

Umalusi

Guideline for Implementation of the Policy and Criteria for the Quality Assurance, Accreditation and Monitoring of Private Assessment Bodies

Revision History

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Related Documents

The Guidelines for implementation of the Policy and Criteria for the Quality Assurance, Accreditation and Monitoring of Private Assessment Bodies in the General and Further Education and Training Qualifications Sub-framework should be read in conjunction with the documents listed below:

Document Name	Publication Date
National Qualifications Framework Act, 2008 (Act No. 67 of 2008); as amended	17 February 2009
General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001), as amended in 2008.	05 December 2001 09 January 2009
Policy and criteria for the quality assurance, accreditation and monitoring of independent schools and private assessment bodies, as amended. Government Gazette 35830 Government Gazette 41206	29 October 2012 27 October 2017
Regulations regarding the criteria for the quality assurance, accreditation and monitoring of independent schools and private assessment bodies	27 October 2017
Policy for the Quality Assurance of Private Adult Learning Centres, Private Further Education and Training Colleges and the Accreditation of Private Assessment Bodies in terms of Sections 17A(2)(a) and 23 of the General and Further Education and Training Quality Assurance Act, 2001. Government Gazette 33237. <i>Reviewed and renamed as:</i> Policy for the Quality Assurance of Private Colleges for Continuing Education and Training, offering Qualifications registered on the General and Further Education and Training Qualifications Sub-framework, and the Accreditation of Private Assessment Bodies. Government Gazette 41887	28 May 2010 7 September 2018

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DEFINITIONS

Any words and expressions defined in the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)* or the *General and Further Education and Training Quality Assurance Act 2001 (Act No. 58 of 2001)* which are not defined in this document, shall have the same meanings in this document as those ascribed to them in the *National Qualifications Framework Act, 2008* or the *General and Further Education and Training Quality Assurance Act 2001*.

In the event of a conflict between the *National Qualifications Framework Act, 2008* and the *General and Further Education and Training Quality Assurance Act, 2001*, the *National Qualifications Framework Act, 2008*, must be given preference.

In this document, unless the context otherwise indicates:

“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

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

“Accreditation stage 1” – means the initial phase in the accreditation process where the assessment body demonstrates the capacity to conduct a pilot examination;

“Accreditation stage 2” – means the final phase in the accreditation process where the assessment body demonstrates the capacity to conduct a full scale examination;

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

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

“Chief Executive Officer” – means the CEO of Umalusi, unless explicitly indicated otherwise;

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

“curriculum” – means a statement which encompasses three components: intended curriculum, enacted curriculum and assessed curriculum; curriculum framework, and means the same as programme;

“examination centre” – means an independent school registered by the relevant Provincial Education Department and accredited by Umalusi, and registered by a public or accredited private assessment body as a venue for their candidates to write the National Senior Certificate examination or a centre other than an independent school registered and managed by a private accredited or public assessment body in line with Umalusi’s requirements as a venue for their candidates to write the National Senior Certificate examination; OR a private college registered and managed by a private accredited or public assessment body as a venue for their candidates to write the examinations;

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

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

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

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

“General and Further Education and Training Qualifications Sub-Framework” – 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)*;

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“minimum outcomes and standards” – has the meaning contemplated in the policy document, *National policy pertaining to the programme and promotion requirements of the National Curriculum Statement Grades R – 12*, published Government Gazette No. 34600 of 12 September 2011, *the National protocol for assessment Grades R -12*, and any other policy documents promulgated by the Minister pertaining to qualifications on the General and Further Education and Training Sub-framework of Qualifications and their provision;

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

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

“National Qualifications Framework” (NQF) – is a comprehensive system approved by the Minister of Higher Education and Training for the classification, registration, publication and articulation of quality-assured national qualifications (*National Qualifications Framework Act, 2008 (Act No. 67 of 2008)*);

“pilot study” – means, within the context of the policy, a small sample study conducted within the jurisdiction of an independent school or private college and private assessment body to be used by Umalusi with the aim of establishing whether these institutions have complied with their respective quality assurance requirements to be awarded accreditation;

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

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

“processes and procedures for the assessment of learner achievement” – as contemplated in the *National Curriculum Statement, Grades R -12*, published in *Government Gazette No. 34600* of 12 September 2011;

“programme” – means the same as curriculum;

“provisional accreditation” – means the granting of accreditation for a limited time to either an independent school or a private college or a private assessment body that

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has applied for accreditation to enable such independent school or private college or private assessment body to comply with the requirements to offer or assess respectively a qualification or programmes leading to a qualification on the General and Further Education and Training Qualifications Sub-framework;

“qualification” – means qualification types and variants as defined on the General and Further Education and Training Qualifications Sub-Framework 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)” – means a Quality Council contemplated in *sections 24-27* of the *National Qualifications Framework Act, 2008 (Act No. 67 of 2008)*;

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

“requirements” – means requirements as outlined in the approved curriculum leading to a qualification on the General and Further Education and Training Qualifications Sub-framework and requirements established by this guideline as determined by Council in respect of the quality assurance of independent schools, private colleges and private assessment bodies;

“teach-out period” – means a specific time frame given to a private assessment body whose pilot examination or full accreditation was unsuccessful to ‘wrap up’ the assessment of a particular programme.

“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.

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ABBREVIATIONS AND ACRONYMS

AAC	Accreditation Appeals Committee
ACC	Accreditation Committee of Council
ASC	Assessment Standards Committee
CEO	Chief Executive Officer
DBE	Department of Basic Education
DHET	Department of Higher Education and Training
EXCO	Executive Committee
E&A	Evaluation and Accreditation
F&SCM	Finance and Supply Chain Management
GENFETQA	General and Further Education and Training Quality Assurance Act
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
ICT	Information, Communication and Technology
ISAT	Integrated Summative Assessment Tasks
IMC	Internal Moderation Committee
LOI	Letter of Intent
NASCA	National Senior Certificate for Adults
NATED	National Education
NC(V)	National Certificate (Vocational)
NQF	National Qualifications Framework
NSC	National Senior Certificate
QAA	Quality Assurance of Assessment
QAA-PSQ	Quality Assurance of Assessment – Post School Qualifications
QAA-SQ	Quality Assurance of Assessment – School
QAM	Quality Assurance and Monitoring
QC	Quality Council
QCC	Qualifications, Curriculum and Certification
SIR	Statistical Information and Research

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CHAPTER 1

The accreditation system of private assessment bodies

1. Assessment bodies are custodians of educational standards in the national education system and are therefore required to demonstrate the expertise to undertake this responsibility. Any external examination is by nature determining as it separates those who satisfy the requirements from those who do not. Such decisions must be based on valid and reliable internal assessment, examinations, and learner data and certification processes. To that end assessment bodies must be viable and sustainable and must conduct their business with the greatest integrity.
2. Private assessment bodies are required to seek accreditation with Umalusi to assess a qualification on the GFETQSF.
3. Umalusi does not accredit public assessment bodies but monitors and reports on their performance in regard to examinations and assessment. The public assessment bodies are the Department of Basic Education and the Department of Higher Education and Training, and they not required to be accredited by Umalusi.
4. Umalusi certifies candidates who meet the requirements of qualifications that are assessed by both public and private assessment bodies.
5. Umalusi has set common standards and conducts common quality assurance processes for public and private assessment bodies namely:
 - a) External moderation of internal assessment and examination question papers.
 - b) Monitoring for compliance with accreditation criteria across the sub-systems.
 - c) Approval of results.
 - d) Issuing of certificates to successful candidates across the entire assessment system.
6. The quality assurance services provided by Umalusi are funded by the state for state examinations and for national evaluation of the assessment system. Private assessment bodies are charged for certification and quality assurance services. In the case of services provided to private assessment bodies, Umalusi issues invoices at different stages of the accreditation process. The invoices must be settled by the applicants for accreditation within the specified timeframes in order for them to proceed to the next stage of the accreditation process. The fees are reviewed on an annual basis by Umalusi Council.

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Purpose of this guideline

7. This Guideline outlines the processes and procedure used by Umalusi to accredit private assessment bodies to assess qualifications on the General and Further Education and Training Qualifications Sub-framework (GFETQSF).
8. The Guideline also outlines the process and procedure used to monitor accredited private assessment bodies for continued improvement of the administration, conduct and management of examinations.

Intended audience

9. The intended audience of this Guideline is as follows-
 - (a) for both an internal and external audience. It is meant to ensure that Umalusi's internal processes and procedures for the accreditation and monitoring of private assessment bodies are applied fairly and consistently.
 - (b) as a reference for external parties to understand the process and procedures relating to the accreditation and monitoring of private assessment bodies.

Application of the Guidelines

10. This Guideline applies to private assessment bodies that conduct and manage formal internal and external assessment for qualifications on the General and Further Education and Training Qualifications Sub-framework (GFETQSF) in accordance with the regulatory framework outlined in the national policies that govern the qualifications. In the case of the National Senior Certificate, these include: *National Protocol for Assessment Grades R – 12*, and the *Regulations pertaining to the conduct, administration and management of assessment for the National Senior Certificate*.

In terms of the NQF Act, Umalusi is responsible for the following qualifications listed on the GFETQSF:

- (I) *National Certificate (Vocational) NC (V), Government Gazette, No. 28677 of 29 March 2006;*
- (II) *The National Senior Certificate (NSC) Government Gazette No. 27819 of 20 July 2005, as amended;*
- (III) *National Education (NATED) Report 190/191 PART 1: Engineering Studies (N1-N3) programmes, Report 191 Government Gazette No. 38029 of 29 September 2014, Part 1: N1-N3, Department of Education, (2001/08);*

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- (IV) *National Senior Certificate for Adults (NASCA), Government Gazette, No. 33805 of 26 November 2010;*
- (V) *General Education and Training Certificate: Adult Basic Education and Training (GETC:ABET) Level 4 at NQF Level 1;*
- (VI) *General Education and Training Certificate for Adults (GETCA), Government Gazette, No. 39218 of 18 September 2015; and*
- (VII) *future qualifications or part-qualifications registered on the GFETSQF to be offered at private colleges or independent schools.*

Legislative context

11. This Guideline is informed by the following legislation:

- (a) The *National Qualifications Framework Act, Act No. 67 of 2008* (NQF Act). The Act provides for the establishment of three Quality Councils (QCs); namely, the Quality Council for General and Further Education and Training (Umalusi), the Council on Higher Education (CHE), and the Quality Council for Trades and Occupations (QCTO).

The NQF Act further provides for the three Quality Councils (QCs) to develop sub-frameworks of qualifications. In respect of quality assurance, the QCs are further expected to:

- i) develop and implement policy for quality assurance;
- ii) ensure the integrity and credibility of quality assurance;
- iii) ensure that quality assurance as is necessary for the sub-framework, is undertaken.

- (b) The *General and Further Education and Training Quality Assurance (GENFETQA) Act (No 58 of 2001)*, as amended in 2008. In line with the object of the GENFETQA Act, namely, to enhance the quality of general and further education and training, Umalusi was established with the purpose of maintaining norms and standards in general and further education and training. The mandate is outlined as follows:

- i) Quality assurance of exit assessment of learner achievement in respect of qualifications that are registered on the sub-framework of Umalusi;
- ii) Certification of learner achievements;
- iii) Quality assurance and accreditation of private education institutions; and
- iv) Accreditation and monitoring of private assessment bodies.

- (c) The *Policy and Criteria for the Quality Assurance, Accreditation and Monitoring of Independent Schools and Private Assessment Bodies*, 29 October 2012, Gazette No. 35830 as amended.

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- (d) The *Regulations regarding the Criteria for the Quality Assurance, Accreditation and Monitoring of Independent Schools and Private Assessment Bodies*, Gazette No. 41206 of 27 October 2017.
- (e) The *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*; Gazette No. 41887 of 7 September 2018.
- (f) Standard Setting and Quality Assurance of the General and Further Education and Training Qualifications Framework: Umalusi Policy (April 2013).
- (g) Council policies and directives governing the qualifications on the General and Further Education and Training Sub-framework and on the conduct, administration and management of the assessments and certification for such qualifications.
- (h) The regulations on assessment and certification pertaining to qualifications on the GFETQSF that are developed by the Department of Basic Education or the Department of Higher Education and Training (DBE/DHET) and promulgated by the Minister, including those that are promulgated by provincial legislatures; and
- (i) Policy documents and guidelines pertaining to the *National Curriculum Statement Grades R-12* which underpin the National Senior Certificate; and
- (j) Policy documents and guidelines pertaining to the qualifications or part-qualifications offered by private colleges which underpin the *NC(V)*, *NATED*, *NASCA*, *GETC*, *GETCA*; and future qualifications or part-qualifications on the GFETSQF to be offered at private colleges.

Umalusi’s quality assurance approach:

- 12. The Minister of Education determines minimum outcomes and standards. These are articulated in the various policy documents related to qualifications certified by Umalusi, their assessment and provision. Private assessment bodies must comply with the minimum standards. Copies of the various policies may be downloaded from the website of the department of education concerned.
- 13. In addition, an assessment body is expected to comply with the directives that Umalusi develops for internal assessment and certification.
- 14. Application for accreditation by a private assessment body is considered only if it intends to assess a qualification on the GFETQSF. A private assessment body

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may develop its own subject/learning area assessment guidelines for the qualification it intends assessing to provide direction on how the assessment and examination instruments will be developed, while taking into account the common minimum standard set by the Minister.

15. The private assessment body is required to meet Umalusi's quality assurance requirements. This means meeting the standards and timelines that Umalusi sets for the submission of examination question papers for external moderation; the schedule for the moderation of internal assessment; the schedule for the moderation of marking and the schedule for the submission of examination marks for standardisation and approval of results, as well as the specifications set for the submission of certification data and related systems.
16. An assessment body ensures the administration of internal assessment and examinations through registered examination centres. To that end, it is required to register as examination centres educational institutions that are accredited by Umalusi.

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CHAPTER 2

Fees Charged for Services

17. Section 29(3) of the Constitution of the Republic of South Africa, 1996, provides for the right of every citizen to establish and maintain private educational institutions (in this case, private assessment bodies) at their own expense.
18. Section 13(1) (c) of the General and Further Education and Training Quality Assurance Act, 2001 provides for 'money received by the Council in respect of fees charged for services'.
19. Fees charged to assessment bodies:
 - a) Umalusi Council determines fees charged for accreditation, quality assurance services, and certification.
 - b) The quality promotion, accreditation and monitoring fees levied are revised by Council on an annual basis.
 - c) A schedule of fees for accreditation of private assessment bodies is available from the Evaluation and Accreditation Unit.
 - d) It is compulsory for accredited assessment bodies to pay the requisite fees for all quality assurance and certification services.
 - e) The payment process is determined by Umalusi and communicated to affected private assessment bodies.
20. In order to be accredited by Umalusi and to maintain their accreditation status, private assessment bodies are required to pay the accreditation fees that relate to the accreditation process as determined by Council¹. This includes:
 - (a) Processing and evaluation of the applicant's intent to apply for accreditation;
 - (b) Presentation and evaluation of the justifiable need to establish a private assessment body to assess the particular qualification;
 - (c) Desktop evaluation of the applicant's self-evaluation report and portfolio of evidence;
 - (d) The verification and monitoring site visits;
 - (e) Evaluation of evidence submitted in respect of compliance with the conditions of provisional accreditation;
 - (f) Monitoring of private assessment bodies.
21. Fees charged for accreditation, quality assurance services and certification are subject to annual increase.

¹ A schedule of fees is available on request from info@umalusi.org.za / accreditation@umalusi.org.za. The schedule of fees is revised by Council on an annual basis.

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The cost of assessing and examining a qualification

22. Umalusi may appoint contracted experts in the field of assessment to monitor the conduct, administration and management of examinations, and to evaluate and write reports. Appointment may be as and when the need arises.

Tariffs paid to contracted staff:

- a) Umalusi Council annually determines the tariffs that are paid to officials who perform various examination related functions.
- b) Further, Umalusi pays tariffs as determined annually by Council to independent experts whom it employs from time to time to perform specific functions.

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CHAPTER 3

Application for Accreditation

23. A private assessment body may submit an application for accreditation to assess a qualification on the GFETQSF.
24. Umalusi will consider an application in respect of assessing one programme in one qualification and may limit the number of subjects the assessment body may assess in its initial application. Application for extension of scope will only be considered once the assessment body has been granted full accreditation in respect of the initial application.
25. An application for accreditation as an assessment body must be made at least **twenty-four (24) months before** the first examination is envisaged. This period cannot be shortened under any circumstances.
26. A subsequent application for accreditation from a private assessment body whose application for accreditation is unsuccessful or is terminated for any reason will not be considered for a period of at least twelve (12) months after the unsuccessful outcome / termination of the application.
27. The twelve-month waiting period will apply to applications for accreditation from any company whose directors are/were directors of the private assessment body whose application was unsuccessful or terminated.
28. The accreditation process comprises two (2) stages to be followed and completed by private assessment bodies.
29. The coordination of the application and subsequent evaluation is overseen and co-ordinated by the manager responsible for the accreditation and monitoring of private assessment bodies.
30. Every step of the process must be recorded, documented, and securely filed by the manager responsible for the accreditation and monitoring of assessment bodies.

Accreditation criteria

31. An assessment body is evaluated against the following criteria:

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<p>Criterion 1: Leadership, planning and management</p> <p>Includes:</p> <ul style="list-style-type: none"> • the vision and mission of the assessment body; • strategic planning, leadership and governance; • the effectiveness with which assessment services are managed; • quality assurance systems in place; • resource allocation; • the viability of the assessment body. 	<ul style="list-style-type: none"> a) The assessment body's leadership is instructive and provides strategic direction and governance oversight based on acceptable practices. b) The strategic initiatives, interventions, policies and procedures of the assessment body promote fair, valid and reliable assessments. c) The assessment body is sustainable and financially viable. d) The assessment body demonstrates commitment to quality improvement in providing feedback annually to the institutions that are its examination centres. e) The assessment body is sufficiently and professionally staffed. f) The leadership and management identify and manage the organisational risks effectively.
<p>Criterion 2: Assessment standards</p> <p>This criterion speaks to the credibility of the process with regard to the design and development of the internal and external assessments as well as the moderation process. It also includes ensuring that institutions adequately cover approved curricula as reflected in the assessed curriculum.</p>	<ul style="list-style-type: none"> a) The assessment body's assessment approach and systems are credible in that assessments are administered against the policy requirements and standards of qualifications registered on the General and Further Education and Training Qualifications Framework and their intended curricula. b) The assessment body produces assessment products of an acceptable standard and oversees the quality of internal and external assessment of all its registered examination centres. c) Assessment standards and practices are benchmarked and quality assured. d) Standards of assessment are maintained and improved through appropriate and effective monitoring and moderating mechanisms.
<p>Criterion 3: Research and development</p> <p>This criterion hinges on the capacity of experts (examiners, moderators, markers) as well as the extent to which an</p>	<ul style="list-style-type: none"> a) The work of the assessment body is informed by appropriate research and assessment approaches are innovative, benchmarked and fit for purpose. b) Research findings are used to improve assessment products, systems and

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<p>assessment body undertakes research. The research undertaking is aimed at providing meaningful feedback and guidance to the institution so that processes within the organisation can be improved.</p>	<p>approaches as well as to provide feedback to education institutions in order to drive the improvement of teaching, learning and internal assessment.</p> <p>c) The capacity of professional and administrative staff employed in the assessment process is developed.</p>
<p>Criterion 4: The conduct and administration of examinations</p> <p>All the administrative and logistical processes associated with the conduct of examinations and/or assessments are included here. Activities such as the setting, translation, editing, printing and moderation of assessment materials; the registration of candidates and examination centres; the establishment of marking centres; data capturing of learner records and security systems are captured under this criterion.</p>	<p>a) The assessment body conducts credible external examinations in that it is effective and efficient in the management of all administrative and logistical processes associated with the conduct of examinations.</p> <p>b) Learners are registered for the examination at the commencement of the qualification (in the case of the National Senior Certificate, Grade 10) by the private assessment body.</p> <p>c) Security systems with a low tolerance for irregularities are implemented and irregularities are reported and dealt with as required in Umalusi policy.</p> <p>d) The assessment body meets all Umalusi's requirements in respect of the registration resulting and certification system and is able to submit learner datasets that meet Umalusi specifications.</p> <p>e) The assessment body has efficient and reliable systems for the capture, storage and management of learner achievement data and is ethical in reporting and safeguarding the accuracy and security of learner results.</p> <p>f) The assessment body ensures that it has full ownership of its data from inception.</p> <p>g) All the requirements of regulations pertaining to the conduct, administration and management of an examination in respect of a qualification apply and are met.</p> <p>h) Delivery of the examination is monitored and evaluated with the purpose of supporting continuous improvement.</p>
<p>Criterion 5: Resulting systems and processes</p>	<p>The assessment body-</p> <p>(i) encapsulates the reliable and accurate processing and issuing of results; and</p>

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This criterion comprises processing and issuing of results, as well as the extent to which the assessment body complies with policy and maintains the integrity of the system.	(ii) complies with policy to maintain the integrity of the system.
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Structures involved in the accreditation process

32. The structures that play a role in the accreditation process are:

- a) An Umalusi panel, the *Internal Moderation Committee* (IMC), which ensures the implementation of the policy for the accreditation of assessment bodies other than departments of education as stipulated in section 17A(2)(a) of the GENFETQA Act, 2001, as amended.

The IMC is chaired by the CEO of Umalusi (or his delegate) and is constituted by the:

- Executive Managers of the Quality Assurance and Monitoring (QAM) and Qualifications and Research (Q&R) branches
- Chief Financial Officer
- Senior Managers of the E&A, QAA-SQ, QAA-PSQ, QCC, SIR, ICT, and F&SCM units.

The IMC may invite E&A unit Managers and Assistant Managers and Managers from other units to the IMC meetings as and when necessary.

- b) Assessment experts who may work individually or in teams to evaluate the self-evaluation undertaken by the applying assessment body, conduct the site visits, moderate the standard of the examination products, monitor the examinations and report on the findings.
- c) The manager responsible for accreditation of private assessment bodies coordinates all the evaluation activities and makes recommendations on the application for accreditation to the Accreditation Committee of Council (ACC), based on the recommendations made by the Internal Moderation Committee (IMC).
- d) The Accreditation Committee of Council reviews and moderates the recommendations made by the Internal Moderation Committee and, if satisfied, confirms the recommendations, and reports the recommendation to Umalusi Council for a decision on the outcome of the application.
- e) If the proposed recommendation is not endorsed, the ACC will highlight problem areas and propose measures that must be taken care of in order for the recommendation to be reconsidered. The ACC's recommendation

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will also include a timeline within which the problem areas must ~~have to~~ be addressed.

- f) Umalusi Council pronounces on the final accreditation decision, taking into account the recommendations of the IMC and ACC.
- g) The secretariat of the ACC, on behalf of the ACC, will keep a register of recommendations which are endorsed or not endorsed by the ACC and those approved or not approved by the Council of Umalusi. Motivations for decisions must also be recorded.
- h) The secretariat of the ACC will arrange for the applicant to be formally informed of the Council's accreditation decision. The decision will be communicated to the applicant through a formal letter from the chair of Umalusi's Council and will include accompanying terms and conditions of the accreditation status.

Initial screening of applications for accreditation

33. The initial screening of an application comprises the following activities:
- (a) The body wishing to become an Umalusi-accredited assessment body is required to submit a letter of intent (LOI) indicating the intent to assess a qualification on the General and Further Education and Training Qualifications Sub-framework and the sworn declaration.
 - (b) A template for the letter of intent and the sworn declaration is available on request from Umalusi. Completed documents must be submitted to Umalusi, Attention: The Manager: E&A Evaluation and Monitoring;
 - (c) Umalusi receives the letter of intent (LOI) and sworn declaration from an applicant;
 - (d) Once received, electronic files are opened for the applicant;
 - (e) Using the LOI template, the applicant's submission is evaluated with a view to determining whether the applicant intends to assess a qualification on the GFETQSF. The evaluation process seeks to establish, among other things, if:
 - i. the letter of intent meets all the requirements, including a clear indication of the qualification/s that the assessment body intends assessing;
 - ii. the sworn declaration is reflected on a letterhead of the applying institution and has an official date stamp;
 - iii. the sworn declaration is signed by the head of the assessment body;
 - iv. The signing of the sworn declaration commits the applicant to providing consistent, accurate and truthful information to Umalusi.

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Presentation to the Internal Moderation Committee (IMC)

34. If the applicant is found to comply with the above requirements, it will proceed to the next step in the process, namely to present a detailed accreditation proposal (feasibility study / motivation for the justifiable need for the assessment body) to the Internal Moderation Committee (IMC). The Manager responsible for accreditation of private Assessment Bodies provides the applicant with a template and guidelines for the presentation.
35. The presentation and supporting documents developed by the applicant in line with the template and guidelines must be submitted within the specified timelines to the Manager responsible for accreditation of private Assessment Bodies.
36. Applicants who have submitted the required presentation and supporting information within the required timelines will be invited to make a presentation to the IMC to motivate the justifiable need for the private assessment body to assess the qualification.
37. The applicant's presentation is evaluated by the IMC against pre-accreditation indicators of sustainability and any other requirements that may arise from the context of the applicant, including whether there is a need for another assessment body to assess the qualification, where applicable.
38. The applicant is required to provide information pertaining to the following **pre-accreditation indicators** during the presentation to the IMC to determine the justifiable need of the assessment body.

a. History

Declaration of the vision, mission and values and how the assessment body intends to deliver on the mission and internalise its value system.

b. Expertise

The knowledge and experience in education of the head of the assessment body and specifically in the management of assessment that includes the administration of examinations for national qualifications.

c. Contact details

Physical and postal addresses, telephone (landline and cell) numbers, fax and e-mail address for the assessment body and those of the contact person.

d. Qualification

Details of the national qualification the assessment body intends to examine and the respective registration number on the National Qualifications Framework.

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e. Definition

How the definition of an assessment body is met, namely that the entity is a juristic body that quality assures internal assessment and conducts external national examinations for a national qualification in accordance with the provisions of national curriculum policies and Umalusi directives on internal assessment.

f. Provision

How the assessment body intends to provide management of assessment (and ensures that the assessment body does not deliver the curriculum assessed or intending to assess).

g. Curricula

How the assessment body will assess well-defined fields of knowledge / subjects and curricula that logically and systematically assist learners to meet the requirements of the national qualification.

h. Assessment frameworks

Demonstrate that the assessment body has developed guideline documents per learning area / subject that indicate how the various parts of the curriculum will be assessed through School Based Assessment / Internal Continuous Assessment (ICASS) / Integrated Summative Assessment Tasks (ISAT), and external examinations. Indications of time, resources and amount of effort required is to be included.

i. Sustainability

Demonstrate the existence of significant numbers of candidates and clear indications for sustained service that is based on reliable projections for future growth of the market.

j. Market

Demonstrate sufficient conviction that a market currently exists for the applying private assessment body.

k. Progression

Demonstrate an understanding of effective management of assessments that provide learners with opportunities for progression in their learning and promote lifelong learning.

l. Viability

Demonstrate the availability of sufficient seed money and clear opportunities for income generation that will ensure reliability and sustenance of the assessment services.

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m. Independent entity

Demonstrate that the applying body is registered as an independent entity with no links to another organisation / entity that provides curriculum delivery services which may pose a conflict of interest.

n. Assessment system

Emerging assessment bodies must indicate sufficient capacity for developing an effective assessment system. This includes documented policies, processes and procedures that provide adequate coverage of the entire assessment process that commences with setting of examination question papers and ends with resulting. It includes the proficiency levels of the various categories of staff that perform assessment related functions (examiners, markers and internal moderators of the various forms of assessments that include practicals) and how the entire assessment process is secured.

39. Upon consideration of the applicant’s accreditation proposal (i.e. the feasibility study through the presentation of the justifiable need), the IMC may require further clarification on identified gaps or issues and will engage with the applicant either during the presentation or subsequently until it is satisfied that it has all the information it requires to make an informed recommendation.
40. If the applying assessment body does not meet the requirements, the IMC may ~~will~~ guide and advise the applicant and may request it to make a further presentation once it has addressed the identified shortcomings.
41. If the applicant demonstrates a justifiable need for the potential assessment body, the applying assessment body is invited to conduct a self-evaluation of its systems based on a supplied instrument, and to submit the report to the Evaluation and Accreditation unit manager responsible for accreditation of private assessment bodies for evaluation.

Self-Evaluation Report

42. Accreditation applicants are sent a self-evaluation instrument and a general guideline document that guides the applicant in conducting the self-evaluation against the five accreditation criteria, namely:
 - Leadership, planning and management;
 - Assessment standards;
 - Research and development;
 - The conduct and administration of examinations and/or assessment; and
 - Resulting systems and processes.

The criteria seek to establish the following:

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- a) The effectiveness with which assessment services are managed and quality assurance systems which are in place.
 - b) The credibility of the process with regard to the design and development of the internal and external assessments as well as the moderation process.
 - c) The capacity of experts (examiners, moderators, markers) as well as the extent to which an assessment body undertakes research.
 - d) All the administrative and logistical processes associated with the conduct of examinations and/or assessments are in place.
 - e) Processing and issuing of results, as well as the extent to which the assessment body complies with policy and maintains the integrity of the system.
43. The applicant is given a period of three (3) months to submit the completed self-evaluation report and supporting evidence. Failure to submit the self-evaluation report and/or failure to pay the relevant fee within the required period will result in the application not being processed further.

Evaluation of the self-evaluation report

44. In anticipation of the receipt of the applicant's self-evaluation report and the accompanying supporting evidence, a suitably qualified, experienced evaluator is appointed to conduct a desktop evaluation of the submission.

45. As part of the evaluation process, the evaluator is expected to recommend one of the following decisions:

a) Deferred application

This decision is in respect of applicants who are found to have limited compliance with the criteria.

The affected applicants are required to implement an improvement plan and submit a report by a date to be recommended by the independent evaluator and agreed to by the secretariat of the ACC. An additional fee will be payable by the applicant for evaluation of the improvement plan and supporting evidence.

b) Recommended candidate

This decision applies to applicants that are found to satisfy the minimum requirements of the criteria. The affected applicant will then move to the next phase of the application process.

46. The evaluator's report, once reviewed and approved by the Senior Manager: Evaluation and Accreditation, is distributed to members of the IMC in preparation for the verification site visit. The report must be distributed to the IMC at least seven (7) days before the verification site visit.

47. The manager responsible for accreditation of private Assessment Bodies conducts a briefing session with all the panel members of the IMC and the

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independent evaluator/s that make up the team, prior to the site visit. The briefing session must discuss:

- a) the self-evaluation and the desktop report generated by the evaluator;
- b) the objectives of the site verification visit;
- c) the site verification visit programme;
- d) an outline of the site verification process and instruments;
- e) a description of the roles and responsibilities of the IMC's panel members, and
- f) the requirements in respect of the report and the subsequent parts of the process.

48. The manager responsible for accreditation of private Assessment Bodies and Senior Manager: Evaluation and Accreditation conduct a pre-site visit meeting (either online or in person) with the Assessment Body prior to the actual site visit. The following are discussed at the pre-site visit meeting:
- a) the objectives of the site verification visit;
 - b) the site verification visit programme;
 - c) The site visit team; and
 - d) The accreditation decision making process.

Verification Site Visit

49. The site verification visit is conducted by the IMC and independent expert evaluators as required by Umalusi.
50. The site verification visit is co-ordinated by the manager responsible for accreditation of private Assessment Bodies.
51. The self-evaluation and site verification reports are consolidated into an accreditation report.
52. The accreditation report is presented to the IMC with one of the following recommendations:

a) Re-application

This recommendation is made in the event where:

- i. The evidence provided for desktop evaluation is substantially inconsistent with the evidence verified at the applicant's premises and facilities;
- ii. The IMC is of the view that it will take the applicant a long time to establish the required capacity to administer a high stakes national examination;
- iii. the IMC is dissatisfied with the quality of leadership.

b) Deferred application

The recommendation is made in the event where:

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- i. The IMC is convinced that the applicant has provided most of the evidence required for the committee to support the assessment body's readiness to administer a national examination.
- ii. The applicant will be given an improvement plan, to be implemented within the timelines determined by the IMC.
- iii. Upon submission of the outstanding pieces of evidence, and payment of the relevant fee, the Manager responsible for accreditation of private Assessment Bodies will make a determination whether an independent evaluator is required to evaluate the applicant's submission or not.
- iv. A report in respect of the outstanding evidence will be shared with members of the IMC.
- v. If members of the IMC are satisfied with the relevance and quality of the outstanding evidence provided by the applicant, the status of the applicant will be changed to that of recommended pilot.

c) Recommended pilot

- i. The status of "recommended pilot" is granted to applicants who, during the site verification visit, provide all the requisite (minimum) evidence to support their readiness to administer a high-stakes national examination.
- ii. There is sufficient capacity (policy provision, human, financial and infrastructural resources) to administer a pilot examination.
- iii. Applicants with a recommended pilot status are considered to be ready to pilot an external examination.

Approval to administer a pilot examination

- 53. The IMC must make a recommendation to the ACC for approval for the applicant to administer a pilot examination.
- 54. The ACC will review the recommended decision and if satisfied, confirm the recommendation and forward it to Umalusi Council for approval.
- 55. The report sent to Umalusi Council must contain the salient points on which basis the recommendations are made.
- 56. If Umalusi Council is satisfied with the submission in respect of the sustainability and capacity of the applicant, they may approve the conduct of the pilot examination. A copy of the approved signed submission is filed by the manager responsible for accreditation of private assessment bodies for record purposes.
- 57. If Umalusi Council does not approve the recommendation, the submission is returned to the secretariat with clear indications of what needs attention. Once the points of disagreement or uncertainty have been addressed, the submission

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is returned with an amended recommendation for approval by Umalusi Council.

58. Once approval has been obtained, formal feedback in the form of a letter and a written report is sent to the applicant, inviting the applicant to prepare for the administration of a pilot examination. Included in the letter is an indication of the cost of the quality assurance services for the pilot, the subjects / learning areas that may be assessed, and the payment that must be made on receipt of an invoice prior to beginning the processes for the pilot examination.
59. Should approval be denied, formal feedback in the form of a letter is sent to the applicant terminating their application. The applicant may re-apply (subject to paragraphs 26 and 27 of this document.)

Administration of a pilot examination

60. Once invited to conduct a pilot examination, the applicant is provided with guidance from the manager responsible for accreditation of private assessment bodies on the requirements for the conduct of a pilot examination, and the applicant is required to submit a management plan for the pilot examination, which will be monitored.
61. All operational units of Umalusi, namely the E&A, QAA (SQ or PSQ depending on the qualification), QCC, and SIR units, work together in monitoring the unfolding administration of the pilot examination through:
 - a) Monitoring the roll-out of the pilot management plan (E&A);
 - b) Evaluation of IT systems, data and certification (QCC);
 - c) External moderation of internal assessment and examination question papers and marking (QAA);
 - d) Monitoring the conduct of the pilot examination (E&A) & (QAA); and
 - e) Standardisation of results and approval of results and research (SIR) and (QAA).
62. Once the pilot examination is completed, the manager responsible for accreditation of private assessment bodies consolidates the various monitoring reports.
63. The manager responsible for accreditation of private assessment bodies presents the consolidated report with a recommendation to the IMC for interrogation.
64. The IMC's recommendation is submitted to the ACC.
65. The accreditation report with the ACC's recommendation is submitted to Council for approval.

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66. The applicant will be formally notified of Umalusi Council's decision through a letter from the Chair of Umalusi Council which will include:
- a) A report on the pilot project;
 - b) The accreditation decision of provisional accreditation for three (3) years or a window period to improve;
 - c) If provisional accreditation is granted, an invitation to attend a compulsory workshop on the requirements for conducting successful assessments in the national assessment system. All the units that constitute national operations participate in the workshop and each unit issues its relevant policy documents that serve to provide support in the unfolding annual examination process.
67. The newly provisionally accredited assessment body must join the routine annual quality assurance processes of the Council as explicated in the various directives issued by the Council, including:
- a) Verification of the state of readiness to conduct examinations;
 - b) Conduct of the examinations;
 - c) Complying with the directives for compliance indicated in the Umalusi reports on quality assurance of assessment of the examinations.
68. The applicant will commence with stage 2 of the application process, namely completion of a self-evaluation report and portfolio of evidence against accreditation criteria, in the second year of provisional accreditation. The process will unfold as indicated in Figure 1 below.
69. The assessment body whose pilot examination or full accreditation was unsuccessful must submit a 'wrap up' plan which includes but is not limited to the following:
- a) How the interest of learners who were successfully registered for the assessment offered by the private assessment body will be protected;
 - b) How the learner records are to be safeguarded and handed over to Umalusi;
 - c) How the assessment body intends addressing all outstanding issues relating to its work as a private assessment body;
 - d) The contact person/s and details of people who can be contacted after the assessment body has been removed from the national assessment system.

Steps in the accreditation process of private assessment bodies

70. The steps in the accreditation process for private assessment bodies are indicated in Table 1 below.

Table 1

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No.	Accreditation Steps	Process	Responsibility	Outcome / way forward
1.	Application	1.1 Letter of intent (LOI) and sworn declaration.	AB	a. Invitation for a presentation to the IMC b. Assessment body informed the qualification is not within Umalusi's mandate OR c. Deferred application – Further information required OR d. Re-application (second presentation to IMC) OR e. Recommended candidate – Proceed to step 3 OR f. No justifiable need for the assessment body – application declined
		1.2 Payment is made.	AB	
2	Presentation to the IMC	2.1 Presentation before the Internal Moderation Committee (IMC) on the Justifiable Need.	AB IMC	
3	Self-evaluation (SE) report	3.1. Completion of SE Report and portfolio of evidence - against accreditation criteria.	AB	a. Deferred application – Further

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No.	Accreditation Steps	Process	Responsibility	Outcome / way forward
		3.2 Payment is made.	AB	information required OR
		3.3 Desktop evaluation of SE report and portfolio of evidence.	Manager: AB / Appointed Evaluator	b. Recommended pilot candidate – Proceed to step 5 OR
4	Site verification process	4.1. Site verification visit by IMC and independent experts, invited on the basis of their expertise in assessment, quality assurance, accreditation / monitoring.	IMC and independent experts	c. Limited compliance – improvement plan to be submitted OR
		4.2 Site verification and self-evaluation reports are consolidated into an accreditation report.	Manager: AB	d. Permission to conduct pilot declined – reapplication or end of application
		4.3 Consolidated accreditation report is presented to the IMC.	Manager: AB	
		4.4 Consolidated accreditation report is presented to the ACC.	Senior Manager: E&A / E&A Manager responsible for private assessment bodies	
		4.5 Consolidated accreditation report is presented to Council.	Senior Manager: E&A / E&A Manager responsible for private assessment bodies	
		4.6 Approval of the accreditation decision.	Umalusi Council	
		4.7 Feedback to AB on Council decision, and if recommended, notification of conditions surrounding conduct of pilot examination.	Manager: A&C	

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No.	Accreditation Steps	Process	Responsibility	Outcome / way forward
		4.9 Conditions of the pilot, including payment, are outlined in a letter to the applicant.	Manager: A&C	
5	Conduct of pilot examination	5.1 Payment is made.	AB	a. Provisional accreditation for a period of 3 years OR b. Window period to improve OR c. No accreditation pilot declined - re-application.
		5.2 Conduct of pilot examination according to specific conditions.	AB	
		Monitoring of the pilot exam.	E&A, QAA, QCC and SIR units	
		5.3 Consolidated report on conduct of pilot exam presented to the IMC.	Manager: AB	
		5.5 Consolidated report and IMC recommendation on conduct of pilot exam presented to the ACC.	Senior Manager: E&A / E&A Manager responsible for private assessment bodies	
		5.6 Consolidated report and IMC and ACC recommendations on conduct of pilot exam presented to Umalusi Council.	Senior Manager: E&A / E&A Manager responsible for private assessment bodies	
		5.7 Approval of the accreditation decision on conduct of pilot examination.	Umalusi Council	
		5.8 Feedback to AB on Council decision.	Manager: A&C	
6	Conduct of full-scale examinations	Attend a compulsory workshop on the requirements for conducting successful assessments in the national assessment system.	AB	o. Permission to apply for full accreditation OR

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No.	Accreditation Steps	Process	Responsibility	Outcome / way forward
		All the units that constitute national operations participate in the workshop and each unit issues its relevant policy documents that serve to provide support in the unfolding annual examination process.	E&A, QAA, QCC and SIR units	b. Window period to improve OR
		6.1 Conduct of full-scale examinations according to specific conditions.	AB	c. Permission to apply for full accreditation declined – teach out period.
		6.2 The newly provisionally accredited assessment body must join the routine annual quality assurance processes of the Council as explicated in the various directives issued by the Council.	AB	
		6.3 Monitoring of the conduct of full-scale examinations.	E&A, QAA, QCC and SIR units	
		6.4 Consolidated report on the conduct of full-scale examinations presented to the IMC.	Manager: AB	
		6.5 Consolidated report and IMC recommendation on conduct of full-scale examination presented to the ACC.	Senior Manager: E&A / E&A Manager responsible for private assessment bodies	
		6.6 Consolidated report and IMC and ACC recommendations on conduct of full-scale examinations presented to Umalusi Council.	Senior Manager: E&A / E&A Manager responsible for private assessment bodies	
		6.7 Approval of the accreditation decision on conduct of full-scale examinations.	Umalusi Council	

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No.	Accreditation Steps	Process	Responsibility	Outcome / way forward
		6.8 Feedback to AB on conduct of full-scale examinations.	Manager: A&C	
STAGE 2: Application for full accreditation in the 2nd year of provisional accreditation				
7	Self-evaluation (SE) report	7.1 Completion of SE Report and portfolio of evidence against accreditation criteria within the second year of provisional accreditation.	AB	a. Further information required OR b. Move to step 8
		7.2 Payment is made	AB	
		7.3 Desktop evaluation of SE report and portfolio of evidence.	Manager: AB / Appointed Evaluator	
8	Site verification visit	8.1 Payment is made	AB	a. Full accreditation OR b. Extension of provisional accreditation OR c. No accreditation – teach out period.
		8.2 Site verification visit by IMC and independent experts	IMC and independent experts	
		8.3 Site verification and self-evaluation reports are consolidated into an accreditation report.	Manager: AB	
9	Monitoring the conduct of examinations	9.1 Conduct of full-scale examinations according to specific conditions.	AB	
		9.2 Monitoring of the conduct of full-scale examinations.	E&A, QAA, QCC and SIR units	
		9.3 Complying with the directives for compliance indicated in the Umalusi reports on quality assurance of assessment of the examinations.	AB	
10	Consolidated accreditation report:	Preparation of a consolidated report on the self-evaluation report, QAA report on the state of readiness and the conduct of examinations.	Manager: AB	
11	Consolidated accreditation report	Presentation of the consolidated report on the self-evaluation	Manager: AB	

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No.	Accreditation Steps	Process	Responsibility	Outcome / way forward
	presented to IMC	report, QAA report on the state of readiness and the conduct of full scale examinations before the IMC.		
12	Consolidated accreditation report presented to ACC with recommendations	Presentation of the consolidated report on the self-evaluation report, QAA report on the state of readiness and the conduct of full scale examinations to the ACC.	Senior Manager: E&A / Manager: AB	
13	Consolidated accreditation report presented to Council with recommendations.	13.1 Presentation of the consolidated report on the self-evaluation report, QAA report on the state of readiness and the conduct of full-scale examinations to Umalusi Council.	Senior Manager: E&A / E&A Manager responsible for private assessment bodies	
		13.2 Approval of application of an assessment body for on the conduct of full-scale examinations.	Umalusi Council	
14	Feedback to the assessment body	Feedback to assessment body on the application for full accreditation on the conduct of full-scale examinations.	Manager: AB	
15	Post accreditation monitoring	Payment of relevant post accreditation fees.	AB	a. Continued accreditation OR b. Withdrawal of accreditation if a private assessment body does not continue to meet the accreditation criteria or does not pay the required quality assurance fees – teach out period.
		Accredited assessment body subjected to post accreditation monitoring.	E&A, QAA and QCC	
		Submission of improvement plan in line with directives of Umalusi.	AB	
		Submission of monitoring report in line with accreditation criteria.	AB	
		Accredited assessment body is required to continually satisfy all the post-accreditation monitoring requirements and comply with the directives issued by Umalusi.	AB	

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No.	Accreditation Steps	Process	Responsibility	Outcome / way forward

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Table 2 : Overview of the steps in the accreditation process

Step No.	Description of the step in the process. <i>Applicants must meet the requirements for a step before progressing to the next step in the process. The application may be terminated if the applicant does not meet the requirements for a step.</i>
STAGE 1	
1.	Application Letter of intent and sworn declaration.
2.	Justifiable Need Presentation before the Internal Moderation Committee (IMC) on the Justifiable need for the private assessment body to assess a qualification on the GFETQSF.
3.	Self-evaluation report Completion of SE Report by the applicant. Desktop evaluation of the SE report portfolio of evidence against accreditation criteria.
4.	Site verification visit by IMC and assessment experts.
5.	Pilot examination Permission by Umalusi Council to conduct a pilot examination.
6.	Provisional Accreditation for 3 years with permission to conduct full scale examinations (in specific subjects) during the provisional accreditation
STAGE 2	
7.	Self-evaluation report Completion of a SE Report by the applicant in the second year of the provisional accreditation. Desktop evaluation of the SE report portfolio of evidence against accreditation criteria.
8.	Site verification visit by IMC and independent experts.
9.	Monitoring the readiness for and conduct of examinations.
10.	Development of a Consolidated Accreditation Report The findings of the self-evaluation report, the site verification visit, the monitoring of the state of readiness and the monitoring of the conduct of examinations are consolidated into a consolidated accreditation report.
11.	Presentation to the IMC The findings of the evaluation are presented to the IMC .
12.	Presentation to the ACC The findings of the evaluation and recommendations of the IMC are presented to the ACC .
13.	Presentation to Umalusi Council The findings of the evaluation and recommendations of the IMC and ACC are presented to Umalusi Council for an outcome on the application for accreditation.

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Step No.	Description of the step in the process. <i>Applicants must meet the requirements for a step before progressing to the next step in the process. The application may be terminated if the applicant does not meet the requirements for a step.</i>
14.	Feedback to the assessment body Feedback is provided to the applicant on the outcome of their application for accreditation.
15.	Post Accreditation Monitoring (for accredited private assessment bodies)

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CHAPTER 4

Accreditation Status of Private Assessment Bodies

71. Umalusi accredits private assessment bodies for their capacity to manage and coordinate national examinations and/or other assessments of learner achievement in respect of qualifications that are certified by Umalusi. Private assessment bodies are also accredited in terms of their capacity to set national examinations and assessments at the standard required by Umalusi.
72. Umalusi may grant provisional accreditation or a window period to improve at stage 1; and accreditation, provisional accreditation, or no accreditation at stage 2.
73. Accredited private assessment bodies are monitored annually to ensure on-going compliance with policies and regulations, and for maintenance and improvement of standards.
74. Umalusi may withdraw accreditation if a private assessment body does not continue to meet the accreditation criteria or does not pay the required quality assurance and certification fees. The steps for withdrawal of accreditation include:
 - a) determining a reasonable period within which the private assessment body must comply with the accreditation policy;
 - b) at the expiry of the period, evaluating the steps taken by the assessment body; and affirm or withdraw accreditation of the assessment body;
 - c) in withdrawing accreditation, serving notice of administrative action to withdraw the accreditation of the private assessment body at an appropriate time so as to minimise implications for existing and future learners.
75. A private assessment body that has been granted no accreditation or has had its accreditation withdrawn may *not* register learners for the next examination cycle, nor conduct any form of assessment for qualifications on the General and Further Education and Training Qualifications Sub-framework (GFETQSF).
76. Although the private assessment body is accredited for an indefinite period, it will be subjected to on-going post-accreditation monitoring, including annual monitoring in respect of their state of readiness for and conduct of the national examinations.
77. Reports relating to the conduct, administration and examination monitoring as well as the state of readiness will be presented by the QAA unit to the ASC for their consideration.

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78. In the case where the accredited private assessment body is found not to comply with Umalusi's monitoring requirements or is found to compromise the credibility of the national examinations and assessment, the IMC, through the ACC, may recommend the withdrawal of the accreditation. In an event where the accreditation status of the Assessment Body is withdrawn, Umalusi will comply with the Promotion of Administrative Justice Act, 2000.

Provisional accreditation

79. Provisional accreditation may be granted to private assessment bodies for a **period of three years** during which time the assessment body must meet all the requirements of accreditation.

There are two types of provisional accreditation:

79.1 Provisional accreditation as a compulsory step in Stage 1 of the accreditation process during which time the private assessment body must demonstrate compliance with the criteria for full accreditation;

79.2 Provisional accreditation if the assessment body has satisfied all the critical criteria for accreditation which ensure the credibility of the examination, but still needs to improve on certain criteria or areas.

80. Provisional accreditation of an assessment body may be extended by Umalusi Council on reasonable grounds, to enable the assessment body to comply with the requirements to assess a qualification or programmes leading to a qualification on the General and Further Education and Training Qualifications Sub-framework.

81. If the assessment body fails to meet the requirements for provisional accreditation, it may not continue to offer national examinations for qualifications registered on the GFETQSF.

82. Critical criteria that **MUST** be met include the following:
- a) The necessary management and assessment policies and procedures are documented and implemented;
 - b) Planning is comprehensive and the execution is effective and efficient; resourcing is adequate, communication is efficient, risks are managed satisfactorily, governance is functional and assessment takes place in a secure and well-regulated context;
 - c) Planning is informed by an analysis of the assessment results;
 - d) One hundred per cent of the total examination question papers are successfully set by the assessment body;

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- e) Reliable and stable IT systems for the storage and processing of learner results exist. Effective resulting including the possibility of effecting combinations across different examination years / sessions and reporting systems exist.
- f) Examinations are administered in a credible (secure) manner.

83. Private assessment bodies that are granted three years' provisional accreditation in Stage 1 of the application are required to complete a self-evaluation report in the second year of their provisional accreditation. The application process will be outlined to them by Umalusi.

Window period

84. Private assessment bodies for which the ACC recommends a “window period to improve” will be informed about:
- a) the reasons for the decision;
 - b) the conditions to be met, the risks to be mitigated, and the time period within which the conditions must be met.
 - c) Failure to meet the conditions will lead to the implementation of the “no accreditation” decision by Council; and
 - d) the re-application process will need to be followed should the applicant fail to meet the conditions outlined.

No accreditation

85. Applicants which are found not to comply with the accreditation criteria will be granted a “no accreditation” status after provisional accreditation or a window period to improve and will be subjected to a teach-out period.

Review and appeal of accreditation decisions

86. The review and appeal processes are internal processes of validating an accreditation decision, which are addressed as follows:
- a) A query or appeal is received from the assessment body.
 - b) An invoice is raised for an assessment body to pay an appeal fee, which is determined on an annual basis by Umalusi Council.
 - c) The assessment body must pay the required appeal fee.
 - d) The query or appeal is recorded in the appeals register.
 - e) The letter containing the query or appeal is brought to the attention of the manager for assessment bodies to investigate the matter.
 - f) The query or appeal and findings are presented to the Internal Moderation Committee (IMC).
 - g) The appeal and recommendation of the IMC are presented to the Accreditation Appeals Committee.

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- h) Recommendations of the Accreditation Appeals Committee are presented for a decision and ratification by EXCO through the AAC Chair.
- i) The outcome is communicated to the assessment body.
- j) If the appeal is successful, the Manager A&C must inform the finance unit to refund the Appeal Fee already paid.

Annual quality assurance of examinations (including monitoring)

- 87. All examinations must be quality assured by Umalusi, (pilot or otherwise). Umalusi quality assures the various stages of the assessment process to ensure the continued meeting of the accreditation criteria and also to ensure that the standards of assessment and examinations are maintained. These quality assurance measures roll out for every examination and for all assessment bodies, whether private or public.
- 88. Annual Quality Assurance is conducted for two main purposes, namely:
 - a) External moderation of the standards of examination question papers, internal assessment, and marking; and
 - b) Monitoring the “state of readiness” to administer examinations (undertaken before each examination is administered), and monitoring of the conduct of examinations.
- 89. The examination and assessment outcomes will be subjected to standardisation processes determined by Umalusi.
- 90. The annual monitoring processes inform the ASC recommendations for approval of examination results by Umalusi’s EXCO on behalf of Council.

Monitoring of accredited assessment bodies

- 91. Monitoring of a private assessment body will take place throughout the assessment cycle, including the State of Readiness to conduct the examinations, the conduct of the examinations, and the marking and resulting processes. The private assessment body will be responsible for the costs of the monitoring processes.
- 92. Monitoring for compliance with the accreditation criteria will be conducted once in four years, or further as necessary, in addition to the quality assurance of the preparation for and conduct of the examinations. The assessment body will be advised in writing of the requirements for the monitoring, and the due date for the submission of evidence in support of compliance with the accreditation criteria.

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93. Bilateral meetings between Umalusi and the assessment body will be conducted to ensure a common understanding of matters related to the examination process. Accredited assessment bodies are required to participate in such meetings arranged by Umalusi.

Withdrawal of accreditation

94. Although compliant private assessment bodies are accredited for an indefinite period, Umalusi may withdraw the accreditation status of an accredited assessment body if it is found not to comply with Umalusi's accreditation criteria.
95. If a recommendation or proposal has been made to withdraw the accreditation of a private assessment body, Umalusi will follow the process laid down in *section 3* of the *Promotion of Administrative Justice Act, 2001 (No. 3 of 2000)* before a decision is made whether or not to withdraw the accreditation.
96. The assessment body whose accreditation is being withdrawn must submit a 'wrap up' plan which includes but is not limited to the following:
- a) How the interest of learners who were successfully registered for the assessment offered by the de-accredited private assessment body will be protected;
 - b) How the learner records are to be safeguarded and handed over to Umalusi;
 - c) How the assessment body intends addressing all outstanding issues relating to its work as a private assessment body;
 - d) The contact person/s and details of people who can be contacted after the assessment body has been removed from the national assessment system.

Administrative action

97. When Umalusi notifies an assessment body of administrative action that has been taken that materially and adversely affects that assessment body's rights, Umalusi must also inform that assessment body of the following:
- 97.1 the assessment body's right to request reasons for the administrative action within 90 days after becoming aware of the administrative action (i.e. after receipt of the notification)
 - 97.2 the formal requirements in regard to such request i.e. that the request must –
 - a) be in writing
 - b) be addressed to Umalusi

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- c) be sent by post, fax or electronic mail or delivered by hand
- d) indicate the administrative action at issue
- e) indicate which rights of the requester are affected
- f) state the full name and postal address and electronic mail address of the requester
- g) state the telephone and fax numbers of the requester

97.3 of any right of internal appeal/review;

97.5 the time period within which such appeal/review proceedings must be instituted by the requester;

97.6 the name and address of the assessment body with whom such appeal/review proceedings must be instituted;

97.7 any other formal requirements in respect of such appeal/review proceedings.

Extension of scope

98. An accredited assessment body may apply for an extension of scope, that is, to increase the subjects / learning areas or registered qualifications that it assesses. Individual qualifications require both general and specific assessment expertise. Extension of scope requires additional resources which include financial resources. Extension of scope may not be used solely for increasing the assessment body's current revenue. The process for the extension of scope includes:

- a) Written application for the extension of scope;
- b) A presentation to an Umalusi panel of the intention to extend the current scope which must demonstrate the justifiable need and sustainability;
- c) Submission of a self-evaluation report by the applicant in respect of the new qualifications;
- d) Internal evaluation of the submission by an experienced appointed evaluator;
- e) A verification site visit by the IMC and appointed experts;
- f) Recommendations by the IMC, ACC and approval by Umalusi Council to conduct a pilot examination;
- g) A Council decision to accredit the assessment body to assess the additional qualification(s).

99. Umalusi may limit the number of subjects / learning areas or qualifications an assessment body may apply to assess.

Change of ownership

100. Should an accredited or provisionally accredited assessment body change ownership during the period of accreditation, Umalusi must be notified at least 90 days prior to the change of ownership taking effect. The assessment body

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must provide details of the new ownership, together with the new CIPC document indicating change of directors. On payment of the relevant fee, Umalusi will undertake an evaluation process to determine the impact of the change of ownership on the accreditation of the assessment body.

A recommendation on the continued accreditation or withdrawal of accreditation will be presented to Umalusi Council for approval through the IMC, and ACC.

Change of premises

101. Should an assessment body that is accredited, provisionally accredited or in the process of conducting a pilot examination, change premises during the period of accreditation, Umalusi must be notified at least 30 days prior to the change taking place. On payment of the relevant fee, Umalusi will conduct an evaluation, including a site visit to verify whether the new premises meets all the health, safety and resource requirements.

Should the new premises be found not suitable, Umalusi will provide the assessment body with a reasonable period to address the issues. If the issues are not addressed within the given timelines, a recommendation on the withdrawal of accreditation will be presented to Umalusi Council for approval through the IMC, and ACC.

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CHAPTER 5

Record keeping

102. Secure, accurate records must be kept by Umalusi to ensure compliance with the Promotion of Administrative Justice Act, 2000, the Umalusi file plan, and to ensure an effective accreditation and monitoring system for Private Assessment Bodies.

Reporting

103. The Evaluation and Accreditation unit develops the accreditation evaluation reports.

104. Umalusi provides reports to Umalusi Council on accreditation and quality assurance of assessment.

105. Umalusi also reports to individual assessment bodies on their performance in each examination cycle. The reports include the directives which the assessment body must respond to within a specified period as well as recommendations made. Failure to address the directives may affect the future accreditation status of an assessment body.

Reports

106. The following reports are developed by the Evaluation and Accreditation sub-unit responsible for accreditation of private assessment bodies:

- a) Report on the justifiable needs presentation
- b) Desktop evaluation reports
- c) Site verification reports
- d) Consolidated accreditation reports
- e) Report on the accreditation of private assessment bodies
- f) Monitoring reports

Assessment bodies' enquiries and support

107. Assessment bodies may be supported telephonically, or through an online platform by sub-unit staff members.

108. One-to-one support of the assessment bodies by Umalusi staff may take place either at the assessment body's premises or at Umalusi's premises, or online.

Review of this Guideline

109. This Guideline shall be reviewed biennially and as required.

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