

ANNEXURE A



basic education

Department:
Basic Education
REPUBLIC OF SOUTH AFRICA

**GUIDELINE ON THE QUALITY ASSURANCE OF
SCHOOL-BASED ASSESSMENT (SBA)
FOR GRADES 10–12**

March 2022

DEFINITION OF TERMS

“Act of misconduct” Means misbehaving, creating a disturbance or wilfully disobeying legitimate instructions, which may have an adverse effect on the assessment process or the outcome of the assessment.

“Assessment Body” Means a department of education or any other body registered with the Council as a body responsible for conducting external assessment.

“Assessment Task” Means a structured assessment activity designed by the teacher or assessment body and used by teachers and learners to determine the performance of learners in a subject, grade or in a specific content area. This assessment activity is designed to assess a range of skills and competencies.

“Audit/Verification” An audit includes activities such as verification and moderation. It involves an inspection of the documentary evidence relating to a particular component of assessment that is conducted by an official to ascertain compliance with the policy prescriptions.

“Comparable Standards” Means the minimum outcomes and standards that are achieved in all the schools, clusters and districts in the province.

“Department of Basic Education” Means the national department of basic education responsible for education.

“Education Provider” Means any body which: (a) delivers learning programmes which culminate in a specified National Qualifications Framework standard or qualification; and (b) manages the assessment of such learning programmes, but, in respect of public schools, public further education and training institutions and public adult learning centres, “provider” means the department responsible for education in the relevant province.

“External Assessment” Means any assessment activity, instrument or programme where the design, development and implementation are initiated, directed and coordinated by the provincial education department and the department of basic education either collectively or individually.

“Head of an Assessment Body” Means the Head: provincial department of education, or the Head of an Assessment Body.

“Independent School” Means a school registered or deemed to be registered in terms of Section 46 of the South African Schools Act, 1996 (Act No. 84 of 1996).

“Irregularity Committee” Means the body established by the school/district/province/national to deal with all irregularities identified during the administration of examination and assessment activities.

“Minimum Outcomes and Standards” As contemplated in the National Policy Pertaining to the Programme and Promotion Requirements of the National Curriculum Statement, the Protocol on Assessment and the Curriculum and Assessment Policy Statements for all approved subjects listed in the National Curriculum Statement as promulgated by the Minister.

“Moderation” Means the quality assurance and control processes by which officials verify/moderate the school-based assessment (SBA) and the external assessment results, by remarking learner assessment evidence while applying the rubric/marketing guidelines and analysis grid, and evaluating the entire assessment task or portions thereof, to ensure that assessment procedures and practices are valid, fair and aligned to the stated standards, principles and guidelines. The moderator.

“Monitoring” Means the regular observation and recording of SBA activities taking place at all levels of the system. It is a planned process of routinely gathering information to verify all aspects of SBA implementation. A four-tiered approach is implemented to ensure effective and holistic SBA policy compliance at school, district, provincial and national levels.

“Performance Standard” Explicit definitions of what learners must do to demonstrate proficiency at a specific level on the content standards.

“Provincial Department of Education” Means the provincial department of education as contemplated in section 1 of the Employment of Educators Act, 1996 (Act No. 76 of 1996) that is responsible for administering education at provincial level.

“Quality Assurance” Means the process of measuring, evaluating and reporting on the quality of school-based assessment against standards set in the curriculum/programme of assessment and the capacity of the institution or assessment body to comply with the set standards.

“School-based Assessment” Means any assessment activity, instrument or programme where the design, development, administration, marking, recording and reporting have been initiated, directed, planned, organised, controlled and managed by the school. For the purpose of this document SBA, includes Practical Assessment Tasks (PAT) and Language Oral Assessment.

“Umalusi” Means the Council, contemplated in section 1 of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001), as amended in 2008.

ACRONYMS

DAIC	:	District Assessment Irregularity Committee
DBE	:	The national department responsible for the provision of basic education, Grades R–12
CAPS	:	Curriculum and Assessment Policy Statements
NPPPR	:	National Policy Pertaining to the Programme and Promotion Requirements
NSC	:	National Senior Certificate
PATs	:	Practical Assessment Tasks
SBA	:	School-based Assessment
PEDs	:	Provincial Education Departments
SAIC	:	School Assessment Irregularity Committee
SIAS	:	Policy on Screening, Identification, Assessment and Support process
SMT	:	School Management Team

CHAPTER 1

INTRODUCTION

- 1) School-based Assessment (SBA) comprises all forms of assessment which are conducted by the teacher at school level. This includes assignments, projects, simulations, research, demonstrations, role plays, listening exercises, tests and examinations. In subjects with a practical component and, in the case of languages with an oral component, SBA includes assessment of the practical skills and, in the case of languages, assessment of the oral skills. However, in keeping with the Curriculum and Assessment Policy Statement (CAPS), SBA is regarded as separate from the Practical Assessment Task (PAT) and the Language Oral Assessment.
- 2) SBA constitutes a minimum of 25% of the final promotion mark in all the subjects offered as part of the National Senior Certificate (NSC). The weighting of SBA may be higher than 25% in certain subjects, particularly in subjects with a practical component and in the case of the languages. In the case of Life Orientation, the larger component of the final promotion mark is school-based and external assessment, which is referred to as a Common Assessment Task (CAT), constitutes 20%.
- 3) Quality assurance of SBA is the planned and systematic process of ensuring the reliability and validity of SBA and thus increasing public confidence in SBA. This includes all the activities that take place before, during and after the actual assessment and which contribute to an improved quality of SBA. The following evidence must be presented for quality assurance: the annual programme of assessment, lesson plan, assessment task/grid/marking guidelines, rubric; learner evidence and mark sheets, all of which are based on the CAPS topics and scope of content (context, skills, knowledge).

CHAPTER 2

PURPOSE AND SCOPE OF THE GUIDELINE

- 1) This guideline seeks to formalise the establishment of a national system (processes, procedures, and practices) for the quality assurance of SBA, including PATs and Oral Assessment, in which the standard and quality of SBA is comparable across all ordinary public schools, full-service schools, special schools, special schools that serve as resource centres, and independent schools, as well as across districts and provincial education departments.
- 2) This guideline provides directives to officials of the department of basic education (DBE), provincial education departments (PEDs)/ assessment bodies, subject specialists, principals of schools, teachers, learners and parents on the quality assurance of school-based assessment that must be complied with at all levels of the system, and which form the basis of the final Policy on the Quality Assurance of SBA in Grades 10-12.
- 3) This guideline focuses on formal assessments that are internally set and implemented at school level, Grades 10, 11 and 12, which contributes to the final assessment of the learner (i.e. the summative assessment tasks which are listed as compulsory SBA tasks in the *National Protocol for Assessment for Schools in the General and Further Education and Training Band*), as well as SBA tasks that are a component of the annual programme of assessment such as the practical examinations that are set externally/nationally.
- 4) This guideline will ensure that an appropriate quality assurance mechanism will be utilised to promote a uniform interpretation and application of the assessment standard, thus ensuring consistency of assessment at school, district and provincial levels, and across institutions registered with independent assessment bodies.

5) The formal assessments which will be the focus of this quality assurance approach will include the following:

- (a) SBA tasks that lead to the final promotion mark (for all subjects);
- (b) Practical assessment tasks (PATs) (for subjects with a practical component);
- (c) Oral assessment (for languages); and
- (d) SBA tasks that constitute the internal assessment programme (for Life Orientation)

CHAPTER 3

LEGISLATIVE CONTEXT

Regulations for the Conduct, Administration and Management of Assessment for the National Senior Certificate; the National Protocol on Assessment for Schools in the General and Further Education and Training Band, (Grades R–12); the National Policy Pertaining to the Programme and Promotion Requirements; the Policy on Screening, Identification, Assessment and Support Process, and other relevant CAPS documents.

CHAPTER 4

QUALITY ASSURANCE APPROACH

- 1) The quality assurance approach adopted in this guideline is based on the principle that the quality of assessment is determined by the inputs to assessment, the process of assessment and the assessment output. Therefore, in ensuring the quality of the assessment outcome, the following five key components of the assessment regime must be evaluated:
 - (a) The school-based assessment system
 - (b) The assessment task
 - (c) The administration of the assessment task
 - (d) The learner evidence
 - (e) The assessment feedback
- 2) The quality assurance approach will also adopt a four-tier model which focuses on all aspects of school-based assessment at the following levels of the system:
 - (a) School
 - (b) District
 - (c) Provincial
 - (d) National
 - (e) Umalusi
- 3) Quality assurance will be conducted at each level of the system to:
 - (a) Ensure that a functional SBA system is in place to support effective SBA implementation;
 - (b) Confirm the validity, fairness, standard and practicability of the assessment task;
 - (c) Establish whether the assessment was conducted in a fair and consistent manner;
 - (d) Establish the reliability and fairness of the assessment scores; and
 - (e) Provide feedback on the quality assurance findings with a view to improving the quality of SBA.

- 4) The quality assurance modality that will be adopted for each of the four tiers of the system will be as follows:
 - (a) **Audit/Verification of the system:** to establish functionality of the SBA system;
 - (b) **Moderation:** to evaluate the quality, validity, fairness, standard of the assessment task;
 - (c) **Monitoring:** to ensure that the assessment was conducted in fair and consistent manner;
 - (d) **Moderation:** to evaluate the reliability and fairness of assessment scores; and
 - (e) **Feedback:** to ensure effective and timely feedback emanating from the quality assurance process is provided to all stakeholders.
- 5) The feedback emanating from the quality assurance of the four tiers stated in paragraph (2), must be provided and mediated timeously to enable effective implementation, intervention and support at each level of the system and must be monitored to ensure that constructive feedback from the quality assurance process is implemented to ensure improvement in the quality of the assessment.

CHAPTER 5

QUALITY ASSURANCE IN PRACTICE

Based on the quality assurance approach articulated in Chapter 4, paragraph 1 to paragraph 4, the following are the key quality assurance measures that must be implemented:

1) The School-based Assessment System

- (a) The following components that constitute the school-based assessment system must be audited as the initial step in the quality assurance process:
 - (i) Policy directives (this includes regulations, policies, guidelines, circulars);
 - (ii) SBA management plan (a plan that covers the implementation of SBA across the specific level). This plan should also reflect the school's management of differentiated assessment and the management of specialised assessment (medical, social, psychological, therapeutic);
 - (iii) Staff capacity (includes teachers, subject advisors, monitors, moderators to ensure effective implementation of SBA);
 - (iv) Assessment material (includes assessment tasks, assessment support material, assessment instruments, including all adapted assessment materials, for the purpose of moderation and monitoring);
 - (v) Support and monitoring system (includes the monitoring tools used, subject advisory support available and the monitoring that takes place to ensure policy compliance); and
 - (vi) Moderation system (includes evaluation of the assessment tasks and the learner evidence).
- (b) The school-based assessment system must be audited/verified at the following levels of the system:
 - (i) School
 - (ii) District
 - (iii) Province
 - (iv) National
 - (v) Umalusi

- (c) The oversight structure in the hierarchy (i.e. department of basic education, provincial department of education and education districts) will take responsibility for the auditing of the SBA systems of the structure under its jurisdiction, e.g. the district must conduct an audit of the SBA systems of the school and the provincial head office must conduct an audit of the SBA systems of the district.

2) Moderation of assessment tasks

- (a) All assessment tasks for all subjects, must be moderated by the departmental head or specialist senior teacher at the school prior to the administration of the assessment tasks. In the absence of the requisite subject expertise or capacity at a school level, moderation should be conducted by a subject specialist from a neighbouring school/cluster.
- (b) Moderation of the assessment task should be done using the following evaluation criteria:
- (i) The assessment tasks are aligned to the CAPS;
 - (ii) Assessments tasks and tools are reliable, valid, fair, and appropriate instructions relating to the assessment tasks are clearly stated;
 - (iii) The content must be in keeping with what the learner has been exposed to in the teaching and learning process;
 - (iv) The assessment task must be free of any bias;
 - (v) The language of the assessment task is in keeping with the language level of the learners for which it is designed;
 - (vi) The cognitive levels at which the assessment tasks are pitched are consistent with the requirements as stipulated in the CAPS; and
 - (vii) Accommodations are incorporated into the design and administration of the assessment tasks for learners who have been identified as experiencing a barrier to learning based on the SIAS.
- (c) The moderator must also ensure that every assessment task is accompanied by detailed marking guidelines and an assessment grid. The marking guidelines must be accurately formulated and must make provision for the various alternative responses that may be provided to the assessment task. The assessment grid must indicate the content area(s) covered by the assessment

task, the cognitive levels and the allocation of marks, addressed by the assessment task set.

- (d) The comments from the moderation process must be incorporated into the amendment of the assessment task before it is administered. This must be verified by the departmental head at the school. In the absence of a departmental head, a subject specialist from a neighbouring school/cluster can moderate the assessment task at school level.
- (e) The assessment task may be moderated at district, provincial or national levels as part of the external moderation process conducted at these levels. This external moderation will normally be conducted after the assessment task has been administered, except in cases where the assessment task is designed at district or provincial level. Moderation of assessment tasks set at district and provincial level must be internally conducted prior to being administered at schools.

3) Monitoring of the administration of school-based assessment

- (a) The administration of the SBA must be monitored at all levels of the system: school, district and provincial level and the focus must be on confirming compliance to the policy requirements. At each of these levels of the system, the monitoring will focus on the moderation approach, sampling methods, moderation tools/instruments implemented, the outcomes of the moderation conducted and feedback that are relevant to that level of the system.
- (b) Monitoring at school level by the district will focus on the following:
 - (i) Implementation of an assessment programme by teachers;
 - (ii) Moderation of assessment tasks before they are administered to learners;
 - (iii) Administration of the assessment task in a fair and consistent manner;
 - (iv) Moderation of the learner assessment evidence by the departmental head. In the absence of a departmental head, a subject specialist from a neighbouring school/cluster can conduct the moderation;
 - (v) Learner assessment evidence is marked and learner scores are accurately recorded; and
 - (vi) Feedback is provided to learners timeously.

- (c) Monitoring by the provincial head office, of the district, will provide confirmation of the following:
 - (i) The functionality of the system of the SBA, PAT and oral systems at district level, i.e. SBA, PAT and orals are implemented in accordance with the CAPS;
 - (ii) That the district has conducted an audit of the school's SBA, PAT and orals (administration of assessment tasks, moderation and monitoring) systems;
 - (iii) That all schools within the district are moderated by the district subject specialist or through the use of a cluster, teacher moderator, or any other model approved by the province;
 - (iv) That the moderation conducted by the district must be inclusive of assessment tasks and learner evidence;
 - (v) That learner assessment evidence sampled within a school is representative of the spectrum of achievement levels, i.e. high, moderate and low;
 - (vi) That learner scores are accurately recorded; and
 - (vii) That computerised SBA, PAT and oral mark sheets are completed by all schools.
 - (ix) Feedback is provided to districts timeously.
- (d) Monitoring by the DBE will verify the following about SBA, PAT and oral implementation at provincial level:
 - (i) The functionality of the SBA, PAT and oral moderation systems at a provincial level;
 - (ii) The provincial office has conducted an audit of the SBA, PAT and oral systems at the districts under its control;
 - (iii) Each district has a model of moderation that is approved by the PED;
 - (iv) Evidence to confirm that moderation of the assessment tasks and learner assessment evidence has been conducted by the province; and
 - (v) Evidence to confirm that monitoring is being conducted by the provincial office and the district office.

4) Moderation of learner assessment evidence

- (a) Moderation of the marking of the learner assessment evidence is done to ensure that the marking guidelines are correctly and consistently applied by the teacher in the marking of the learner assessment evidence presented by the learner.
- (b) The marking of learner assessment evidence for the designated series of formal assessment tasks (e.g. practical tasks/tests, projects), spread across the year in subjects offered must be moderated at school, district and provincial levels.
- (c) The following criteria must be applied during the moderation of the marking of the learner evidence:
 - (i) Confirmation of the accuracy and completeness of the marking guidelines;
 - (ii) Verification that the learner assessment evidence has been marked in accordance with the marking guidelines;
 - (iii) Verification that the marks have been totalled accurately; and
 - (iv) Verification of the recording of marks.

5) Feedback on quality assurance findings

- (a) During each of the quality assurance processes, timeous feedback must be provided in writing and also mediated verbally where necessary. Detailed, written feedback must be provided once the quality assurance process has been conducted.
- (b) It is the responsibility of the official providing the feedback to ensure that the feedback is utilised and applied where necessary at the respective level of the system.

CHAPTER 6

CONDUCTING THE QUALITY ASSURANCE AT THE DIFFERENT LEVELS IN THE SYSTEM

- 1) The SBA systems at all schools must be audited by the district. SBA systems in the district must be audited by the provincial office and the SBA system at the provincial office must be audited by the DBE.
- 2) Internal moderation of the assessment is conducted at school level. The first level of external moderation is conducted at cluster/district level. The DBE, PED and Umalusi conduct external moderation at the respective levels of the system. The assessment task, the marked learner assessment evidence of performance together with the teacher record of assessment must be moderated at different levels which include the school, district, province, national and external quality assurance body, Umalusi.
- 3) Samples of the learner assessment evidence and the teacher record of assessment must be presented for moderation. Different models of sampling may be used at all levels. The district/region/province/national will decide which sampling model should be used. Sampling should be representative of the various performance levels of learners (low; moderate and high)
- 4) The moderation sample that could be used at the different levels of the system is as follows:

(a) School

- (i) The departmental head, or subject specialist from a neighbouring school/cluster, in the absence of a subject specialist at a school level must moderate all assessment tasks set by the teacher at school level.
- (ii) The departmental head or subject specialist from a neighbouring school/cluster in the absence of a subject specialist at school level, must moderate 10% of the learner assessment evidence for each assessment task administered.

(b) District

- (i) The district must, based on its moderation model, moderate every subject at every school under its jurisdiction.
- (ii) The district should moderate a minimum of 10% of the assessment tasks at every school and 10% of the learner evidence for the assessment tasks moderated.

(c) Province

- (i) The province must moderate a sample of the learner assessment tasks and a sample of the learner assessment evidence from each of the districts.
- (ii) A minimum sample of 5–10% of the schools within each of the districts must be moderated by the provincial office.
- (iii) In the selected schools in the districts, a sample of 10% relating to assessment tasks and learner assessment evidence will apply.

(d) National

- (i) The DBE must moderate the SBA in all the PEDs and in a sample of the districts within each PED.
- (ii) A minimum sample of between 2–5% of the schools within each of the selected districts must be moderated by the DBE.
- (iii) In the selected schools in the districts, a sample of 10% relating to assessment tasks and learner assessment evidence will apply.

CHAPTER 7

ROLES OF MODERATORS INVOLVED IN THE QUALITY ASSURANCE PROCESS

1) School moderation

Moderation of SBA at school level will be undertaken in the following manner:

- a) The school must take full responsibility for the moderation and monitoring of SBA.
- b) The principal must appoint the head of department or a senior teacher to take responsibility for the moderation of SBA in each subject, in each grade.
- c) The principal must ensure that all senior teachers/heads of department develop a school moderation plan which must be consolidated into a formal school assessment plan. This assessment plan must be communicated to learners and parents.
- d) The principal, in collaboration with the school management team (SMT), must monitor the setting, marking and moderation of school-based assessment on a quarterly basis.
- e) The principal must ensure that all irregularities discovered during moderation are resolved by the School Assessment Irregularities Committee (SAIC) and reported to the District Assessment Irregularities Committee (DAIC).

2) District/Sub-district/Regional Moderation

- a) The sub-district/district/region must take full responsibility and accountability for moderation at school level. The district director is responsible for ensuring that all assessment conducted at school level is of the required standard and quality.
- b) The district director must submit a clear district moderation plan for each subject offered in his/her district to the provincial office. The district moderation plan must be approved by the head of examinations and assessment, at provincial level.
- c) It is proposed that each sub-district/district should recommend the appointment of a teacher/cluster moderator who will be assigned the responsibility of moderating the school-based assessment in a cluster of schools within the district.
- d) The teacher/cluster moderators must be supervised by the subject advisors who must ensure that these moderators are provided with the necessary support in the moderation of school-based assessment.

e) The teacher moderator/cluster moderator should:

- (i) Take responsibility for the moderation of SBA in selected schools allocated to him/her at least once a quarter. This will include remarking the learner assessment evidence to establish whether the marking is accurate, precise and fair;
- (ii) Organise a standard setting meeting to establish a common understanding and interpretation of assessment criteria when designing the assessment instruments, together with the teacher at the school(s) he/she is allocated to moderate.
- (iii) Provide a report with recommendations to the subject advisor and the school principal on the outcome of the moderation process. The subject report must describe the standard of the assessment instruments constructed, standard of marking, standard of learners' performance and any adjustment of marks. The report should identify schools that are struggling with the implementation of SBA and recommend on-site visits by the subject advisor to conduct moderation.

f) The subject advisor should:

- (i) Take responsibility for the moderation of SBA across all schools in the sub-district/district;
- (ii) Ensure that the standard of moderation in all schools is comparable; and
- (iii) Follow up on the teacher moderator's/cluster leader's report regarding schools that are experiencing problems with the implementation of SBA. This will include acting on the recommendation made by the teacher moderator/cluster leader by visiting the school and conducting moderation, where necessary.

3) Provincial moderation

- a) Provinces should conduct sample moderation of a minimum of ten per cent (10%) of the assessment tasks and the learner assessment evidence at selected schools.
- b) The focus of the moderation must be to ensure the comparability of standards of the assessment tasks and the marks awarded to candidates across the districts.
- c) The province should be responsible for the compilation of the composite SBA district and provincial report.
- d) Provincial moderation should be conducted at least twice a year.

4) National moderation

- a) The Department of Basic Education will appoint a panel of moderators to evaluate assessment tasks, and to conduct moderation of the learner assessment evidence and teacher records. The purpose of the national moderation is to ensure that a comparable standard in the setting of assessment tasks, administration of assessment tasks, moderation of learner evidence and verification of marks, is maintained in all nine provinces.
- b) The DBE will determine the sample to be moderated per province and the sample will cover selected districts and within these districts, selected schools, covering the range of contexts and performance levels. Moderation at national level will be conducted twice a year.
- c) The national moderator will provide a report to the PED on each subject moderated, highlighting the standard and quality of the assessment tasks and the reliability of the final assessment scores.

CHAPTER 8

RE-ASSESSMENT OF SPECIFIC SBA TASKS

- 1) Learners will not be allowed a second opportunity with regard to an assessment task that has been administered, if that task constitutes the final SBA summative assessment.
- 2) Learners may be granted a second opportunity with regard to the same assessment task for remedial purposes, but the mark that must be recorded is the mark obtained at the first attempt.
- 3) In exceptional circumstances, learners may be granted a second opportunity with regard to an assessment task if the first assessment task was found to be faulty or erroneous in certain questions or all the questions, and this would have affected the performance of the learners. In such a case, the assessment task must be declared invalid and a new assessment task must be set and moderated. Such a re-assessment must be reported to the district director and the scores of the re-assessed task must be recorded.
- 4) The granting of repeated opportunities using the same assessment task or similar tasks to improve the marks of the learners in the specific task constitutes an assessment irregularity and will be dealt with accordingly.

CHAPTER 9

IMPLEMENTATION OF THE SBA QUALITY ASSURANCE GUIDELINE

- 1) The PEDs/assessment bodies must evaluate their current quality assurance systems against the quality assurance system prescribed in this guideline and establish their deficiencies and strengths.
- 2) Each PED/assessment body must develop an implementation plan indicating how their deficiencies will be addressed during the 2022 and subsequent academic year.
- 3) The DBE/head of the assessment body will monitor the incremental implementation of this quality assurance guideline to establish the functionality, effectiveness and reliability of SBA moderation systems across PEDs. Iterative feedback will be provided to all PEDs to ensure the attainment of the standards (quality of the assessment tasks, administration of the assessment tasks and reliability of the verification processes and the learner outcomes) prescribed and will be incorporated into the final policy document for the Quality Assurance of SBA in Grades 10-12.