty (20) scripts per eight-hour (8) day;
- (h) ensuring that external moderators submit detailed reports on the quality of marking;
- (i) ensuring that the consolidated reports are explicitly written and provide assessment bodies with clear guidelines on areas of non-compliance; and
- (j) providing 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 must submit a report to Umalusi, in the prescribed format and template within the stipulated timeframes.

(2) Umalusi must-

- (a) provide feedback in the form of reports to the assessment bodies on the standard and quality of the marking;
- (b) submit a final detailed report at the end of the examination cycle within stipulated timeframes;
- (c) ensure that the verification of marking reports are explicitly written and provide the assessment body with clear guidelines on areas of non-compliance. These reports will form part of the consolidated quality assurance of assessment reports that will be submitted to the Minister of Basic Education, Minister of Higher Education and Training and the Executive Officers of the private assessment bodies; and
- (d) ensure that a performance management and development system is in place and implemented to evaluate performance of external moderators.

## 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 must with the concurrence of the Director General and after consultation with the relevant assessment body or education institution approve the publication of the results of learners, if the Council is satisfied that the assessment body or education institution has conducted the assessment free from any irregularity that may jeopardize the integrity of the assessment or its outcomes.
- (2) Umalusi monitors the management of irregularities to ensure compliance with the policies on the conduct, administration and management of qualifications registered on the GFETQSF.

#### 40. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies
  - (a) To ensure irregularity-free assessment, assessment bodies must comply with the following requirements, stipulated in regulations and national policies on the conduct, administration and management of examinations of qualifications registered on the GFETQSF-
    - (i) guidelines for the appointment of examiners, internal moderators, chief invigilators, invigilators, chief markers and markers;

- (ii) training programme for examiners and internal moderators;
- (iii) training programme for chief invigilators and Invigilators;
- (iv) training programme for monitors;
- (v) training of marking personnel;
- (vi) structures that deal with irregularities at all levels indicated in the regulations; and
- (vii) the necessary precautions to prevent learners from accessing sources in computers that may assist them in answering questions.

Umalusi monitors may request copies of all of the documents, contemplated in *sub-paragraph (1)* during the monitoring process.

(b) Assessment bodies must-

- (i) assessment bodies must take adequate measures to combat irregularities at assessment and marking centres and must take adequate security measures to ensure the confidentiality and integrity of assessments.
- (ii) ensure that they comply with the national policies and regulations when dealing with irregularities;
- (iii) ensure that they have systematic procedures and appropriate structures in place to effectively investigate and resolve all irregularities;
- (iv) report all systemic irregularities and group copying to Umalusi immediately when these are detected;

- (v) investigate all irregularities and provide Umalusi with a detailed report on the investigation and the corrective measures taken;
- (vi) present Umalusi with a composite report on all the irregularities and how these were resolved prior to the approval process. The report must also indicate the status of irregularities still to be resolved;
- (vii) submit daily irregularity reports according to the specified format to Umalusi during the writing and marking phases of the examination;
- (viii) prior to the approval of results, submit a report to Umalusi on the conducting of writing and marking of examinations;
- (ix) ensure that they conduct the investigation of systemic irregularities and group copying, and finalise cases within a reasonable period;
- (x) 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;
- (xi) appoint additional personnel with a legal background to deal with systemic irregularities;
- (xii) 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;
- (xiii) report to Umalusi Council on cases of systemic irregularities that involve Invigilators and Chief Invigilators, departmental officials on the type of sanctions applied;

- (xiv) investigate and report all acts of dishonesty to Umalusi with recommendations for resolutions as prescribed in the national policies and regulations;
- (xv) resolve non-criminal cases of dishonesty with recommendations to Umalusi as to whether the results of the candidates should be blocked or released; and
- (xvi) lay criminal charges against the alleged guilty parties and follow due processes to ensure the closure of these cases.

## (2) Roles and responsibilities of Umalusi

- (a) In dealing with the management of irregularities Umalusi must-
  - (i) ensure that daily 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 through attending the PEIC/NEIC/private Assessment Bodies irregularity meetings;
  - (iv) report any irregularity which may jeopardise the integrity of an assessment or its outcome to the Director General and the Chief Executive Officers of private assessment bodies;
  - (v) recommend to the Director General (DBE/DHET)/CEO of 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 of the alleged irregularities once satisfied that investigation and hearings were carried out in a credible manner; and

- (b) Umalusi may conduct its own independent verification of assessment bodies' reports 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 of qualifications registered on the GFETQSF and includes the following phases:

- (a) The design phase
  - (i) registration of candidates;
  - (ii) appointment of examiners, internal moderators, markers, chief markers, deputy chief markers and senior markers;
  - (iii) setting, moderation, typing, editing, proof reading, translating and approval of question papers;
  - (iv) identification of question papers riddled with errors and highlight the content of translated versions differing from the original approved question paper;
  - (v) transportation of consignment of question papers from the assessment body to Provincial Education Departments /nodal points/ distribution points/ examination centres (private assessment bodies);

- (vi) printing, packaging and distribution of examination materials;
  - (vii) establishment of marking centres;
  - (viii) appointment and training of marking centre personnel; and
  - (ix) appointment and training of Invigilators.
- (b) The conduct of examinations
- (i) safe keeping of examination materials at examination centres;
  - (ii) admission of learners into the examination centre;
  - (iii) distribution of question papers and answer scripts;
  - (iv) invigilation, collection, packaging and return of examination scripts;
  - (v) training of markers and Examination Assistants;
  - (vi) marking and moderation of marking; and
  - (vii) the transfer of marks from answer scripts to mark sheets.
- (c) Irregularities occurring during the marking process relate to-
- (i) irregularities committed by an assessment official;
  - (ii) irregularities identified by markers on scripts; and
  - (iii) irregularities identified by chief markers, deputy chief markers, senior markers and external moderators during the verification of marking.
- (d) Irregularities involving assessment body officials include the following-

- (i) selection and appointment of markers;
  - (ii) transfer and delivery of scripts to the marking centres;
  - (iii) the administration of the marking process, which include recording, storage and issuing and security of scripts;
  - (iv) the actual marking process;
  - (v) the checking and totalling of marks on scripts;
  - (vi) the internal and external moderation of marks; and
  - (vii) transfer of marks to mark sheets.
- (e) irregularities identified by markers and external moderators include the following-
- (i) the answer script handed in differs from that issued by the invigilator which means that the answer script will differ from the rest in the same centre;
  - (ii) different handwritings in the answer script (however there are candidates who have varying handwritings);
  - (iii) crib notes discovered;
  - (iv) no crib notes but clear evidence of copying;
  - (v) evidence of possible assistance by an invigilator or any individual;
  - (vi) two examination answer scripts submitted by the candidate;
  - (vii) indication that the candidate has been allowed to be examined in terms of an open book examination; and
  - (viii) responses that arouse suspicion.

- (f) Irregularities identified by the Internal moderator/chief marker/deputy chief marker/ senior markers/external moderators include the following-
  - (i) inconsistency in marking;
  - (ii) inaccurate addition of marks; and
  - (iii) erroneous transfer of marks from scripts to mark sheets.
  
- (g) Irregularities identified during the standardisation, resulting and certification phases.

## **42. Reporting**

- (1) Private and public assessment bodies must:
  - (a) submit daily reports to Umalusi regarding irregularities detected during the administration of the writing and marking of the examinations.
  - (b) submit a consolidated report on how these irregularities were managed and resolved per category and provide details to Umalusi of pending cases, and examination numbers of candidates whose results should be blocked or nullified.
  - (c) submit all irregularity reports at least forty-eight (48) hours before the scheduled standardisation meeting, and present the report at a special/approval meeting for this purpose as scheduled by Umalusi.
  - (d) where results were withheld as due serious irregularities resubmit their irregularity reports to

- EXCO for the approval of the release of outstanding results.
- (e) submit NEIC reports on all outstanding irregularities that were resolved after the approval meeting to the CEO of Umalusi for consideration and approval by EXCO.
  - (f) report the following irregularities to Umalusi within twenty-four (24) hours-
    - (i) delays in examination seating times in excess of an hour;
    - (ii) access to leaked question papers;
    - (iii) assistance given to candidates by officials or other individuals;
    - (iv) non-candidates taking the examinations for unregistered candidates or impersonation;
    - (v) loss of question paper;
    - (vi) opening incorrect question papers;
    - (vii) administration of an incorrect question paper;
    - (viii) power failure during writing of subjects that require the use of electricity;
    - (ix) unrest that may threaten the lives of candidates; and
    - (x) Natural disaster, are events that directly and exclusively could not have been prevented by the exercise of foresight or caution, such as an earthquake, violent winds and floods, or extraordinary high tides.

- (2) Umalusi will:
- (a) provide the assessment bodies with the reporting template;
  - (b) submit reports to EXCO on investigation reports of assessment bodies; and
  - (c) communicate EXCO decisions on irregularities that were resolved after the standardisation and approval meetings to assessment bodies.

## CHAPTER 12

### MANAGEMENT OF CONCESSIONS

#### 43. Rationale

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

#### 44. Roles and Responsibilities

- (1) Roles and responsibilities of assessment bodies:

The assessment body:

- (a) must ensure that all assessments are conducted in a fair and credible manner and in accordance with the relevant policies and regulations.
- (b) must submit the applications for concessions for marking, i.e. requests for mark totals to be reduced before the commencement of marking of the subject.
- (c) must submit the applications for all other concessions thirty (30) days of the release of the candidates' results to Umalusi.
- (d) must submit the application for concession to the Chief Executive Officer of Umalusi for approval in the form of a letter and depending on the nature/type of the concession, 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;
  - (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;
  - (v) answer script or SBA/ICASS evidence for changes in marks;
  - (vi) the question paper and proposed amended marking guidelines of the subject where marking out of a reduced total is requested; and
  - (vii) any other document that may be deemed necessary for the type of concession.
- (e) may only capture the mark awarded as a concession, once the approved marks are received from Umalusi.

#### **45. Criteria**

(1) Learners absent from one component of assessment:

- (a) A candidate must satisfy all requirements relating to the external examination and site/school based assessment (SBA/ICASS), including practical assessment prescribed for the qualification, in order to be issued with the certificate.

- (b) In the case of-
- (i) a candidate, who is unable to write the November examination due to illness, trauma or unforeseen circumstances (which includes natural disasters and unrest), must apply to the assessment body concerned to write a supplementary examination. The conditions governing admission to a supplementary examination is outlined in the policies and regulations pertaining to the conduct, administration and management of the qualifications registered on the GFETQSF.
  
  - (ii) In exceptional cases, a candidate may be exempted from the examination, if due to serious illness, the candidate is unable to write the November examination and subsequent supplementary examination, in not more than one subject, or 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 subject, or one paper in that subject.

- (c) Candidates who fail to present themselves for any of the SBA/ICASS/PAT/ISAT components or candidates who are not granted exemption from part of the SBA/ICASS/PAT/ISAT will not have their results processed. These results will be regarded as “incomplete” and candidates must 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-

- (a) the script of a candidate is lost;
- (b) a candidate wrote one of the language papers at a level that is different from the one that he/she is registered for; and
- (c) a candidate 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 make 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 evaluation and calculations (where required) and communicate the outcomes to the assessment body.

## CHAPTER 13

### STANDARDISATION, STATISTICAL MODERATION AND RESULTING

#### 47. Rationale

- (1) In terms of *Sections 16 and 18* of the *GENFETQA Act*, Umalusi may adjust raw marks during the standardisation process and that assessment bodies may make recommendations for adjustments to the Council during the standardisation process.
- (2) The main purpose of standardisation of results is to-
  - (a) ensure that learners are not advantaged or disadvantaged by extraneous factors other their knowledge of the subject; abilities and their aptitude.
  - (b) achieve comparability and consistency of results from year to year.

#### 48. Roles and responsibilities

- (1) 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 18 months before implementation;

- (iii) submit subject structures annually for annual qualifications and two months before commencement of the examination;
- (iv) submit all registration data for all qualifications two months after the closing date of registrations;
- (v) develop a computer system for capturing, standardisation, statistical moderation and resulting processes as stipulated by Umalusi;
- (vi) perform all necessarily calculations on the standardisation, statistical moderation and resulting processes as stipulated by Umalusi;
- (vii) submit data for verification and approval to Umalusi for all standardisation; statistical and resulting processes in the format stipulated by Umalusi;
- (viii) proceed to the next standardisation, statistical moderation and resulting process after the approval of the previous process by Umalusi;
- (ix) submit all datasets and documents for approval and presentation within the time frames stipulated by Umalusi;
- (x) submit datasets for all processes for approval in the order specified by Umalusi; and
- (xi) meet the capture rate for standardisation and statistical moderation as specified by Umalusi;
- (xii) submit information/datasets to Umalusi as stipulated by Umalusi per qualification.

Both the public and accredited private assessment bodies must in accordance to the specifications and legislation guiding the standardisation and resulting and certification processes as specified in the policies –

- (aa) *Requirements and Specifications for Standardisation, Statistical Moderation and resulting*
- (bb) *Regulations Pertaining to standardisation and approval of Results*
- (cc) *National Policy Pertaining to the Programme and Promotion Requirements of the National Curriculum Statement Grade R – 12 Gazette No.36042 of 28 December 2012*
- (dd) *Formal Further Education and Training College Programmes at zLevels 2 to 4 on the National Qualifications Framework (NQF) of 18 March 2010*
- (ee) *The Interim General Education and Training Certificate (GETC)-Adult Basic Education and Training (ABET) Level 4, A Qualification at level 1 on the National Qualifications Framework (NQF), Gazette 32793, 11 December 2009.*
- (ff) *Regulations Pertaining to the Conduct, Administration and Management of the National Senior Certificate Examinations, Government Gazette No. 31337 of 29 August 2008; and*
- (ff) *National Policy on the Conduct, Administration and Management of the Assessment of the National Certificate (Vocational), Government Gazette No. 30287 of 12 September 2007*

- (b) Responsibilities of assessment bodies pertaining to standardisation process
- (i) submit registration data per qualification within timeframes stipulated by Umalusi;
  - (ii) submit all new subject structures before implementation;
  - (iii) submit subject structures per examination per qualification cycle before the standardisation processes; and
  - (iv) develop the historical averages per qualification as per Umalusi guidelines/ directives within the time frames set by Umalusi;
  - (v) monitor capturing;
  - (vi) capture mark sheets as per regulated policy;
  - (vii) verify standardisation data;
  - (viii) ensure the capture rate per subject meets Umalusi stipulated capture rate before the development of standardisation data;
  - (ix) develop and submit all standardisation datasets and electronic booklets in the format and within timeframes stipulated by Umalusi before standardisation meeting;
  - (x) develop standardisation booklets as stipulated by Umalusi;
  - (xii) submit the stipulated number of standardisation booklets to Umalusi within the timeframes stipulated by Umalusi.

(c) Responsibilities of assessment bodies pertaining to standardisation procedures

- (i) submit both qualitative and quantitative input as per Umalusi requirements;
- (ii) submit recommendations for adjustments with motivations following the format stipulated by

Umalusi at most 4 hours before the standardisation meeting of a qualification.

- (d) Responsibilities of assessment bodies pertaining to the approval of adjustments
  - (i) capture approved/signed standardisation decisions on the computer system by the assessment body;
  - (ii) submit a dataset with approved adjustment to Umalusi for verification and approval at least 24 hours after the standardisation meeting;
  - (iii) only proceed to statistical moderation after the approval of the adjustments by Umalusi.
  
- (e) Responsibilities of assessment bodies pertaining to statistical moderation of Site/School Based Assessment
  - (i) submit statistical moderation datasets after Umalusi approval of capturing of adjustments;
  - (ii) conduct statistical moderation develop datasets and submit datasets following the guidelines and format and within the periods stipulated by Umalusi.
  
- (f) Responsibilities of assessment bodies pertaining to language compensation
  - (i) apply language compensation to the content subjects of all candidates who take an African Language as a home language;
  - (ii) apply language compensation during statistical moderation on subject level.
  
- (g) Responsibilities of assessment bodies 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:

*National Senior Certificate: A qualification at Level 4 on the National Qualifications Framework; and Policy for the National Certificate (Vocational Qualifications at Level 2, 3 and 4 on the National Qualifications framework), Government Gazette No. 28677 of 29 March 2006.*

- (iii) submit the statistical moderation and candidate record to Umalusi.
- (iv) result all the candidates who fail to present themselves for SBA/ICAS as “incomplete” or outstanding.
- (v) result all candidates whose final marks could not be calculated due to low capture rate during standardisation or statistical moderation as outstanding.

(h) Responsibilities of assessment bodies pertaining to approval of results

- (i) submit reports stipulated by Umalusi on or before an approval meeting;
- (ii) attend the approval meeting;
- (iii) make presentations as stipulated by Umalusi during approval meeting.

(i) Responsibilities of assessment bodies pertaining to re-marks of examination scripts

- (i) in the case of re-marks of examination scripts, readjust the SBA/CASS 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;
  - (ii) ensure that all outstanding and absent candidates marks are submitted and approved by Umalusi during mop up before submitting remarks.
  
- (j) Responsibilities of assessment bodies pertaining to mop-up data
  - (i) submit mop-up data as of January 2017. This data includes
    - (aa) all candidates not completed during the standardisation process, statistical moderation and resulting process;
    - (bb) all the candidates who were not resulted during the main examination due to reasons other the one above;
    - (cc) late registrations.
  - (ii) submit only the records of the affected candidates during mop-up in the format stipulated by Umalusi.
  - (ii) submit the first mop dataset before submission of remarks or supplementary commences.

## (2) Roles and responsibilities of Umalusi

### (a) General roles and responsibilities of Umalusi

- (i) develop the timeframes for the standardisation meetings, monitoring of capturing and submission of the data and submit them to assessment bodies;
- (ii) verify, give feedback and approval for all standardisation, statistical moderation and resulting processes;

### (b) Responsibilities of Umalusi pertaining to standardisation process

- (i) Submission of registration data
  - (aa) verify that all registered candidates are submitted.
  - (bb) use registration data for verification process of all the data submitted for standardisation, statistical moderation and resulting processes.
- (ii) Subject structures-
  - (aa) Umalusi will verify that subject information is according to the policy and subject guidelines;
  - (bb) Umalusi will verify to ensure alignment of the assessment bodies system with that of the Umalusi 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) Umalusi will verify whether the assessment bodies comply with policy on the capturing of examination marks
- (v) Verification of standardisation data
  - (aa) verify and approve the data and electronic before the standardisation meeting.

- (vi) Standardisation booklets
  - (aa) verify and approve the electronic booklets before printing and the standardisation booklets after printing before standardisation meeting.
  
- c) Responsibilities of Umalusi pertaining to standardisation procedures
  - (i) host the standardisation meetings;
  - (ii) evaluate recommendations by assessment bodies and provide decisions;
  - (iii) record standardisation decisions.
  
- d) Responsibilities of Umalusi pertaining to the approval of adjustments
  - (i) verify and approve standardisation decisions
  
- e) Responsibilities of assessment bodies pertaining to statistical moderation of Site/School Based Assessment
  - (i) verify the data, statistical moderation record and approve.
  
- f) Responsibilities of assessment bodies pertaining to language compensation
  - (i) determine the language compensation percentage for all candidates who take an African Language as a home language and not English or Afrikaans to their content subjects.
  - (ii) verify and approve the implementation of the language compensation
  
- g) Responsibilities of assessment bodies pertaining to resulting of candidates

- (i) Umalusi will determine the maximum mark of the raw mark for all calculations up to and including the pre-promotion mark.
  - (ii) Umalusi will verify and approve that candidates' results are calculated according to the admission and promotion requirements set out in the relevant policy documents-
    - (aa) *National Senior Certificate: A qualification at Level 4 on the National Qualifications Framework; and*
    - (bb) *Policy for the National Certificate (Vocational) Qualifications at Level 2, 3 and 4 on the National Qualifications framework), Government Gazette No. 28677 of 29 March 2006.*
  - (iii) verify and approve that all candidates who fail to present themselves for SBA/ICASS has been resulted as "incomplete" or outstanding
  - (iv) verify that candidates will low capture rate during both standardisation and statistical moderation are resulted as outstanding.
- (h) Responsibilities of Umalusi pertaining to approval of results

Umalusi will only approve the results if the following conditions are met-

- (i) Question Papers and Marking Memoranda are of the required standard;
- (ii) writing of the examination has been conducted as per
- (iii) policy/regulations and free from any irregularity which would jeopardize the credibility of the assessment;
- (iv) the results have been standardised and resulted as per the
- (v) requirements of Umalusi;
- (vi) resulting has been accurate and correct and in terms of policies; and procedures pertaining to the assessment and qualification; and

(vii) the assessment body has provided Umalusi with a report and evidence that all irregularities have been dealt with appropriately.

i) Responsibilities of assessment bodies pertaining to re-marks of examination scripts

- (i) verify that the SBA/CASS marks are not readjusted 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;
- (ii) verify that all outstanding and absent candidates, marks are submitted and approved during mop up before processing remarks.

(j) Responsibilities of assessment bodies pertaining to mop-up data

- (i) verify that all assessment bodies submit mop-up data as of January 2017.
- (ii) verify the all assessment bodies mop up data includes -
  - (aa) All candidates not completed during the standardisation process, statistical moderation and resulting process;
  - (bb) All the candidates who were not resulted during the main examination due to reasons other the one above
  - (cc) late registrations.

In all instances, only the records of the affected candidates must be submitted to Umalusi.

- (iii) stipulate and determine the standardisation of non-standardised subjects as a separate procedure;
- (iv) prepare management plan for submission of mop up datasets of incomplete results;

- (v) determine the format of datasets to be submitted by assessment bodies; and
- (vi) verify, approve and provide feedback in the format stipulated by Umalusi.

#### **48. Criteria for standardisation, statistical moderation and resulting processes**

- (1) The following general principles 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) to (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.
  - (g) Umalusi, however retains the right to amend these principles where and when deemed to be necessary, based on sound educational principles.

## **50. Reporting**

- (1) Umalusi will:
  - (a) provide a standardisation report to assessment bodies on all the processes of the standardisation, statistical moderation and resulting;
  - (b) submit signed standardisation decisions to assessment bodies after standardisation.

## CHAPTER 14

### APPROVAL OF THE RELEASE OF RESULTS

#### 51. Rationale

- (1) As stipulated in *Section 17A(5)* of the *GENFETQA Act* the Council must with the concurrence of the Director General and after consultations with the relevant assessment body or education institution approve the publication of the results of learners, if the Council is satisfied that the assessment body or education institution has
- (i) conducted the assessment free from any irregularity that may jeopardise the integrity of the assessment or its outcomes;
  - (ii) complied with the requirements prescribed by the Council for conducting assessments;
  - (iii) applied the standards prescribed by the Council which a learner is required to comply with in order to obtain a certificate; and
  - (iv) complied with every other condition determined by the Council.

#### 52. Roles and Responsibilities

- (1) Assessment bodies
- (a) must as a pre-requisite for the approval of the release of results, is the compliance of both public and accredited private assessment bodies as stipulated in the relevant policies;
  - (b) must 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; and
  - (c) are required to be presented by the DG or CEO of accredited private assessment bodies at approval meetings.

(2) Umalusi must:

- (a) draft the approval meeting schedules annually;
- (b) coordinate the approval meetings and send invitation letters to assessment bodies sixty (60) days prior to the approval meeting;
- (c) conduct quality assurance of assessment monitoring and moderation for the different processes (moderation of question papers, moderation of site based assessment, monitoring of the conduct, administration and management of examinations);
- (d) compile consolidated report on all the quality assurance processes conducted;
- (e) submit the quality assurance of assessment composite report to EXCO and assessment bodies 48 hours prior to the approval meeting.
- (f) chair the meetings either by the Chairperson of Umalusi Council, or the CEO of Umalusi when delegated by Council;
- (g) present the Quality Assurance of Assessment Report to EXCO at the approval meeting;
- (h) issue the letter for the approval of the release of results within 24 hours of the approval to the DG or Head of assessment body.

### **53. Criteria**

(1) Assessment bodies must ensure that:

- (a) assessment and examinations are conducted free from any irregularity that may jeopardise the integrity of the assessment or its outcomes;
- (b) assessment compliance requirements as stipulated in policy documents are met;
- (c) requirements prescribed by the Council for conducting assessments are complied with;

- (d) the standards prescribed by the Council with which a learner is required to comply with in order to obtain a certificate are complied with; and
- (e) every other condition determined by the Council are complied with;
- (f) composite irregularity reports with recommendations from the NEIC/ Irregularity Committee are submitted and presented for approval by EXCO;
- (g) all sanctions are in accordance with the national regulations for the conduct, administration and management of examinations prescribed per qualification;
- (g) EXCO reserves the right to approve the release of the results if the assessment body has complied with all the requirements set by Council;
- (h) where results are withheld due to serious irregularities that may compromise the credibility of the results, the assessment body will be required to conduct an investigation to determine the extent of the irregularities;
- (i) where results were withheld as per *sub-paragraph 1(h)* resubmit their irregularity reports to EXCO for the approval of the release of outstanding results;
- (j) not release their results prior to EXCO approval or announcement of the release of results.

## **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; and
  - (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 to resubmit their reports to EXCO for evaluation and the approval of the release of outstanding results.

(2) Umalusi will:

- (a) issue a letter for the approval to release the results within 24 hours of the approval to the DG or Head of assessment body.
- (b) Umalusi Council shall pronounce the release of the results at a media briefing.

## 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.
  - (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 the review of the quality assurance decision or the outcome thereof. Umalusi's Council, however, reserves the right to approve/not to approve the assessment bodies' requests based on Umalusi's policies for quality assurance. These appeals 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 state of readiness to conduct, administer and manage examinations;
  - (d) monitoring of the selection and appointment of markers;
  - (e) monitoring of writing and marking of examinations;
  - (f) monitoring of the management and reporting of irregularities;

- (g) marking guideline discussions and verification of marking;
  - (h) standardisation and statistical moderation of results; and
  - (i) approval of results and concessions.
- (3) The purpose of the reviews is to provide the assessment body with an opportunity to request Umalusi to review its external moderation decision. The assessment body may apply for the review against the conduct or compliance of the external moderation process.

#### **56. Sanctions relating to non-compliance with regulations and this policy**

The following are sanctions applicable to assessment bodies, learning institutions or individuals as stipulated in *Section 21* of the GENFETQA Act-

- (1) Umalusi may decide to withhold 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) Umalusi may not issue certificates of the implicated assessment body/institution/candidates if-
  - (a) the institution administered examination in subjects/ programmes they are not accredited for;
  - (b) if candidate wrote their examinations at unaccredited centres;
  - (c) irregular results are released without Umalusi approval;
  - (d) results released before/without EXCO approval;  
and
  - (e) the assessment body applies concessions without approval by Umalusi.
  
- (3) Umalusi may cancel the certificate that has been issued to a learner if, after an investigation, the Council found that the learner has not met the requirements for the qualification if there was an irregularity.
  
- (4) The results of candidates, who are found to be guilty of the alleged systemic and group copying irregularities, must be nullified and these candidates should be sanctioned according to the regulations pertaining to the qualification.

## **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, then the Senior Manager: Quality Assurance of Assessment (Umalusi) must intervene.

(b) If the matter still remains unresolved and the parties concerned cannot reach an agreement, this must be communicated to the CEO of Umalusi to facilitate an agreement. The CEO must then take a final decision to settle the matter.

(2) Sanctions

(a) 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 be aligned with legislation.

(2) The review of this policy will also occur 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 OF POLICY

#### 59. Transitional arrangements

Until such time the Minister has promulgated the *Policy for the Quality Assurance of Assessment of Qualifications Registered on the General and Further Education and Training Qualifications Sub-framework* in the *Government Gazette*, the said policy will be implemented as Directives for a transitional period, commencing on the date of approval by Umalusi Council.

#### 60. Short Title

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