THE CHARTERED GOVERNANCE INSTITUTE OF SOUTHERN AFRICA

Student Policies Manual 2025

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Note: The Institute reserves the right to change any of its policies at any time.

ACADEMIC CREDIT POLICY

Implementation date:	January 2019
Next review date	January 2029
Responsibility	Student and Examinations Department
	Accreditation and Assessment Department
Ratification	EDEX

1. PREAMBLE

This policy sets out the academic principles and overarching rules applicable to the granting of exemptions for modules in the CGISA programme.

The purpose of the policy is to ensure that:

a. the integrity and consistency of the standard of the award of Company Secretary, Governance Professional and Governance Practitioner qualifications are upheld;
b. granting of exemptions for modules is transparent and equitable;
c. process for obtaining an exemption for eligible candidates is as efficient as possible; and
d. outcome of an application for exemption is decided in a timely manner.

2. SCOPE

This policy applies to all students of CGISA.

3. LEGISLATIVE CONTEXT

This policy addresses the following statutory requirements:

The National Qualifications Act, 2008

4. EXAMINATION CREDITS

- Academic credits are awarded to a student upon the successful completion of a **written examination** set by CGISA, WITSPlus or the UNISA School of Accountancy.
- Credits previously awarded for whole qualifications or programmes will be retained in the student record.
- However, all credits **older than 10 years** automatically fall away if students **have not completed a programme**. In such a case, student will need to start the programme again because requirements and knowledge change regularly.
- When a student registers with CGISA, the student a) acknowledges an awareness of the prevalent rules of the Institute; and b) undertakes to be bound and abide by the latest rules of the institution that are in force at any time.
- The student bears the onus of ensuring that he or she is familiar with the rules pertinent to his or her registration with CGISA. Ignorance of these rules and related institutional policies will not be accepted as an excuse for any transgression.
- A student must complete a registration form for each academic year, in terms of which he or she binds himself or herself to all the rules of the Institute. The content of the registration form is the basis of the student's contract with the Institute.

- Exemption or credit cannot be granted if the student studied and passed outdated modules. The periods of outdated information of qualifications vary and are determined by the Institute. The reasons for this may be due to legislative, technological and / or curriculum-related changes.
- If a student did not pass any study units in the year in which they are exempted from study units, their exemption shall be subject to the rules in force in the year in which they continue their studies.
- Each year in which the student was registered at CGISA is included in the calculation of the period of registration, and not just the years in which the student was registered for a particular qualification.

5. EXEMPTION CREDITS

Exemption credits will be granted only for modules which are comparable to modules offered by CGISA. Moreover, the coursework must have been taken at an accredited and registered institution. Approved credits earned at another institution will be converted to the CGISA module and included in the student record and marked as an exemption. Such credits will be applied at the discretion of the CGISA. Credits awarded are added to the student record for graduation purposes.

Note 1: All previous exemptions or other concessions older than 10 years automatically fall away if students have not completed the programme.

Note 2: In order to be awarded a certificate for Governance Practitioner, students must have written the CGISA examinations for Advanced Governance and Advanced Business Law at the NQF7 level and must complete the Workplace Experience Modules. Otherwise, credits will be granted only for **access** to the next level of the programme and no certificate will be awarded.

5.1 The Matching Principle

Students who wish to earn credits towards any of the CGISA programmes must present evidence that previous studies "match" the requirements of the registered qualifications.

The "matching principle" is the key principle used in assessing the application for exemptions for individual subjects in an incomplete degree programme.

The "match" will apply if

- the module is at the **same level** as the CGISA module
- the module content is largely **similar** to the syllabus of the CGISA module.

Applications will be evaluated on a case-by-case basis.

5.2 Fees

An exemption fee is charged for credits earned via other qualifications. No exemption fee is applicable for students transferring from another CGISA division having partially completed a CGISA qualification.

This is covered in a separate policy.

6. CONCLUSION

Within the limitations as outlined above, the Institute has a fairly generous academic credit policy. However, in terms of its accreditation requirements and the legislation which governs its operation, there are also restrictions as to how far it can go in this regard.

It should be noted that the decision as to which credits are granted is the prerogative of the Institute.

Supporting Documents

- Student handbook
- Registration Forms
- Exemption application forms
- Routes to entry
- Recognition of Prior Learning (RPL) policy and application form
- Fees guide

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ADMISSIONS AND REGISTRATIONS POLICY

Implementation date	January 2009
Last reviewed	September 2024
Next review date	August 2027
Responsibility	Student and Examinations Manager
Ratification	EDEX

1. PREAMBLE

The purpose of this policy is to assist and inform all applicants, students and staff of the Chartered Governance Institute of Southern Africa (CGISA) of the policies and procedures used to admit and register students.

All staff and students are responsible for upholding the good name and reputation of the CGISA, and these responsibilities impact directly on the admission and registration processes.

All students shall conduct themselves with diligence, honesty and integrity in their student and professional lives, and these responsibilities impact directly on the admission and registration processes.

When a person applies to CGISA, the applicant (a) acknowledges that they have read and accepted this policy and all other student policies; and (b) accepts that they and the Institute are bound by these policies in processing their application for admission and registration.

2. DEFINITIONS

Registration is the act/acts of cumulative administrative processes, the completion of which results in the admission of an applicant to the Institute.

Admission is the act of acceptance by the Institute of the applicant as a student subject to, and in terms of, this policy.

3. NEW APPLICANTS

Registration Process

Applicants apply to register to the CGISA on the relevant form found on the website. The form must be completed in full and returned via email to students@chartgov.co.za with all the required accompanying documents.

- Once the applicant has completed the process of registration, the applicant will receive an automatic system-generated confirmation of registration email notification from the Institute.
- This confirmatory notification will include the student's name, identity number, student number, and the qualification for which they are intending to study towards (i.e. NQF7: Governance Practitioner OR NQF8: Governance Professional OR NQF8: Company Secretary.
- This confirmatory notification is not to be construed as final admission to the Institute. Admission is a discretionary process having regard to, and in terms of the policy of the Institute from time to time.

New Applicant Admission Process

- Note: **admission is not automatic,** and applicants should not assume that they have been admitted until they have received the Institute's formal acceptance letter.
- The Institute reserves the right to consider any other additional considerations as set out in 7 below before exercising its discretion to admit the applicant.

An applicant's registration is only regarded as final once:

- they have completed the registration process in full,
- they have received correspondence from the Student and Examinations Manager confirming their admission as a student ; and
- they have paid all fees owing.

4. ELIGIBILITY FOR ENTRANCE TO THE (NQF7) GOVERNANCE PRACTITIONER QUALIFICATION

The following persons are eligible to enter the programme at NQF Level 5 (i.e. Governance Practitioner):

- Persons who have passed the National Senior Certificate Examinations with a Level 4 pass in both English and a Level 4 pass in Mathematical Literacy;
- Persons who have achieved a relevant NQF4 qualification with English and Mathematics;
- Persons who have equivalent foreign qualifications.

Exemptions may be awarded for individual modules. For the exemptions application form, refer to the website.

5. *ELIGIBILITY FOR ENTRANCE TO THE (NQF8) GOVERNANCE PROFESSIONAL OR COMPANY SECRETARY QUALIFICATION (THE BOARD EXAMINATIONS)*

Access to the NQF8 qualifications is via two main routes:

Route 1: Examinations

The completion of the 11 modules of the Governance Practitioner qualification by passing the examinations.

Route 2: Exemptions

Exemptions may be awarded for relevant qualifications earned at the NQF7 level.

Please refer to the exemptions policy, which can be found in the Student Handbook.

Applicants should check this BEFORE they apply for registration and, if applicable, complete the exemptions application form .

Note: all degrees for which exemption is sought must be issued by a public university or Private Higher Education Institution (PHEI) accredited by the Council on Higher Education .

Special Note: Applicants may NOT register for NQF7 subjects and NQF8 subjects simultaneously. The Governance Practitioner qualification will need to be completed in full OR full exemption will need to be obtained before students can proceed to the board examinations.

Persons who have equivalent foreign qualifications may also apply for exemptions.

6.   MATURE AGE EXEMPTION

Persons who do not have the necessary entrance requirements and who have reached the age of 23, may apply for admission to the CGISA programme on the grounds of mature age. Such persons must, however, be able to provide evidence of their English and numerate skills. (For example, evidence of having been employed in a job where such skills are needed; evidence of other courses or modules having been passed with another accredited organisation).

All queries in this regard should be forwarded to students@chartgov.co.za

7.   ADDITIONAL CONSIDERATIONS

Persons who meet the minimum academic requirements are not guaranteed admission as students, and admission is at the discretion of the Student and Examinations Manager.

The applicant must disclose and the Student and Examinations Manager shall further consider:

- The applicant's criminal record, if any;
- Civil judgments against or involving the applicant;
- Pending litigation or investigations of any kind into or involving the applicant's professional conduct, including those in which the applicant is participating as a third party; and
- Any other information which may reasonably affect the integrity of the professional standards required of a Company Secretary, Governance Professional or Governance Practitioner, including but not limited to allegations of deceit, deception or dishonesty.

The applicant's admission is regarded as final once:

- they have received correspondence signed by the Student and Examinations Manager confirming their admission;
- they have paid all fees owing; and
- they have been registered as students of CGISA.

8.   REVOCATION OF ADMISSION/ REGISTRATION

If the Student and Examinations Manager is satisfied that the student may have fraudulently, through misrepresentation or the non-disclosure of material information, obtained admission to the CGISA or that the student's circumstances have changed in respect of any of the additional considerations listed in 7 above, the Student and Examinations Manager shall:

- raise their complaint immediately with the student, in writing, and advise them of the allegations against them and their right to make written representations within 2 weeks (14 calendar days);
- inform the CEO of their complaint; and
- submit the student's representations to the CEO.

Upon receiving representations from the Student and Examinations Manager and the student, the CEO:

- shall decide if it is in the public interest to revoke the student's admission to CGISA, having regard to the broader functions performed by CGISA in qualifying company secretaries and governance professionals and the qualities required for the respective positions;
- may call for a hearing, oral representations or further written representations from any party associated with the complaint;

- shall submit their decision with reasons to the Student and Examinations Manager and the student within 14 calendar days of receiving the complaint and the student's first set of representations; and
- shall delegate this function in circumstances where it would be appropriate to do so.

The CEO shall not revoke a student's admission under this provision after the student has written any examination or submitted any assignment, in which case, the Student Disciplinary Procedure shall apply.

9. ANNUAL REGISTRATION FOR EXISTING STUDENTS

A renewal of registration in subsequent years after the initial admission as a student will be considered a renewal of admission as a student.

At the time of applying for the renewal of their registration, the application shall be subject to the rules and policies in force at the time of applying for such renewal.

10. APPLICANT OBLIGATIONS

The applicant bears the obligation of ensuring that they are familiar with the rules governing their admission and registration. Ignorance of these rules and related policies will not justify any transgressions, whether intentional or negligent.

11. SUPPORTING DOCUMENTS

- Exemptions application forms
- Examinations department operational procedures and checklists
- Registration forms
- Student disciplinary procedure
- Student code of ethics
- Student handbook

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APPEALS POLICY FOR STUDENTS

Implementation date	June 2010
Last reviewed	October 2017
Next review date	January 2027
Responsibility	Accreditation and Assessment Manager
Ratification	EDEX

1. PREAMBLE

An appeal is defined here as a complaint, for which a remedy is sought, falling under one or more of the following categories:

- An allegation of a deviation from established standards in grading or evaluation. Learner must be able to document case. Opinions or feelings of being treated unfairly are not sufficient.
- An allegation of a breach, or improper application, of the implicit contract between a member of the academic staff and the aggrieved learner.
- Individual Feedback Report.

This appeals policy is governed by the principles of natural justice which are that

- A learner is given the right of appeal against any negative assessment decision
- The learner is made aware of the appeals procedure and is given access to any relevant documentation in this regard
- That any appeal will be considered within a reasonable time period.

Initiation of appeal procedures may be made by any learner. Learners may not appeal simply because they believe they should have had different outcome, or the examination was too difficult or unreasonable, as long as the same standard was applied across the board.

Learners wishing to appeal any aspect of the admissions or assessment process should make their submission, in writing, to the Student and Examinations Manager. Appeals against assessment decisions should be made within two weeks of the assessment results being declared.

Appeals are then submitted to subject moderator for consideration.

Following consultation with the moderator involved, the appeal may be referred to a review panel consisting of an assessment expert and/or a content expert. The panel may decide to take one of the following courses of action in relation to the appeal:

- Uphold the assessment decision
- Use their professional judgment to revise the assessment decision
- Request further evidence to enable the panel to make a decision
- Arrange for the learner to be reassessed by another assessor. There is a charge for such reassessment.

The appeal decision should be finalised within 30 calendar days of the appeal being lodged.

2. APPEALS PROCEDURE

The appeals procedure applies to all learners registered for examinations with the Institute. It can be used by any learner who has evidence or believes that evidence exists to show that a declaration of failure (Not Yet Competent) was assigned or a similar evaluation was made as a result of prejudice, caprice, or other improper condition such as mechanical error.

Candidates must make use of the other facilities available to them, such as the Individual Feedback Report, before submitting an appeal.

In appealing, the learner must support in writing the allegation that an improper decision has been made and must specify the remedy sought. The learner should seek the assistance of the Manager: Student and Examinations in pursuing the appeal. During an appeal, the burden of proof is on the learner, except in the case of alleged academic dishonesty, where the assessor must support the allegation.

- The learner should complete an Academic Appeal Form obtainable from the Student and Examinations department, and return it to the Student and Examinations Manager.
- Following receipt of such a form by the Student and Examinations Manager, the script, question paper, memorandum and examiner's and moderator's report are sent to the moderator for a second assessment.
- The moderator submits a detailed report to the Chief Examiner as to the reasons why the appeal succeeds or fails.
- If the appeal succeeds, the fees paid in this regard are refunded to the learner. If the appeal fails, the fees are not refunded.

3. SUPPORTING DOCUMENTATION

- Appeals Application form

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ASSESSMENT POLICY

Implementation date	October 2007
Last reviewed	February 2024
Next review date	February 2027
Responsibility	Accreditation and Assessment Manager
Ratification	EDEX Committee

1. PREAMBLE

This document explains the requirements for the internal and external subject assessment.

2. UNDERPINNING OBJECTIVES AND PRINCIPLES

Assessment is underpinned by the objectives of the National Qualifications Framework (NQF). These objectives are to:

- Create an integrated national framework for learning achievements.
- Facilitate access to and progression within education, training and career paths.
- Enhance the quality of education and training.
- Redress unfair discrimination and past imbalances and thereby accelerate employment opportunities.
- Contribute to the holistic development of the student.

The principles that drive these objectives are:

Integration	To adopt a unified approach to education and training that will strengthen the human resources development capacity of the nation.
Relevance	To be dynamic and responsive to national development needs.
Credibility	To demonstrate national and international value and recognition of qualification and acquired competencies and skills.
Coherence	To work within a consistent framework of principles and certification.
Flexibility	To allow for creativity and resourcefulness when achieving Specific Outcomes, to cater for different learning styles and use a range of assessment methods, instruments and techniques.
Participation	To enable stakeholders to participate in setting standards and co-ordinating the achievement of the qualification.
Access	To address barriers to learning at each level to facilitate students' progress.
Progression	To ensure that the qualification framework permits individuals to move through the levels of the national qualification via different, appropriate combinations of the components of the delivery system.
Portability	To enable students to transfer credits of qualifications from one learning institution and/or employer to another institution or employer.

Articulation	To allow for vertical and horizontal mobility in the education system when accredited pre-requisites have been successfully completed.
Recognition of Prior Learning	To grant credits for a unit of learning following an assessment or if a student possesses the capabilities specified in the outcomes statement.
Validity of assessments	To ensure assessment covers a broad range of knowledge, skills, attitudes and values (SKAVs) needed to demonstrate applied competency. This is achieved through: • clearly stating the outcome to be assessed; • selecting the appropriate or suitable evidence; • matching the evidence with a compatible or appropriate method of assessment; and • selecting and constructing an instrument(s) of assessment
Reliability	To assure assessment practices are consistent so that the same result or judgment is arrived at if the assessment is replicated in the same context. This demands consistency in the interpretation of evidence; therefore, careful monitoring of assessment is vital.
Fairness and transparency	To verify that no assessment process or method(s) hinders or unfairly advantages any student. The following could constitute unfairness in assessment: • Inequality of opportunities, resources or teaching and learning approaches • Bias based on ethnicity, race, gender, age, disability or social class • Lack of clarity regarding Specific Outcome being assessed • Comparison of students' work with other students, based on learning styles and language
Practicability and cost-effectiveness	To integrate assessment practices within an outcomes-based education and training system and strive for cost and time-effective assessment.

3. ASSESSMENT FRAMEWORK

The assessment structure for the qualification is as follows:

3.1 Internal continuous assessment (ICASS)

Knowledge, skills, attitudes and values (SKAVs) are assessed throughout the semester using assessment instruments such as projects, tests, assignments, investigations, role-play and case studies. This is the role and function of the accredited skills development provider.

3.2 Formative Assessment: Assignments

The CGISA sets assignments for all Board subjects each semester. These assignments are compulsory for all students registered for a specific module for that semester's examinations. Assignment results may not be carried over from one semester to the next.

3.3 External integrated summative assessment (EISA)

An external integrated summative assessment (EISA) is required for the issuing of this qualification. The EISA will focus on the exit-level outcomes and associated assessment criteria for each qualification. The external assessment will consist of a set of written question papers which will test the learner's ability to communicate, solve problems and make decisions in relation to a set of typical situations and circumstances which are encountered when acting as a governance practitioner, company secretary or governance professional. Practical modules will be assessed as part of the written assessments. The written assessments will be conducted periodically at accredited assessment centres.

4. SPECIFICATION FOR EXTERNAL ASSESSMENT

Students achieve the competencies throughout the year but the competencies are assessed cumulatively in a single assessment or examination session at the end of a semester.

An examination is conducted annually in May and October by means of a 3-hour paper for each subject, set and moderated externally. The following distribution of cognitive application should generally be followed:

NQF Levels and Approximate Balance on paper	Level	%	Level	%	Level	%	Level	%	Level	%	Level	%
			5	10%	5	50%	5	30%	5	10%		
					6	30%	6	50%	6	20%		
					7	20%	7	40%	7	40%		
					8	10%	8	20%	8	40%	8	30%
Definitions	I. Remembering		II. Understanding		III. Applying		IV. Analyzing		V. Evaluating		VI. Creating	

Types of questions that can be used are: multiple choice; true/false; matching; short answer; paragraphs; short case studies; scenarios; practical application; problem solving. A range of these types of questions may be used in each paper.

5. MODERATION OF ASSESSMENT

Moderation is a continuous process. The moderator's involvement starts with the planning of assessment methods and instruments and follows with continuous collaboration with and support to the assessors. Moderation creates common understanding of Assessment Criteria and maintains these across the subjects and programmes offered. A sample of scripts is selected for each subject from the top, middle and lower bands of results, for purposes of moderation. All borderline scripts within 5% below the pass mark are moderated. Verification of results is conducted by the QCTO.

6. ASSESSOR AND MODERATOR REQUIREMENTS

Preferable requirements:

* Have experience as an examiner or moderator
* Have the relevant subject matter expertise
* Have lecturing experience

- Have experience as a practitioner in the relevant field
- Have a formal qualification in the relevant field
- Are computer literate in MS Word
- Have the time and commitment required to set, moderate or mark examinations according to prescribed deadlines.

7. RECORDING AND REPORTING SYSTEMS

A computer-based system is used for recording results.

8. SUPPORTING DOCUMENTS

- Examiners' contracts
- Moderators' contracts
- Examinations department operational procedures and checklists
- Examinations flowchart

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ASSIGNMENTS POLICY

Implementation date	October 2007
Last reviewed	October 2025
Next review date	October 2027
Responsibility	Accreditation and Assessment Manager
Ratification	EDEX Committee

1. **PREAMBLE**

- This policy aims to enhance the quality of assessment practices in the institute.
- This policy supports and gives expression to the institute's commitment to be the premier governance professional body in Southern Africa through its assessment practices.

More specifically, the purposes of this policy are:

- To enhance student learning. This is aimed at providing support to students and assisting them to pass the examinations.
- To ensure that assessment adheres to principles of best practice;
- To ensure that assessment judgements can be justified (explained and defended);
- To assist staff in their understanding of what makes for good assessment practice and be accountable for the quality of assessment they implement;
- To maintain nationally and internationally benchmarked standards of CGISA qualifications by ensuring that assessment practices are appropriate to the qualification levels and module/programme outcomes; and
- To make skills development providers responsible and accountable for translating the policy into assessment practices, so that in any quality audit or evaluation, they can show evidence of sound assessment practice.

2. **DEFINITION OF TERMS**

- Assessment: The evaluation and grading of work, supervised or unsupervised, carried out by a student in satisfying the requirements of a module.
- Consistency: The assessment would produce the same result if repeated with comparable students and comparable tutors.
- Criterion-referenced assessment: A type of assessment designed to provide a measure of performance that is interpretable in terms of a clearly defined and delimited domain of learning tasks.
- Fair: Fairness implies that the method of assessment does not present any barriers to achievements that are not related to the evidence.
- Flexibility: Assessment practices should be flexible enough to accommodate the scope of knowledge and skills covered by the assessment criteria, variations in context, the range of needs and the personal circumstances of all potential students.
- Integrated assessment: Refers to that form of assessment that permits a student to demonstrate applied competence.
- Memoranda: These are formally defined as marking guidelines, consisting of specific pre-established performance criteria, used in evaluating student work.

- Practicability: Refers to ensuring that assignments take into account available (financial) resources, facilities, equipment and time.
- Reliability: The assessment is consistent from student to student, and from context to context.
- Transparency: The assessment process is clear and open to everyone making use of it.
- Validity: An assessment is valid if the assessment focuses on the requirements laid down in the standard. An assessment is valid when it assesses what it claims to assess.

3. **SCOPE**

The policy is applicable to all Board modules of the Institute.

4. **REQUIREMENTS FOR ASSIGNMENTS**

4.1 Assignment questions

- Questions must be prepared with reference to the syllabus prescribed by the Institute and supported by prescribed textbooks, and/or study materials and/or guides and legislation (where applicable).

- Assignments should be set out of 100 marks.
- Assignments should be problem-based and require students to carry out independent research, interpret a case study or solve a problem, rather than simply answer questions from the textbook.
  - For **written assignments**, the length of the answers should be appropriate to the questions and should require approximately ten (10) pages of typed work (1.5 spacing, size 12 font) (approximately 3000 words); using MSWord (which must be converted to PDF before submitting), and students should be advised accordingly.
  - For **numerical assignments**, students should be asked to carry out a number of complex financial calculations and may present these in Excel format. They should also be asked for comments and evidence-based opinions on the results of the calculations, using appropriate theoretical concepts.

- Although topics/subject areas may be tested regularly, questions must be original and not be repeated from one semester to the next.
- The wording, grammar, punctuation and style of questions must conform to the standard expected of persons operating in a professional capacity.
- Questions must be fair and unambiguous and the requirements must be clear.
- Questions should use Bloom's revised taxonomy.
- Questions, as far as is reasonably possible, must be of a business-related nature.
- The language and contexts in which the questions are set must not be such as to give offence to any group of candidates.

4.2 Marking Schemes

- Assignment marks will contribute 30% to the final overall mark for a candidate.
- Students must get **a subminimum of 40%** on the exam paper in order to pass, irrespective of what they may earn on the assignment.
- Sample answers such as those that would be expected from candidates, should be supplied. Answers should not be a copy and paste from the textbook.
- The examiner should not draft the memorandum by copying from the internet.

- The marking scheme must indicate the marks to be awarded to each question and/or part thereof to identify the level of knowledge and skill being assessed, the level of importance of and the time afforded to each question.
- All workings for computational answers must be provided.
- Where questions require that reference be made to appropriate legislation and/or case law, the marking scheme must clearly state which legislation and/or case law should be included in the answer and the extent of the detail required. Cases and statutes do not have to be referenced in full.
- The assignment examiner should not use marking schemes in a prescriptive manner: there should be scope to reward original relevant thought.

4.3 Marking of assignments

Assignments are uploaded to Moodle in PDF format (not scanned in), or excel in the case of finance assignments. **With the exception of finance assignments**, students must submit assignments to Turnitin (link will be on Moodle). Students may submit their assignments in draft form as a first step and then view their Turnitin report with a view to amending their assignments if necessary to reduce their plagiarism percentage, before submitting the final version of the assignment. Please refer to the plagiarism policy.

The assignment examiner must use the track changes and comment facility in marking the assignments. The assignment examiner will download these from the Moodle system and will upload them back to Moodle once marked.

The assignment examiner should not include his/her personal details or other contact details.

No further assessment or discussion of the results is permitted.

The Institute will review a sample of the marked assignments on an ad hoc basis on request.

5. PROCEDURES AND GUIDELINES FOR IMPLEMENTATION

Delegated CGISA staff and individual assignment examiner have collective responsibility for the implementation of this policy and for translating it into specific procedures.

Policy implementation will be monitored by the Assessment Manager who reports to the CEO and the Education and Examinations Committee of CGISA.

In order that the policy is implemented effectively, formal responsibilities are delegated to individuals expressly responsible for assessment. However, it is the responsibility of the management of CGISA to ensure that assessment is practised in accordance with the highest teaching and learning quality management principles.

The **Student and Examinations Manager** is responsible for ensuring that:

- The programme of all assignments, together with due dates, is communicated and explained to all students registered for the module;
- Records are kept for any quality audit: assignment questions, memoranda, assignment examiner reports and score sheets.

Assignment examiners are responsible for ensuring that:

- Assignments target the appropriate level of competence expected in the module, to accommodate student diversity and to ensure that all the outcomes are met;
- There is fairness in the assignments in that the content is not selective or biased, and special arrangements are made for any student with a declared disability;
- Marking of assignments is done in accordance with memoranda, noting that some tasks will require independent thinking, creativity and autonomous judgement;
- Students are given detailed information on their performance in all assignments, which is aimed at facilitating students' understanding of the mark given;
- Marking of assignments is done in such a way that students can see immediately how a given mark can be explained or justified according to the criteria;
- Feedback on assignments is given individually, in writing; and
- Although feedback often entails judgement of current performance, it is formulated in such a way that the student(s) can see how to improve their learning and are motivated to do so; and is given in a respectful, formative and faciliatory manner.

The **Assessment Manager** is responsible for:

- Appointing assignment examiners together with the selection panel;
- Monitoring implementation of the policy;
- Monitoring the performance of assignment examiners; and
- Monitoring the quality of the assignment and memorandum.

The **Chief Examiner** is responsible for:

- Evaluating the quality of the assignment and memorandum;
- Providing guidance on the implementation of the policy;

6. **SUPPORTING DOCUMENTS**

- Assessment and moderation policy
- Assignment examiner contract
- Student disciplinary policy
- Plagiarism policy
- Referencing guidelines
- Student code of conduct

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CERTIFICATION POLICY

Implementation Date	July 2010
Reviewed	September 2023
Next review date	August 2027
Responsibility	Student and Examinations Manager
Ratification	EDEX Committee

1. PREAMBLE

Certificates are issued by the Quality Council for Trades and Occupations (QCTO). They are called Occupational Certificates or Learner Certificates. The certificates are issued with an NQF rating indicated on them.

The CGISA is responsible for submitting the learner records to the QCTO.

The certification policy of the QCTO can be viewed on the weblink:
http://www.qcto.org.za/index.php/qualifications-under-development/certification/certification-policy

The issuing of the certificates can take up to 90 working days.

- From 2019, duplicate certificates issued must be applied for via the QCTO.
- Duplicate programme certificates earned prior to 2019 must be issued by FASSET
- No duplicate certificates can be issued for qualifications earned prior to 2002.

2. LIMITATIONS

For the Governance Practitioner qualification, students must write and pass the Advanced Business Law and Advanced Governance modules at the NQF7 level and must pass the External Integrated Summative Assessment (EISA) including the Workplace Experience Modules. (This is a QCTO requirement).

For the Company Secretary or Governance Professional qualifications, students must write at least four of the NQF8 modules, must complete the Workplace Experience Modules and must pass the EISA. (This is a QCTO requirement).

Students who do not comply with this minimum requirement, **will receive a transcript of results** reflecting the credits earned (both exemptions and examinations) and **will have to go on to complete the next level of the programme before being certificated**. A transcript of results will be issued to the student upon payment of the relevant fees.

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EXEMPTIONS POLICY

Implementation date	October 2007
Reviewed	September 2023
Next review date	September 2027
Responsibility	Student and Examinations Manager
Ratification	EDEX

1. PREAMBLE

This policy will assist the CGISA by providing the principles and procedures which allow the granting of exemptions for entry into any of the CGISA programmes.
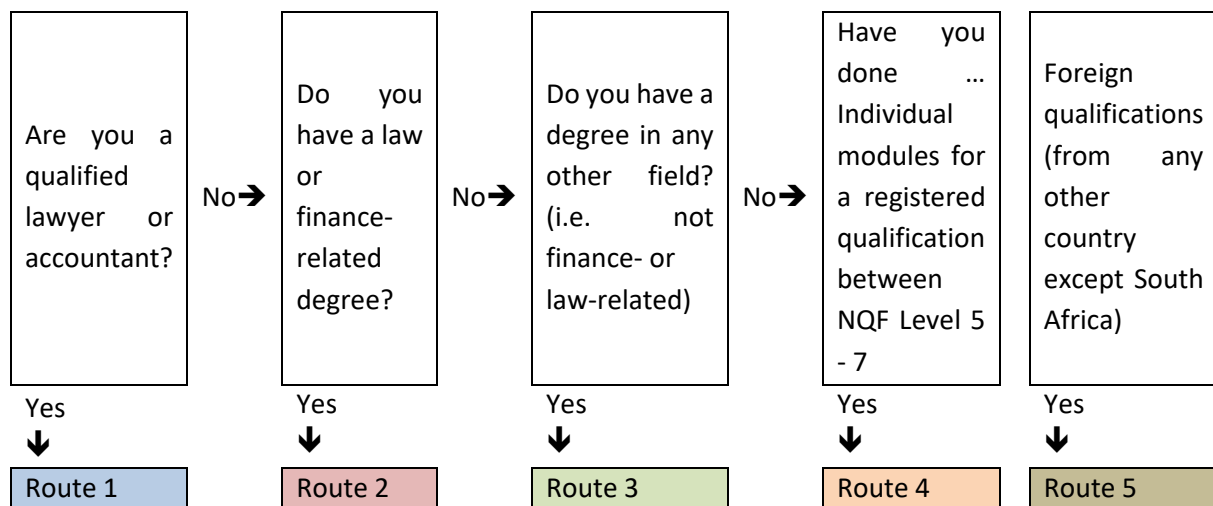
Exemptions are awarded on the basis of equivalence of level and, content. It is the student's responsibility to provide evidence in this regard. and credit value. (For example, if a student has written an examination in Corporate Law at NQF Level 6, no exemption will be granted for Corporate Law at NQF8; if a programme in Financial Management has been completed at post-graduate level, then a credit can be awarded for Finance for Decision-Making at NQF Level 8).

It is the responsibility of the applicant to provide sufficient information on which an exemption decision can be based.

Note: non-credit-bearing short learning programmes are not recognised for exemption.

Exemptions are granted at the sole discretion of the Institute.

2. SECTION A: DIAGRAMMATIC OVERVIEW OF ENTRY ROUTES TO THE BOARD EXAMINATIONS FOR NEW STUDENTS

Are you a qualified lawyer or accountant?	No➜	Do you have a law or finance-related degree?	No➜	Do you have a degree in any other field? (i.e. not finance- or law-related)	No➜	Have you done … Individual modules for a registered qualification between NQF Level 5 - 7	Foreign qualifications (from any other country except South Africa)
Yes ⬇		Yes ⬇		Yes ⬇		Yes ⬇	Yes ⬇
Route 1		Route 2		Route 3		Route 4	Route 5

Note: all degrees for which exemption is sought must be issued by a public university or Private Higher Education Institution (PHEI) accredited by the Council on Higher Education (https://cach.dhet.gov.za/files/RegisterOfPrivateHigherEducationInstitutions.pdf)

3. SECTION B: MODULE COMBINATIONS FOR EACH ROUTE

Route 1: Professional Exemption Route: Fast-track

Route 1A – Chartered Secretary exemption route

Entry requirements: Qualified lawyer with 5 years' company secretarial experience

Students may receive 4 exemptions.

Company Secretary Route
Corporate Law
Finance for Decision-Making
Risk and Compliance
Development of Strategy
Company Secretarial Practice – no exemptions
Applied Governance – no exemptions

Route 1B – Chartered Governance Professional exemption route: Fast-track

Entry requirements: Qualified lawyer with 5 years' governance professional experience

Students may receive 4 exemptions.

Governance Professional Route
Corporate Law
Enterprise Risk Management – no exemptions
Finance for Decision-Making
Risk and Compliance
Public Sector Governance
Applied Governance – no exemptions

Route 2: Related Degree Entry

Route 2A – Law degree entry

Entry requirements: Law degree; e.g. LLB, LLM

Students are required to successfully complete 6 modules and may receive a maximum of 2 exemptions.

Company Secretary Route	Governance Professional Route
Corporate Law	Corporate Law
Finance for Decision-Making	Finance for Decision-Making
Risk and Compliance	Risk and Compliance
Development of Strategy	Enterprise Risk Management – no exemptions
Company Secretarial Practice – no exemptions	Public Sector Governance
Applied Governance – no exemptions	Applied Governance – no exemptions

Route 2B – Finance degree entry

Entry requirements: Finance-related degree; e.g. B.Com.; B.Acc.; B. Compt.

Students are required to successfully complete 6 modules and may receive a maximum of 2 exemptions.

Company Secretary Route	Governance Professional Route
Corporate Law	Corporate Law

Finance for Decision-Making	Finance for Decision-Making
Risk and Compliance	Risk and Compliance
Development of Strategy	Enterprise Risk Management – no exemptions
Company Secretarial Practice – no exemptions	Public Sector Governance
Applied Governance – no exemptions	Applied Governance – no exemptions

Route 2C – Other related degree entry

Entry requirements: Law degree and finance degree e.g. B.Com. Law

Students are required to successfully complete 6 modules and may receive a maximum of 2 exemptions.

Company Secretary Route	Governance Professional Route
Corporate Law	Corporate Law
Finance for Decision-Making	Finance for Decision-Making
Risk and Compliance	Risk and Compliance
Development of Strategy	Enterprise Risk Management – no exemptions
Company Secretarial Practice – no exemptions	Public Sector Governance
Applied Governance – no exemptions	Applied Governance – no exemptions

Route 3: Other Qualifications

Entry requirements: Degree (non-finance/law related)

Students are required to successfully complete 6 modules and may receive a maximum of 2 exemptions if they have completed similar modules at a post-graduate level.

Company Secretary Route	Governance Professional Route
Corporate Law	Corporate Law
Finance for Decision-Making	Finance for Decision-Making
Risk and Compliance	Risk and Compliance
Development of Strategy	Enterprise Risk Management – no exemptions
Company Secretarial Practice – no exemptions	Public Sector Governance
Applied Governance – no exemptions	Applied Governance – no exemptions

Route 4: Exemptions for individual modules

Students may receive exemptions on a module by module basis if they have completed similar modules at the same NQF Level or higher and with similar content in a registered qualification.

Module	NQF Level
Communication	NQF5
Introduction to Financial Accounting	NQF5
Introduction to Law	NQF5
Introduction to Corporate Governance	NQF5
Principles of Business Law	NQF6
Managing Information Systems	NQF6
Advanced Financial Accounting	NQF6
Principles of Corporate Governance	NQF6

Management Principles	NQF7	
Advanced Business Law	NQF7	
Advanced Corporate Governance	NQF7	
Plus a maximum of 2 exemptions for		
Company Secretary Route (NQF8)	Governance Professional Route (NQF8)	
Corporate Law	Corporate Law	
Finance for Decision-Making	Finance for Decision-Making	
Risk and Compliance	Risk and Compliance	
Development of Strategy	Enterprise Risk Management	
Company Secretarial Practice – no exemptions	Public Sector Governance	
Applied Governance – no exemptions	Applied Governance – no exemptions	

Route 5: Foreign qualifications

Students must first apply to the South African Qualifications Authority for an evaluation of their qualification which must accompany their application for exemption. Because of the different legal regimes in foreign countries, no exemptions will be given for any law subjects. Apart from this, students may claim exemptions for any other modules from NQF5-8 (with a maximum of two at NQF8 level).

No application will commence until all certified documents (made by a Commissioner of Oaths) have been received.

For purposes of RPL and/or exemption, the following requirements must be met.

4. **EVIDENCE REQUIREMENTS**

A completed application form must be submitted accompanied by relevant evidence. A portfolio of evidence includes a minimum of:

- Certified copies of any academic qualifications or any other formal recognised competency. Must be done by the SAPS or a Commissioner of Oaths.
- Certified Copy of matric certificate. Must be done by the SAPS or a Commissioner of Oaths
- Certified copy of your marriage certificate or official letter should there be change of surname. Must be done by the SAPS or a Commissioner of Oaths
- A three-page maximum summarised Curriculum Vitae (CV)
- A one-page letter from your current or past employer to substantiate your work outputs, functions, responsibilities and job description.
- Proof of previously earned credits, where applicable. An official transcript of results should be provided.
- Proof of deposit payment.
- Certified copy of ID or any other identification document. Must be done by the SAPS or a Commissioner of Oaths

Note: non-credit bearing short learning programmes are not recognised for exemption.

- All foreign qualifications MUST include an SAQA Evaluation of Foreign Qualification letter.

No exemption will be granted on an exemption (an academic record must be submitted showing passes for all subjects)

5. EXEMPTION FEE

A deposit is required to proceed with the exemption application. This deposit is credited against the final fee due for the total of the exemptions granted. Should the Institute grant you two or more exemptions the administration fee will only count towards one exemption on condition that the student accepts all exemptions granted. The exemption fee is determined annually. Should we not receive all outstanding documents within 30 days you will forfeit your deposit and will need to pay the administration fee again. The deposit is not refundable.

Once exemptions have been granted and paid for in full no refund will be approved should the student no longer want the exemptions.

All bank charges made from a foreign bank account are payable by the student.

Candidates must submit exemption applications to the Institute's Head Office. Exemption applications should be made at least 30 working days before the cut-off date for registration and enrolment to allow time for processing.

The Institute will inform the student via e-mail of their student number once all documentation and administration fee has been received. The Institute will inform the student once again via e-mail of the outcome of their exemption application once full payment has been received. Only then are you an active student and can now register for the examination.

NB: Any exemption granted and not paid for within six months will expire and a new application and payment will have to be made thereafter.

No exemption information, confirmation, policies, etc. will be provided telephonically.

Exemptions will only be valid if confirmed in writing by the Institute.

Exemptions can only be granted for "current competence".

Exemptions cannot be granted on exemptions and RPL received from other professional institutions or universities.

NOTE: Candidates cannot register for any subject before an exemption application has been processed as they will be liable for any fees in this regard.

Fees payable with the exemption form are only applicable for exemptions granted. Registration and payment are separate processes.

*If you are applying for RPL, please refer to our RPL form.

6. CERTIFICATION

See Certification Policy

7. SUPPORTING DOCUMENTS

- Exemptions application form
- Exemptions guidelines
- Examinations department operational procedures and checklists
- Fees guide

- Recognition of Prior Learning Policy
- Recognition of Prior Learning application form

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INDIVIDUAL FEEDBACK REPORTS

Implementation date	November 2009
Last reviewed	October 2023
Next review date	October 2027
Responsibility	Student and Examinations Manager
Ratification	EDEX

1. PREAMBLE

This policy is based on best practice guidance as supplied by The Examination Administrators Forum, 2015[1]

After an examination sitting, students may apply for an individual feedback report which requires the Institute, using subject matter experts and academic practitioners, to analyse the student's script and to provide detailed feedback to the student in writing.

An individual feedback report refers to the process of having a student's failed final, sit-down examination script reviewed in order to provide the students with guidance as to where they erred on the examination paper. The application should not be made for spurious[2] reasons.

Note: a skills development provider cannot apply for this on the student's behalf.

The feedback report will be done by the moderator of the paper.

2. PROCEDURE

Applicants must apply within 10 working days of the release of results for an individual feedback report.

The application form can be downloaded from the website: www.chartsec.co.za

It should be noted that NO service will be supplied unless the relevant fees as determined by the Board of the Institute have been paid. No services will be rendered unless proof of payment accompanies the application.

The moderator will comment briefly on each of the student's answers to point out where he/she has erred. No further correspondence will be entered into.

If the student is not satisfied with the outcome, s/he may lodge an appeal in terms of the Institute's Appeals Policy.

3. EXAMPLE

The following is an example of the kinds of comments that can be expected in a feedback report.

> *You handled questions 1 and 4 reasonably well and passed both these questions.*
> *However, in question 2, it is evident that you have not fully understood .... These are ...., ..., ...,*
> *etc. It appears that you have misread the question. It is important that you identify the key words*
> *of the question before attempting your answer. The textbook covers these points on pages xxx and*
> *I would advise you to revise .... in depth before the next examination.*

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[1] http://www.exaf.co.za/Publications/Publications/Best%20Practice%20for%20the%20Administration%20of%20Examinations.pdf
[2] Lacking authenticity or validity in essence or origin; not genuine.

The following key points should have been included:

Your answer to Question 3 was vague and off the point. You do not have a good understanding of ...... which is apparent from the fact that you went off the point, and your answer was long-winded rather than concise. This is a typical error that occurs when a student is uncertain of his/her knowledge, and I think that this was the case here.

The following key points should have been included:

Question 5 was a short case study that required some analytical thinking. You merely "redefined the problem" instead of analysing it.

The following key points should have been included:

I trust that this has given you sufficient guidance on your script so that you can do better in the next examination.

4. **SUPPORTING DOCUMENTS**

- Individual Feedback application form
- Moderators' contracts
- Examinations department operational procedures and checklists

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MARKING AND GRADING OF EXAMINATION SCRIPTS POLICY

Implementation date	October 2012
Last reviewed	November 2023
Next review date	October 2027
Responsibility	Student and Examinations Manager
Ratification	Edex

1. PREAMBLE

This document delineates the Institute's policy on the marking and grading of students' work, as a framework within which all assessors and moderators work. This policy relates to all the Institute's programmes. All assessments are based on a final written examination.

2. GENERAL PRINCIPLES

- All accredited programmes of the Institute consist of modules, which in turn have explicit learning outcomes. A function of assessment within a module is to enable students to demonstrate that they have attained the learning outcomes of the module.
- All assessments will be related to all learning outcomes of the module.
- Each assessment has a set of assessment criteria, which describe what the student is expected to do in order to demonstrate achievement of the learning outcomes. The Syllabus Coverage Grid for each module is used as the tool to ensure that this standard is maintained.
- Marks are recorded as a numerical value in the range 0% to 100%.
- A bare pass mark of 50% indicates threshold achievement of those of the module's learning outcomes being assessed, measured against the assessment's criteria. A mark over 50% is an indication of the extent to which the threshold has been exceeded.
- Grading within all programmes is guided by the following conventions:

Marks	Symbols	Results
75% or more	A	Distinction
60% to 75%	B	Pass
50% to 59%	C	Pass
38% to 49%	D	Fail
25% to 37%	E	Fail

The following guidance is provided as to the qualities which assessors should look for:

75-100%: a range of marks consistent with work that shows excellent content, organisation and presentation, reasoning and originality; evidence of independent reading and thinking and a clear and authoritative grasp of theoretical positions; ability to sustain an argument, to think analytically and/or critically and to synthesise material effectively
is exceptional in all areas;

60-74%: a range of marks consistent with work that is well-organised and lucid coverage of the main points in an answer; intelligent interpretation and confident use of evidence, examples and references; clear evidence of critical judgement in selecting, ordering and analysing content; demonstrates some ability to synthesise material and to construct responses, which reveal insight and may offer some originality.

50-59%: a range of marks consistent with work that shows a grasp of the main issues and uses relevant materials in a generally business-like approach; possible unevenness in structure of answers and failure to understand the more subtle points: some critical analysis and a modest degree of insight should be present.

45 – 49% Note: All scripts in this band are moderated. Scripts will generally reflect some or limited understanding, superficial lines of argument and muddled presentation. This will result in a borderline mark which may be considered for **condonation**, depending on the following:

- The moderator's report indicating must indicate whether the marking was fair, lenient or too strict overall.
- Where the moderator is of the opinion that the marking was too strict, (OR the marking by the examiner is incorrect) and gives an individual student a pass mark after remarking the script, then **the moderator's mark** will be accepted as the final mark. Where all borderline scripts receive an increased mark, the Assessment Review Panel will then consider whether all marks need to be adjusted upwards by the average difference between the examiner's mark and the moderator's mark. In this instance, where the moderation does not result in a pass, the moderator's mark will stand. Where this results in the final mark being between 45 and 49%, the candidate will fail.
- Where the moderator is of the opinion that the marking was fair, the examiner's mark will stand.
- Where the moderator is of the opinion that the marking was lenient, the moderator may adjust the marks downward, and the moderator's mark will be regarded as the final mark. In this event, the Assessment Review Panel will then consider whether all marks need to be adjusted downwards by the average difference between the examiner's mark and the moderator's mark. Where this results in candidates between 50 and 54% failing, then the examiner's mark will stand.
- No remarks will be considered since all the scripts in this borderline band will have been remarked by the moderator.

30-44%: a fail; may achieve some learning outcomes but falls short in most areas; shows considerable lack of understanding of basic course material and concepts.

0-29%: a fail; basic factual errors of considerable magnitude showing little understanding of basic course material; falls substantially short of the learning outcomes for compensation.

Further, whilst it is scarce for more than 2% of candidates to receive distinctions, there are years and cohorts where there may be considerably more than 2% or no such awards, and assessors are encouraged to use the full range of marks.

The Assessment Review Committee is required to monitor the quality and standards of students' performance in assessment. It is anticipated that the majority of students will receive marks in the range 50% to 65%, with perhaps a concentration in the lower to high 50s.

Supporting Documents

- Examiner and moderator contracts
- Guidelines for examiners, moderators, assignment tutors and review groups
- Templates for question papers and memoranda

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Open Book Examinations are designed to allow candidates to have access to specific legislative or document resources during the examination.

In the context of Introduction to Corporate Governance, Principles of Corporate Governance, Applied Governance, Company Secretarial Practice, Corporate Law, and Public Sector Governance, candidates are permitted to have only the prescribed legislation or the King IV Report with them in the examination room.

Introduction to Governance, Principles of Corporate Governance and Advanced Corporate Governance

Candidates are permitted to have with them in the examination room only the following:

The King IV Report on Corporate Governance from:
https://www.iodsa.co.za/page/DownloadKingIVapp

Applied Governance and Corporate Law:

Candidates are permitted to have with them in the examination room only the following:

Students may download the pdf versions of:

- the Companies Act, 2008 from their student login page
- the Companies Regulations 2011 from
  http://www.dti.gov.za/news2011/companies_regulations_final.pdf
- the Close Corporations Act from http://www.justice.gov.za/legislation/acts/1984-069-CCorp.pdf and
- the King IV Report on Corporate Governance from
  https://www.iodsa.co.za/page/DownloadKingIVapp

Company Secretarial Practice:

Candidates are permitted to have with them in the examination room only the following legislation:

Students may download the pdf versions of:

- the Companies Act, 2008 from their student login page
- the Companies Regulations 2011 from
  http://www.dti.gov.za/news2011/companies_regulations_final.pdf
- the Close Corporations Act from http://www.justice.gov.za/legislation/acts/1984-069-CCorp.pdf and
- the King IV Report on Corporate Governance from
  https://www.iodsa.co.za/page/DownloadKingIVapp
- The JSE Listings Requirements from:
  https://www.jse.co.za/sites/default/files/media/documents/2019-04/JSE%20Listings%20Requirements.pdf

Public Sector Governance

Candidates are permitted to have with them in the examination room only the following documents. Students may download the pdf versions of:

- The Public Finance Management Act 1 of 1999 (as amended) plus accompanying Treasury regulations.
- The Municipal Finance Management No 56 of 2003 (as amended) plus accompanying Treasury regulations.
  and

- the King IV Report on Corporate Governance from https://www.iodsa.co.za/page/DownloadKingIVapp

NO OTHER READING MATERIAL or TEXT BOOKS or STUDY NOTES WILL BE ALLOWED.

Finance for Decision-Making:

Students will be given a formula sheet for Finance for Decision-Making. This is **NOT** an open book examination.

CAUTION: additional note on open book examinations:

Please be forewarned that taking material into examinations for reference purposes poses a different set of challenges that MUST NOT be underestimated. The purpose of these texts is for occasional reference only – improper use will affect the time available to answer comprehensively. Candidates who have NOT used reference material in examinations before are urged to formulate their approach very carefully before attempting to complete these examinations. Reference material is NOT intended to replace required learning and understanding of the syllabus requirements.

Please note:

The following items are **not allowed** on the candidate's person during the sitting of the examination:

1   Cell phones, smart watches, iPods, iPads, earphones, laptops, or **any** similar communication device;
2   Any device, code, notes, comments – or any item or structure that could place a candidate at an advantage – other than what is spelt out above.

Contraventions will be dealt with immediately they are detected, and candidates who are found guilty of contravening these regulations will be barred from all further CGISA examinations.

MODERATION POLICY

Implementation date	October 2007
Last reviewed	October 2023
Next review date	October 2027
Responsibility	Accreditation and Assessment Manager
Ratification	EDEX

1. PREAMBLE

Assessment is underpinned by the objectives of the National Qualifications Framework (NQF). These objectives are to:

- Create an integrated national framework for learning achievements.
- Facilitate access to and progression within education, training and career paths.
- Enhance the quality of education and training.
- Redress unfair discrimination and past imbalances and thereby accelerate employment opportunities.
- Contribute to the holistic development of the student.

2. UNDERPINNING OBJECTIVES AND PRINCIPLES

The principles that drive these objectives are:

Integration	To adopt a unified approach to education and training that will strengthen the human resources development capacity of the nation.
Relevance	To be dynamic and responsive to national development needs.
Credibility	To demonstrate national and international value and recognition of qualification and acquired competencies and skills.
Coherence	To work within a consistent framework of principles and certification.
Flexibility	To allow for creativity and resourcefulness when achieving Specific Outcomes, to cater for different learning styles and use a range of assessment methods, instruments and techniques.
Participation	To enable stakeholders to participate in setting standards and co-ordinating the achievement of the qualification.
Access	To address barriers to learning at each level to facilitate students' progress.
Progression	To ensure that the qualification framework permits individuals to move through the levels of the national qualification via different, appropriate combinations of the components of the delivery system.
Portability	To enable students to transfer credits of qualifications from one learning institution and/or employer to another institution or employer.

Articulation	To allow for vertical and horizontal mobility in the education system when accredited pre-requisites have been successfully completed.
Recognition of Prior Learning	To grant credits for a unit of learning following an assessment or if a student possesses the capabilities specified in the outcomes statement.
Validity of assessments	To ensure assessment covers a broad range of knowledge, skills, attitudes and values (SKAVs) needed to demonstrate applied competency. This is achieved through: • clearly stating the outcome to be assessed; • selecting the appropriate or suitable evidence; • matching the evidence with a compatible or appropriate method of assessment; and • selecting and constructing an instrument(s) of assessment
Reliability	To assure assessment practices are consistent so that the same result or judgment is arrived at if the assessment is replicated in the same context. This demands consistency in the interpretation of evidence; therefore, careful monitoring of assessment is vital.
Fairness and transparency	To verify that no assessment process or method(s) hinders or unfairly advantages any student. The following could constitute unfairness in assessment: • Inequality of opportunities, resources or teaching and learning approaches • Bias based on ethnicity, race, gender, age, disability or social class • Lack of clarity regarding Specific Outcome being assessed • Comparison of students' work with other students, based on learning styles and language
Practicability and cost-effectiveness	To integrate assessment practices within an outcomes-based education and training system and strive for cost and time-effective assessment.

3. MODERATION OF EXAMINATION QUESTION PAPERS

Moderation is a continuous process. The moderator's involvement starts with the planning of assessment methods and instruments and follows with continuous collaboration with and support to the assessors. It ends with a review of the marking of the examination scripts with the necessary feedback into the assessments process.

3.1 Moderation of Marking

A minimum sample of 12 scripts is selected for each subject from the top, middle and lower bands of results, for purposes of moderation. In addition, all borderline scripts (i.e. those with 5% below the required minimum) are moderated.
Verification of results is conducted by the QCTO.

3.2 Moderation Requirements

Moderation is carried out at two levels:

- Subject matter experts moderate the academic content (individually and as part of a Review Group panel of experts). They work under the oversight of a senior moderator.

  These moderators are responsible for
  - Moderating examination papers and memoranda
  - Moderation of marking
  - Completion of reports in the prescribed format as supplied by the Examinations Manager
  - Completion of quality control checklists

  Notes:
  - A moderator is appointed for each subject;
  - Moderators form part of any review groups that may be established;
  - Moderators should not be lecturers of the subjects they are examining.

- A process moderator moderates the processes and procedures.

  The role of the process moderator is:
  - To ensure compliance of examiners, moderators and review groups, with policies, systems and procedures with a particular responsibility for student assessment;
  - To ensure compliance with agreed standards and clearly-defined quality methods for examiners, moderators and review groups;
  - To ensure that targets and deadlines within the examining cycle are achieved;
  - To identify relevant quality-related training needs;
  - To prepare clear explanatory documents such as reports on the examinations;
  - To present reports to the EDEX and Assessment Review committees on the examinations, moderation and other matters affecting the conducting of assessments;
  - To sign off all documentation relating to the examinations.

4. THE ROLE OF THE INTERNAL MODERATOR

Individuals fulfilling an Internal Moderator role will have high visibility within the organisation and within the educational sector, and should be seen to be displaying appropriate values and behaving in accordance with the Institute's Code of Conduct.

Individuals should be guided by the highest possible standards of personal integrity, professional competence, sound judgement, and discretion whilst fulfilling their roles as internal moderators.

4.1 Professionalism

To maintain the professional image of the organisation and the QCTO at all times by ensuring:

- Preparation for meetings, assessments and moderation is done in a thorough and timeous manner;
- Attendance of all training programmes as identified in order to keep up to date with new assessment and moderation practices;
- Managing personal biases;
- Showing respect for demographic and learner differences;

- Avoiding conflicts of interest;
- Evaluating gifts/favours in relation to this code of conduct and ethics.

4.2 Process

The moderator undertakes to:

- follow the moderation process as determined by the QCTO;
- maintain a developmental approach to assessment, and show continuous commitment to the principles of professional ethics and learner support;
- conduct moderation with due care and diligence and adherence to best practice assessment and moderation principles;

4.3 Fraudulent activities

Due to the nature of the role of internal moderators, caution must always be exercised to ensure that moderation is conducted according to the policies of your organisation, and in terms of the regulatory requirements. No exceptions can be permitted. Any deviation from the stated polices will be construed as fraudulent.

4.4 Matters of confidentiality

An internal moderator has access to confidential material and information. This information is a valuable asset and moderators are not permitted to make a disclosure of this information, or to use it, without the written consent of the company or third party. This applies both during the course of their employment and thereafter.

Supporting Documents

- Moderators' contracts
- Examinations department operational procedures and checklists

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OPEN BOOK POLICY

Implementation date	September 2023
Last reviewed	October 2023
Next review date	October 2028
Responsibility	Assessment Manager
Ratification	EDEX Committee

This policy provides the rules for examinations of the CGISA using certain open-book resources.

All subjects

- Only the prescribed materials listed in the syllabus are permitted in the examination venue.

- No other reading material or study notes will be allowed.

- You may use resources that you have annotated while studying – they do not need to be clean copies.

- Invigilators are authorised to inspect what you bring into the examination room and you should not attempt to incorporate additional study material. This would be regarded as an attempt at cheating and you could be prevented from writing and excluded from the venue. Furthermore, such instances will be reported to the Student Manager and students will face disciplinary action.

Additional prescribed materials

Applied Governance and Corporate Law:

Students may download the pdf versions of:

- the Companies Act, 2008 from
  https://www.gov.za/sites/default/files/gcis_document/201409/321214210.pdf

- the Companies Regulations 2011 from
  https://www.gov.za/sites/default/files/gcis_document/201409/34239rg9526gon351.pdf

- the Close Corporations Act from http://www.justice.gov.za/legislation/acts/1984-069-CCorp.pdf

  You may use pocket guides to the Companies Act such as the Juta Pocket Guide and the SAICA Student Legislation Handbook.

- the King IV Report on Corporate Governance from
  https://www.iodsa.co.za/page/DownloadKingIVapp

Company Secretarial Practice:

Students may download the pdf versions of:

- the Companies Act, 2008 from
  https://www.gov.za/sites/default/files/gcis_document/201409/321214210.pdf

- the Companies Regulations 2011 from
  https://www.gov.za/sites/default/files/gcis_document/201409/34239rg9526gon351.pdf

- the Close Corporations Act from http://www.justice.gov.za/legislation/acts/1984-069-CCorp.pdf

You may use pocket guides to the Companies Act such as the Juta Pocket Guide and the SAICA Student Legislation Handbook.

- the King IV Report on Corporate Governance from
  https://www.iodsa.co.za/page/DownloadKingIVapp

- The JSE Listings Requirements from:
  https://www.jse.co.za/sites/default/files/media/documents/2019-04/JSE%20Listings%20Requirements.pdf

Public Sector Governance

Students may download the pdf versions of:

- The Public Finance Management Act 1 of 1999 (as amended) plus accompanying Treasury regulations. You may use the SAICA Student Legislation Handbook which contains the PFMA.

- The Municipal Finance Management No 56 of 2003 (as amended) plus accompanying Treasury regulations.

  and

- the King IV Report on Corporate Governance from
  https://www.iodsa.co.za/page/DownloadKingIVapp

CAUTION: ADDITIONAL NOTE ON OPEN BOOK EXAMINATIONS:

Please be forewarned that taking the above material into examination venues for reference purposes poses a set of challenges that MUST NOT be underestimated.

- Open book resources are NOT intended to replace required learning and understanding of the syllabus requirements.

- The purpose of these texts is for <u>occasional reference only</u> – improper use will affect the time available to answer comprehensively.

- You must avoid copying answers from any of the resources. You must display understanding of the materials by writing your answers in your own words – we are not testing your ability to copy!

- If you have NOT used open-book recourses or reference materials in examinations before, you are urged to formulate your approach very carefully before attempting to complete these examinations.

Public Sector Governance
Candidates are permitted to have with them in the examination room only the following documents. Students may download the pdf versions of:

- The Public Finance Management Act 1 of 1999 (as amended) plus accompanying Treasury regulations.
- The Municipal Finance Management No 56 of 2003 (as amended) plus accompanying Treasury regulations.
  and
- the King IV Report on Corporate Governance from
  https://www.iodsa.co.za/page/DownloadKingIVapp

NO OTHER READING MATERIAL or TEXT BOOKS or STUDY NOTES WILL BE ALLOWED.

Finance for Decision-Making:

Students will be given a formula sheet for Finance for Decision-Making.

CAUTION: additional note on open book examinations:

Please be forewarned that taking material into examinations for reference purposes poses a different set of challenges that MUST NOT be underestimated. The purpose of these texts is for occasional reference only – improper use will affect the time available to answer comprehensively. Candidates who have NOT used reference material in examinations before are urged to formulate their approach very carefully before attempting to complete these examinations. Reference material is NOT intended to replace required learning and understanding of the syllabus requirements.

Please note:

The following items are **not allowed** on the candidate's person during the sitting of the examination:

3   Cell phones, smart watches, iPods, iPads, earphones, laptops, or **any** similar communication device;
4   Any device, code, notes, comments – or any item or structure that could place a candidate at an advantage – other than what is spelt out above.

Contraventions will be dealt with immediately they are detected, and candidates who are found guilty of contravening these regulations will be barred from all further CGISA examinations.

PLAGIARISM POLICY

Implementation date:	June 2018
Last reviewed	October 2021
Next review date	October 2025
Responsibility	Accreditation and Assessment Manager
Ratification	EDEX

1. PREAMBLE

As the pre-eminent professional body for governance practice in Southern Africa, with a unique institutional culture based upon the values we espouse, the Chartered Governance Institute of Southern Africa (CGISA) has adopted this Policy on Plagiarism.

2. POLICY STATEMENT

Students should assume sole responsibility for the content of their work. To present as one's own work the ideas, wording or formulation of someone without due acknowledgement is regarded as dishonest academic conduct. In terms of the CGISA Student Code of Conduct, this constitutes serious misconduct, whether it occurs orally, by conduct or in writing, during examinations or in the context of other forms of assessment such as assignments.

Therefore, it is the policy of CGISA that no form of academic dishonesty will be tolerated, and if any such conduct is reported or detected, the perpetrator upon being found guilty will be punishable in terms of the CGISA's student disciplinary policies, rules and procedures.

3. DEFINITIONS

Various acts related to academic misconduct or academic dishonesty can be identified within the contexts of examination processes and other forms of academic assessment. These are outlined in more detail below.

3.1 Academic dishonesty

Dishonest conduct does not only occur during examinations but also with other forms of assessment such as assignments. This includes matters such as

- Copying from another person, and the disguising of somebody else's work in order to create the impression that it is the work of the perpetrator himself.
- Presenting individual work material which is the result of undue and unacceptable amount of assistance from another person;
- Assisting another student with presentation of individual work in contravention with instructions or guidelines for that work.
- Breaching copyright by means of plagiarism.

3.2 Plagiarism

Plagiarism means the presentation, without consent or reference to the source, of another person's text or other published intellectual property. The Oxford Dictionary describes plagiarism as "The practice of taking someone else's work or ideas and passing them off as one's own."[3]

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[3] https://en.oxforddictionaries.com/definition/plagiarism

In more detailed terms, one can identify instances of plagiarism as:

"A pre-meditated act of presenting another person's work or property without reference or acknowledgement to the rightful owner, such as:

  o *using another person's ideas, work or research information without acknowledgement*

  o *copying verbatim sentences or paragraphs from one or more sources with no proper acknowledgement*

  o *paraphrasing closely sentences or paragraphs without acknowledgement"[4].*

Plagiarism constitutes using more than **FIFTEEN CONSECUTIVE WORDS** from someone else's work without due acknowledgement. For example:

- Textbooks or other textbooks
- Past examination memoranda
- Extracts from legislation
- Extracts from case law
- Internet resources
- The use of AI programmes, such as CHATGPT.

Plagiarism compromises the integrity of academic work and is contrary to ethical practice and society's perception of moral values, as well as compliance with the CGISA Code of Conduct. It is therefore forbidden and, where it does occur, will be punished by the CGISA as an unlawful practice.

4. RULES

The CGISA has the responsibility of ensuring the integrity and academic honesty of all students and staff. This responsibility can be complied with:

- through the formulation and publication of a clear policy about academic dishonesty and plagiarism,
- through the instruction of students from an early stage about referencing practices, as well as general academic honesty,
- through the prominent placement of warnings against academic dishonesty and plagiarism (inter alia in study material or assignments)
- through expecting students to declare, upon the submission of independent academic work for assessment, that such work is their own original work,
- and through punishing cases of academic dishonesty and plagiarism suitably.

The CGISA therefore has both an educational, moral and a disciplinary responsibility. Each academic and student associated with the CGISA has the personal responsibility of presenting all material intended for academic assessment in a manner that is ethically accountable. The responsibilities of CGISA in this regard can be spelled out as follows:

- Students must be given information about acceptable standards of integrity and academic honesty in conducting e.g. with respect to assessment, referencing and reference lists.
- All assignments must include an instruction on plagiarism, cheating, academic dishonesty or misconduct.

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[4] Northwest University. 2013. *Policy on plagiarism and other forms of academic dishonesty and misconduct.*

- Students must be provided with standards of referencing at the beginning of each assignment. For the CGISA, the Harvard Referencing system is applicable.

Deducting marks for plagiarism:

- Marks are deducted from exams and assignments depending on how much the student plagiarised.
- The table below sets out the policy for deducting marks for plagiarism:

Plagiarism percentage as per Turnitin Report	Marks Deduction
Less than 24%	0
25 – 29%	5
30 – 39%	10
40 – 49%	15
50 – 59%	20
60 – 69%	25
70 – 79%	30
80 – 89%	Will not be marked
90 – 100%	
No reference list (assignments only)	A further 20
The use of AI, such as CHATGPT	A further 20

5. DISCIPLINARY PROCESSES

There are two levels of disciplinary action possible in cases of academic dishonesty:

- educational reprimand and penalisation and
- the formal disciplinary process.

Students are referred to the Student Disciplinary Policy of the CGISA for details.

6. RECORD KEEPING

CGISA keeps records of all disciplinary decisions on a student's record until such time as they expire.

When a student is found guilty of plagiarism, academic dishonesty or misconduct by a disciplinary committee the verdict and sanction imposed are recorded on the student's academic record in accordance with the disciplinary policy of the Institute, especially for purposes of providing accurate information to persons and institutions who have the right to such testimony of a student's conduct during his/her study career.

Supporting documents

CGISA Student Code of Conduct
CGISA Student Disciplinary policy

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RECOGNITION OF PRIOR LEARNING POLICY

Commencement date	1 January 2007
Reviewed	October 2024
Next Review date	October 2029
Responsible Person	Assessment Manager

IMPORTANT ACRONYMS

CEO – Chief Executive Officer

CGISA – Chartered Governance Institute of Southern Africa

FASSET – Finance and Accounting Services Sector Education and Training Authority.

POE – Portfolio of Evidence

RPL – Recognition of Prior Learning

SETA – Sector Education and Training Authority

TERMS AND DEFINITIONS

RECOGNITION OF PRIOR LEARNING (RPL) is a way of giving people an opportunity to receive recognition for their skills and knowledge, no matter how, when or where they were gained.

- RPL can be granted on the basis of **EXEMPTIONS** which are granted on the basis of formal studies completed in a related course. The module may differ but the outcomes are the same as those in the module for which the exemption is granted.

- RPL can be granted on the basis of **WORK AND LIFE EXPERIENCE**. Applicants are required to provide details on work experience (both paid and unpaid work) and life experiences (including hobbies, leisure and parenting etc). Relevant prior learning will be matched against the specified learning outcomes of the course.

MODULES – A module refers to a component of a qualification (traditionally known as modules). In order to save costs to yourself, you should apply for RPL only at the highest level possible.

GENERAL PRINCIPLES

Recognition of Prior Learning (RPL) may be approved:

- on the basis of prior studies at the CGISA or an accredited tertiary institution or skills development provider.

- on the basis of prior professional (work) or life experience.

LIMITATIONS OF THE EXTENT OF RPL

RPL on the basis of prior studies may be approved for an entire qualification or for specific modules (courses).

RPL on the basis of prior professional (work) or life experience is only approved for specific modules and not for an entire qualification. A maximum of two-thirds of the credit value of a qualification may be approved on the basis of prior professional (work) or life experience.

PORTFOLIO OF EVIDENCE (POE).

All candidates applying for RPL are required to submit a POE as described in RPL application form. This POE will be assessed to determine whether the candidate has achieved the correct level and has remained current in the field for which he/she is applying for RPL.

EXEMPTIONS

Candidates wishing for recognition of prior studies in other qualifications need to apply for exemptions through the exemption route and should not apply using this policy. See exemption application form on the website www.chartgov.co.za

RPL may:

- provide a specified amount of credit towards completion of a CGISA qualification.
- exempt the student from the requirement to complete a particular module or modules that comprise part of a CGISA qualification.

APPROVAL OF RPL

The authority to approve RPL for all qualifications or modules rests with the Chief Executive Officer (CEO).

The CEO may delegate authority to approve RPL to designated staff within the Student and Examinations Division.

The CEO or delegate may only approve RPL in accordance with this policy.

PRINCIPLES FOR GRANTING RPL

The criteria for assessing RPL must be applied consistently and equitably to all applications.

Any RPL granted to a student must be academically defensible and take into account the student's assessed ability to successfully complete the requirements of the remainder of the qualification.

RPL should not be granted where this is likely to result in the student experiencing difficulty in making satisfactory academic progress in the remainder of the qualification. The student's point of entry to the qualification and assessed competency to commence studies from that point must be taken into account.

THE LIMITATIONS ON GRANTING

RPL may not be granted where this would result in the student undertaking less than the prescribed minimum amount of study.

RPL may not be granted for a module where there is a requirement that the module must be completed in order for a qualification to be awarded.

A maximum of two-thirds of the credit value of a qualification may be granted on the basis of prior professional (work) or life experience.

SUMMARY OF RPL LIMITATIONS

Basis of RPL for Qualification	RPL Approved Maximum
Prior completion of prior qualifications at NQF5	Whole qualification
Prior completion of prior qualifications at NQF6	Whole qualification
Prior completion of prior qualifications at NQF7	Whole qualification
Part completion of the prior qualifications at NQF5, NQF6 or NQF7 level	Per module (per subject)
Prior professional (work) or life experience	Any modules subject to a maximum of two-thirds of the credit value of the qualification. *
Part completion of prior CGISA qualifications at NQF5 and NQF6 level	Whole qualification (8 modules)
Part completion of the CGISA Qualifications at NQF6 and NQF7 level	Whole qualification (7 modules)
Part completion of the CGISA modules at NQF5, NQF6 and NQF7 level	Whole qualification (11 modules)
Part completion of the NQF8 (Board) level	RPL can be awarded per module*

* RPL may not be granted for a module where there is a requirement that the module must be completed in order for a qualification to be awarded.

Special note:

Zimbabwe citizens should also note the following:

- In order to practise as an Accounting Officer in South Africa, you are required to write examinations in Taxation, Corporate Law and Financial Accounting III.
- Zimbabwean members applying for RPL must simultaneously transfer their membership to the Southern African Division.

DOCUMENTATION REQUIREMENTS

- All applicants must complete the application form.
- All RPL approvals must be supported by adequate documentation and properly recorded (RPL Documentation Requirements).
- Documentation should clearly show that the applicant has achieved and maintained the competencies and/or knowledge and/or skills inherent in the qualification being recognised.
- It is particularly important that any RPL that is granted on the basis of prior professional (work) or life experience is properly documented with a full description of the competencies on which the RPL is being granted.

APPLICATION FOR RPL

The Student and Examinations Manager will publish application procedures. All applications must be received by the published deadlines and be on the approved application form.

Applicants may be required to undertake Additional Assessment

An applicant for RPL may be required to undertake further assessment to support his/her application. This may take the form of an examination, interview or other means of evaluation. If appropriate, a fee may be charged for this assessment.

ASSESSMENT OF APPLICATIONS FOR RPL

- Staff involved in the assessment and granting of RPL must have appropriate experience and/or be provided with appropriate training and support to enable them to properly assess RPL applications.
- It is the responsibility of the CEO (or delegate) to identify training needs and ensure that these are met.

RPL DOES NOT GUARANTEE ELIGIBILITY FOR ENTRY

- The granting of RPL within a qualification does not in itself constitute eligibility for entry.
- The student must still meet the prescribed entry requirements.

RPL DOES NOT GUARANTEE STUDENT WILL MEET REQUIREMENTS TO GRADUATE FROM COURSE

The granting of RPL within a qualification does not in any way constitute a guarantee that the applicant will meet the requirements to achieve the qualification.

PROVISION OF FALSE OR MISLEADING INFORMATION

If an applicant for RPL provides any information that is false or misleading in relation to the application, the CEO may:

- refuse an application for RPL, or if already granted, revoke the approval of RPL
- refuse admission to the qualification or if already offered, revoke the offer of admission.

APPEALS

If your application is not successful, you may appeal the decision. You will have to submit the grounds for your appeal in writing and provide additional, verifiable evidence to support your appeal.

ARTICULATION AGREEMENTS GENERAL

- An Articulation Agreement is a formal agreement between the Institute and another educational institution or professional body to provide admission and a specified amount of RPL to students who have completed prior studies at the other institution.
- All Articulation Agreements must comply with the full provisions of the Recognition of Prior Learning policy, including limits on the amount of RPL that may be granted.
- All Articulation Agreements with South African educational institutions must be approved by the CEO. This authority may not be delegated.
- All Articulation Agreements with overseas educational institutions must be approved by the CEO. This authority may not be delegated.
- The Institute publishes procedures for obtaining approval of Articulation Agreements with overseas educational institutions on the Institute website where these are applicable.

RPL DOCUMENTATION CHECKLIST PORTFOLIO OF EVIDENCE

- Appropriate documentation includes, but is not limited to:

  - the completion of the relevant RPL application form
  - certified copy of identity document, passport or any other identification document.
  - official academic transcripts
  - evidence of attendance at Continuing Professional Development seminars or webinars
  - award certificates
  - a CV or resume outlining relevant work history
  - statements from employers or other organisations outlining how previous experience relates to demonstration of the required competencies
  - results of any relevant examinations or tests which identify that the required competencies have been met
  - a record of any relevant interview that responsible staff have held with the applicant regarding required competencies.

Note: The Institute reserves the right to request further evidence after an initial examination of the portfolio has been done.

- Transcripts and award certificates must be properly certified as true copies.
- The Institute reserves the right to interrogate and verify all documentation supplied in support of an RPL application.
- An application for RPL must be accompanied by the relevant fees. Proof of deposit is required. Fees are not refundable under any circumstances. RPL evaluation will not begin before the fees are paid in full.
- No RPL information, confirmation, policies, etc will be provided telephonically.
- RPL will only be valid if confirmed in writing by the Institute.
- If the student is dissatisfied by a negative RPL evaluation, he/she may register an appeal against the decision which will then follow the normal examinations/assessment appeals procedure of the Institute.

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SPECIAL NEEDS POLICY

Implementation date	October 2007
Last reviewed	October 2023
Next review date	October 2027
Responsibility	Student and Examinations Manager
Ratification	EDEX

1. PREAMBLE

The Institute meets its duty not to treat disabled people less favourably than others by:

- making a range of *reasonable adjustments* to ensure that enrolment, the full range of student services, access, achievement and success are, within the requirements of the law, unaffected by disability and learning difficulties;
- making the Institute's Disability Statement available in a range of formats, and on line;
- encouraging and supporting learners to disclose disabilities and learning difficulties at the earliest opportunity, (for example, on their enrolment form). All information disclosed in this way is held in strict confidence and is used only to help the Institute provide the support needed to help the learner succeed;
- monitoring learner achievement and success by disability, analysing trends and taking appropriate action.

A disability can be defined as:

….a physical or mental impairment which has a substantial and long term adverse effect on a person's ability to carry out normal day to day activities. This can include not just people with obvious physical disabilities or visual or hearing impairments but also people with dyslexia, diabetes, epilepsy, heart disease, severe disfigurements etc.

The Institute understands an impairment to be an injury, illness or inherited condition that causes or is likely to cause a loss or difference in the way the body or mind works.

2. AIMS

- To comply with all relevant legislation
- To provide an environment that facilitates access
- To offer positive discrimination where appropriate
- To ensure that disabled people, including those with learning difficulties, are treated fairly

3. ARRANGEMENTS FOR STUDENTS WITH SPECIAL ASSESSMENT REQUIREMENTS

Assessment must be available to all those who have the potential to achieve the standards required for a particular qualification. However, some students may need access to alternative means of providing evidence and/or additional support. Care must be taken that any proposed assessment methods are of equal quality and rigour to those for mainstream students and demonstrate that the student has achieved the national standard.

Students may be identified as having particular assessment requirements in relation to, for example, learning difficulties, a visual or hearing impairment, a mental illness, or English as an additional

language. This means that they will need appropriate support in their development to help them meet the required standards such as:

- adapted equipment and physical environment;
- special information technology.

4. REASONABLE ADJUSTMENTS

The Institute will make reasonable adjustments to ensure that a disabled person is not at any disadvantage when compared with a non-disabled person or other disabled person.

Reasonable Adjustments may include:

- modifying procedures for testing or assessment e.g. for a person with restricted manual dexterity
- providing a reader or interpreter
- providing supervision.

In all cases the person concerned must be consulted on the reasonable accommodation of his or her needs.

Supporting documents

- Special Needs application form
- Student support policy
- Examinations department operational procedures and checklists
- Invigilators' Guidelines

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STUDENT CODE OF ETHICS AND CONDUCT DURING EXAMINATIONS

Implementation Date	October 2007
Last reviewed	October 2023
Next review date	October 2028
Person responsible	Student and Examinations Manager
Ratification	EDEX

PREAMBLE

All applicants who register with the Institute for the examinations, are registered as students. It is incumbent upon students to comply with the Code of Ethics governing professional conduct and the Code of Conduct in terms of the examinations.

PART A – THE CODE OF ETHICS

This Code demonstrates the standard of professional conduct expected of all CGISA students studying towards their Chartered membership.

1. **GENERAL FUNDAMENTAL PRINCIPLES**

   1.1 The professional ethics described in this Code are issued by the Board for the guidance of students and to assist students to conduct themselves in a manner which the Board considers appropriate to the profession in general and to Chartered Secretaries and Chartered Governance Professionals in particular. However, as misconduct cannot be specifically defined for all instances, but will need to be determined in the light of the circumstances of each individual case, it follows that the Board cannot publish lists of every possible instance of misconduct.

   1.2 This Code is issued by the Board to facilitate the enforcement of ethical standards through its disciplinary procedures. Failure to observe the provisions of the Code does not (as is indicated above) *ipso facto* constitute misconduct but does mean that students may be required to justify their actions in answer to a complaint.

   1.3 The Memorandum of Incorporation of the CGISA requires the observance of rules of conduct as a condition of student registration and renders a student liable to disciplinary action if found guilty of misconduct, which includes, but is not confined to, any act or default likely to bring discredit to the student, the CGISA, or the profession. Nevertheless, the Board considers it desirable to be more explicit in particular areas.

   1.5 Students are required to exercise integrity, honesty, diligence and due care in carrying out their duties and responsibilities. They shall conduct themselves with courtesy and consideration towards all with whom they come into contact in the course of their studies, professional work, as well as in terms of their personal conduct in general.

   1.6 Students shall at all times be cognisant of their responsibilities as professional persons towards the wider community. They shall follow the guidance of this Code and, in circumstances not provided for, should conduct themselves in a manner consistent with the good reputation of the profession and the Institute.

   1.7 If employed, students shall at all times safeguard the interests of their employers, colleagues and clients provided that they shall not knowingly be party to any illegal or unethical activity.

1.8   If employed, students shall not enter into any agreement or undertake any activity which may be in conflict with the legitimate interests of their employer or client or which would prejudice the performance of their professional duties.

1.9   Students shall refrain from conduct or action, whether in their personal or professional capacity, which detracts from the reputation of the Institute.

PART B: CONDUCT DURING EXAMINATIONS

1. The examinations will be conducted online.
2. The examination paper is in English. The answers must be written in English.
3. Candidates will have access to the papers online from 08h45 or 13h00 depending on whether the examination is set down for the morning or the afternoon.
4. Candidates will have 3hrs 15 minutes for each paper.
5. **No** additional time to complete the examination will be granted to candidates except for those who have been accommodated in terms of the Special Needs Policy.
6. Candidates **will not** be able to begin or attempt to read the examination questions until the time referred to in 3 above.
7. Candidates **are not** allowed to communicate with one another in any manner whatsoever during the examination.
8. Candidates **may not** communicate with or receive assistance from any other person during the course of the examination.
9. If candidates are away from their desks for an extended period of time, the online system will automatically flag this inactivity and may log the candidate out of the system and the candidate may not be able to continue the session or log back in.
10. Candidates **may communicate with the Help-Desk** during an examination for the following reasons:
    - questions regarding problems with the system.
    - questions concerning possible errors, ambiguities or omissions in the examination paper. These **must** be directed to the Help-Desk which will investigate them through the proper channels.
    - The Help-Desk **is not** permitted to answer questions other than those concerning the examination paper, as mentioned above.
11. The system automatically saves candidates' answers during the writing of the examination, but once a final answer has been submitted, the candidate will be logged out of the system and will not be able to log in again.
12. Candidates are expected to complete their examinations in an honest and ethical manner.
13. The examinations will be open-book examinations. You may use your textbook, course notes and relevant legislation. However, you will not be allowed to access the internet during the examinations. This will constitute misconduct.
14. Plagiarism is unethical, illegal and regarded as misconduct by the Institute.
15. Any incident of violation of the examination protocol will be investigated thoroughly and the candidate will face serious consequences. If found guilty of such a transgression, the candidate may be barred from all further CGISA examinations.
16. As these examinations are **primarily** intended for obtaining membership of the Institute and thereby applying to become Chartered Secretaries or Chartered Governance Professionals, **any** proven dishonesty may result in the candidate being prevented from being granted membership on the basis of impaired personal integrity.

Supporting Documents:

Plagiarism Policy; Special Needs Policy; Student Disciplinary Policy

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STUDENT COMMUNICATION AND LIAISON POLICY

Implementation date	October 2007
Last reviewed	September 2018
Next review date	August 2023
Responsibility	Student and Examinations Manager
Ratification	Edex

1. PREAMBLE

The CGISA is committed to receiving and responding to student feedback in order to monitor and enhance the quality of the student experience with the Institute.

The CGISA recognises that communicating effectively is an integral component of the student experience with the Institute.

The CGISA recognises the need for multiple channels for communication in order to engage with diverse stakeholders for different purposes and situations.

It is important that a positive culture exists in which the CGISA makes explicit its commitment to receiving and responding to students' views and to discussing current learning and teaching issues with them.

2. COMMUNICATION MEDIA

Staff engage with individual students by means of:

- Telephone

Students may contact the Institute by telephone or may be contacted by staff on matters pertaining to their personal needs.

- Email communication

Email is a primary channel of communication. The CGISA sends notices to the student's primary email address once a student has registered and until the completion of their programme. Circulars, communiques and other notices are communicated via email to these addresses.

Employees must use their CGISA-issued email account when communicating with students. Employees using their CGISA-issued email account should use the CGISA standard email template in accordance with the email signature guidelines provided.

Mass email communication must be sent through the Marketing Manager after approval by the CEO and, in order to preserve the channel's value, is to restricted to:

- important administrative and academic matters including registrations, exemptions, results, financial standing, graduation;
- information to assist with the retention of students;
- the engagement of applicants for registration with the CGISA and their sponsors (where applicable);
- information about significant CGISA processes and key events on the CGISA academic calendar;
- statements on important or strategic matters.

- The CGISA website

The student page on the website is updated regularly on matters of importance to students. Information on the curriculum, forms and processes, examinations and education policies are placed on the website.

- Social media

Facebook allows students to communicate with each other on an informal basis and is used as a marketing channel by the CGISA.

- The student portal

All information relating to students as individuals is placed on the student portal to which registered students have access via personal password. Students can log in to change their information as well as to find information that is specific to them. Personal information is protected and subject to the Protection of Personal Information (POPI) Act.

- Online tutor

The services of an online tutor are available to all registered students. The online tutor deals with queries regarding:
   o additional study material where, in the opinion of the on-line tutor, this is warranted
   o the location of material within the prescribed texts
   o explanation of subject matter in the prescribed reading
   o examination study methods
   o examination technique
   o other related study matters

and providing advice and responding to specific queries regarding the abovementioned matters.

The following topics are typical of items that are addressed in liaising with students:

- Accreditation of skills development providers
- Accreditation of the CGISA
- Appeals on any decisions made by the CGISA
- Assessment issues, such as examinations and assignments,
- Career options
- Complaints about the CGISA itself or about accredited skills development providers
- Development of new or review of curriculum
- Employment opportunities
- Learnerships
- Prescribed textbooks
- Registration advice, processes and procedures
- Student support and guidance

3. HANDLING COMPLAINTS

Complaints by students must be dealt with in a supportive environment free of victimisation or intimidation of anyone connected with the complaint, either during or subsequent to a complaint resolution procedure. Informal and early resolution of complaints is encouraged.

Complaints processes will be conducted in accordance with the principles of natural justice, and include: a) An opportunity to be heard in a manner that provides sufficient time and information to prepare a statement; b) An absence of bias through decision making by the involvement of persons who are disinterested or unbiased in relation to the matter to be decided; c) Timeous handling of complaints so that issues are brought to a point of clear resolution without undue delay.

Subject to the paragraph below, confidentiality will be respected and maintained at all times. Occasionally, however, serious allegations arising during investigation of a complaint may require the CGISA, by law, to report such allegations to external authorities.

Any student who lodges a complaint and any staff member (including an independent contractor) who may be directly impacted by the complaint will be regularly informed of the progress of the matter.

Except in special circumstances, as determined by the CEO, a complaint may not be lodged later than six months from the date on which the complaint was alleged to have arisen.

The student complaints operational policy applies to all student complaints relating to institutional decisions or processes

Complaints can be lodged in terms of:

- Improper, irregular or negligent conduct against a student of CGISA;
- Discrimination, prejudice or bias;
- Failure to adhere to appropriate or relevant published CGISA policies and procedures;
- A decision made without sufficient consideration of facts, evidence or circumstances of specific relevance to the student;
- Certification; and
- Fees.

Supporting documents

- Student Handbook
- Education Policies Manual

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STUDENT DISCIPLINARY PROCEDURE

Implementation date	October 2007
Reviewed	October 2023
Next review date	September 2028
Responsibility	Student and Examinations Manager
Ratification	EDEX

1. PREAMBLE

This document sets out the procedures which should be followed where the Student Code of Conduct is allegedly breached. Breach of the Student Code of Conduct may lead to disciplinary action being taken against a student and repeated breaches or a single, very serious breach may result in a student being excluded from the Institute.

Note: In all disciplinary matters, the student shall have the right of appeal and the right to representation, as defined.

2. DEFINITIONS

Glossary of terms and definitions

I.   This glossary of terms and conditions forms part of the CGISA's student disciplinary policy.
II. Unless otherwise expressly stated, in this policy, the following terms have the meanings indicated below.

Authorised Person	A person authorised by the Chief Executive Officer to deal with actual or possible misconduct and who may impose penalties where minor offences can be shown to have been committed.
Burden of proof	'Burden of proof' indicates who must prove (has the burden of proving) a specific allegation. For minor and major offences, the burden of proof lies with the CGISA.
Decision	A decision by an authorised person, a disciplinary committee or a disciplinary appeal committee.
Disbarment	The permanent exclusion of the student from CGISA and termination of the student's registration with the CGISA.
Disciplinary action	Action taken under this policy.
Disciplinary Appeal Committee	An appeal committee conducted in accordance with the policy for hearings by the committee that is convened to hear an appeal by a student against the decision(s) of a disciplinary committee (see below)
Disciplinary Committee	A committee convened under the terms of the CGISA's disciplinary policy to hear a matter within the scope of the policy.
Major offence	Misconduct by a student such as that listed in Table 3 below, that could, if confirmed to have occurred, justify one of the following penalties being imposed on the student

	a) Suspension from the CGISA for a period; b) Exclusion from the CGISA for a period; or c) Disbarment.
Minor offence	Misconduct by a student such as that listed in Table 1.
Misconduct	Actions or acts, or failures to act, by a student of the CGISA, or by a guest or guests invited on to CGISA premises by a student of the CGISA, that are contrary to the maintenance of good order and mutually respectful behaviour within the CGISA community and/or contravene the CGISA's policy to which the student subscribes when registering to study with the CGISA. Misconduct is further defined in these Table 1.
Penalties	The policy provides the general framework within which authorised persons may impose penalties on students.
Premises	Premises refers to the CGISA offices or any examination venue arranged by the CGISA.
Report	A formal written statement issued by the CGISA to a student to confirm the outcome of the disciplinary hearing. A report is required before a student can refer a matter on appeal.
Representation	In all disciplinary proceedings and appeals, a student may be represented by another student.
Standard of proof	In all proceedings and appeals under these Disciplinary Regulations, the standard of proof that is required is, that on the evidence put forward it is more likely than not that the student committed the offence. In cases where major misconduct is alleged, where the penalties for the student may be serious, the CGISA expects the evidence that is put forward to show that the student committed the misconduct to be particularly cogent and compelling, and that it will be examined and tested with special care.
Student	A student is any person who fulfils one or more of the following criteria i. A person registered for one or more modules offered by the CGISA ii. A person registered as a student with another organisation operating in collaboration with the CGISA, for example, Witsplus. iii. Students registered with one of the CGISA's accredited institutions to study for an award of the CGISA qualifications.
Suspension of registration	Suspension of a student's registration with the CGISA for a defined period is a penalty available to a disciplinary committee or disciplinary appeal committee when a student is found to have committed a major offence.

3. OFFENCES

A case for disciplinary action shall exist if a student is alleged to have committed an offence that may be listed in Appendix 1 appended to this policy.

4. PROCEDURE

4.1 Minor offences will be summarily dealt with by an authorised person who will at the same time make a decision as to the penalty imposed.

4.2 Serious and very serious offences will be referred to the Chief Examiner by the Student Manager who will then convene a disciplinary committee for a decision. The disciplinary committee will comprise:

- The Chief Examiner (chair);
- Members of CGISA Education and Examinations Committee (EDEX); or
- Members of staff.

The selection of the members is at the sole discretion of the chair.

Note: the chair could, if necessary, be replaced by another authorised person if there is a conflict of interest or the Chief Examiner is unavailable.

If the disciplinary committee, having reviewed the information available, believes that there is a case for the student to answer, then the student will be formally requested in writing to present themselves at a hearing on a specified day, at a specified place and at a specified time. Attendance at the hearing may be virtual. The formal request will specify the allegations. Should the student notify the chair that they acknowledge the allegation, this acknowledgement will be taken into account in mitigation when the penalty is imposed. At the hearing, the student may be accompanied by a fellow CGISA student. If the student declines to present themselves at the hearing, the hearing will proceed in the student's absence.

In dealing with a matter, the disciplinary committee will consider written and/or oral evidence from any person regarding the misconduct. The burden of proof lies with the CGISA; that is, the CGISA must show that the student committed the misconduct and is liable for the consequences. It is not for the student to prove that they did <u>not</u> commit the alleged minor misconduct or serious misconduct. In an appeal by a student against a penalty imposed by an authorised person, or an appeal against the recommendations of a disciplinary committee, the burden of proof shifts and lies with the person making the appeal. That is, it is for the person appealing to show that there are grounds for their appeal and to provide relevant evidence to support their appeal.

The evidence must meet the required standard of proof. The disciplinary committee will find the student guilty of misconduct only if, on the evidence provided, the committee is satisfied on the balance of probabilities that the student is guilty of the offence. If a finding of guilt is made, the disciplinary committee may impose any of the penalties set out below.

At the termination of the proceedings, the disciplinary committee will arrange for a short report to be written. In the event of a guilty finding , the report will set out the misconduct alleged, a brief summary of evidence received, the grounds for the guilty finding , the penalty imposed, and the factors taken into account when deciding the penalty. A copy of the report will be sent to the student within 10 working days of the hearing and will be circulated, at the disciplinary committee's discretion to appropriate members of the Institute staff. The report will be kept on the student's file.

4.3 Appendix 2 appended to this policy sets out the process to be followed during a disciplinary hearing.

5. PENALTIES

At the start of all hearings, the chair will explain the purpose of the hearing and the extent of his/her delegated powers and the disciplinary penalties which are possible outcomes of that hearing.

The chair will explain that the CGISA can either dismiss or uphold an allegation made against the student. The Institute will be asked to present its evidence and witnesses may be called. The student will be given an opportunity to present evidence to refute or in mitigation. It is also appropriate to consider any previous matters on file. If a decision is taken to uphold the allegation, the process will move to a second stage by considering the imposition of penalties listed below:

- Absolutely discharged, which means that although the student may be technically guilty of the misconduct alleged, no blame should be attached to his or her actions;
- Admonished;
- Cautioned and put on report which means that no penalty is imposed, but if the student is found guilty of misconduct on a subsequent occasion in the following twelve months, or some other specified period, there will be consideration of both offences;
- Conditionally discharged, which means that no penalty is imposed, subject to the student fulfilling certain stipulated conditions including future good behaviour over the following twelve months or some other specified period. If the conditions are not met, a penalty may be imposed following a further hearing;
- Suspended from registration with the Institute for a fixed period of time, up to a maximum of three years. A student who is suspended is prohibited from entering Institute premises, and from participating in Institute activities. The terms of the suspension will be notified to the student in writing. An order of suspension may include a requirement that the student shall have no contact with a named person or persons.
- Temporary suspension pending an investigation.
- Summary suspension. This means that the suspension is immediate and without a disciplinary hearing. This will only occur where there is clear, incontrovertible evidence of an act of such serious gross misconduct that could only result in permanent suspension or disbarment, for example, a physical assault upon a member of staff or other students.
- Disbarred from the Institute which means that the student may not complete the qualification.

A recommendation will be made to the Chief Executive or one of the Vice-Presidents, following a hearing by a disciplinary committee. Students will be advised in writing by the Student Manager of the decision.
Note. Repeated offences including repeated minor offences may be dealt with by the CGISA as a single matter that merits treatment as a serious offence.

6. APPEAL AGAINST THE DECISION

The student has the right to appeal the finding of the disciplinary committee. However, this is not an academic appeal, but an appeal against the proposed disciplinary action.

- An appeal against the outcome of the hearing must be sent to the Student Manager who will pass it on to the President of CGISA.
- In all eventualities, notice of appeal must be lodged President of CGISA within ten (10) working days of the date of the notification of the outcome. In all eventualities, the notice of appeal must give grounds and brief particulars of the appeal.

The grounds of appeal include but are not limited to the following:

- There was a serious breach of the CGISA's procedures that may have adversely affected the outcome.
- New evidence has come to light that was not available at the original disciplinary hearing and could be expected to materially influence the original outcome.
- The findings were unreasonable in the light of the facts.
- The penalty imposed was too severe in the circumstances.

In any appeal, an appeal interview will be held at which both the student and a representative of the Institute will be invited to present their cases. The interview may be held in person or online. The burden of proof is on the student. The decision to uphold or not will be made after the interview once the person hearing the appeal has had time to consider the evidence. The person hearing the appeal may, if deemed necessary, convene a disciplinary appeal committee. The President may request other board members to sit in on the interview.

- The decision of the person dealing with the appeal will be confirmed in writing together with a statement of the reason(s) for the decision.
- If the appeal is dismissed, the person dealing with the appeal may confirm or vary the penalty, including imposing a greater sanction. The final decision will be confirmed in writing to the student as soon as possible after the appeal has been lodged.
- In the event that an appeal is upheld, the President in their sole discretion is able to amend the sanction handed down by the Disciplinary Committee; however, it is recommended that the Disciplinary Committee Chairperson and the CEO be consulted in this regard.
- The finding of the appeal chair is final and binding on the student and CGISA, and no further discussion on the matter will be entertained.
- Appendix 2 appended to this policy sets out the process to be followed during an appeal hearing.

7. VARIATIONS

In exceptional cases, it may be necessary that variations should be made to procedural aspects of this policy. The CGISA may make such variations as it sees fit, subject to informing the student concerned and subject always to considerations of reasonableness and fairness. Without limitation, such variations may include disciplinary hearing or appeals being conducted by different persons, if the person who would otherwise be conducting the hearing or appeal has previously had close personal involvement in the matter to be considered or for any other reason deemed appropriate in the circumstances.

Whilst the CGISA will aim to meet all of the stated time limits, in certain circumstances this will not always be possible. In such cases, the CGISA will contact the student as soon as possible.

Supporting documents

- Registration application form
- Student Handbook
- Student Code of Conduct

APPENDIX 1: LIST OF OFFENCES

Table 1: Illustrative statement of acts that the CGISA considers to be minor misconduct (Note: the list is not exhaustive).

1.	A first or single breach of CGISA regulations or policies e.g. smoking in non-designated areas, ignoring fire alarms, ignoring invigilator's instructions in an examination venue.
2.	Refusal to respond to reasonable requests by CGISA staff.
3.	Anti-social conduct, including causing a public nuisance by drunkenness or disorderly conduct.
4.	Minor damage to property.
5.	Writing after the end of the exam.
6.	A breach of the students' code of conduct

Table 2: Illustrative statement of acts that the CGISA considers to be misconduct of a serious nature (Note: the list is not exhaustive).

1.	A breach of the students' code of conduct
2.	Failure to disclose personal details to a member of staff of the CGISA in circumstances in which it is reasonable to require that such information be given. [Note. Students of the CGISA are required to give their names, their home and CGISA addresses and to produce their identity card or other reasonable means of establishing both student status and identity, when asked to do so by any CGISA employee or security personnel.]
3.	Rudeness telephonically, face-to-face or via electronic media (emails, social media) towards any employee, member, student or invigilator of the CGISA, the online tutor, or any visitor to the CGISA.
4.	Using unauthorised notes and textbooks during an examination; breach of the CGISA open-book policy.

Table 3: Illustrative statement of acts that the CGISA considers to be very serious misconduct (Note: the list is not exhaustive).

1.	Repeated minor offences.
2.	A breach of the students' code of conduct
3.	Action or inaction likely to cause injury or impair safety on CGISA premises.
4.	Any conduct that brings the CGISA into disrepute.
5.	Any conduct that constitutes a criminal offence.
6.	Any conduct which comes to light after the student's admission (and, if applicable, registration) which affects *the professional and ethical standards required of a Company Secretary, Governance Professional or Governance Practitioner, including but not limited to allegations of deceit, deception or dishonesty.*
7.	The discovery, after submission of an assignment and/or after writing an examination, that the student has acted dishonestly (including by failing to disclose material information) in any application to the CGISA, including applications for admission, exemptions and registration.
8.	Breach of a CGISA-approved code, rule or regulation.
9.	Causing damage or harm to CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA.

10.	Damage to CGISA property, or the property of the CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA, caused intentionally or recklessly.
11.	Direct or indirect attempts to influence or intimidate members of staff prior to or during an examination, disciplinary investigation, subsequent proceedings, or any other internal procedures.
12.	Dishonesty with regard to examination procedures: collusion with any person with regard to the writing of an examination; copying in an examination; using an incorrect or false ID/Driver's license; writing an examination on behalf of another person or getting another person to write an examination in the place of the student; using crib notes in an examination; misuse of a cellphone; misusing toilet privileges with the objective of cheating, cribbing or other dishonest purposes.
13.	Disruption of, or improper interference with, the academic, administrative, social or other activities of the CGISA.
14.	Failure to comply with a reasonable instruction relating to prior disciplinary action.
15.	Failure to respect the rights of others to freedom of belief and freedom of speech
16.	Fraud, deceit, deception or dishonesty in relation to the CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA.
17.	Harassment of any employee, member, student, invigilator, examiner or moderator of the CGISA, the online tutor, or any visitor to the CGISA.
18.	Misuse or unauthorised use of CGISA premises
19.	Obstruction of, or improper interference with, the functions, duties or activities of any CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA.
20.	Serious disruption of, or improper interference at an examination venue and CGISA premises.
21.	Theft, misappropriation or misuse of CGISA property, or the property of the CGISA's members or visitors.
22.	Use of violent, indecent, disorderly, threatening, intimidating or offensive behaviour or language to any CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA.

APPENDIX 2: HOW TO CONDUCT A DISCIPLINARY HEARING

The below checklist is for guidance purposes only, as it is recognised that the Chair will need to determine how best to manage any disciplinary hearing given the individual circumstances of the case.

Please ensure that all discussions during this process are fair, appropriate and above reproach.

1. **Introduction**

   - Welcome attendees.
   - Request that all attendees turn off any electronic devices to avoid unnecessary interruptions during the meeting and advise that the CGISA expressly prohibits the recording of meetings, except by the note-taker for purposes of producing the report on the hearing.
   - Introduce those present and their roles; this may include: the CGISA representative who will present the case for the Institute; the committee members and note-taker.
   - Ask the student to introduce him/herself and any companion s/he may have with him/her.
   - Check whether the participants are happy with use of first names.
   - Confirm with the student that s/he has received the notice of the disciplinary hearing/meeting.
   - Advise that any questions, comfort breaks and adjournments requests should be directed at the Chair.
   - Identify the location of the rooms available to both the student and member(s) of the committee, to be used should any adjournments be required.

2. **Preliminary matters**

   - Confirm that the disciplinary hearing/meeting is a result of allegations of misconduct against the student, and that the hearing will be conducted in line with the relevant procedure. It is not about academic results.
   - If the hearing/meeting has been rescheduled, confirm with the student that s/he acknowledges why this was the case.
   - Reaffirm that the hearing is to consider the allegations of misconduct as indicated in the notice of disciplinary hearing sent to the student.
   - Advise that the decision of the disciplinary committee will be made after the hearing, following a brief adjournment of the committee to consider the case. The outcome will be confirmed in writing, together with a short report usually within ten (10) working days of the hearing.

3. **Clarify procedure**

   - Advise of the procedure to be followed.
   - Representation of student who may not be a legal representative – If accompanied, confirm the role and identity of the companion, i.e. that they will be able to address the hearing in order to: put the student's case forward; sum up the case; respond on the student's behalf to any view expressed at the hearing; and confer with the student. However, the representative will not usually answer questions on behalf of the student but may do so with the agreement of the committee.
   - If not accompanied, note that the student has been advised of their right to be accompanied by the fellow CGISA student, but has chosen to attend unaccompanied.

- Representation of the Institute – the role of the representative will be clarified, namely that s/he is there to present the case for the Institute.
- Witnesses may be called to give evidence of the misconduct.

4. **Documentation**

- Confirm the documentation provided, identifying, if appropriate, any other documentation the committee has at their disposal for reference purposes, or any additional information supplied by the student.
- Advise that it is the CGISA's responsibility to specifically draw the committee's attention to all relevant documentary evidence that should be considered in relation to their grounds for the hearing. Note that the burden of proof lies with the CGISA.
- Explain that anything that does not relate to the grounds for the hearing, will not be taken into consideration for the purpose of this procedure.

5. **Taking of Notes**

- Advise that the note-taker will take summary notes to support the committee's consideration. Advise that both the student and his/her representative are welcome to make their own notes. A report will be drafted after the hearing.
- Respond to any procedural concerns/queries that may arise.

6. **Running order**

- The CGISA representative will be invited to present the case of misconduct.
- Witnesses may be called.
- The disciplinary committee will ask questions/seek clarification as necessary.
- The student will ask questions/seek clarification as necessary.
- Student will be invited to present his/her case, including mitigating factors, during which it would be helpful if s/he directed the committee to the issues that s/he would like the disciplinary committee to consider.
- The Institute representative to be given an opportunity to make a closing statement.
- The student to be given the same opportunity.
- The committee may adjourn the hearing briefly to consider the decision or have further time to consider the decision.
- The student, student representative and CGISA representative will be asked to leave the room until recalled.

7. **Hearing the case**

- Hearing the case is based on the above running order.
- If the committee is unable to make a decision as further information is required, inform the student as to when they can expect written notification of the decision (or if further action was deemed necessary what this would entail)
- Close the hearing, ensuring that everyone understands what is going to happen.
- The committee considers the case and makes a decision.
- The outcome of the hearing should be made immediately after due consideration of the evidence and will be confirmed to the student in writing, usually within 5 days of the hearing.
- Advise the student that s/he may appeal any decision within 10 days of the hearing.

8. **Record**

- Record summary of the discussions, (including any agreed actions and timescales).
- Ensure that the records are factual and constructive.
- Store records securely, as these may be subsequently required within later procedural stages.
- Circulate the report of the hearing to those that are entitled to receive it.

APPENDIX 3: HOW TO CONDUCT AN APPEAL HEARING

The below checklist is for guidance purposes only, as it is recognised that the Chair will need to determine how best to manage any hearing given the individual circumstances of the case.

Please ensure that all discussions during this process are fair, appropriate and above reproach.

o **Introduction**

- Welcome attendees.
- Request that all attendees turn off any electronic devices to avoid unnecessary interruptions during the meeting and advise that the CGISA expressly prohibits the recording of meetings, except by the note-taker for use in preparing the report after the hearing.
- Introduce those present and their roles, this may include: panel members, note-taker, member[s] of the disciplinary panel etc.
- Ask the student to introduce him/herself and any representative s/he may have with them.
- Check whether the participants are happy with use of first names.
- Confirm with the student that s/he have received the letter notifying them of the appeal hearing/meeting and any associated documentation.
- Advise that any questions, comfort breaks and adjournments requests should be directed at the Chair.
- Identify the location of the rooms available to both the student and member(s) of the original panel, to be used should any adjournments be required.

o **Preliminary matters**

- Confirm that the appeal hearing/meeting is a result of the decision of a disciplinary panel (providing the date of original hearing/meeting and its outcome), and that the appeal will be heard in line with the relevant procedure.
- If the appeal hearing/meeting has been rescheduled, confirm with the student that h/she acknowledges why this was the case.
- Reaffirm that the appeal process is not an opportunity for a re-hearing of the original submission but to consider the grounds of their appeal; e.g. this could be to determine if previous decision was fair, consider any new facts and judge reasonableness of procedure to date etc.
- Advise that the decision of the appeal panel will be made after the hearing, either following an adjournment, or after closing the hearing, should it require more time to consider the case. The outcome will be confirmed in writing usually within ten (10) working days of the hearing.

o **Clarify procedure**

- Advise of the procedure to be followed.
- Representation of student – If accompanied, confirm the role of the representative, i.e. that they will be able to address the hearing in order to: put the student's case forward; sum up the case; respond on the student's behalf to any view expressed at the hearing; and confer with the student. However, the representative will not usually answer questions on behalf of the student, but may do so with the agreement of the panel.
- If not accompanied, note that the student has been advised of their right to be accompanied but has chosen to attend unaccompanied.

- Representation of the Institute – the role of the representative will be clarified, namely that s/he is there to present the case on why the given disciplinary measure is warranted.

o **Documentation**

- Confirm the documentation provided, identifying, if appropriate, any other documentation the panel has at their disposal for reference purposes, or any additional information supplied by the student.
- Advise that it is the student's responsibility to specifically draw the panel's attention to all relevant documentary evidence that should be considered in relation to his/her grounds for appeal.
- Explain that anything that does not relate to the grounds for appeal or which is not directly referenced by the student, will not be taken into consideration for the purpose of this procedure.

o **Taking of Notes**

- Advise that the note-taker will take summary notes to support the panel's consideration. Advise that both the student and his/her representative would be welcome to make their own notes. A report will be sent to the student.
- Respond to any procedural concerns/queries that may arise.

o **Running order**

- Student will be invited to present his/her case, during which it would be helpful if they directed the panel to the issues that they would like the appeal panel to consider.
- Where previously agreed with the chair, witnesses may be called.
- The appeal panel will ask questions/seek clarification as necessary.
- The Institute representative will ask questions/seek clarification as necessary.
- The student to be given an opportunity to make a closing statement.
- The Institute representative to be given same opportunity.
- The panel will adjourn for the appeal panel to consider the decision.

o **Hearing the case**

- Hearing the case is based on the above running order.
- If the panel is unable to make a decision as further information is required, inform the student as to when s/he can expect written notification of the decision (or if further action was deemed necessary what this would entail)
- Close the hearing, ensuring that everyone understands what is going to happen.
- Panel considers the case and makes a decision. The outcome of the appeal hearing should not be made immediately before due consideration of the evidence and will be confirmed to the student in writing, usually within ten (10) working days of the hearing.

8. **Record**

- Record summary of the discussions, (including any agreed actions and timescales).
- Ensure that the records are factual and constructive.
- Store records securely, as these may be subsequently required within later procedural stages.
- The decision of the appeal panel is final and no further correspondence will be entered into.

5. SUPPORTING DOCUMENTS

- Registration application form
- Student Handbook

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STUDENT GRIEVANCE POLICY AND PROCEDURE

Implementation date	April 2010
Last reviewed	April 2023
Next review date	April 2028
Responsibility	Student and Examinations Manager
Ratification	EDEX

1. PREAMBLE

In order to maintain a harmonious relationship between Chartered Secretaries Southern Africa and its students, it is the policy of the Institute to provide for the settlement of problems and differences through orderly grievance procedures. Every student shall have the right to present his or her problem, in accordance with the procedures established, in order to seek redress free from interference, coercion, restraint, discrimination, or reprisal.

The primary objectives of this Student Grievance Procedure are to ensure that students have the opportunity to present grievances to the Institute regarding a certain action or inaction by a member of the Institute community and that the Institute has a consistent way of resolving those grievances in a fair and just manner.

A student may pursue a grievance if he or she believes that a member of the Institute community has violated his or her rights. This Student Grievance Procedure applies to alleged discrimination on the basis of race, colour, religion, sex, age, national origin, or disability as well as problems arising in the relationship between a student and the Institute.

Upon request from any student, the Manager: Student and Examinations will provide guidance about the appropriate system for redress of a particular complaint.

2. INFORMAL RESOLUTION

Prior to invoking the procedures described below, the student is strongly encouraged to present his or her grievance in writing to the person alleged to have caused the grievance. In either case, the person alleged to have caused the grievance must respond to the student promptly, either orally or in writing.

3. INITIAL REVIEW

If a student decides not to present his or her grievance to the person alleged to have caused the grievance or if the student is not satisfied with the response, he or she may present the grievance in writing to the Manager: Student and Examinations. Any such written grievance must be received by the Manager: Student and Examinations not later than twenty working days after the student first became aware of the facts which gave rise to the grievance.

The Manager: Student and Examinations should conduct an informal investigation as warranted to resolve any factual disputes. Upon the student's request, the Manager: Student and Examinations shall appoint an impartial fact-finding panel of no more than three persons to conduct an investigation. The Manager: Student and Examinations must state the terms and conditions of the investigation in a memorandum appointing the fact-finding panel. A fact-finding panel appointed hereunder shall have no authority to make recommendations or impose final action. The panel's

conclusions shall be limited to determining and presenting facts to the Manager: Student and Examinations in a written report.

Based upon the report of the fact-finding panel if any, the Manager: Student and Examinations shall make a determination and submit his or her decision in writing to the student and to the person alleged to have caused the grievance within ten working days of receipt of the panel's report. The written determination shall include the reasons for the decision, shall indicate the remedial action to be taken if any, and shall inform the student of the right to seek review by the Chief Executive Officer (CEO).

4. APPEAL PROCEDURES

Within ten working days of receipt of the decision of the Manager: Student and Examinations, a student who is not satisfied with the response of the Manager: Student and Examinations after the initial review may seek further review by submitting the written grievance, together with the administrator's written decision, to the CEO. The CEO may delegate another appropriate person to act on his/her behalf.

The CEO's action will be limited to a review of the basis for the decision made by the Manager: Student and Examinations and need not involve a de novo factual investigation. The CEO may, but is not required to, direct that further facts be gathered or that additional remedial action be taken. Within 15 working days of receipt of the request for review, the CEO shall submit his or her decision in writing to the student and to the person alleged to have caused the grievance. The written disposition shall include the reasons for the decision, and it shall direct a remedy for the aggrieved student if any. The student may elect to appeal the CEO's decision to the Fasset. Any such appeal must be filed not later than fifteen (15) working days after the student receives the CEO's decision.

SUPPORTING DOCUMENTS

- Student Handbook
- Student Code of Conduct

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STUDENT SUPPORT MECHANISMS

Implementation date	October 2007
Last reviewed	October 2023
Next review date	October 2028
Responsibility	Student and Examinations Manager
Ratification	EDEX

1. PREAMBLE

A range of student and member support mechanisms is available from the Institute as described below.

2. FINANCIAL

- The Institute is not a credit grantor but refers students to Eduloan which focuses on providing financial support to students. This organisation's details are provided in the prospectuses as well as on the Institute's website.
- Students may also apply for financial support through the Mentor Trust which is managed by the Institute – terms and conditions apply.

3. ACADEMIC – PROGRAMME ADVICE

- There is a team of student advisers available to discuss the various programmes and options (e.g. exemptions) with students; advice is available via email, telephone or for walk-in students.
- A library is available at the Institute for research or study purposes. The materials may be used as reference materials only and may not be loaned.
- Pre-examination review sessions are offered to registered students at the Board level, during which a subject expert addresses key issues in the syllabus.
- Although tuition, per se, is not provided, the services of an on-line tutor are available to students, as follows:

  - Answering student questions regarding:

    - the location of additional study material;
    - the location of material within the prescribed texts;
    - conceptual difficulties;

  - Assisting students with study and examination techniques;

  - Advising students, in general terms, where they may have gone wrong in their examination answers, based on their symbols achieved.

- Continuing Professional Development (CPD) seminars are available to students at a discount. In this way students can enhance their knowledge of the curriculum but also network with potential employers.
- Students have dedicated access to the Institute's Placements Register for employment opportunities.
- Comprehensive study guides have been developed by world authorities on each of the four subjects covered, and these guides have then been re-worked for the Southern African context.

Each guide runs into an average of 400 pages and consists of the very latest information and developments in each of the governance subjects:

- Applied Governance
- Company Secretarial Practice

4. STUDY TECHNIQUES, TIPS and TRICKS

- Guides to study methods and how to answer questions are provided on the student portal.
- Past papers, memoranda and reports are downloadable from the website free of charge to registered students and skills development providers.
- A bimonthly e-zine is sent to students with guidance and assistance for studying and approaching the examinations.

5. SUPPORT FOR STUDENTS WITH DISABILITIES

5.1 Definition

A disability can be defined as:

….a physical or mental impairment which has a substantial and long term adverse effect on a person's ability to carry out normal day to day activities. This can include not just people with obvious physical disabilities or visual or hearing impairments but also people with dyslexia, diabetes, epilepsy, heart disease, severe disfigurements etc.

The Institute understands an impairment to be an injury, illness or inherited condition that causes or is likely to cause a loss or difference in the way the body or mind works.

5.2 Aims

- To comply with all relevant legislation
- To provide an environment that facilitates access
- To offer positive discrimination where appropriate
- To ensure that disabled people, including those with learning difficulties, are treated fairly

The Institute meets its duty not to treat disabled people less favourably than others by:

- making a range of *reasonable adjustments* to ensure that enrolment, the full range of student services, access, achievement and success are, within the requirements of the law, unaffected by disability and learning difficulties;
- making the Institute's Disability Statement available in a range of formats, and on line;
- encouraging and supporting learners to disclose disabilities and learning difficulties at the earliest opportunity, (for example, on their enrolment form). All information disclosed in this way is held in strict confidence and is used only to help the Institute provide the support needed to help the learner succeed;
- monitoring learner achievement and success by disability, analysing trends and taking appropriate action.

5.3 Arrangements for Students with Special Assessment Requirements

Assessment must be available to all those who have the potential to achieve the standards required for a particular qualification. However, some students may need access to alternative means of providing evidence and/or additional support. Care must be taken that any proposed assessment

methods are of equal quality and rigour to those for mainstream students and demonstrate that the student has achieved the national standard.

Students may be identified as having particular assessment requirements in relation to, for example, learning difficulties, a visual or hearing impairment, a mental illness, or English as an additional language. This means that they will need appropriate support in their development to help them meet the required standards such as:

- adapted equipment and physical environment;
- special information technology.

6. REASONABLE ADJUSTMENTS

The Institute will make reasonable adjustments to ensure that a disabled person is not at any disadvantage when compared with a non-disabled person or other disabled person.

Reasonable Adjustments may include:

- modifying procedures for testing or assessment e.g. for a person with restricted manual dexterity
- providing a reader or interpreter
- providing supervision

In all cases the person concerned must be consulted on the reasonable accommodation of his or her needs.

Supporting documents

- Invigilation Procedures
- Student Handbook

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TRANSFER POLICY FOR STUDENTS TO AND FROM OTHER DIVISIONS

Implementation Date	January 2011
Reviewed	April 2023
Next review date	May 2028
Responsible person	Student and Examinations Manager
Ratification	EDEX

1. PREAMBLE

This policy sets out the broad general principles and cannot provide for every circumstance or individual differences. Each application for transfer will need to be individually evaluated.

It is important to understand that in South Africa, the Institute is governed by legislation in terms of its accreditation. The key statute is the National Qualifications Framework Act, No. 67 of 2008.

In terms of this statute, the qualifications of the Institute are registered on the National Qualifications Framework at different levels, which are explained below.

Name of qualification	NQF Level	Known as
Occupational Certificate: Governance Practitioner	7	
Occupational Certificate: Company Secretary	8	Board
Occupational Certificate: Governance Professional	8	Board

Students transferring from another division must present evidence of their good standing with that division and comply with the South African immigration laws and rules regarding study permits. This evidence needs to be presented before any applications for transfer to the Southern African division can be processed or application for credit transfers can be made.

Within the limitations as outlined above, the Institute has a fairly generous transfer and credit policy. However, in terms of its accreditation requirements and the legislation which governs its operation, there are also restrictions as to how far it can go in this regard.

It should be noted that the decision as to which credits are granted is the prerogative of the Institute.

2. RECOGNITION OF PRIOR LEARNING (RPL)

Recognition of prior learning usually applies when a transfer student wants recognition of his/her qualification in South Africa as opposed to getting credits for individual modules.

In terms of the transfer policy, RPL gives transfer students the opportunity to convert their qualification to a South African qualification. This is not an automatic conversion – it involves an application, the provision of relevant evidence and the payment of a fee. Relevant application forms can be requested from the Student Department.

3. CONVERSION TO NEW CURRICULUM

Existing modules Until November 2018	NQF Level	New modules From January 2019	NQF level	Credits transferred to new transcripts	Exemptions based on equivalence of content and NQF level
Communication	6	Communication	5	Yes	Yes
Financial Accounting I	6	Introduction to Financial Accounting	5	Yes	Yes
Economics	6	Introduction to Corporate Governance	5	Can only be awarded if students has already completed Programme 1	n/a
		Introduction to Law	5	For all students who have not yet completed Programme 1	Yes
General Principles of Commercial Law	6	Principles of Business Law	6	Yes	Yes
Managing Information Systems	6	Managing Information Systems	6	Yes	Yes
Management Principles	6	Management Principles	7	Can only be awarded if students has already completed Programme 2	Yes
Advanced Commercial Law	6	Advanced Business Law	7	Can only be awarded if students has already completed Programme 2	Yes
Financial Accounting II	6	Advanced Financial Accounting	6	Yes	Yes
		Principles of Corporate Governance	6	Must be taken by all students who have not yet completed Programme 2	Yes
Taxation		No equivalent		Can only be awarded if students has already completed Programme 2	n/a
Corporate Law	7	Corporate Law	8	No	No exemptions for transfer students
Financial Accounting III	7	No equivalent		Can only be awarded if students has already completed Programme 3	n/a
Management Accounting	7	No equivalent		Can only be awarded if students has already completed Programme 3	n/a

Existing modules Until November 2018	NQF Level	New modules From January 2019	NQF level	Credits transferred to new transcripts	Exemptions based on equivalence of content and NQF level
		Advanced Corporate Governance	7	Can only be awarded if students has already completed Programme 3	n/a
Strategic and Operations Management	7	Strategic and Operations Management	8	Can only be awarded if students has already completed Programme 3	Yes
Corporate Administration	8	Risk and Compliance	8	Can only be awarded if students has already completed Programme 4	n/a
Corporate Governance	8	Applied Governance	8	No	NO exemptions
Corporate Secretaryship	8	Company Secretarial Practice	8	No	NO exemptions
Corporate Financial Management	8	Finance for Decision-making	8	Can only be awarded if students has already completed Programme 4	
Public Sector Governance	8	Public Sector Governance	8	Yes	Yes
		Enterprise Risk Management	8	Yes	Yes

4. **TO APPLY FOR TRANSFER FROM CGISA TO ANOTHER DIVISION, THE FOLLOWING DOCUMENTS SHOULD BE SUBMITTED TO CGISA:**

- Passport.
- Valid working permit.
- Proof of employment in the residing country.
- Proof of residential address where they are transferring to must be either from a Banking Institute, Receiver of Revenue or Water and Lights statement in the student's name.
- Marriage certificate if change of surname.
- Proof of payment for academic record.
- This is only for students who are relocating to another country.

CGISA will then apply its mind and issue a transfer letter to the receiving division.

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WORK EXPERIENCE ASSESSMENT POLICY

Implementation date	February 2023
Last reviewed	September 2023
Next review date	October 2027
Responsibility	Assessment Manager
Ratification	EDEX Committee

1. PREAMBLE

- This policy aims to enhance the quality of assessment practices in the institute.
- This policy supports and gives expression to the institute's commitment to be the premier governance professional body in Southern Africa through its assessment practices.

Pursuant to the requirements of the Quality Council for Trades and Occupations (QCTO), work experience modules must be completed by the student in the workplace.

2. ACCESS TO THE WORK EXPERIENCE MODULES

Access to the work experience modules is obtained via the CGISA student login page. A description of each work experience module and the types of work products to be submitted are set out in the logbook for the relevant qualification. Each qualification has two logbooks – one to be completed by the student (student logbook) and one to be completed by the supervisor (supervisor logbook).

3. SUBMISSION OF THE PORTFOLIO OF EVIDENCE

Each student must submit a portfolio of evidence (POE) of the work produced for each work experience module, which must include the logbooks.

Work experience modules cannot be completed over a period shorter than 3 months. Work products (i.e., evidence of work done for purposes of work experience modules) completed up to three years prior to registration with CGISA may be submitted as part of the POE if they meet the requirements of each relevant work experience module and are signed off by a supervisor.

Students can submit their portfolio at any time. In other words, students do not have to have written the examinations for all the modules before they upload their portfolio. However, students will not have completed the qualification until the portfolio of evidence has been assessed and been deemed competent by the work experience assessor.

Students can complete their POE over time and gather their evidence slowly as long as it is all completed by the time they finish the qualification and want their certificate. The work-experience modules are not related to each subject but are related to each qualification as a whole.

4. CERTIFICATION

The POE can be submitted at any time before the CGISA applies for the certificates, i.e., approximately 2 months after the exam results are released. If students do not submit in time, the issuing of the certificate may be delayed.

5. ASSESSMENT OF THE WORK EXPERIENCE MODULES

Step 1: Evaluation by a work supervisor

A supervisor must sign off on students' work products by completing the supervisor's logbook. It is permitted for different supervisors to sign off on different modules, i.e. a particular supervisor may sign off on one module, while a different supervisor may sign off on another module.

Step 2: Assessment by the CGISA work experience module assessor

Once submitted on Moodle, the student's POE will be sent for assessment by an assessor appointed by CGISA. The assessor will contact the supervisor(s) to check that the student did in fact complete each relevant work experience module, and request feedback on the student's competency.

Students will not receive a mark for work experience modules. Rather, the assessor will determine whether the POE meets all the requirements and if it does, students will receive the relevant credits. This is recorded as Competent (C) or Not Yet Competent (NYC). If students receive an NYC result, students will be given the opportunity to resubmit the POE.

If the assessor determines that the POE or an aspect thereof is not satisfactory, it will be returned to students with feedback as to where improvement is needed.

The POE results are then combined with the examination results before students can be issued with a certificate.

6. CONFIDENTIALITY

CGISA undertakes to treat all submitted POEs with the utmost confidentiality. CGISA will not share anything contained in the POE with any third party and the POE will be referred to solely for purposes of assessment thereof and for no other reason whatsoever. Students are entitled to submit work in redacted form (sensitive information blacked out) if necessary.

7. EXEMPTIONS

Exemptions do not apply to the work experience modules. Students do not register separately for the Work Experience Modules. They are not subject-specific but are related to the qualification as a whole.

The work experience modules are an additional requirement. They do not replace the exams or assignments.

8. SUPPORTING DOCUMENTS

- CGISA Assessment Policy
- CGISA Work Experience Modules FAQs
- CGISA Portfolio templates
- Student code of ethics

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