

## DEPARTMENT OF BASIC EDUCATION

## NOTICE 1353 OF 2022



Council for Quality Assurance in  
General and Further Education and Training

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

In terms of Section 24 of the National Qualifications Framework Act, Act 67 of 2008, as amended, Umalusi is the Quality Council for General and Further Education and Training.

Umalusi is mandated by the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001) to issue certificates to candidates who have successfully achieved qualifications at exit points in general and further education and training.

Accordingly, Umalusi herewith publish the "POLICY FOR THE CERTIFICATION OF CANDIDATE RECORDS ON THE GENERAL AND FURTHER EDUCATION AND TRAINING QUALIFICATIONS SUB-FRAMEWORK" for implementation.

The gazette may be accessed at [www.umalusi.org.za](http://www.umalusi.org.za)

A handwritten signature in black ink, appearing to read "Y. Ballim".

**PROFESSOR YUNUS BALLIM**  
**CHAIRPERSON : UMALUSI COUNCIL**

Date: 12/09/2022

**POLICY FOR THE CERTIFICATION OF CANDIDATE RECORDS ON THE GENERAL AND  
FURTHER EDUCATION AND TRAINING QUALIFICATIONS  
SUB-FRAMEWORK**

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**ABBREVIATIONS AND ACRONYMS**

ABET	Adult Basic Education and Training
CET	Community Education and Training
FET	Further Education and Training
GENFETQA	General and Further Education and Training Quality Assurance
GETC	General Education and Training Certificate
GFETQSF	General and Further Education and Training Qualifications Sub-framework
NATED	National Technical Education
NSC	National Senior Certificate
NC(V)	National Certificate (Vocational)
NQF	National Qualifications Framework
NLRD	National Learners' Records Database
SAQA	South African Qualifications Authority
TVET	Technical and Vocational Education and Training
Umalusi	Council for Quality Assurance in General and Further Education and Training

## CHAPTER 1

### DEFINITIONS, OBJECTIVES AND APPLICATION

#### 1. Definitions

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

In this Policy-

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

**“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 body”** – means a juristic body accredited by the Council for Quality Assurance in General and Further Education and Training (Umalusi) to quality assure internal assessment and conduct external examinations and includes a department of education.

**“candidate”** – refers to any person receiving tuition at a public or independent school or at a learning institution under an accredited assessment body, who enrolled for an examination.

**“certification”** – means the formal recognition of a qualification or part qualification awarded to a successful candidate.

**“Department of Basic Education”** – means the national department responsible for basic education, grades R to 12, which includes general and further education and training.

**“Department of Higher Education and Training”** – means the national department responsible for further education and training/technical and vocational education in colleges, higher education, and adult education and training.

**“General and Further Education and Training Qualifications Sub-framework”** – means the sub-framework of qualifications developed and managed by Umalusi for National Qualifications Framework (NQF) levels 1 to 4 as envisioned in Chapter 2 of the NQF Act.

**“GENFETQA Act”** – means the *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001, as amended)*.

**“Learning area certificate”** – means the certificate issued by Umalusi where a candidate has not met the minimum requirements of the qualification but has obtained credits towards the qualification.

**“Minister”** – means the minister responsible for Basic Education or the minister responsible for Higher Education and Training.

**“National Qualifications Framework”** – means the comprehensive system, approved by the Minister of Higher Education and Training, for the classification, registration, publication and articulation of quality assured national qualifications and part-qualifications. The South African NQF is a single integrated system comprising three coordinated qualifications sub-frameworks: those for General and Further Education and Training, for Higher Education and Training, and for Trades and Occupations.

**“NQF Act”** – means the *National Qualifications Framework Act, 2008 (Act No 67 of 2008, as amended)*.

**“part qualification”** – means an assessed unit of learning (subject or learning area) with a clearly defined purpose that is, or will be, registered as part of a qualification on the NQF.

**“qualification”** – means a registered national qualification consisting of a planned combination of learning outcomes which has a defined purpose or purposes, intended to provide qualifying learners with applied competence and a basis for further learning and which has been assessed in terms of exit level outcomes, registered on the NQF, and certified and awarded by a recognised body.

**“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, and the capacity of the institution or assessment body to offer and/or assess the qualification.

**“replacement certificate”** – means a certificate issued-



- (a) to a candidate who has not qualified for a certificate in one examination sitting (change of status);
- (b) when the original is lost, damaged or destroyed (duplicate); and
- (c) post-irregularity when the sanction period has elapsed.

**“re-issue of a certificate”** – means the re-issuing of a certificate where personal details on the original certificate are not correct or have legally changed or if the certificate was lost before receipt by the candidate.

**“subject statement”** – means the certificate issued by Umalusi where a candidate has not met the minimum requirements of the qualification but has obtained credits towards the qualification.

## 2. Introduction

- (1) Umalusi, as the quality council for the General and Further Education and Training Qualifications Sub-framework (GFETQSF), must, in adherence to *section 27(i) of the National Qualifications Framework Act, 2008 (Act No. 67 of 2008)* (hereinafter referred to as the *NQF Act*), develop policy to ensure compliance by both private and public assessment bodies regarding quality assurance of assessment.
- (2) In adherence to the NQF's objectives, as contemplated in the aforementioned sub-paragraph (1), Umalusi is, in accordance with *section 17A(6) of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)* (hereinafter referred to as the *GENFETQA Act*), responsible for the issuing of certificates to candidates who have achieved qualifications or part-qualifications, respectively.

- (3) Certification, as contemplated in sub-paragraph (2) above, is the formal recognition of candidates having successfully completed a qualification or part-qualification. In view of this, Umalusi is mandated to issue such certificates at exit points in general and further education and training.

### **3. Objectives**

- (1) In order to issue certificates as stipulated in section 17A(6) of the *GENFETQA Act, 2001*), Umalusi maintains the capacity to-
- (a) develop and maintain policies and directives for certification;
  - (b) maintain acceptable standards for awarding certificates; and
  - (c) maintain a certification system and infrastructure, including appropriate security arrangements.
- (2) In compliance with sub-paragraph (1) above, the following objectives are set; to-
- (a) determine standards for the certification of qualifications registered on the GFETQSF as certified by Umalusi;
  - (b) ensure that the standards and requirements for certification are established through rigorous quality assurance processes;
  - (c) develop and manage the certification of candidate achievement through an appropriate certification programme;
  - (d) determine the norms and standards for certification through its directives and outline the certification process;
  - (e) advise the assessment bodies on certification matters; and
  - (f) ensure compliance of candidate resulting and certification data with policies and relevant legislation.

#### 4. Application

- (1) This policy applies to certificates issued for the qualifications listed on the GFETQSF and issued by Umalusi-
- (a) Senior Certificate (Report 550);
  - (b) National Senior Certificate (Schools);
  - (c) National Senior Certificate (reports 190 and 191);
  - (d) National N3 Certificate (reports 190 and 191);
  - (e) National Certificate (Vocational) (NC(V)), levels 2 to 4;
  - (f) Subject Certificate (Report 550 and reports 190 and 191);
  - (g) General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET);
  - (h) Learning Area Certificates (GETC: ABET);
  - (i) Subject Statement (NC(V) and National Senior Certificate (NSC)); and
  - (j) Senior Certificate (as amended).

## CHAPTER 2

### LEGISLATIVE CONTEXT

#### 5. Underpinning legislation

- (1) This policy is premised on the following acts-
  - (a) *The Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996);*
  - (b) *The National Qualifications Framework Act, 2008 (Act No. 67 of 2008) (the NQF Act, 2008); and*
  - (c) *The General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001) (the GENFETQA Act, 2001).*

#### 6. Mandate and responsibilities of Umalusi regarding certification

- (1) *Section 24 of the NQF Act (2008)* provides for the establishment of Umalusi as a quality council that is responsible for the development and management of a sub-framework of qualifications at levels 1 to 4 of the NQF and the related quality assurance processes.
- (2) In accordance with *section 17A(6) of the GENFETQA Act (2001)*, Umalusi is responsible for the issuing of certificates to learners who have achieved qualifications or part-qualifications registered on the GFETQSF, as contemplated in paragraph 3(1) above.
- (3) In its role as a quality council, Umalusi is committed to issuing candidates with valid and credible certificates that are both nationally and internationally comparable.

## 7. Supplementary documents

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

(1) Regulations-

- (a) *Regulations for the issuing of certificates by the Council for Quality Assurance in General and Further Education and Training, amendment to the regulations as published in Government Gazette No 25794 of 2 December 2003, Government Gazette No. 38820 of 25 May 2015; and*
- (b) *Regulations pertaining to the National Curriculum Statement Grades R–12, Government Gazette No 40472 of 2 December 2016.*

(2) Policies-

- (a) *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, published on 8 September 2014;*
- (b) *Conduct, Administration and Management of the National Senior Certificate Examination, Government Gazette No. 30048 of 6 July 2007;*
- (c) *National Requirements of the National Curriculum Statement Grades R–12, Government Gazette No. 36042 of 28 December 2012;*
- (d) *The Higher Education and Training Qualifications Sub-framework, Government Gazette No. 36003 of 14 December 2012; and*
- (e) *Policy for the Re-issue of National Certificates, Government Gazette No 41738 of 29 August 2018.*

- (3) Directives for certification-
- (a) *Directives for Certification National Senior Certificate (Schools);*
  - (b) *Directives for Certification National Certificate (Vocational) Levels 2–4;*
  - (c) *Directives for Certification Senior Certificate, as amended;*
  - (d) *Directives for Certification of the General Education and Training Certificate; and*
  - (e) *Directives for Certification by Umalusi. Senior Certificate, National Senior Certificate (FET Colleges), N3 Certificate, General Education and Training Certificate (ABET Level 4).*

## CHAPTER 3

### ENUNCIATION OF UMALUSI'S PROCESSES AND PROCEDURES TO DEVELOP AND MANAGE AN APPROPRIATE SYSTEM FOR THE CERTIFICATION OF CANDIDATE ACHIEVEMENTS

#### 8. Purpose

- (1) The purpose of this policy is to provide direction to assessment bodies and Umalusi for the responsibilities associated with the certification of learner achievements as stipulated in *section 17A(6) of the GENFETQA Act, 2001*. This policy addresses responsibilities associated with the certification of existing qualifications, as well as with the certification of new qualifications developed for the GFETQSF managed by Umalusi.
- (2) The policy provides a common understanding of the responsibility and requirement stipulated in the *GENFETQA Act, 2001*.
- (3) The policy directs assessment bodies to request certification for candidates who satisfied the requirements of certificates listed in paragraph 4(1).

#### 9. Processes and procedures for the development and management of an appropriate certification system

In pursuance of its aim, namely, to issue credible certificates to successful candidates which are nationally and internationally comparable, Umalusi has to develop processes and procedures for the development of such a certification system, as set out in paragraph 9(1). In the event of discrepancies that may occur during the certification

process, special provision has been made to cater for these discrepancies in paragraph 9(3).

(1) Processes and procedures-

- (a) The resulting data must be approved after an examination was conducted by the assessment bodies;
- (b) Requests for the certification of candidate achievements must only be done after the results have been approved by Umalusi;
- (c) All applications and requests for certification must be submitted to Umalusi by an assessment body within three months of the release of the results;
- (d) Certification for candidates who did not apply for a re-mark or re-checking or a supplementary examination must be submitted within 10 days after the closing date for applications for re-marks, re-checks or supplementary examinations;
- (e) A signed declaration to confirm the accuracy and authenticity of the examination data must be submitted to Umalusi with the request for the bulk certification;
- (f) Rules of combination and pass requirements may change from year to year and therefore care must be taken to ensure that evaluation and resulting for a specific year is done in terms of the rules that apply to that examination, irrespective of what the future rules may be. In view of this, the rules applicable are those that applied at the date of the last examination that is included in the examination;
- (g) The directives for certification, as published by Umalusi, must be adhered to for the certification of candidate records; and



- (h) Amendments to certificates may be requested, provided such amendments comply with the *Policy for the Re-issue of National Certificates*.
- (2) Financial management-
- (a) The following financial principles must be applied-
    - (i) Certification tariffs for private assessment bodies and private institutions are revised and set by Umalusi;
    - (ii) Private assessment bodies must be advised well in advance of changes to the tariffs to allow for budgeting;
    - (iii) New tariffs must be implemented on 1 April of each year;
    - (iv) Private assessment bodies must ensure that these tariffs are shared with their relevant stakeholders;
    - (v) Once a data set has been approved for certification, an invoice is generated for the attention of the private assessment body or private institution;
    - (vi) Certificates are released to the private assessment body or the college/school – as the case may be – if the invoices are paid; and
    - (vii) The certificates of private colleges with accounts in arrears for more than 90 days will be withheld until payment is received.
- (3) The occurrence of discrepancies in the certification process-
- (a) Discrepancy between the date for credit accumulation and the date of the enactment of the current certification requirements-
    - (i) A candidate is certified when the minimum requirements have been met for a specific

qualification or subject/learning area, as stipulated in policy/regulations and directives that were in place and effective in the qualifying year;

- (ii) If the date for obtaining the minimum requirements differs from the enactment date of the certification requirements, e.g. the final examination was completed in 1996, but the application for certification was in 2007, the qualification will be awarded in terms of the rules that applied in 1996, and the candidate will be resulted and issued with a certificate according to the rules effective in 1996. The current, i.e. 2007, rules do not apply in this case. In other words, the rules for the qualifying year will be applied; and
- (iii) The application of different certification requirements, as contemplated in sub-paragraph (3)(a)(ii) above, is subject to a verification process by Umalusi to establish whether the differences in dates of meeting the minimum qualification requirements and the certification requirements are valid.

(b) Recognition of credits previously obtained-

- (i) In the case that a candidate obtained credits towards a national qualification assessed by any of the education departments prior to 1992, i.e. the Senior Certificate, National Senior Certificate, National Technical Education (NATED) Certificate 190/191 or N3 Certificate, such credits may be recognised for the award of the Senior Certificate, National Senior Certificate, NATED 190/191 or N3 Certificate, subject to the compliance of the

candidate with all the requirements for the award of the qualification; and

- (ii) Changes to any of the qualifications, as contemplated in sub-paragraph (2)(b)(i) above, may affect the ruling as contemplated in the set sub-paragraph, should different transitional arrangements be determined.
- (c) Review of qualifications-
- (i) Following the review of a qualification, it may need to be amended or even regarded as no longer serving a need in the system. In such a case, Umalusi and the relevant ministry of education jointly determine a date after which the offering of a qualification on the GFETQSF ceases.
  - (ii) Transitional arrangements must be regulated, and the South African Qualifications Authority (SAQA) must be advised accordingly. Both parties determine and put into effect the transitional arrangements simultaneously; and
  - (iii) Institutions offering qualifications registered on the GFETQSF (public and private schools, public and private technical and vocational education and training (TVET)/community education and training (CET) colleges, and public and private adult learning/education centres) must be fully advised by means of a circular of amendments to a qualification, or of the transitional arrangements for a qualification that ceases to be offered.

- (d) Completion of outstanding requirements in order to meet certification requirements-
  - (i) The certification of a qualification, as contemplated in sub-paragraph (3)(c)(i), nevertheless remains a possibility. Should Umalusi establish whether the rules of combination prescribed in the policy document have met its approval, it could grant approval to a candidate for the completion of the outstanding requirements by offering a subject/s from an existing qualification.
  - (ii) Subject to Umalusi's decision in such a case, as contemplated in sub-paragraph (3)(d)(i), the qualification will be awarded, and the certificate issued will be effective in the month following the offering of the last subject.
- (e) Phased-out qualifications-
  - (i) A qualification that is no longer offered is nevertheless retained on the GFETQSF and remains valid.

**10. Responsibilities of the assessment bodies for the development and management of an appropriate certification system**

- (1) Assessment bodies must adhere to the regulations pertaining to the conduct, administration, and management of the national examinations.

The following sections from the regulations are of importance to the certification system-

- (a) Registration of candidates.
- (b) Management of irregularities;

- (c) Registration and accreditation of independent/private education institutions.
  - (d) Access to certification information; and
  - (e) Minimum requirements for an examination computer system.
- (2) Assessment bodies must adhere to Umalusi's requirements for standardisation, statistical moderation and resulting, and must submit all candidate records to Umalusi for the approval of the examination results.
- (3) Only candidates' records that were approved during the resulting process must be submitted to Umalusi for certification.
- (4) The certification data submitted to Umalusi must comply with the directives for certification as published by Umalusi for the qualifications registered on the GFETQSF.
- (5) Assessment bodies are responsible for preparing and submitting certification data to Umalusi in terms of first issues, re-issues and replacement certificates for candidates from September 1992 for qualifications on the GFETQSF.
- (6) Assessment bodies must submit a signed declaration with the submission of the examination and resulting data for certification to Umalusi for bulk certification.
- (7) Assessment bodies must ensure that all candidates' records are submitted for certification and are certified by Umalusi.

- (8) Assessment bodies must ensure that candidates enrol/register at independent/private educational institutions that are accredited by Umalusi
- (9) The resulting and certification computer system must also support the automatic combination of academic records (subject statements) into a certificate and be able to process replacements (duplicates) or re-issues of certificates.
- (10) Assessment bodies must ensure and apply stringent security measures during the processing of queries, the combination of results and the verification of results.
- (11) Assessment bodies must ensure that there are backup copies of the electronic certification records and that data is securely saved.
- (12) Assessment bodies are responsible for the collection of the certificates from Umalusi and distribution thereof to certificate holders.

**11. Responsibilities of Umalusi for the development and management of an appropriate certification system**

- (1) Umalusi must ensure that policy and regulations governing the qualifications are translated into directives for certification for implementation on the certification processes and system.
- (2) Umalusi is responsible for ensuring that, through rigorous quality assurance processes, the certificate it issues meets the minimum requirements for the qualification.

- (3) Umalusi must approve the resulting data during the standardisation and resulting processes and provide feedback on non-approved transactions.
- (4) Umalusi must process requests for certification and ensure that all candidates who qualified for a certificate are issued with a certificate.
- (5) Umalusi must ensure that all datasets are processed, records are certified and certificates are issued by ensuring the certification of candidate records and the issuing of certificates to candidates who have achieved a part or full qualification.
- (6) To certify qualifications, Umalusi must verify that the computer system used by the assessment body complies with the qualification policy and requirements and that the data submitted for certification is reliable and valid.
- (7) Umalusi manages the certification of candidate records through developing and managing a certification and verification system that complies with policy requirements and Umalusi's directives for certification, and which verifies and approves data for candidate certification submitted by accredited assessment bodies.
- (8) Umalusi develops and manages suitable systems, processes and procedures for both the certification and verification of qualifications.
- (9) Umalusi maintains an updated database of all certificates issued and keeps an audit trail on transactions executed by users on the system.

- (10) Umalusi controls access to the system and trains users to undertake the processing of information for candidate certification.
- (11) Umalusi verifies candidate records on request.
- (12) Umalusi must ensure that National Learners' Records Database (NLRD) data is submitted 30 days after quality assurance processes are completed.
- (13) Candidates from unaccredited institutions will not be certified by Umalusi.



## CHAPTER 4

### SECURITY OF THE CERTIFICATION SYSTEM AND THE SAFEKEEPING OF HISTORICAL CERTIFICATE RECORDS

#### 12. Creation of a credible and secure certification environment

##### (1) Principles for ensuring security-

The following safety measures must be adhered to-

- (a) Users with controlled access to the system must sign a declaration of confidentiality.
- (b) All activities on the system must leave an audit trail.
- (c) Accountable officers such as the system administrators must maintain and manage user access to the system.
- (d) A modular approach for easy management of the system must be followed.
- (e) Storage and printing of certificates must take place in a secure environment.
- (f) A record of all certificates issued must be maintained.
- (g) Credible certificate background paper, which has security features that are regularly enhanced, must be used; and
- (h) Backup and storage of data must be maintained.

##### (2) Security features of the certificate-

Umalusi must ensure that the format for the certificate background paper includes various security features and must improve these security features frequently by introducing the latest developments in the field of security printing, with the aim of avoiding the possibility of fraudulent certificates being produced.

(3) Monitoring of the security system-

Umalusi must-

- (a) Monitor whether its printers comply with security policy; and
- (b) Manage the printing and storage of certificates issued to candidates.

**13. Unclaimed certificates**

- (1) All unclaimed certificates should be shredded after a period of five (5) years. All unclaimed certificates should be kept as follows at a venue or storage before shredding can take place-
  - (a) School: one (1) year.
  - (b) District or circuit: two (2) years; and
  - (c) Assessment body (Head Office): two (2) years.
- (2) After five (5) years, the assessment body should shred all unclaimed certificates during the sixth year.
- (3) Records for all shredded certificates should be captured and stored on the electronic certification system of the assessment body and that of Umalusi.

**14. Access to certificate information and systems**

- (1) Only registered users must have access to the certification system.
- (2) Users who are inactive for a period of six months must be removed.
- (3) External users may only be granted viewing rights if approved by Umalusi.

## CHAPTER 5

### CERTIFICATION OF CANDIDATE ACHIEVEMENT

#### 15. Underlying principles for the certification of qualifications registered on the GFETQSF

- (1) Each qualification that is registered on the GFETQSF is underpinned by-
  - (a) its own policy, which determines the candidate registration and certification requirements; and
  - (b) the necessary supporting documentation that allows for the implementation of the qualification.
- (2) All policy and directives for the certification of qualifications are informed by the following, and are explicated in the relevant directives for certification-
  - (a) *The Policy for Further Education and Training Qualifications Sub-framework, Government Gazette No 38029 of 29 September 2014*; and
  - (b) The individual qualification requirements, derived from the qualification policy.

#### 16. Procedure for the issuing of certificates by means of public or private accredited assessment bodies

- (1) Umalusi is responsible for the registration of qualifications on the GFETQSF of the NQF at SAQA to serve as a formal recognition of a qualification on the NQF.
- (2) Prior to the issuing of a certificate for a qualification, Umalusi must satisfy itself that the results are verified as being of the required

standard. Only after such approval of results by Umalusi, may a request from an assessment body for the issuing of a certificate be considered.

- (3) The qualification submitted to Umalusi to be certified must comply with the following-
  - (a) Rules of combination.
  - (b) Council requirements for certification in terms of the *GENFETQA Act, 2001*.
  - (c) The policy governing the specific qualification; and
  - (d) The directives for certification.
- (4) Umalusi must determine the following-
  - (a) Format of the certificate.
  - (b) Printed information on the certificate; and
  - (c) The way in which certificates are replaced.
- (5) The final certificate to be issued must be signed by the CEO of Umalusi.
- (6) The issuing of subject statements is optional and will be issued on request from the assessment body.
- (7) A certification fee must be paid by private colleges and private assessment bodies for the issuing of certificates.
- (8) Candidates from colleges that are suspended from receiving certificates due to fees not being paid may apply at Umalusi for the issuing of their individual certificates. The certificates will be printed upon receipt of proof of payment. The certification fee for this category will be reviewed annually.

## **17. Certification of foreign qualifications and jointly quality assured qualifications**

- (1) Umalusi may consider the certification of qualifications that are jointly quality assured with other quality councils.
- (2) Should Umalusi agree to certify a qualification (or a variant of a registered qualification) in terms of an inter-governmental agreement, Umalusi will advise the relevant minister of education regarding the role and responsibilities it is able to undertake in respect of the agreement and will issue directives for certification in this regard.
- (3) Where it has been agreed among the parties that Umalusi will serve as the certification body on behalf of the ministry of education of another state or will recognise subjects from a foreign qualification as part of a registered South African qualification, such a body will have to adhere to the quality assurance and certification requirements determined by Umalusi.

## **18. The management of certified data**

- (1) Umalusi is the custodian of all certified data and is therefore responsible for verifying certified data for qualifications registered on the GFETQSF.
- (2) Certified data is available for research purposes but must always be stored in a secured environment to protect the data of individual candidates.
- (3) Certified data for research purposes, as contemplated in subparagraph (2) above, may only be used-

- (a) within the parameters determined by Umalusi's Ethics Policy and adherence to public laws.
  - (b) subject to the approval of the CEO in the case of third-party requests for certified data from Umalusi for research purposes only, provided the request has been done in good faith; and
  - (c) if the necessary authority is exercised in compliance with applicable laws relating to protection of information.
- (4) In the event of an assessment body being de-accredited or closes down-
  - (a) A written agreement with regard to the finalisation of assessment data for certification between Umalusi and the outgoing assessment body must be put in place.
  - (b) All assessment data and examination administration information from the de-accredited assessment body must be handed over to Umalusi for safekeeping; and
  - (c) Candidates from the affected assessment bodies may apply for their lost certificates at Umalusi after the assessment body has been de-accredited.
- (5) If an assessment body is no longer accredited by Umalusi, the certification data of candidates must be available as reliable and valid certification data in order to allow a candidate to request a replacement certificate.
- (6) In the event of an assessment body no longer being accredited by Umalusi, as contemplated in sub-paragraph (5), Umalusi, who is the custodian of the certified data, may approach another accredited assessment body or a department of education to host the examination and resulting data for certification purposes.

- (7) The candidates registered at the assessment body no longer accredited by Umalusi, as contemplated in sub-paragraph (6), will be allowed to request a replacement certificate through the nominated hosted assessment body contemplated in sub-paragraph (6). No changes to data of candidates on certificates issued in such case will be accommodated; only a replacement of a certificate must be issued.

## **19. Concessions**

- (1) If a candidate has not complied with the minimum entrance requirements for a qualification, an assessment body may request the minister of education to provide a special concession, after consultation with Umalusi, and the relevant policy must be updated according to the decision taken.

## CHAPTER 6

### REGULATIONS

#### 20. Development of regulations

- (1) In terms of *section 27* of the *GENFETQA Act, 2001*, the Minister of Basic Education may make regulations regarding any matter that may or must be prescribed by regulation in terms of the said Act.
- (2) Umalusi may, in terms of *Section 27* of the *GENFETQA Act*, as contemplated in sub-paragraph (1) above, request the Minister of Basic Education to develop regulations with regard to the issuing of certificates for qualifications registered on the GFETQSF.



## CHAPTER 7

### TRANSITIONAL ARRANGEMENTS AND SHORT TITLE

#### 21. Transitional arrangements

Until such time as the Chairperson of Umalusi Council has promulgated the *Policy for the Certification of Candidate Records on the General and Further Education and Training Qualifications Sub-framework (External)* in the *Government Gazette*, the said policy will be implemented as directives for a transitional period, commencing on the date of approval by the Umalusi Council.

#### 22. Short title

This policy may be cited as the *Policy for the Certification of Candidate Records on the General and Further Education and Training Qualifications Sub-framework (External)* and will commence on the day of its promulgation in the *Government Gazette*.



Council for Quality Assurance in  
General and Further Education and Training

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

In terms of Section 24 of the National Qualifications Framework Act (Act 67 of 2008), Umalusi is the Quality Council for General and Further Education and Training.

In 2001 Umalusi, the Council for Quality Assurance in General and Further Education and Training, was mandated by parliament, in its founding Act, General and Further Education and Training Quality Assurance Act, 2001 (Act 58 of 2001) as amended, as the quality assurance body for qualifications at Levels 1 – 4 of the National Qualifications Framework (NQF).

In terms of section 27 of the National Qualifications Framework Act, 67 of 2008, Umalusi hereby gives notice for the publication of the gazette for public comments on the *Policy for Credit Accumulation and Transfer*.

The policy may be accessed at [www.umalusi.org.za](http://www.umalusi.org.za)

If any party is unable to access the document from the website for any reason, please contact Dr Stephan Mchunu at 012 030 0795 for assistance.

All interested persons and organisations are invited to comment on the *Policy for Credit Accumulation and Transfer* in writing and to direct their comments to:

The Chief Executive Officer  
Umalusi  
PO Box 151  
Persequor Technopark  
Pretoria  
0020  
South Africa

Attention: Dr Stephan Mchunu  
E-mail: [Stephan.Mchunu@umalusi.org.za](mailto:Stephan.Mchunu@umalusi.org.za)

Kindly provide the name, address, telephone number, and e-mail address of the person or organisation when submitting comments. Comments should reach the Umalusi within 30 calendar days of publication of this notice.

**PROFESSOR YUNUS BALLIM**  
**CHAIRPERSON : UMALUSI COUNCIL**

Date: 12/09/2022



Council for Quality Assurance in  
General and Further Education and Training

**POLICY FOR  
CREDIT ACCUMULATION AND TRANSFER**

**Umalusi**

Public comment

**Umalusi**

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## POLICY FOR CREDIT ACCUMULATION AND TRANSFER

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## 1. Definitions and glossary

Any word or expression in this document to which a meaning has been assigned in the National Qualifications Framework (NQF) Act (Act 67 of 2008) as amended, and the General and Further Education and Training Quality Assurance Act (GFETQSF) (Act 58 of 2001) as amended, or SAQA's NQF Glossary of Terms (the 'NQF Pedia'), a copy of which may be found at <https://www.saga.org.za/sites/default/files/2019-11/NQFPedia 0.pdf> has the same meaning when used in this document, unless otherwise indicated. Where a gloss is needed for the GFETQSF this is provided in the following glossary, and where a term is not defined in either the Act or the NQF Pedia, its usage in this policy document bears the meaning given below

Access	Means the opportunity to pursue education and training, including relevant qualifications, part-qualifications, professional designations, opportunities in the workplace and career progression.
Accredited provider	<p>In the context of the GFETQSF, 'accredited provider' means recognition of</p> <p>(a) the capacity of a private provider (independent school, private FET college or private adult learning centre) to offer a qualification on the GFETQSF, including the provider's implementation of the curriculum in support of the qualification at the required standard; and</p> <p>(b) the capacity of a private assessment body to assess a qualification on the GFETQSF, including the quality and standard of the assessment services and products provided by the private assessment body.</p> <p>As part of its quality assurance processes, Umalusi accredits private providers and private assessment bodies in the GFETQSF context. The term 'accredited learning programme' is applicable to the Higher Education Qualifications Sub-Framework (HEQSF) context.</p>
Articulation	<p>Means the process of forming systemic, specific and individual possibilities of connection between qualifications and/or part-qualifications to allow for the horizontal/lateral, vertical and diagonal movement of learners through the formal education and training system and its linkages with the world of work:</p> <ol style="list-style-type: none"> <li>i Horizontal articulation is articulation within and between NQF sub-frameworks on the same NQF level;</li> <li>ii. Vertical articulation is articulation between NQF levels within an NQF sub-framework;</li> </ol>

	<ul style="list-style-type: none"> <li>iii. Diagonal articulation is articulation between NQF levels and across NQF sub-frameworks;</li> <li>iv. Systemic articulation is a 'joined up' system including qualifications, professional designations, policies and various other official elements that support learning and work pathways;</li> <li>v. Specific articulation means aligning qualifications in inter- or intra- institutional agreements such as memoranda of understanding, credit accumulation and transfer and other mechanisms;</li> <li>vi. Individual articulation refers to learners being supported in their learning and work pathways by flexible admission, curricula, learning and teaching, and learner support systems such as the quality of qualifications and learning, career development services, and other mechanisms.</li> </ul>
Assessment	<p>Means the processes used to identify, gather and interpret information and evidence against the required competencies in a qualification, part-qualification or professional designation in order to:</p> <ul style="list-style-type: none"> <li>(a) make judgements about a learner's achievement.</li> <li>(a) assist the learner's development and improve the process of learning and teaching; and</li> <li>(b) evaluate and certify competence to ensure qualification credibility.</li> </ul> <p>Assessment includes evaluations that lead to judgements.</p>
Assessment body	Means a department of education or a juristic body accredited by the Council as a body responsible for conducting internal assessment and external examinations.
Council	Means Umalusi, the Quality Council for General and Further Education and Training, as contemplated in the <i>National Qualifications Framework Act (Act 67 of 2008)</i> and the <i>General and Further Education and Training Quality Assurance Act (Act 58 of 2001)</i> .
Certification	Means the formal recognition of a qualification or part-qualification awarded to a successful learner.

Comparability	Means the degree of similarity between two or more qualifications/part-qualifications in terms of purpose, level, credits and learning outcomes used to determine the extent of credit accumulation and/or transfer within or between entities. The matching of curricular properties should also be considered when comparability is determined.
Credit accumulation	Means the totalling of the relevant credits required to complete a qualification or part-qualification.
Credit accumulation and transfer (CAT)	Means the practice of accumulating credits from one or more cognate learning programmes through a provider and transferring those credits to be recognised towards a qualification/ part-qualification in the same or different provider context.
Credit matrix	Means a system in which learning outcomes can be arranged and compared in levels of increased complexity based on agreed groupings of credits, such as in modules/ subjects or part-qualifications.
Credit transfer	Means the vertical, horizontal or diagonal relocation of credits towards a qualification or part-qualification on the same or different NQF level, usually between different programmes, departments or institutions.
Credits	Means the amount of learning contained in a qualification or part-qualification whereby one (1) credit is equated to ten (10) notional hours of learning.
Curriculum	<p>Means a statement of the training structure and expected methods of learning, teaching and assessment that underpin a qualification or part-qualification, and intended to facilitate a general understanding of its implementation in the education system. The curriculum encompasses three components:</p> <ol style="list-style-type: none"> <li>The intended curriculum: an official guideline document that provides the core features, principles, topic areas, specified content and skills, and expected level of cognitive demand;</li> <li>The enacted curriculum: the enactment/implementation/delivery of the curriculum by an institution. This includes leadership and management, the ethos and values of the curriculum, teaching and learning, extra-curricular activities, learner support, institutional performance and the management of quality towards improvement.</li> </ol>



	c) The assessed curriculum: the internal assessment and the external examination of the intended curriculum.
Designated variants	Means the layer of qualification specialisation nested within the qualification type in the GFETQSF (for example, the National Certificate (NC) as a qualification type at Level 4 of the NQF has the following designated variants: SC(a), NSC, NC(V), and NASCA; and the General Certificate (GC) as a qualification type at Level 1 of the NQF has the following designated variants: GCE, ABET and GETCA.
Exclusionary practices	Mean any systems and processes that are designed to limit the opportunities of specific individuals or groups of people seeking access to further learning or professional development when they meet the legitimate criteria for admission or professional registration. Unfair exclusionary practices limit opportunities and are based on illegitimate criteria including but not limited to population group, disability, gender and affordability, and may be contested.
External assessment	Means any assessment conducted by an assessment body that is not directly involved in the development and/or delivery of the learning programme, the outcomes of which count towards the achievement of a qualification.
Formal learning	Means learning that occurs in an organised and structured education and training environment and is explicitly designated as such.
Further Education and Training	Means all learning and training curricula leading to qualifications on NQF Levels 2–4.
General Education and Training	Means all learning and training curricula leading to a qualification on Level 1 of the NQF, the level below further education and training.
General and Further Education and Training Qualifications Sub-framework (GFETQSF)	Means the sub-framework of qualifications on NQF Levels 1–4 developed and managed by Umalusi Quality Council as envisioned in sections 4–7 of the <i>National Qualifications Framework Act (Act 67 of 2008)</i> . The GFETQSF is a sub-system of the NQF that requires co-ordination with the sub-frameworks developed and managed by the Quality Council for Higher Education and the Quality Council for Trades and Occupations.
Informal learning	Means learning that results from daily activities related to paid or unpaid work, family or community life, or leisure; it can include deliberate self-teaching.
Learner	Means anyone of any age engaged in learning at any level of the NQF, and in any NQF, work or social context,

	including formal, informal and non-formal learning; used interchangeably with 'student'.
Learning pathways	[See 'Articulation']
Learning programme	Means a structured and purposeful set of learning experiences comprising modules/subjects and other learning activities, which together contributes to the achievement of specified learning outcomes.
Level descriptor	Means a statement that describes learning achievement at a particular level of the NQF and provides a broad indication of the type of learning outcomes and assessment criteria that are appropriate to a qualification/part-qualification at that level.
Lifelong learning	Means learning that takes place in the context of everyday life, from a life-wide, life-deep, and lifelong perspective. It includes learning behaviours and developing knowledge, understanding, attitudes, values and competencies for personal growth, social and economic well-being, democratic citizenship, cultural identity, and employability.
National Qualifications Framework (NQF)	Means the comprehensive ten-level framework and system approved by the Minister of Higher Education, Science and Innovation for the classification, coordination, registration, publication and articulation of quality-assured national qualifications and part-qualifications.
Non-formal learning	Means planned learning activities not explicitly designated as learning towards the achievement of a qualification or part-qualification; non-formal learning is often associated with learning that results in improved workplace practice.
Notional hours of learning	Means the agreed estimate of the learning time required by an average learner to meet the defined outcomes. It takes into account contact time, research, completion of assignments, time spent on structured learning in the workplace and individual learning. Ten (10) notional hours equate to one (1) credit.
NQF Act	Means the South African National Qualifications Framework (NQF) Act No. 67 of 2008, as amended.
Outcomes	Means the contextually demonstrated end-products of specific learning processes; outcomes include knowledge, skills and values, and may be generic or specific.
Part-qualification	Means an assessed unit of learning that is registered as part of a qualification on the NQF.
Professional body	Means any statutory or non-statutory body that sets professional standards and registers individual expert practitioners in an occupational field.

Professional designation	Means a title or status conferred by a professional body in recognition of a person's expertise and/ or right to practise in an occupational field.
Programme	Means a purposeful and structured set of learning experiences that leads to a qualification. Programmes may be discipline based, professional, career-focused, trans-, inter-, or multi-disciplinary in nature. A programme has recognised entry and exit points.
Provider	[See 'Recognised provider'].
Qualification	Means a registered national qualification.
Quality council	Means one of three councils, each tasked with developing and overseeing one of the three sub-frameworks that comprise the NQF to ensure that agreed quality standards are met: the Council on Higher Education (CHE) for the HEQSF, Umalusi for the GFETQSF and the Quality Council for Trades and Occupations (QCTO) for the OQSF.
Recognised provider	Means, in South Africa, a public or private entity that offers any learning programmes that lead to qualifications and/or part-qualifications registered on the NQF, that is, (1) accredited by Umalusi or deemed accredited in the GFETQSF context, or (2) that is accredited by the QCTO as a skills development provider in the Occupational Qualifications Sub-Framework (OQSF) context, or (3) offers programmes that are accredited by the CHE. Independent schools must be registered and private higher education institutions, private FET colleges and private community and adult learning centres must be registered with the Department of Higher Education and Training (DHET).
Recognition of Prior Learning (RPL)	RPL means the principles and processes through which a person's prior knowledge and skills are made visible, mediated and assessed for the purposes of one or more of the following: alternative access and admission, recognition and certification, or further learning and development.
Registered qualification	A qualification registered on the GFETQSF of the NQF by SAQA in terms of section 13(1)(h) of the <i>National Qualifications Framework Act (Act 67 of 2008)</i> .
Standard	Statement of level of quality or attainment required.
Sub-framework of the NQF	Means one of the three coordinated qualifications sub-frameworks that make up the NQF as a single integrated system, namely, the Higher Education Qualifications Sub-Framework (HEQSF), the GFETQSF and the OQSF.
Umalusi	The Council for Quality Assurance in General and Further Education and Training established in terms of the <i>General</i>

	<i>and Further Education and Training Quality Assurance Act (Act 58 of 2001).</i>
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## 2. Acronyms and Abbreviations

ABET	Adult Basic Education and Training
CAT	Credit accumulation and transfer
CHE	Council on Higher Education
DBE	Department of Basic Education
DHET	Department of Higher Education and Training
EC	Elementary Certificate
FET	Further Education and Training
GC	General Certificate
GCE	General Certificate of Education
GEC	General Education Certificate
GENFETQA	General and Further Education and Training Quality Assurance
GETCA	General Education and Training Certificate for Adults
GFETQSF	General and Further Education and Training Qualifications Sub-Framework
HEQSF	Higher Education Qualifications Sub-Framework
IC	Intermediate Certificate
NASCA	National Senior Certificate for Adults
NC	National Certificate
NC(V)	National Certificate (Vocational)
NLRD	National Learners' Records Database
NQF	National Qualifications Framework
NSC	National Senior Certificate
OQSF	Occupational Qualifications Sub-Framework
QC	Quality Council
QCTO	Quality Council for Trades and Occupations
RPL	Recognition of Prior Learning
SAQA	South African Qualifications Authority
SC(a)	Senior Certificate (amended)

### 3. Background

3.1 The NQF is a single integrated system that comprises three qualifications sub-frameworks, coordinated by the SAQA, as follows:

- the HEQSF overseen by the CHE,
- the GFETQSF overseen by Umalusi, and
- the OQSF overseen by the QCTO.

The NQF structure recognises the distinctions and relations between various knowledge and skills domains in the basic, higher, vocational and occupational NQF sub-framework contexts.

3.2 The GFETQSF is constituted as a register of *qualification types (general and vocational)*, some with designated variants, and each consisting of combinations of various subjects, each of which is supported by a prescribed curriculum and is subject to external national assessment. Umalusi sets and maintains standards through the quality assurance of the intended, enacted and assessed curricula. These standards relate to domains of knowledge and associated skills, and to the curriculum and assessment practices through which they are achieved.

3.3 Umalusi's (2014) *Policy for the General and Further Education and Training Qualifications Sub-Framework* outlines the nature and extent of the qualifications on the GFETQSF and supports the building of a common understanding of the relationships between qualifications. Through related policy, parameters for the design of *national* qualifications in the GFETQSF context are established. These parameters facilitate the general comparability of qualifications across the national system thus allowing for greater ease of access

3.4 The GFETQSF comprises qualifications offered in formal education contexts.

3.5 All qualifications on the GFETQSF require the mastery of a body of (disciplinary) knowledge and related skills.

3.6 Quality assurance of the delivery of GFETQSF qualifications forms an intrinsic part of the development of the system of basic education as a whole, and of the GFETQSF specifically. Consequently, Umalusi monitors the implementation and quality assures those qualifications that it has registered on the GFETQSF. Umalusi certifies qualifications it has quality assured in accordance with the applicable policies.

#### 4. Legislative context

- 4.1 In terms of the NQF Act (Act 67 of 2008), Umalusi is the Quality Council (QC) for General and Further Education and Training as provided for in the GENFETQA Act (Act 58 of 2001) (as amended in 2008). It was established under the SAQA Act (Act 58 of 1995). It continues under the NQF Act (Act 67 of 2008), which came into effect on 1 June 2009.
- 4.2 In terms of the GENFETQA Act, Umalusi Council is responsible for the GFETQSF of the NQF. Section 27 of the NQF Act outlines the functions of the QC. To achieve the objectives of the NQF regarding the qualifications within the GFETQSF, section 27(h)(ii) states that Umalusi must develop and implement policy and criteria for assessment, recognition of prior learning and credit accumulation and transfer for the qualifications within the GFETQSF.

#### 5. Scope and application of this policy

- 5.1 This policy gives effect in part to the requirements of section 27(h)(ii) of the NQF Act. The policy refers to Credit Accumulation and Transfer (CAT) as well as to exemptions.
- 5.2 This policy must be read in conjunction with the following policies:
- a) Umalusi's Policy for the GFETQSF (2014);
  - b) Umalusi's Policy for the management of qualifications in the GFETQSF;
  - c) Umalusi's Policy and Criteria for the development, registration and publication of qualifications for GFETQSF;
  - d) SAQA's Policy and Criteria for CAT within the NQF (2021);
  - e) SAQA's Policy and Criteria for the Implementation of RPL (2019);
  - f) SAQA's Policy and Criteria for Designing and Implementing Assessment for NQF Qualifications and Part-Qualifications and Professional Designations in South Africa (2014 and as updated); and
  - g) DHET Articulation Policy (2017).
- 5.3 This policy applies to:
- a) All qualifications and part-qualifications registered on the GFETQSF;
  - b) The specific policy for each qualification or part-qualification referred to in (a) above, which must be interpreted in relation to this policy;

- c) All public and all accredited private institutions of education and training that offer qualifications and part-qualifications registered on the GFETQSF; and

- 5.4 This policy addresses responsibilities associated with credit accumulation and transfer in existing qualifications and with the development of new qualifications on the GFETQSF,

## **6. Purpose**

- 6.1 The *Policy for CAT* is intended to promote learners' articulation/learning pathways and lifelong learning, their access to new learning and the avoidance, where possible, of the repetition of learning they have already acquired.

## **7. Articulation within the General and Further Education and Training Qualifications Sub-framework**

- 7.1 Articulation is the process of forming systemic, specific and individual possibilities of connection between qualifications and/or part-qualifications to allow for the horizontal, vertical and diagonal movement of learners through the formal education and training system and its linkages with the world of work. These connections may allow access to another qualification, the exemption of some prerequisites or minimum admission requirements for a qualification, or the acceptance of resulted learning from one qualification for the purposes of another qualification, i.e., the granting of credit.
- 7.2 CAT, along with the RPL, are important mechanisms within the national education and training system that facilitate articulation. CAT is the practice of accumulating credits from one or more cognate learning programmes from a provider and transferring these credits for recognition for a qualification/part-qualification offered by the same or a different provider. Credits previously obtained may be recognised as meeting the requirements for a different qualification and, subject to identified limits, credits achieved towards one qualification may be recognised as meeting part of the requirements for another qualification. Credits here refer the learning required for a qualification or part-qualification whereby one (1) credit is equated to ten (10) notional



hours of learning. In addition, credit accumulation will mean the sum of the relevant credits required to complete a qualification or part-qualification.

- 7.3 The relationship between qualifications gained by means of CAT is determined by research that establishes the degree of overlap and/or equivalence of related curricula in the respective qualifications that would allow for RPL and credit transfer. Qualifications that allow for CAT may be on the same or a different sub-framework.
- 7.4 Credit accumulation relates to the process of achieving subject statements/certificates progressively (i.e. not in a single academic year) towards a qualification. Provided that the subjects achieved over the extended period conform to the rules of combination for the qualification, the full qualification is awarded upon request.
- 7.5 In the case of some qualifications, the maximum number of years in which to complete the qualification may be stipulated.
- 7.6 Not all subjects will be automatically considered for recognition or credit accumulation and transfer. Acceptance is determined by the nature and structure of the desired qualification and is established by an evaluation of equivalence at curriculum level.

## **8. Articulation across NQF sub-frameworks**

- 8.1 In the case of large scale, national qualifications such as those on the GFETQSF, the regulation of articulation options between qualifications is possible, desirable and necessary. The articulation between a national qualification and others (such as between an NSC, a bachelor's degree, diploma or higher certificate on HEQSF, or between a GEC and an elementary, intermediate or national occupational certificate in the OQSF, for example, is possible because issues of qualification purpose, curriculum, uniform quality assurance and assessment are considered to be sufficiently understood and adequately managed.



8.2 The processes used to make connections and enable CAT between qualifications in different NQF sub-frameworks include but are not limited to:

- the identification of access possibilities in a qualification policy;
- the regulation of formal relationships between qualifications;
- research that highlights the extent and nature of the overlap that can be used for articulation purposes; and
- the active re-working of curricula and assessment across qualifications to create a functional and recognised bridge between one qualification and another.

## 9. Principles governing the implementation of the Policy for Credit Accumulation and Transfer

- 9.1 **Mutual trust:** In the case of a qualification on the sub-framework, the recognition of credits offered by another system is dependent on the development of a relationship of mutual respect and trust, based on the nature and extent of the quality assurance regimes.
- 9.2 **Research-based:** The relationship between qualifications for the purpose of CAT in the GFETQSF context and between the GFETQSF context and other NQF sub-framework contexts, is determined by research that establishes the degree of overlap or equivalence between related curricula in the respective qualifications that would allow for recognition of learning and/or credit transfer.
- 9.3 **Specificity:** The recognition of credits for the purpose of *transfer from one qualification to another* is determined by the nature of the qualifications, the relationship between them, the nature, complexity, and extent of the curricula associated with the subjects for which exemption and/or inclusion is required, and the nature of the assessment used.
- 9.4 **Explicitness:** Umalusi will publish regulations that govern certification.
- 9.5 **Bilaterality:** Ideally, the recognition of some portion of the qualifications involved (generally subjects) should be bilateral, but there may be conditions

in which the *recognition occurs in one direction only*. Such decisions are best made by an analysis of the portions to be transferred.

- 9.6 **Transparency:** Rules, regulations, and any register of precedents that informs, influences, or governs decisions taken in respect to CAT must be:
- valid, fair, reliable and transparent; and
  - publicly available and made known to learners prior to enrolment.
- 9.7 **Articulation by design:** Possibilities for articulation pathways, including within and between NQF sub-frameworks, and between NQF sub-frameworks and the world of work, must be included in the design and purposes of new qualifications and part-qualifications.
- 9.8 **Appeals regarding CAT decisions:** A recognised provider may appeal CAT decisions when credits linked to their NQF-registered qualifications/part-qualifications are not recognised by the providers to which learners seek to transfer. In appeals against CAT decisions such as these:
- In order to lodge or accept an appeal, both education and training entities involved must be recognised by a QC and, where applicable, registered with the DHET;
  - the entity from which the learner obtained the original credits has the right to lodge an appeal;
  - the entity to which the learner is seeking access must consider and address the appeal;
  - the CAT comparisons that led to the decision to reject the credit transfer must be shared with and explained to the entity lodging the appeal; and
  - failing acceptance of this process and/or failing an agreement, the entities must together consult SAQA and the relevant QC for a final decision.
- 9.9 **Supplementarity:** Where the CAT comparison process finds overlaps of less than 80% between the content and outcomes for which credits have been awarded and the modules/subjects for which CAT is sought, the relevant recognised provider:

- a. may choose not to recognise any accumulated credit and must provide advice and guidance on other learning pathway possibilities for the candidate; or
- b. may conduct an RPL process to assess the informal and non-formal knowledge and skills of the applicant that may address the gap; or
- c. may require the learner to complete supplementary work before credits are recognised.

## **10. Responsibilities for the Implementation of Credit Accumulation and Transfer**

10.1 As stated in the national CAT policy (SAQA, 2021), the development and implementation of CAT is the joint responsibility of the DHET, the DBE, SAQA, the QCs, education institutions and skills development providers, assessment bodies, recognised professional bodies and workplaces. The specific responsibilities of each contributor are outlined below.

### **a. Responsibilities of the DBE**

- i. Provide enabling legislative and planning environments for CAT;
- ii. Ensure that CAT principles and opportunities are considered when designing and developing qualifications; and
- iii. Ensure the development and implementation at institutional level of policy and criteria for CAT.

### **b. Responsibilities of Umalusi**

- i. Adhere to the principles and responsibilities as outlined in SAQA's (2021) Policy and Criteria for CAT, and this policy;
- ii. Ensure that CAT principles and opportunities are considered when qualifications are designed and developed in the GFETQSF context;
- iii. Develop policy and criteria for CAT in the GFETQSF context that are aligned with SAQA's (2021) Policy and Criteria for CAT;
- iv. Develop and share guidelines for all aspects of CAT in the GFETQSF context;

- v. Collaborate with the CHE and the QCTO to ensure that effective CAT takes place;
- vi. Determine the maximum number of years allowed to complete a qualification (it is hoped that most qualifications would allow as many years as necessary for adults, bearing in mind that many mature students have difficult life circumstances);
- vii. Work with recognised entities in the GFETQSF context to ensure that CAT is implemented consistently, and to ensure that the capacity to do so is developed;
- viii. Undertake systematic work on the development of credit matrixes for the GFETQSF;
- ix. Initiate and oversee projects within the GFETQSF to strengthen the conceptual understanding of CAT, to build capacity in the use of credit, and to promote good practices where necessary;
- x. As and where applicable, to develop links for articulation and progression to promote CAT within the GFETQSF and between the GFETQSF and the other two NQF sub-frameworks by facilitating and encouraging formal articulation agreements between institutions and coordinated quality assurance systems;
- xi. Promote the collaborative development of curricula and qualification pathways between various types of providers to promote and enable successful CAT;
- xii. Include a mechanism in Umalusi policy to deal with unfair CAT practices;
- xiii. Collaborate in national monitoring and mediation processes to advise and alert institutions within their sub-frameworks to potential and actual transgressions related to Umalusi's CAT policy; and
- xiv. Actively promote the recognition of workplace-based learning for CAT in collaboration with workplaces.

**c. Responsibilities of assessment bodies**

- i. Adhere to the principles and responsibilities as outlined in this policy; and
- ii. Develop and implement a policy on CAT in accordance with the principles and responsibilities outlined in this policy.

**d. Responsibilities of education institutions and skills development providers**

- i. Adhere to the principles and responsibilities as outlined in this policy;
- ii. Develop, promote and implement an institutional CAT policy that is aligned to this policy, SAQA's (2021) Policy and Criteria for CAT, and the DHET's (2017) articulation policy;
- iii. Demonstrate through internal and external quality reviews that institutional CAT practices are in keeping with the policies noted in (ii) above;
- iv. Where appropriate, establish intra- and inter-institutional partnerships and formal agreements through which vertical, horizontal and diagonal articulation can take place;
- v. Where appropriate, undertake collaborative approaches to curriculum development with other providers to advance curriculum alignment, articulation/learning pathways and CAT, taking into consideration the purposes and types of knowledge and competences required to achieve a particular qualification;
- vi. Provide career advice services on career pathways and articulation routes;
- vii. Establish appropriate appeal mechanisms;
- viii. Avoid unfair exclusionary practices related to CAT and establish mechanisms to monitor and deter these;
- ix. Set fair and transparent admission criteria that are consistent with national policy;
- x. Address the bridging of theory and/or practice components that are identified as weaknesses during admission processes, including through RPL;
- xi. Assist learners who seek to transition to the certifying institution, as well as those who need to transition from the institution by making the necessary information available in a manner that enables the learner and does not harm the entity; a balance must be found in providing this information; and
- xii. Develop and maintain information management systems that are compatible with the National Learners' Records Database (NLRD) and

other relevant government information management systems and submit the relevant data to SAQA using effective existing systems.

## 11. Conclusion

- 11.1 A powerful and constructive *Credit Accumulation and Transfer* system is essential to deal with the realities facing thousands of South Africans who, have dropped out of school, failed matric or fared poorly in their final examinations, may need to start from scratch. As a QC responsible for the GFETQSF, Umalusi strives to foster credit accumulation and transfer as a means of enhancing access and promoting lifelong learning.

## The General and Further Education and Training Qualifications Sub-framework

General and Further Education and Training Qualifications Sub-framework						
NQF level	Qualification types					Certificates for units of learning
Level 4	National Certificate (NC)					
<i>Designated variants</i>	Senior Certificate and National Senior Certificate (Colleges)	National Senior Certificate (NSC)	National Certificate (Vocational) Level 4	National Senior Certificate for Adults (NASCA)	Senior Certificate (as amended in 2014)	Subject certificates towards one or more qualification designated variants
Level 3	Intermediate Certificate (IC)					
<i>Designated variants</i>	[NSC – Grade 11]		National Certificate (Vocational) Level 3	Intermediate Certificate of Education		Subject certificates towards one or more qualification designated variants
Level 2	Elementary Certificate (EC)					
<i>Designated variants</i>	[NSC – Grade 10]		National Certificate (Vocational) Level 2	Elementary Certificate of Education		Subject certificates towards one or more qualification designated variants
Level 1	General Certificate (GC)					
<i>Designated variants</i>	General Certificate of Education (GCE)			General Education and Training Certificate: ABET	General Education and Training Certificate for Adults	Subject (LA) certificates for adult learners