

# Quality Assurance of Assessment

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## Policies, Directives, Guidelines and Requirements

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37 General Van Ryneveld Street, Persequor Technopark, Pretoria  
Telephone: 27 12 3491510 • Fax: 27 12 3491511 • [info@umalusi.org.za](mailto:info@umalusi.org.za)

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# Chapter One

## Framework for Quality Assurance of Assessment

### 1. INTRODUCTION

This section aims to:

- articulate Umalusi's approach to assessment for certification;
- outline the systems, processes and procedures used by Umalusi to ensure the development, maintenance and improvement of standards in assessment;
- establish a coherent, coordinated and integrated system for establishing and maintaining standards in assessment;

This section outlines the operational framework within which Umalusi conceptualizes, approaches, organizes and implements assessment for certification. It attempts to articulate an integrated and workable framework that will guide and regulate assessment for certification within the General and Further Education and Training bands.

The framework builds on established and existing practice in assessment for certification while progressively formulating a new regime for ensuring the maintenance of standards in assessment within these two foundation bands in order to facilitate the implementation of Umalusi's mandate in ensuring standards in assessment.

External examinations at the exit point of any qualification are the key quality assurance lever that has been used by Umalusi and its predecessors over many decades to influence quality in the education system. Examinations have been used with a fair measure of success both to engender public trust in the education system and to drive the quality of attainment and educational standards.

External examinations at the exit point of qualifications have a long tradition, as well as high levels of currency and credibility. The tradition of examinations at the exit level of a qualification has permeated all the sectors that Umalusi works in: Schools, Adult Education and Training and Vocational Education and Training. The value of external examinations lies in setting educationally sound standards of educational attainment that can be specified and articulated in very precise terms.

Umalusi's assessment for certification system has as its cornerstone external examinations at exit points of the General and Further Education and Training Band. This means that the examinations systems, processes and procedures are the foundation on which Umalusi's quality assurance of assessment system is built. Umalusi will use its own systems, processes and procedures to evaluate, inspect, monitor and report on the examinations systems, processes and procedures in both public and private institutions in order to drive the development, maintenance and improvement of standards in assessment.

Umalusi judges the quality and standard of examinations by determining the level of adherence to policy in implementing examination related processes, the cognitive challenge of examination question papers, the appropriateness and weighting of content in question papers in relation to the syllabus, the quality of presentation of examination question papers, the efficiency and effectiveness of systems, processes and procedures for the monitoring of the conduct of the examinations, the quality of marking as well as the quality and standard of internal quality assurance processes within the assessment body.

In practice, Umalusi's quality assurance of assessment system is made up of the following processes and procedures:

1. Evaluation and accreditation of assessment bodies
2. Periodic inspection of assessment bodies
3. Ongoing monitoring of assessment bodies
4. Quality assurance of external examinations through:
  - Moderation of examination question papers
  - Moderation of internal assessment
  - Monitoring the conduct of examinations
  - Moderation of marking
  - Standardization of assessment outcomes

Each process is outlined briefly below.

In keeping with its mandate, Umalusi focuses on the quality assurance of the external and the internal assessment, practical examinations as well as simulated and work-based examinations.

The process of moderation of question papers focuses on ensuring that question papers are of an acceptable standard, cover the appropriate content as prescribed in the syllabus, and are presented in a professional manner. For this purpose, a set of criteria are used.

Umalusi undertakes a rigorous and extensive monitoring of the Senior Certificate examination. The monitoring focuses on three main aspects:

- Auditing the assessment bodies' monitoring systems;
- Monitoring their state of readiness to administer examinations;
- Monitoring the administration and conduct of examinations;
- Resulting processes and procedures

Umalusi moderates the marking of scripts to ensure reliability and standardization of the marking. This is accomplished through memorandum discussion meetings, and moderation of marking in a variety of ways.

Umalusi also moderates internal assessment. Practical, simulated and work-based assessment all constitute internal assessment. Umalusi may delegate the moderation of internal assessment to appropriate institutions or bodies.

Umalusi standardizes both the examination marks and internal assessment scores, including those for practical, simulated and work-place based assessment. Standardization is necessary to address the variation in the standard of question papers and marking that may occur across institutions and examining bodies.



# 2

## Chapter Two

### Moderation of Question Papers

#### 1. INTRODUCTION

Examination question papers for Grade 12, ABET level 4 and VET (N1 – N3) are set by examiners appointed by assessment bodies. To ensure that standards are maintained in the above-mentioned examinations, we rely on the effective collaboration between assessment bodies and Umalusi.

Moderation is a process of ensuring that the assessment instruments are fair, valid, and reliable, and that they are in line with the National standards. For Umalusi it is also critical to ensure that the assessment instruments of all the assessment bodies are of the same standard.

This document aligns itself with policy and guidelines as stipulated in the following documents:

- *The General and Further Education and Training Quality Assurance Act, no 58 of 2001,*
- *Regulations for the Conduct, Administration and Management of Assessment for the Senior Certificate, DOE, June 2005.*
- *National Policy on the Conduct, Administration and Management of the Assessment of the Senior Certificate, DOE, September 2004.*
- *National Policy on The Conduct of Adult Basic Education And Training (ABET) Level 4 Examinations, July 2002*
- *National Policy relating to the Examinations of Formal Technical College Instructional Programmes, October 2001.*

#### 2. PURPOSE

The main purpose of the document is to regulate both the internal and external moderation of question papers. The document will achieve this by:

- 2.1 Spelling out Umalusi's directives with regard to question papers submitted for external moderation.
- 2.2 Outlining responsibilities of assessment bodies, external moderators and Umalusi with regard to moderation of question papers,
- 2.3 Stipulating timeframes to be adhered to with regard to question paper moderation,
- 2.4 Providing clear criteria to be used for the moderation of question papers,
- 2.5 Providing clear processes and procedures to be followed,
- 2.6 Giving directives on reporting and the report format to be used,
- 2.7 Providing clear protocol to be used with regard to the submission of question papers, and
- 2.8 Outlining sanctions that will be applied to assessment bodies.

### **3. SCOPE OF APPLICATION**

The directives will be applicable to all public and private assessment bodies accredited by Umalusi across the three sectors: Schools, Adult Education and Training, and Vocational Education and Training. An assessment body here refers to the National Department of Education (DOE), all the nine provincial departments of education, and the two independent assessment bodies: Independent Examination Board (IEB) and Beweging vir Christelike Volkseie Onderwys (BCVO).

The document will therefore give directives for the following processes:

- Internal moderation of question papers,
- External moderation of question papers.

### **4. MODERATION PROCESSES AND PROCEDURES**

In the South African context internal moderation occurs in different contexts, as conducted by different assessment bodies. Therefore external moderation is a good quality assurance tool where the External Moderator ensures that the examiners and Internal Moderators follow established procedures and arrive at a well-founded decisions as to the validity of the instruments or question papers set.

## **MODERATION OF QUESTION PAPERS TAKES PLACE AT THE FOLLOWING LEVELS:**

### **(i) Internally (At assessment body level)**

Assessment bodies must appoint suitably qualified persons to moderate the question papers internally. Internal moderation must be rigorous and a full report must be compiled and should accompany the question papers sent for external moderation.

### **(ii) Externally (by Umalusi)**

Umalusi appoints a team of suitably qualified subject experts to undertake the moderation of question papers.

## **UMALUSI MODERATES QUESTION PAPERS IN TWO WAYS:**

- (i) Assessment bodies send question papers to External Moderators, who then moderate and send the question papers back, together with detailed reports, to the various assessment bodies,
- (ii) External Moderators assemble at a central place for moderation of question papers of the national subjects for schools and the ABET question papers. These papers are moderated centrally because they are set at national level by DOE.

### **4.1 Question papers moderated centrally:**

- Umalusi will determine the site to be used for central moderation of question papers,
- Umalusi will inform assessment bodies of the scheduled dates and venue for moderation of question papers.
- Assessment bodies must ensure that question papers are delivered to the venue at the time stipulated by Umalusi

### **4.2 Question papers submitted to external moderators:**

- Question papers must be sent by agreed mode of delivery,
- Assessment bodies must develop a tracking chart, or an instrument that will be used to track the movement and progress of question papers. This tracking chart should be submitted to Umalusi periodically.

### **4.3 Moderation of translated question papers:**

Assessment bodies must submit translated versions of question papers to Umalusi for moderation after the original paper has been approved, and should under no circumstances enter into any agreements with the external moderators without Umalusi's consent. Assessment bodies will be responsible for paying the external moderators for moderation of the translated version.

### **4.4 Approval/Rejection of question papers and marking memorandum:**

The External Moderator may approve, conditionally approve or reject an examination paper on first submission.

- 4.4.1. When a paper is approved it means it meets all Umalusi criteria as clearly spelt out in the attached Annexure A, and the External Moderator endorses the quality and standard of the examination paper. The paper should not be submitted for second moderation.
- 4.4.2. Conditional approval means that the examiner has a number of minor adjustments to make on the paper. The External Moderator may request that the paper be submitted for second moderation depending on the nature of changes to be effected, or he/she may delegate the responsibility of ensuring that changes are made to the Internal Moderator.
- 4.4.3. Rejection of the paper will occur when
  - the paper does not meet Umalusi criteria, and it requires major alterations to be made. The paper will have to be reset by the assessment body. This will be treated as second moderation.
  - there is no evidence of internal moderation. The paper will be returned as is to the assessment body and must be re-submitted. This will be treated as second moderation.

It is the External Moderator's responsibility to state clearly in the reports to assessment bodies, whether the question paper has been approved or rejected, and whether or not the paper must be re-submitted to him/her.

**NOTE ON SECOND AND SUBSEQUENT MODERATION OF QUESTION PAPERS**

Umalusi does not encourage the practice of second and / subsequent moderations. Should a paper require second or subsequent moderation as per reasons stated in 4.4.2 and 4.4.3 above, the assessment body will be responsible for payment thereof. Payment for second and/ subsequent moderation must be made directly to Umalusi. Umalusi therefore urges assessment bodies to ensure that question papers submitted for first moderation are of the desired and appropriate quality and standard. This will ensure that we do not have papers submitted for second and subsequent moderation.

## **4.5 Timeframes relating to external moderation of question papers and marking memorandum:**

It is imperative that all the role players involved in the setting and moderation of question papers adhere to stipulated timeframes. Question papers must be submitted to the External Moderator on or before the stipulated deadline to allow for adequate time to have the paper moderated and returned to the assessment body. The External Moderator must adhere to the time frames prescribed by Umalusi.

### **4.5.1. Due dates for submission of question papers and marking memorandum to external moderators**

Assessment bodies must manage the whole examination process around the Examination Cycle relevant to each of the three sectors. Assessment bodies must develop management plans in respect of the entire examination cycle. The examination cycle commences with the appointment of examiners and internal moderators to set and moderate the question papers for the scheduled examination, and concludes with the release of the examination results.

#### **Question papers must be sent to external moderators as follows:**

- For Grade 12 examinations:  
Between 01 July of the year before the actual examination year, and 30 April of the examination year. Final date for submission is therefore, 30 April each year.
- National subjects for the Grade 12 Examinations:  
On or before March 30 each year.
- For VET examinations:  
Nated/Report 191 : before 28 February each year  
National Certificate Vocational (NCCV) : before 31 March each year
- AET question papers:  
June examinations : before 30 August each year  
November examinations : before 28 February each year

## **5. MODERATION APPROACH AND CRITERIA**

In order to accomplish the question paper moderation function, Umalusi utilises the services of external moderators who are highly qualified and experienced professionals in their respective subjects. The moderation process focuses on ensuring that question papers are of an acceptable standard, cover the appropriate content as prescribed in the syllabus, and are presented in a professional manner. Moderators are required to use criteria set by Umalusi for both internal and external moderation of question papers.

The following are the criteria that Umalusi external moderators use when moderating question papers. Assessment bodies must use the criteria for internal moderation, as well as to guide the setting of question papers:

- Content Coverage
- Cognitive skills
- Internal Moderation
- Language and bias
- Predictability
- Adherence to policy
- Marking Memorandum
- Technical criteria
- Overall impression of the paper

See Annexure A for a detailed explanation of each of the above criteria.

## **6. PROTOCOL FOR MODERATION OF QUESTION PAPERS**

External moderation of question papers is Umalusi's sole responsibility. Assessment bodies, however, need to have clear structures and procedures in place relating to the typing, editing, printing, storage and distribution of question papers, to ensure that question papers they submit for external moderation comply with standards laid down by Umalusi. Question papers that are submitted to External Moderators must be in the final, print ready version.

Assessment bodies must provide Umalusi, prior to commencement of each examination cycle, with a schedule clearly indicating when the following will take place:

- Training of Examiners and Internal Moderators
- Setting of question papers and marking memo
- Internal moderation of question papers and marking memo

- Typing and editing of question papers
- Translation of question papers
- Submission of question papers for external moderation. Both the English and translated versions.
- Printing of question papers.

Umalusi will, in consultation with IPEC, provide exact dates on which the above should be submitted for each of the three sectors.

Assessment bodies must adhere to the stipulated timeframes.. Assessment bodies that are not able to meet the set timeframes for reasons beyond their control, should write to Umalusi and request an extension of the due date at least thirty (30) days before the due dates referred to above. The submission must state valid reasons why the set timeframes cannot be met. Umalusi will evaluate the request and may grant an extension not exceeding 30 days. If extension is not granted then Umalusi will give a directive on procedure to be followed.

## **7. RESPONSIBILITIES**

### **7.1 Umalusi**

Umalusi as a quality assuror takes final responsibility and accountability of the quality and standard of question papers set for Senior Certificate Examinations, AET and VET examinations. Umalusi has put measures and systems in place to ensure that external moderation of question papers is conducted in a credible manner.

Umalusi must ensure the following:

1. Appointment of suitable and appropriately qualified persons as External Moderators,
2. Training and induction of External Moderators before commencement of moderation,
3. Crafting of clear moderation criteria to be used in the setting and moderation of question papers,
4. Provision of a report format that must be used by all Internal and External Moderators for reporting to Umalusi on each question paper that has been moderated,
5. Moderation and return of question papers to assessment bodies within stipulated timeframes. Umalusi must ensure that External Moderators moderate question papers and return them, together with detailed reports, within six weeks of receipt thereof.

6. Provision of feedback to assessment bodies on the standard and quality of the question papers they set,
7. Management of the whole external moderation process in such a way that it will lend credibility and integrity to the whole assessment process,
8. Use of reliable mechanisms to monitor and check whether question papers written are those approved by the External Moderators.

## **7.2 Assessment bodies**

It is the responsibility of the assessment body to do the following:

1. appoint suitable and qualified examiners and internal moderators as stipulated in the PAM document,
2. ensure that the examiners and Internal Moderators are trained and fully equipped to set question papers that are of an acceptable standard,
3. inform Examiners and Internal Moderators of the due dates for the submission of draft and final examination question papers,
4. ensure that Examiners are adequately trained with regard to:
  - the format of the paper,
  - duration of the question paper,
  - maximum marks required for each paper,
  - number of questions required,
  - any other information that may be deemed necessary.
5. ensure that there is rigorous internal moderation of all the question papers before they can be submitted to the External Moderator for external moderation.
6. appoint competent, professional language practitioners who will edit all the question papers,
7. ensure that all the question papers that have to be translated are translated appropriately,
8. ensure that the examiners prepare a grid indicating the ability levels that have been tested, and the weighting according to the syllabus.
9. ensure that the question papers submitted to the External Moderator are in their final state, having been edited, with all the diagrams and sketches in place, and that they are submitted in a file containing all the drafts from the examiners providing the history of the paper, a grid indicating ability levels drafted by the examiners, the syllabus used to guide the setting, a marking memorandum and the Internal Moderator's report. Examiners are required to use the Assessment framework on page 22.
10. ensure that supplementary and back-up question papers, where applicable, are set and submitted for external moderation,

11. ensure that memoranda are drafted for each of the question papers submitted,
12. ensure that changes suggested by the External Moderator are effected, and that the question papers printed and written are those approved by the External Moderator. Assessment bodies must also ensure that the question papers are resubmitted to the External Moderator if it is so required.
13. ensure that there are procedures in place regarding the ‘signing off’ of papers by the examiners and Internal Moderators in order to ensure that the correct version of the paper approved by the External Moderator goes to print.
14. ensure that there is a clear policy and management framework in place for safekeeping of question papers in order to administer a credible examination. Umalusi may, at any time, request the submission of the policy and management framework to ensure that these are in place.

## **8. REPORTING AND REPORT FORMAT**

Reporting is a critical aspect of external moderation in order to give positive feedback that will ensure growth and development. Internal Moderators are required to submit reports that will give Umalusi a very clear picture of the standard and quality of question papers moderated. Internal and external moderators must use the attached report format. (See Annexure B). Reports need to be very detailed and contain substantial information that will enable Umalusi to give good judgment on the credibility of the examination.

Reports from Internal Moderators must be submitted directly to the External Moderator in a file together with the question paper, marking memorandum and all other necessary documents as stated under 7.2. number 9. The reports must be on the prescribed Umalusi report format (see Annexure B). Internal moderators should keep a hard copy for own reference purposes. The External Moderator will, subsequent to having moderated a question paper, draft a report on the question paper in question, for submission to both Umalusi and the relevant assessment body. Umalusi would then report or give feedback to the assessment body in two ways:

- Periodically to deal with any issues arising from the External Moderators’ reports,
- provide a detailed report on moderation of question papers at the end of each moderation cycle.

## **9. SANCTIONS**

Assessment bodies will not be allowed to administer a question paper that has not been approved by Umalusi, nor will they be allowed to administer question papers that have been rejected.

Assessment bodies administering the above-mentioned papers that are not approved by external moderators, will be regarded as committing an irregularity, and appropriate measures will be taken to deal with this as stipulated in the directives on handling of irregularities.

## **10. REVIEWS**

The purpose of having an appeals and complaints procedure is to give assessment bodies avenues through which they can appeal the moderation decision. Every assessment body has the right to appeal against decisions, conduct or compliance of the external moderator.

It must be noted that the External Moderator has the final say with regard to the approval of a question paper or marking memorandum. However,

- If there are disagreements between the assessment body and the External Moderator on the approval of questions or the question paper as a whole, or on the conduct or compliance of the External Moderator, then the Senior Manager: Quality Assurance of Assessment (Umalusi), must intervene.
- If the matter still remains unresolved and the parties concerned cannot reach an agreement this must be communicated to the CEO of Umalusi to facilitate an agreement. The CEO must then take a final decision to settle the matter.

## **11. CONCLUSION**

It is Umalusi's priority to see to it that the examination system is managed smoothly, effectively and efficiently, and that the question papers set for learners are fair, valid and reliable. This directives document serves to regulate systems and processes relating to the setting and moderation of question papers, and ensure that these are managed appropriately.

Assessment bodies must comply with the requirements outlined in this document. Umalusi will put measures in place to monitor compliance at all times.

# Glossary

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<b>Assessment Body</b>	a department of education, or any other body accredited or deemed accredited by Umalusi, the Council for Quality Assurance in the General and Further Education and Training Bands, which administers and manages its internal and/ external assessment processes.
<b>Assessment Irregularity</b>	refers to any event, act or omission and any alleged event, act or omission, which may undermine or threaten to undermine the integrity or security of the integrity of the examination, fairness of the entire examination and assessment process. Such threats may occur at any stage of the examinations.
<b>Learner</b>	An individual on whom the assessment instruments/ question papers set by an assessment body will be administered.
<b>Examiner</b>	an individual appointed by an assessment body who is responsible for setting of question papers that are fair, reliable and valid, and also drawing appropriate and complete marking memorandum
<b>Examination</b>	a component of the assessment process and refers to the culmination of the summative process when learners in Grade 12, VET & AET are subjected to a final sitting at the end of the learning cycle.
<b>External Moderator</b>	A moderator appointed by Umalusi, to verify moderation done by assessment bodies and ensure credibility of assessment methods, instruments and decisions.
<b>Internal Moderator</b>	A moderator appointed by an assessment body responsible for ensuring that the question papers set by examiners are of the appropriate standard and quality, and that they are fair, reliable and valid.
<b>Moderation</b>	A process of ensuring that assessment of outcomes as set in the National Qualifications Framework standards or qualifications, syllabus, National Curriculum Statements is fair valid and reliable

**Umalusi**

The Council for Quality Assurance of General and Further education and Training Bands established in terms of the General and Further Education and Training Act, 2001 (Act No. 58 of 2001)

# Annexure A

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## Criteria for moderation of question papers: Grade 12, VET and AET

### **PREAMBLE:**

Umalusi as a quality assessor and custodian of standards with regard to learner achievements, is always striving to ensure that:

1. the standard of question papers set for the Grade 12, AET and VET examinations is upheld, and
2. the question papers are fair, valid, reliable and appropriate.

The standard of question papers is dependent broadly on the following aspects:

1. Coverage of the syllabus content.
2. the kind of questions included in the question paper, eg essay questions, short questions, objective items and short items.
3. the quality of questions set in terms of variety, appropriateness, relevancy, clarity and fairness, and
4. the conceptual constructs of the subject that the paper addresses.

The aspects mentioned above are covered in detail below, and should be used by all external moderators when moderating the Grade 12, VET and AET examinations question papers.

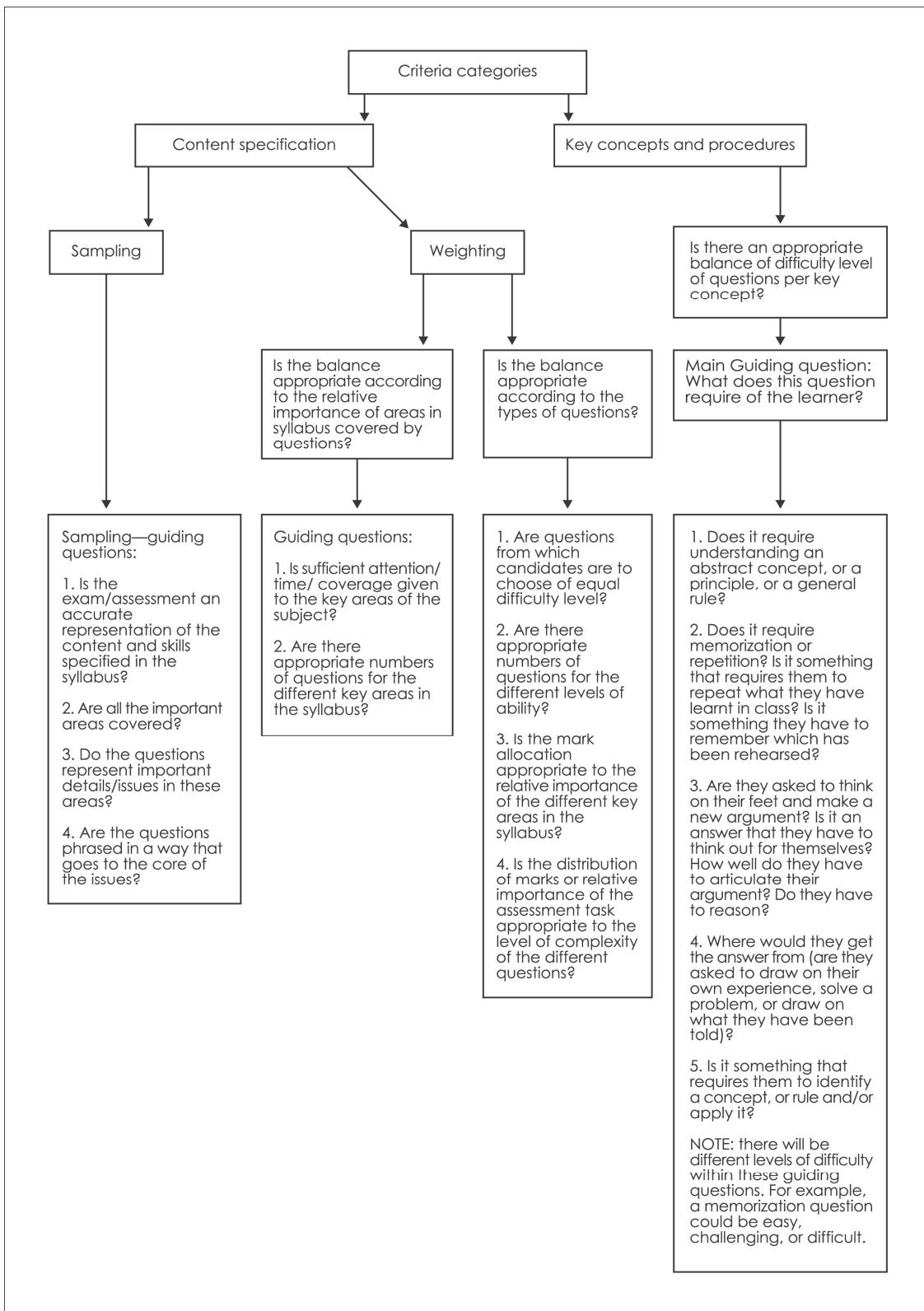
### **1. CONTENT COVERAGE**

- Does the paper cover all content and skills as prescribed by the syllabus?
- Are there questions set that are outside the syllabus?
- Does the paper cover questions of various types e.g. Multiple Choice Questions, paragraph, data response, essay, etc?
- Is the paper intellectually challenging and allowing for creative responses from candidates?
- Are the examples and illustrations suitable and appropriate?

- Is there a relationship between mark allocation, level of difficulty and time allocation?
- Is there a clear differentiation between content suitable for higher grade and content suitable for standard grade?

## 2. COGNITIVE SKILLS

- Is there correct distribution in terms of cognitive levels (Bloom's taxonomy or any other taxonomy that may have been used)?
- Are the questions from which candidates are to choose of equal difficulty level?
- What conceptual constructs of the subject does the paper deal with? e.g.
  - reasoning ability
  - ability to communicate
  - ability to translate from verbal to symbolic
  - ability to compare and contrast
  - ability to see causal relationship
  - ability to express an argument clearly
- Are these representative of the best and latest developments in the teaching of this knowledge field?
- Are the questions challenging and allowing for creative responses from candidates?
- Are questions correctly differentiated in terms of standard and higher grade?



### **3. INTERNAL MODERATION**

- Is there evidence that the paper has been moderated internally?
- What is the quality, standard and relevance of input from internal moderator.
- What is the quality of the report from the internal moderator?

### **4. LANGUAGE AND BIAS**

- Is the subject terminology used correctly?
- appropriate language register – for the level of the learner
- Does the paper avoid gender, race, cultural, and assessment body bias?
- Are there any subtleties in the grammar that might create confusion?
- In the case of languages where learners are asked to summarise texts, are the texts of appropriate length, and is the level and complexity of the vocabulary appropriate?

### **5. PREDICTABILITY**

- Are questions of such a nature that they could be easily spotted or predicted by the teacher?
- Is there repetition of questions from the past three years' question papers?

### **6. ADHERENCE TO POLICY**

- Is the paper relevant to current policy/guideline documents,
- Is the paper relevant to actual classroom practice, latest developments in the subject and current events?
- Are the levels of questions appropriate? Is there a grid indicating ability levels, percentage of various question types?
- Does the paper adhere to the format requirements of syllabus/guidelines?
- Does the paper cover the syllabus?
- Is the weighting and spread of contents appropriate?
- Did the assessment body submit a file with full history of the paper with all drafts, moderators' comments etc. (all these must accompany the paper each time it comes to the external moderator).

### **7. MARKING MEMO**

- Comment on the correctness of the marking memo.
- Does it correspond with questions in the question paper?
- Does memo give allowance for alternative responses?
- Does it facilitate marking?
- Is the marking memo laid out clearly and neatly typed?

- Is the marking memo complete with mark allocation?

## 8. TECHNICAL CRITERIA

- Is the question paper complete with memorandum, relevant answer sheets and formula sheets?
- Does the cover page have all relevant details such as time, subject, grade/level, and instructions to candidates?
- Are the instructions to learners clearly spelt out and unambiguous?
- Is the lay out of the paper learner friendly?
- Does the paper have correct numbering?
- Is the same font used throughout the paper?
- Is mark allocation clearly indicated?
- Do the marks allocated for the whole paper correspond with time given?
- Is mark allocation on the paper same as on the memo?
- Comment on the quality of illustrations, graphs, tables etc. Are these print ready?
- Does the difficulty level of questions correspond with the time allocated for the paper?

## 9. OVERALL IMPRESSION OF THE PAPER

- Is the paper fair and of appropriate standard?
- Will the paper as a whole assess the outcomes, aims and objectives of the syllabus/policy documents?
- Recommendations for improvement or maintenance of standard.
- Final acceptance/rejection of individual questions and whole paper needs to be substantiated
- How does the standard of the question paper compare in relation to other examining bodies and previous question papers.

**NOTE TO THE EXTERNAL MODERATOR:**

The aspects mentioned under each criterion must be mentioned in the report you submit on each question paper moderated.

### **Example of an Assessment Framework (to be used by examiners)**

# Annexure B

## External Moderators' Report: Question paper moderation

**Enquiries:** C Dikgole 012 – 349 1510 ext 202 (tel)  
confidence@umalusi.org.za 012 – 349 1511 (fax)

### INSTRUCTIONS FOR COMPLETION:

1. The External Moderator must complete this report on each question paper moderated.
2. The report must be completed in detail. Please note that single word responses will not be accepted.
3. Where additional space may be required for comment, please do so on a separate page and append it to this report.
4. Please address all enquiries to Confidence Dikgole at the contact details stated above.

<b>Subject:</b>	<b>Grade:SG/HG</b>
<b>Date of examination:</b>	<b>Paper: 1, 2, 3</b>
<b>Assessment Body:</b>	<b>Length of Paper:</b>
<b>External Moderator:</b>	
<b>External Moderator's contact details</b>	

## **1. CONTENT COVERAGE**


## **2. COGNITIVE SKILLS**


## **3. INTERNAL MODERATION**


#### **4. LANGUAGE AND BIAS**


#### **5. PREDICTABILITY**


#### **6. ADHERENCE TO POLICY**


## **7. MARKING MEMO**


## **8. TECHNICAL CRITERIA**


## **9. OVERALL IMPRESSION OF THE PAPER**


## **10. RECOMMENDATIONS/SUGGESTIONS FOR IMPROVEMENT**


**This Question Paper is herewith (please indicate with X in the appropriate space):**

- Approved as is** Must not be re-submitted for second moderation
- Conditionally approved** To be re-submitted for another moderation
- Conditionally approved** No re-submission required  
(NB: Internal Moderator must ensure that changes are effected)
- Rejected** Must be submitted for second moderation

**(Compulsory – Please complete)**

**Date submitted for external moderation:** \_\_\_\_\_

**Date received for assessment body:** \_\_\_\_\_

**Date external moderation completed:** \_\_\_\_\_

**Date sent back to assessment body:** \_\_\_\_\_

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_



# 3

## Chapter Three

### Moderation of Internal Assessment

#### 1. INTRODUCTION

Umalusi has the responsibility to quality assure all exit examinations within the General and Further Education and Training Band across the three sectors: Schools, Adult Education and Training and Vocational Education and Training. Umalusi uses examinations as the focal point of its quality assurance of assessment in this band. Quality assurance processes are deployed to ensure the maintenance and improvement of the standard of examinations. Examinations consist of two components; one external and one internal. Marks for these components are presented separately but are combined to form the final mark for certification purposes. Umalusi's quality assurance processes are used to quality assure both components of the examinations.

Internal assessment is set, marked and graded at site level. This makes it absolutely necessary for Umalusi to put in place measures to standardize internal assessment to ensure uniform standards in this component of the examination. In order to standardize internal assessment, Umalusi sets down directives. These directives include defining the composition of internal assessment; the respective responsibilities of key role players; presentation of internal assessment; as well as moderation procedures.

Internal assessment forms part of the final mark of exit examinations in Schools, Adult Education and Training as well as Vocational Education and Training. The aim of internal assessment is twofold: to offer learners an alternative chance to demonstrate their competence and to assess those skills that cannot be assessed through traditional examinations.

Umalusi has the statutory responsibility to issue directives for internal assessment leading to the following qualifications in the General and Further Education and Training Bands:

- General Education and Training Certificate for Adults
- Senior Certificate
- National Senior Certificate
- National Senior Certificate (N1 – N3)

- Further Education and Training Certificate (Vocational)

## 2. PURPOSE

The purpose of this chapter is:

- To give directives on internal assessment to both public and independent assessment bodies accredited by Umalusi;
- To specify Umalusi's requirements for internal assessment in Schools, Adult Education and Training and Vocational Education and Training;
- To standardize the composition of portfolios of evidence.

## 3. DEFINITION OF INTERNAL ASSESSMENT

In the General and Further Education and Training Quality Assurance Act, internal assessment is defined as:

“internal assessment” means any assessment conducted by the provider, the outcomes of which count towards the achievement of a qualification

**The table below shows the percentage of internal assessment per sector:**

Sector	Percentage of Internal Assessment
Schools	25%
Adult Basic Education and Training (ABET)	50%
Vocational Education and Training (VET) (190 and 191 Programmes)	40%

For the National Certificate (Vocational) internal assessment will constitute 25% and 50% of the final mark of the learner for the fundamental learning component modules/subjects and vocational component modules/subjects respectively. Due to developments in the VET sector, for a while we will have to use a dual system that caters for Report 190/191/Programmes and the National Certificate Vocational. In order to avoid confusion in the system, Umalusi has adopted the formal name as referred to in the General and Further Education and Training Quality Assurance Act namely **internal assessment** with its associated definition. The definition of internal assessment Umalusi subscribes to is:

“Internal assessment” is the assessment of the learner’s performance carried out on an on-going basis at the learning site by the educator, using various assessment techniques and may comprise assessment of oral and practical work, classroom based work, class tests, controlled tests, assignments, projects and examinations.

## **4. COMPOSITION OF INTERNAL ASSESSMENT**

In the first instance, internal assessment must adhere to the subject-specific guidelines. The composition of internal assessment must comply with the following requirements.

### **A. SCHOOLS**

#### **Section A**

This section applies to all subjects and must be composed of:

- (a) 50% tests
- (b) An independent project which is an original written piece of work by the learner
- (c) The independent project in b) above must include evidence of the process of developing the project – planning, brainstorming right up to the final draft.
- (d) Furthermore, the project should allow the learner to apply the skills of collecting, analyzing and synthesizing information
- (e) Task specifications, marking rubrics and model answers should form part of the portfolio

#### **Section B**

This section applies to **languages** and must include:

Records of **at least four tasks** complete with task specifications, marks and marking rubrics.

#### **Section C**

This section applies to subjects with a practical component. Subjects with a practical component must include at least four tasks.

## **B. ADULT BASIC EDUCATION AND TRAINING**

The contents of the learner's portfolio should be structured in the following way.

### **Section A**

A minimum of five forms/types of assessment covering a fair spread of unit standards per form/type as stipulated in the various learning areas. In the case of learning areas with less than five unit standards the number of forms/types should be the same.

### **Section B**

An independent project with the history of its development and details of assistance given to the learner (this forms part of the minimum 5 forms of assessment).

## **C. VOCATIONAL EDUCATION AND TRAINING**

Internal assessment is comprised of formative and summative assessments. Both forms of assessment should consist of various combinations of different types of assessment such as:

- independent research projects,
- assignments,
- class work,
- reports,
- standardized tests,
- class tests,
- performance tasks etc.

The learner's portfolio of evidence should be structured in the following manner.

### **Section A**

This should consist of one major test that covers a wide spread of the syllabus in a specific subject.

### **Section B**

This section should consist of evidence of different kinds of formative class tasks that cover key areas of the syllabus. There must be at least five tasks.

## **Section C**

This section must consist of the practical component of the subject, whether this is work-based, or site-based. It must include task specifications and the scoring rubric/s.

NB: A practical component that could either be conducted in a work-based environment, or in a simulated work-based environment is compulsory in each of the four modules/subjects in the vocational component of the National Certificate (Vocational).

## **5. ROLES AND RESPONSIBILITIES**

This section outlines the roles and responsibilities of all the major role players in the setting, marking, and moderation of internal assessment. These role-players include those from the side of the quality assessor as well as from that of the provider. Each role-player must fulfill the roles outlined in these directives.

### **i) *Umalusi***

The roles and responsibilities of Umalusi include the following:

- (a) Issuing directives on internal assessment;
- (b) Enforcing directives on internal assessment;
- (c) Moderating internal assessment;
- (d) Standardizing internal assessment within the specified tolerance range;
- (e) Ensuring that the final mark for certification includes internal assessment.

### **ii) *National Department of Education's Chief Directorate Evaluation, Measurement and Public Examinations***

The roles and responsibilities of the National Department of Education include the following:

- (a) Developing policy on internal assessment;
- (b) Developing subject guidelines for internal assessment;
- (c) Designing a training program for internal assessors;
- (d) Monitoring the implementation of internal assessment;
- (e) Issuing nationally prescribed tasks for internal assessment in each subject across the sectors;
- (f) Ensuring that Umalusi directives on internal assessment are strictly adhered to.

**iii) Provincial Departments of Education's Examinations Sections/Units/Directorates**

The roles and responsibilities of Provincial Departments of Education include the following:

- (a) Appointing suitable personnel to monitor the implementation of internal assessment;
- (b) Training all personnel involved in the implementation of internal assessment;
- (c) Ensuring that each full time learner at schools and all learners at adult education and training and vocational education and training present internal assessment as part of their final assessment at the relevant exit points;
- (d) Moderating internal assessment before submitting it for external moderation;
- (e) Presenting internal assessment for external moderation by Umalusi;
- (f) Dealing with irregularities in internal assessment;
- (g) Presenting internal assessment scores for standardization by Umalusi;
- (h) Ensuring that the internal moderator provides written comments on all prescribed tasks to ensure adherence to policy and Umalusi requirements;
- (i) Ensuring that the internal moderator ensures signing signs off final drafts of tasks;
- (j) Ensuring that the internal moderator checks the model answers, mark schemes and rubrics;
- (k) Ensuring that the internal moderator moderates a sample of portfolios that will be submitted for external moderation;
- (l) Ensuring that moderators at site level meet the standardization requirements;
- (m) Ensuring that the internal moderator submits a written report to the external moderator.

**iv) Responsibilities of the Site (school, college, public adult learning centres)**

Each site must appoint a moderator for each subject who will:

- (a) Moderate tasks, marking and grading of tasks at centre level;
- (b) Ensure adherence to assessment body and Umalusi requirements;
- (c) Ensure that internal assessments are conducted by staff who have the appropriate knowledge, understanding and skills in the area being assessed;
- (d) Authenticate learners' portfolios as the learners' own original work;
- (e) Submit written reports to the internal moderator.

The site must appoint an internal examiner/assessor or panel of internal examiners/assessors for each subject to:

- (a) Set tasks and task specifications in line with subject guidelines;
- (b) Ensure that learners' work is submitted in strict accordance with the assessment body and Umalusi requirements;
- (c) Mark learners' portfolios;
- (d) Assist with the moderation of learners' work;
- (e) Authenticate learners' work submitted for the purposes of internal assessment;
- (f) Submit learners' work for internal moderation;
- (g) Submit a written report to the internal moderator.

## **6. INSTRUCTIONS, TRAINING AND GUIDANCE FOR INTERNAL EXAMINERS**

- (a) The Assessment Body must provide clear and comprehensive instructions and guidance to internal examiners
- (b) Centres and internal examiners must be given comprehensive information and feedback to ensure that they understand and can meet their responsibilities in relation to requirements for internal assessment
- (c) The Assessment Body must provide training for internal examiners and teachers in task-setting, marking and internal standardization when new procedures are introduced and as and when this is required
- (d) The Assessment Body must closely monitor and evaluate the effectiveness of the instructions, training and guidance provided for internal examiners, so that they can be continually improved
- (e) The Assessment Body must provide centres with clear administrative instructions, including details of how to record, transcribe and check individual candidate's marks. Guidance must also be given on how to make decisions and record relevant information

## **7. SETTING INTERNALLY ASSESSED TASKS**

- (a) The Assessment Body must set down parameters and guidance for task setting and the detailed assessment criteria. The parameters must specify the scale and nature of tasks that are acceptable; the marking criteria must require the appropriate assessment objectives to be fully addressed
- (b) Whenever a new or significantly revised specification is introduced that involves internally assessed tasks, the Assessment Body must take steps to ensure that the

tasks and mark schemes that the centre sets are of an appropriate standard and conform to the requirements of the specification

## **8. SUPERVISING INTERNAL ASSESSMENT**

- (a) The Assessment Body must specify the conditions under which internally assessed work can be undertaken. The specified conditions must ensure the supervision and authentication of candidates' work by teachers and internal examiners
- (b) In cases where the nature of the subject requires centre-based candidates to undertake some internally assessed activities outside their centre, the Assessment Body must require that sufficient work takes place under direct supervision to allow internal examiners to authenticate each candidates' work
- (c) The Assessment Body must specify the extent to which candidates are allowed to redraft their work prior to it being marked by an internal assessor

## **9. AUTHENTICATION OF CANDIDATES' WORK**

- (a) The Assessment Body must require internal examiners to record full details of the nature of all assistance given to individual candidates that is beyond that given by teachers but within the parameters laid down by the specification
- (b) The Assessment Body must require internal examiners to confirm that they have taken steps to satisfy themselves that work produced is solely that of the candidate concerned. This excludes assistance that is within acceptable parameters
- (c) The Internal Examiner must submit, together with a batch of portfolios, a written declaration that the candidates' work was conducted under the required conditions as laid down by the specifications
- (d) Assessment bodies must ensure that adequate procedures for the authentication of internally assessed work in respect of private candidates are in place

## **10. ASSESSMENT AND STANDARDIZATION WITHIN CENTRES**

- (a) The Assessment Body must require internal examiners to show clearly how credit has been assigned in relation to assessment criteria. Guidance must be provided on how this must be done
- (b) The assessment body must require centres to standardize internally assessed work across different examiners and teachers. This is to ensure that all candidates are being judged against the same standard

- (c) The assessment body must specify the necessary procedures for standardization within centres, including the use of secondary sources and trial marking where applicable. Training in the form of written guidance, supported by meetings, must be provided by the Assessment Body to ensure that centres meet the requirements for carrying out this particular responsibility

## **11. MODERATING ASSESSMENTS SUBMITTED BY CENTRES**

To ensure that standards are aligned within and across centres, the Assessment Body must moderate the marks submitted by each centre against the specified assessment criteria

- (a) The Assessment Body must adjust the marks submitted by centres as required to bring each centre's judgements into line with the required standard
- (b) The assessment body must provide centres with details of the moderation procedures that apply to each subject. In particular, arrangements must be specified for:
  - Requesting, as required, at appropriate stages during and at the end of the course, samples of specific internal assessments and associated assessment criteria to indicate how credit has been assigned
  - Drawing samples of marked, internally moderated candidates' work to cover the full range of units and to represent adequately the range of attainment in the centre
  - Sampling the judgments made by all internal examiners where there is evidence that this is necessary in order to guarantee confidence in the internal assessment process
  - Requesting additional samples or all relevant work from all candidates, if necessary
  - Establishing whether a centre's marks require adjustment, determining the nature of the adjustment and making the necessary changes within the specified tolerance limits
  - Giving centres details of, and reasons for, any significant adjustments made

## **12. QUALITY ASSURANCE OF INTERNAL ASSESSMENT**

Internal assessment must be subjected to quality assurance processes as prescribed by Umalusi.

- A. All internal assessment must be moderated both internally on site, at cluster level, at assessment body head office, and externally by an Umalusi-appointed or approved external moderator.
- B. Internal moderation must take place at the following levels:

1. By the Head of Department at site level
2. By the District Subject Specialist at district or cluster level
3. By the Internal Moderator at provincial level
4. In the case of subjects requiring work-based experiential learning, a workplace-based internal moderator must conduct the moderation

NB: Internal moderation reports must be submitted to the external moderator together with the sample for external moderation

- C. External moderation of internal assessment is Umalusi's responsibility. It is conducted by Umalusi-appointed moderators at provincial level.
- D. Moderators moderate a sample of portfolios of evidence using criteria prescribed by Umalusi.
- E. Umalusi standardizes internal assessment within the tolerance range determined by the Statistics Team appointed by the Council

## **13. FORMAT FOR PRESENTATION OF EDUCATOR AND LEARNER PORTFOLIO**

The portfolio of evidence submitted in fulfillment of the requirements for the internal component of an examination must follow the following format:

- (a) A Title Page
- (b) A contents page
- (c) List of tasks
- (d) Examples of tasks
- (e) Model answers, exemplars, etc
- (f) Acknowledgements

### ***Educator / Assessor Portfolio***

The assessor's portfolio compiles the criteria against which the learner's achievements were judged. The suggested content of the assessor portfolio is as follows:

- (a) a work plan / assessment strategy indicating work progression, time allocation, assessment opportunities
- (b) a variety of assessment methods and instruments, e.g. projects/assignments, experiments, case studies, role play, tasks, tests

- (c) recording and reporting tools, e.g. marking grids, rubrics, criteria for assessment, marking memoranda
- (d) a copy of the instructions for each assessment task
- (e) a record of learners' progress

A complete assessor/ educator portfolio should be available on request at times of moderation.

## **14. SANCTIONS FOR NON-COMPLIANCE**

An assessment body which fails to comply with these directives will have one or all the following sanctions imposed on it.

1. It will not have its internal assessment component approved by Umalusi, thus registering an incomplete result.
2. An independent assessment body may have its accreditation status revoked by Umalusi.
3. A public assessment body may be declared unfit to conduct assessment for exit point qualifications

## **15. REVIEWS**

Any assessment body wishing to appeal against any sanction imposed on it may do so in writing to the Chief Executive Officer of Umalusi within thirty (30) days of the decision being communicated to the assessment body



# 4

## Chapter Four

### Monitoring the Conduct of Assessment

#### 1. INTRODUCTION

According to the General and Further Education and Training Quality Assurance Act 58 of 2001, Umalusi must, in concurrence with the Director-General and the relevant provider, approve the publication of results of learners if Umalusi is satisfied that the provider or assessment body has complied with:

- (i) the requirements prescribed by Umalusi for conducting assessment;
- (ii) every other condition determined by Umalusi.

One of the requirements of Umalusi is that assessment bodies must monitor all processes relating to assessment. The following aspects of assessment must be monitored and reported to Umalusi:

- implementation and internal moderation of internal assessment;
- the design phase (state of readiness of assessment bodies and learning sites to conduct examinations);
- the conduct of examinations (including marking); and
- the capturing and processing of results (including effecting the adjustments agreed upon during the standardisation meeting).

It is essential that Umalusi clearly articulates its expectations from assessment bodies with regard to monitoring the assessment processes. The Department of Education has developed policies that identify the functions of monitoring teams. The following policies and any other applicable regulations and policies relating to assessment have reference:

- *The National Policy Relating to the Examinations of Technical College Instructional Programmes, 2001.*
- *The National Policy on the Conduct of Adult Basic Education and Training Level 4 Examinations, 2002.*
- *The National Policy on the Conduct, Administration and Management of The Assessment of Senior Certificate, 2004.*
- *Regulations for the Conduct, Administration and Management of Assessment for the Senior Certificate, 2005.*

- *Umalusi's applicable directives*

The above-mentioned policies omit some aspects of monitoring that Umalusi deems significant and thus realised a need for the development of Directives for Monitoring of Assessment.

Paragraph 32 (1) of Regulations for the Conduct, Administration and Management of Assessment for the Senior Certificate indicates that the Department of Education must develop and implement a monitoring policy that provinces may adapt with the approval of the Head of Department.

The regulations clearly indicate that Umalusi will verify the monitoring system and ensure that the outcomes of the system are valid. It is therefore the responsibility of assessment bodies to monitor the assessment processes and the responsibility of Umalusi to verify these processes.

## 2. PURPOSE

The purpose of this section is to:

- (i) Give directives for monitoring of assessment;
- (ii) Provide assessment bodies with Umalusi's expectations with regard to monitoring;
- (iii) Outline the roles and responsibilities of assessment bodies and Umalusi in monitoring;
- (iv) Give directives for recording and reporting of the monitoring process;
- (v) Ensure compliance with regulations on monitoring of assessment.

## 3. SCOPE OF APPLICATION

The directives will be applicable to all public assessment bodies and those private assessment bodies that are accredited by Umalusi across the three sectors, i.e. Schools, Adult Education and Training, Vocational Education and Training. The document outlines Umalusi's expectations with regard to the monitoring of the assessment processes during the following phases:

- (i) Implementation and internal moderation of internal assessment;
- (ii) The design phase;
- (iii) The conduct of examinations; and
- (iv) Resulting.

## **4. ASPECTS OF ASSESSMENT THAT MUST BE MONITORED AND REPORTED ON**

Assessment bodies must monitor and report to Umalusi on assessment processes outlined below:

### **(a) *Implementation of internal assessment***

- (i) That candidates comply with the full requirements of internal assessment as stipulated in subject/ learning area/ module assessment guidelines in order to be awarded a final internal assessment mark;
- (ii) That candidates who do not comply with the full requirements for internal assessment without any valid reason for such non compliance are not awarded certificates even when they satisfy all other requirements for the certificate;
- (iii) Ensure that candidates who have valid reasons for non-compliance are granted another opportunity to be assessed;
- (iv) Ensure that no candidates are advantaged or disadvantaged when marks for internal assessment are awarded;
- (v) Ensure that mark sheets for internal assessment are completed as outlined in paragraph 25 of the Regulations for the Conduct, Administration and Management of Assessment and paragraph 3.6 of the National Policy on the conduct of Adult Basic Education and Training;
- (vi) Ensure that internal moderation of internal assessment takes place;
- (vii) Ensure that internal moderation of internal assessment is done in accordance with the internal moderation policy.

### **(b) *The design phase***

Umalusi will provide assessment bodies with self-evaluation forms. These must be completed and, together with a comprehensive report, returned to Umalusi. The form addresses the following aspects of the design phase:

- (i) Registration of candidates;
- (ii) Appointment of examiners;
- (iii) Appointment of Internal Moderators;
- (iv) Training of Examiners and Internal Moderators;
- (v) Setting and moderation of question papers;
- (vi) Translation and editing of question papers;
- (vii) Printing and storage of question papers;
- (viii) Security systems for examination material;
- (ix) Distribution of question papers;
- (x) Appointment of Invigilators;
- (xi) Training of Invigilators;

- (xii) Plan for invigilation;
- (xiii) Preparation for marking processes;
- (xiv) Appointment of Markers and Examination Assistants;
- (xv) Plan for training of Markers;
- (xvi) Plan for monitoring;
- (xvii) Availability and maintenance of an irregularities register;
- (xviii) Availability of policies and regulations on assessment processes.

**(c) The conduct of examination**

Assessment bodies must submit to Umalusi a report on the conduct of examinations. These must be submitted on due dates provided at the beginning of each examination cycle. The following aspects relating to the conduct of examinations as outlined in the relevant policies on the conduct of examinations must be reported on:

- (i) General management of the examination;
- (ii) Examination room;
- (iii) Seating of candidates;
- (iv) Activities before the commencement of the examination as outlined in policies listed in paragraph 1;
- (v) Activities during the writing of examinations as outlined in policies listed in paragraph 1;
- (vi) Collection, counting and packaging of answer scripts;
- (vii) Transit of answer scripts;
- (viii) General management of the marking centre;
- (ix) All aspects of security;
- (x) Appointment of Markers and Examination Assistants;
- (xi) Training of Markers;
- (xii) Marking procedure;
- (xiii) Internal moderation of marking;
- (xiv) External moderation of marking;
- (xv) Monitoring of marking;
- (xvi) Quality assurance procedures of marking;
- (xvii) Reporting;
- (xviii) Availability and maintenance of an irregularities register;
- (xix) Handling of irregularities.

**(d) Resulting process**

Assessment bodies must monitor the following aspects during the capturing of marks and processing of results and report to Umalusi on these aspects:

- (i) Capturing and processing of marks;
- (ii) Capturing of adjustments;

- (iii) Monitoring of the capturing process;
- (iv) Release of results.

## **6. ROLES AND RESPONSIBILITIES**

### **6.1 Umalusi**

Umalusi has the following responsibilities with regard to monitoring:

- (i) Ensure that assessment bodies have monitoring plans in place before the commencement of an examination cycle;
- (ii) Verify the implementation of a monitoring plan;
- (iii) Provide assessment bodies with instruments that must be used for monitoring;
- (iv) Verify reports received from assessment bodies;
- (v) Monitor assessment bodies' assessment processes;
- (vi) Declare the results credible, valid and reliable;
- (vii) Provide feedback to assessment bodies with regard to findings of monitoring;
- (viii) Submit reports on monitoring process to the Minister;

### **6.2 National Department of Education: Chief Directorate: Educational Measurement, Assessment and Public Examinations/ Head office (private assessment bodies)**

- (i) Ensure that assessment policies, regulations and guidelines and all relevant material is available;
- (ii) Develop a monitoring policy;
- (iii) Oversee the monitoring process within assessment bodies;
- (iv) Ensure that assessment bodies develop and submit monitoring plans;
- (v) Develop and submit monitoring plans to Umalusi;
- (vi) Submit monitoring reports to Umalusi;
- (vii) Submit improvement plans to Umalusi on request.

### **6.3 Provincial departments of Education: Examination Directorate/Sections/Units/ Head office (private assessment bodies)**

The following are responsibilities of provincial departments/head office of private assessment bodies:

- (i) Assessment bodies must ensure that learners' own original work is submitted for assessment;
- (ii) Assessment bodies reserve the right to inspect portfolios other than those submitted for moderation;
- (iii) Ensure that assessment is conducted according the policies outlined in paragraph 1;
- (iv) Develop a monitoring policy that is in line with that of the Department of Education and Umalusi's directives;
- (v) Develop training material and ensure that all personnel involved in assessment are trained;
- (vi) Establish appropriate structures to monitor assessment processes;
- (vii) Determine the composition of monitoring teams - such teams may include representatives from outside the assessment body and education specialists (at provincial/ district/circuit level or any assessment body official);
- (viii) Develop and submit monitoring plans to Umalusi;
- (ix) Monitor assessment, including internal assessment to ensure that it is conducted in accordance with the regulations and policies applicable to assessment;
- (x) Monitor private examination centres/independent schools writing public examinations;
- (xi) Ensure that monitoring teams visit a sample of examination and marking centres;
- (xii) Submit daily reports to Umalusi;
- (xiii) Submit detailed reports to Umalusi on the findings of the monitoring exercise as and when required;
- (xiv) Adhere to reporting dates specified by Umalusi on an annual basis;
- (xv) Use report formats prescribed by Umalusi to report on each phase of the assessment;
- (xvi) Submit improvement plans on request;
- (xvii) Keep and maintain an irregularities register;
- (xviii) Record all reported irregularities in the register;
- (xix) Ensure that all marking centres are monitored during the marking process;
- (xx) Submit a consolidated irregularities report to Umalusi at the end of an examination cycle.

A template of the monitoring plan is provided as annexure A at the end of this document.

## **6.4 Monitor**

A Monitor has the following responsibilities:

- (i) Monitor examinations in accordance with the monitoring plan submitted to Umalusi;

- (ii) Ensure that examinations are conducted according policies listed in paragraph 1;
- (iii) Advise the person in charge when there is any contravention of any of the above-mentioned policies;
- (iv) Report to the relevant person all findings of the monitoring exercise;
- (v) Ensure that irregularities are reported to Umalusi in accordance with the Directives for Reporting Irregularities;
- (vi) Ensure that monitoring reports are sent to Umalusi as per Umalusi timeframes;
- (vii) Attach a signature in the event book at the centre visited;
- (viii) Confirm that the centre was once monitored by an assessment body monitor if the monitoring plan of the assessment indicates so;
- (ix) Report irregularities to their immediate superiors and request that the person to whom the irregularity is reported, attaches his/her signature

## **6.5 Chief Invigilator**

The Chief Invigilator has the following responsibilities:

**(a) *Must visit the examination room on a regular basis to ensure that:***

- (i) Candidates are seating according to the seating plan;
- (ii) There are no unauthorized persons in and around the examination room;
- (iii) Teachers do not invigilate the subjects they teach at grade 12;
- (iv) All surplus question papers are not removed from the examination room until the end of an examination session;
- (v) The relief invigilation timetable is adhered to;
- (vi) The Invigilators are vigilant;
- (vii) Candidates are not left alone at any time of the examination;
- (viii) No illegal material is allowed into the examination room;
- (ix) Record and report any irregularities that occurred during an examination session.

## **6.6 The Invigilator**

The Invigilator must ensure that:

- (i) Candidates do not bring any illegal material into the examination room;
- (ii) Candidates do not talk to each other during the examination session;
- (iii) Candidates are seated according to seating plan;
- (iv) No unauthorized person enters the examination room;
- (v) No surplus question papers leave the examination room before the end of an examination session;
- (vi) He/she does not leave the examination room with candidates unattended;

- (vii) Reports any irregular behaviour to the Chief Invigilator;
- (viii) Candidates are not issued with a second answer book unnecessarily.

## **6.7 The Chief Marker**

The Chief Marker must on regular basis monitor the marking process to ensure that:

- (i) Marking memoranda is adhered to;
- (ii) There is consistent marking by all Markers;
- (iii) Moderate a certain percentage of scripts and complete qualitative reports;
- (iv) Submit qualitative reports to Umalusi;
- (v) Ensure that Markers can identify irregularities that occurred during the writing of examinations;
- (vi) Keep and update an irregularities register on regular basis;
- (vii) Report all irregularities detected during marking and ensure that the person to whom irregularities are reported signs an acknowledgement receipt of the report.

## **7. REPORTING**

Umalusi will provide dates on which each report must be submitted prior to each assessment cycle. Monitors must substantiate on every aspect of assessment that is addressed by the instruments and not provide short answers only.

Assessment bodies must use Umalusi's monitoring instruments to ensure that reports submitted to Umalusi are detailed according to its requirements. Umalusi will also provide a report format to be used for each phase of assessment.

## **8. SANCTIONS**

An assessment body that fails to comply with these directives will have one or more of the following sanctions imposed on it:

1. Umalusi will not approve its results until such time that it complies with the directives;
2. An independent assessment body may have its accreditation status revoked by Umalusi;
3. A public assessment body may be declared unfit to conduct assessment for exit point qualifications;

4. Umalusi will dissociate itself from any reports that may surface later due to poor monitoring

## **9. REVIEWS**

Any assessment body wishing to appeal against any sanction imposed on it may do so in writing to the Chief Executive Officer of Umalusi within thirty (30) days of the decision being communicated to the assessment body



## Annexure A

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Date	
Time	
Centre and centre number	
District or Region	
Subject/s	
Number of candidates	
Monitor	
Designation	
1st or follow-up visit	

<b>Date</b>	
<b>Time</b>	
<b>Centre and centre number</b>	
<b>District or Region</b>	
<b>Subject/s</b>	
<b>Number of candidates</b>	
<b>Monitor</b>	
<b>Designation</b>	
<b>1st or follow-up visit</b>	

# 5

## Chapter Five

### Moderation of Marking

#### 1. INTRODUCTION

Moderation of marking is one of the processes utilized by Umalusi to ensure that marking is conducted in accordance with agreed practices and standards in order to ensure validity, reliability and practicability of processes, as well as to ensure that national standards are applied uniformly.

This document briefly outlines the purpose of moderation of marking, proceeds to discuss Umalusi's approach to moderation of marking, the roles and responsibilities of major role-players and then states the directives themselves. Furthermore, it outlines the protocol for moderation, reporting and report format, sanctions for non-compliance and appeals processes.

Moderation of marking will take place using three approaches, which are discussed in detail in paragraph 4 – approval of memorandum discussion decisions, centralised moderation of marking, and on-site moderation of marking. These processes will ensure that marking is standardized across board.

This document aligns itself with policy and guidelines as stipulated in the following documents:

- I. The General and Further Education and Training Quality Assurance Act, no 58 of 2001,
- II. Regulations for the Conduct, Administration and Management of Assessment for the Senior Certificate, DoE, June 2005.
- III. National Policy on the Conduct, Administration and Management of the Assessment of the Senior Certificate, DoE, September 2004.
- IV. National Policy on The Conduct of Adult Basic Education And Training (ABET) Level 4 Examinations, July 2002
- V. National Policy relating to the Examinations of Formal Technical College Instructional Programmes, October 2001.

## **2. PURPOSE**

The purpose of this chapter is to:

- (i) Clearly articulate Umalusi's expectations with regard to the processes and procedures for the moderation of marking;
- (ii) Provide clear criteria to be used for the moderation of marking;
- (iii) Give directives on reporting and report format to be used.

## **3. SCOPE OF APPLICATION**

The directives are applicable to all public and private assessment bodies accredited by Umalusi across the three sectors – Schools, Adult Education and Training, and Vocational Education and Training. The document gives directives for the following processes:

- (i) Pre-marking/memorandum discussion;
- (ii) Marking;
- (iii) Internal moderation of marking; and
- (iv) External moderation of marking.

## **4. UMALUSI'S APPROACH TO MODERATION OF MARKING**

In order to fulfil its mandate of moderation of marking, Umalusi utilizes the services of External Moderators. External Moderators use set criteria when moderating marking. These criteria will be made available to all assessment bodies.

The moderation of marking will be done through the following processes:

### **4.1 Approval of the pre-marking/memorandum discussion decisions:**

It is imperative that the pre-marking/memorandum discussion session take place. Firstly, a week before the actual marking takes place (Schools and AET) or a day after an examination has been written (VET), the Chief Marker, Internal Moderator, and Senior Markers (Schools and AET) or Markers (AET) must meet to discuss the memorandum. Actual scripts must be used as a way of standardizing the memorandum. Sufficient time must be allocated to this very

important exercise. In the case of VET, a sample of scripts will be marked after the first memorandum discussion and a second memorandum discussion is held at which the memorandum is finalised and signed off.

Secondly, the first day of marking must be devoted to the discussion of the memorandum with all Markers (Schools and AET). Markers must come prepared with question papers and suggested answers. This process must take place the whole of the first day. Mock scripts, or a sample of scripts, must be prepared by the Chief Marker as a way of training all Markers, with a view to finalizing the memorandum. Changes/additions to the marking memorandum, with legitimate motivations, must be agreed upon and approved by the Chief Marker and Internal Moderator.

In cases where the subject is marked in more than one marking centre, the changes must be communicated to all centres.

During this phase the External Moderators will:

- (i) Provide guidance as the process of discussion unfolds;
- (ii) Outline the processes and procedures to be followed during the memorandum discussion;
- (iii) Approve amendments/additions to the memorandum;
- (iv) Ensure that minutes of the meeting are kept; and
- (v) Approve and sign-off the final memorandum.

## **4.2 Centralised moderation of marking**

This is a process in which the nationally examined subjects are moderated. Assessment bodies submit a sample of scripts to Umalusi's offices in Pretoria following the commencement of marking. A panel of moderators for each of the subjects are located at the Umalusi offices during the marking process. They complete the moderation of scripts within 48 hours upon receipt thereof. Reports are sent to assessment bodies on a daily basis, in which recommendations for improving marking are made to assessment bodies.

The sample of scripts to be submitted by assessment bodies should be made up of 20 scripts. Where the moderation of marking involves both Higher and Standard Grade, 20 scripts for each of HG and SG must be submitted.

The sample of marked scripts should reflect the following profile of symbols and number of scripts:

<b>Symbol</b>	<b>Number of Scripts</b>
A	1
B	1
C	3
D	3
E	4
F	2
FF	2
G	2
GG	1
H	1

**Please Note:**

The sample must also reflect different examination centres and different markers.  
The sample is applicable to both the centralized moderation of marking mentioned above, and the on-site moderation of marking discussed in 4.3 below.

### **4.3 On-site moderation of marking**

This moderation process is carried out while marking is in progress and feedback is provided to the Chief Marker and Internal Moderator at the marking centre prior to the completion of marking.

The moderator visits the marking centre a few days after the marking process has begun to ensure that a reasonable number of scripts are completely marked and internally moderated. The exact dates of these visits will be communicated to all assessment bodies/marking centres.

- (a) Conduct a short, pre-moderation interview with the Chief Marker and the Internal Moderator to establish the process of marking, moderation and any other matter that may be of relevance to the moderation process.
- (b) Moderate a pre-selected sample of 20 scripts, with a view to evaluating the quality and standard of marking – adherence to memorandum; consistency in the allocation of marks and accuracy of totals; and internal moderation.
- (c) During the next stage the Moderator draws a random sample of 40 scripts in order to ascertain whether the problems identified by the internal moderator have been applied to the marking process.
- (d) On completion of the moderation process, or as the moderation process proceeds, the Moderator provides feedback to the Chief Marker and the Internal Moderator.
- (e) When the External Moderator detects serious problems that warrant immediate remedial action, he/she will report to Umalusi so that an

amicable resolution can be negotiated with the Head of Examinations of the assessment body in question.

## **5. ROLES AND RESPONSIBILITIES**

This section outlines the roles and responsibilities of the major role players – Umalusi, the Assessment Bodies, External Moderators, Head of Exams/Private Assessment Bodies, Internal Moderators, Chief Markers, Senior Markers, Markers and Examination Assistants.

### **5.1 Umalusi's Roles and Responsibilities:**

The roles and responsibilities of Umalusi include the following:

- (i) Appointment of External Moderators;
- (ii) Training the External Moderators;
- (iii) Issuing criteria for moderation of marking;
- (iv) Issuing directives on the moderation of marking;
- (v) Providing assessment bodies with report formats to be used by Chief Markers and Internal Moderators.
- (vi) Moderate marking.

#### **5.1.1. External Moderators' Roles and Responsibilities:**

The roles and responsibilities of External Moderators include the following:

- (i) Ensuring that marking and internal moderation processes are effective and efficient;
- (ii) Maintaining appropriate standards in marking;
- (iii) Providing immediate feedback to the Chief Marker and Internal Moderator.
- (iv) Giving support to the Chief Marker and Internal Moderator where necessary.

### **5.2 Assessment Bodies' Roles and Responsibilities:**

The roles and responsibilities of Assessment Bodies include the following:

- (i) Appointing and training marking personnel;
- (ii) Ensuring that marking personnel are appointed in terms of the Personnel Administrative Measures (PAM);
- (iii) Appointing and training of Examination Assistants;

- (iv) Developing guidelines for the establishment and management of marking centres;
- (v) Appointing and training of Marking Centre Managers
- (vi) Ensuring that the marking venues cater for the needs of the marking personnel in terms of adequacy of space, catering facilities, accommodation if required, security, etc.;
- (vii) Ensuring that samples for centralised moderation are available when requested;
- (viii) Ensuring that the question paper and marking memorandum are available with a sample of scripts at all times;
- (ix) Ensuring that all personnel involved in marking have sufficient knowledge on how to handle irregularities in line with Umalusi's directives for reporting irregularities; and
- (x) Submitting a report on marking according to Umalusi's specified form.

### **5.2.1. Head of Exams/Private Assessment Bodies:**

The roles and responsibilities of Head of Exams/Private Assessment Bodies include the following:

- (i) Planning for marking and moderation in line with Umalusi's calendar;
- (ii) Ensuring that quality control of the process is in place;
- (iii) Preparing and allowing for External Moderators to do on-site moderation;
- (iv) Ensuring proper handling of scripts in line with policy or regulations;
- (v) Submitting sample scripts to Umalusi as per requirements;
- (iv) Ensuring that feedback is communicated to the Chief Marker and Internal Moderator; and
- (iiiv) Submitting Chief Markers' and Marking Moderators' reports in time for evaluation to Umalusi.

### **5.2.2. Internal Moderators' Roles and Responsibilities:**

The roles and responsibilities of Internal Moderators include the following:

- (i) Attending and participating at the memorandum discussions;
- (ii) Being present for the entire duration of marking;
- (iii) Approving and signing off the finally agreed upon memorandum, and immediately informing the external moderator of the decision taken;
- (iv) Moderating the marked scripts;
- (v) Constantly liaising with the External Moderator during the marking process;
- (vi) Giving advise, support and guidance to Chief Marker(s)/Examiner(s); and

- (vii) Compile a report on marking as required and send it to the assessment body on the specified date.

### **5.2.3. Chief Markers' Roles and Responsibilities:**

The roles and responsibilities of Chief Markers include the following:

- (i) Taking responsibility for the management of marking in the specified subject;
- (ii) Ensuring that the marking of the specified subject is in keeping with the marking guidelines and memorandum;
- (iii) Ensuring the security and control of scripts assigned to him or her;
- (vi) Attending and taking responsibility for the memorandum discussions;
- (v) Overseeing the training of Markers and Senior Markers;
- (vi) Ensuring that at least 10% of the scripts are moderated in order to promote consistency in the marking process;
- (vii) Reporting alleged irregularities identified during the marking process to the Internal Moderator; and
- (viii) Compiling a report on marking as required and sending it to the assessment body on the specified date.

### **5.2.4. Senior Markers' Roles and Responsibilities:**

The roles and responsibilities of Senior Markers include the following:

- (i) Attending and participating in the memorandum discussions;
- (ii) Supporting the Chief Marker in ensuring the efficient and effective marking of scripts;
- (iii) Taking responsibility for the marking of scripts amongst the Markers assigned to him or her;
- (vi) Taking responsibility for the mark sheets and answer scripts assigned to him or her;
- (v) Ensuring that the Markers under his or her supervision mark the scripts in accordance with the marking memorandum;
- (vi) Moderating at least 10% of the scripts marked by the Markers under his or her supervision in order to ensure consistency and maintenance of standards within the marking process;
- (vii) Reporting all alleged irregularities identified during the marking process to the Chief Marker; and
- (viii) Compiling a report on marking as required and submit it to the Chief Marker.

### **5.2.5. Markers' Roles and Responsibilities:**

The roles and responsibilities of Markers include the following:

- (i) Marking the scripts assigned to him or her, according to the marking memorandum;
- (ii) Taking responsibility for the scripts and mark sheets assigned to him or her;
- (iii) Accurately transferring the marks from the script to the mark sheet; and
- (iv) Identifying and reporting all alleged irregularities identified during the marking process to the Senior Marker (Chief Marker in the case of VET).

### **5.2.6. Examination Assistants' Roles and Responsibilities:**

The roles and responsibilities of Examination Assistants include the following:

- (i) Ensuring that all questions in the scripts are marked;
- (ii) Ensuring that marks are correctly transferred from the inside pages to the cover page of an answer script and that all marks are been calculated correctly.
- (iii) Checking the accuracy of mark calculations both in answer scripts and on mark sheets.

### **5.2.7. Marking Centre Managers' Roles and Responsibilities:**

The roles and responsibilities of Centre Managers include the following:

- (i) Ensuring the smooth running of all activities at the marking centre;
- (ii) Arranging and coordinating marking sessions;
- (iii) Keeping records of all examination answer books received from different examination centres;
- (iv) Keeping records of the examination answer books issued to the Chief Markers;
- (v) Receiving and keeping records of all marked and moderated examination answer books from the Chief Marker;
- (vi) Keeping records and dispatching the examination answer books with the mark sheets to the Assessment Body; and
- (vii) Ensuring that marking is done efficiently and completed within the allocated norm time.

## **6. PROTOCOL FOR MODERATION OF MARKING**

Assessment bodies need to have clear structures and procedures in place relating to the marking, storage and distribution of scripts to and from the marking centres.

Assessment bodies must provide Umalusi, prior to the commencement of marking, with a schedule clearly indicating the following:

- (i) Dates and venues for marking;
- (ii) The name(s) and telephone of the official responsible for coordinating marking;
- (iii) Centre, telephone number, fax number and e-mail address for sending feedback;
- (iv) Name of the courier company that will be used for sending and collecting sample scripts;

Umalusi will provide the exact dates and the schedule for the submission of sample scripts on which the centralised moderation of marking will take place. Assessment bodies must adhere to the stipulated timeframes. Assessment bodies that are unable to meet the set deadlines should write to Umalusi and request an extension of the due date at least thirty (30) days before the deadline. Umalusi will then evaluate the request and may grant an extension. If the extension is not granted, then Umalusi will give a directive on the procedure to be followed.

The marking personnel should use different colour ink as follows:

- (i) The Marker must use red ink for marking;
- (ii) The Chief Marker and Senior Marker must use green ink;
- (iii) The Internal Moderator must use orange ink; and
- (iv) The External Moderator must use purple ink.

## **7. REPORTING AND REPORT FORMAT**

Reports from the Internal Moderators and the Chief Marker must be submitted directly to the Assessment Body, who in turn will report to Umalusi on a date that will be communicated. These reports must be on the prescribed Umalusi report format (see Annexure A and B). Umalusi will make these report formats available to all assessment bodies.

## **8. SANCTIONS**

An assessment body which fails to comply with these directives will have the following sanctions imposed on it:

- (i) The process of marking will be declared an irregularity and irregularity procedures will be followed to address the situation;
- (ii) The outcome of its marking process will not be approved by Umalusi;
- (iii) An independent assessment body may have its accreditation status revoked by Umalusi;

## **9. APPEALS**

Any assessment body or individuals mentioned above wishing to appeal against any sanctions imposed may do so in writing to the Chief Executive Officer of Umalusi within thirty (30) days of the decision being communicated to them.

# 6

## Chapter Six

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### Reporting Irregularities

#### 1. INTRODUCTION

Section 16 (5)(b) of the General and Further Education and Training Quality Assurance Act of 2001 mandates Umalusi, in concurrence with the Director General and the relevant provider, to approve the publication of the results of learners at exit points if the Council is satisfied that the provider or assessment body has:

- (i) conducted the assessment free from any irregularity that may jeopardize the integrity of the assessment or its outcomes;
- (ii) complied with requirements prescribed by the Council for conducting assessments.

Section 19 of the General and Further Education and Training Quality Assurance Act of 2001 further mandates Umalusi to report any irregularity which may jeopardize the integrity of an assessment or its outcome to the Director-General. It is in the light of this legislative framework that these directives have been developed.

Based on the mandate given to the Umalusi in the General and Further Education and Training Quality Assurance Act of 2001, it is imperative that Umalusi articulates clearly its expectations of assessment bodies with regard to handling and reporting irregularities. The Department of Education has developed policies that identify the irregularities. These policies are:

- *The National Policy Relating to the Examinations of Technical College Instructional Programmes, 2001.*
- *The National Policy on the Conduct Adult Basic Education and Training Level 4, 2002.*
- *The National Policy on the Conduct, Administration and Management of the Assessment of Senior Certificate, 2004.*
- *Regulations for the Conduct, Administration and Management of Assessment for the Senior Certificate, 2005.*

The above-mentioned policies are not clear on which of the irregularities are regarded as serious or as jeopardizing the integrity of an examination. It has been left to assessment

bodies to decide which of the irregularities must be reported to Umalusi and which ones may not.

## **2. PURPOSE**

The purpose of this section is to:

- Give directives for assessment irregularities that must be reported to Umalusi;
- Stipulate time-frames within which to report the irregularities and the outcomes of the investigation;
- Outline roles and responsibilities of assessment bodies and Umalusi in the handling of irregularities;
- Give directives on recording and reporting of irregularities.

## **3. SCOPE OF APPLICATION**

The directives will be applicable to all public assessment bodies and private assessment bodies that are accredited by Umalusi across the three sectors, i.e. Schools, Adult Education and Training, Further Education and Training Colleges and any other examination centre duly registered with an accredited assessment body. The document outlines the handling and reporting of irregularities that occur during:

### **(a) *The design phase***

This phase includes the registration of candidates; appointment of Examiners and Moderators; appointment of Chief Invigilators and Invigilators; appointment of Chief Markers, Senior Markers and Markers; setting of question papers; moderation of question papers; and the typing, editing, printing, storage and distribution of question papers.

### **(b) *The conduct of examinations***

This phase includes admission of learners into the examination centre; distribution of question papers and answer scripts; invigilation, collection, packaging and return of examination scripts; marking and moderation of marking; and the transfer of marks from answer scripts to mark sheets.

### **(c) *Resulting***

This phase includes capturing of marks; standardization and release of results; issuing of statements; and certification processes.

## **4. DEFINITION OF ASSESSMENT IRREGULARITY**

An assessment irregularity refers to any event, act or omission and any alleged event, act or omission, which may undermine or threaten to undermine the integrity, credibility, security, or the fairness of the examination and assessment process.

## **5. TYPES OF ASSESSMENT IRREGULARITIES**

Below is an outline of irregularities that may occur at various stages of the assessment process that must be reported to Umalusi. These irregularities are extracted and synthesized from the policies listed below. However, the list is not exhaustive.

- *The National Policy Relating to the Examinations of Technical College Instructional Programmes, 2001.*
- *The National Policy on the Conduct Adult Basic Education and Training Level 4, 2002.*
- *The National Policy on the Conduct, Administration and Management of the Assessment of Senior Certificate, 2004.*
- *Regulations for the Conduct, Administration and Management of Assessment for the Senior Certificate, 2005.*

### **5.1 Irregularities occurring during internal assessment**

1. Irregularities involving learners during internal assessment include the following:
  - (a) A candidate who refuses to abide by any of the requirements in respect of compilation of a mark for internal assessment in a subject or learning area, with no valid reason. The learning institution must approve the validity of the reason presented.
  - (b) A candidate who presents work that is not his or her original work. This may take various forms and may include the following:
    - (i) Copying verbatim from another source/s. In this case, if a teacher is suspicious and has evidence of sections or the complete assignment or project being lifted verbatim from another source, this must be declared an irregularity;
    - (ii) An assignment/project that is not original;
    - (iii) Reproduction of an assignment/project from another learner and there is evidence of such copying;
    - (iv) Work that has been previously presented and for which credits were received, which could either be the learner's own effort or that of another individual;

- (v) The whole or part of a portfolio that is not a learner's own work, but that of another learner from the same learning institution or another learning institution;
  - (vi) A candidate who resorts to any dishonest act to mislead the educator in terms of the authenticity/originality of the portfolio presented.
- (c) A candidate who, in respect of a component of a mark for internal assessment that is completed under controlled conditions does the following:
- (i) Creates a disturbance or intimidates others, or behaves in an improper or unseemly manner despite a warning;
  - (ii) Is under the influence of intoxicating substances and behaves in a disorderly manner;
  - (iii) Disregards the arrangements or reasonable instructions of the educator despite a warning;
  - (iv) Continues to disregard assessment regulations despite a warning.
- (d) A candidate making a false statement in respect of the authenticity of a particular component of the mark for internal assessment.
2. Irregularities involving teachers/educators and other assessment officials during internal assessment (CASS/SBA) may occur during the following stages at the learning institution:
- (a) The compilation of a mark for internal assessment;
  - (b) The monitoring or moderation of a mark achieved in terms of internal assessment;
  - (c) The capturing and processing of data;
  - (d) Investigations in respect of suspected internal assessment irregularities.
3. The assessment irregularities may include the following:
- (a) The teacher willfully and intentionally, without a valid reason, fails to satisfy the requirements or excludes one or more assessment tasks from the compilation of the final assessment marks
  - (b) The teacher/educator alters, by either decreasing or increasing, the marks of candidates without the approval of the internal moderator or head of institution;
  - (c) The teacher willfully provides assistance to a learner that advantages the learner unfairly in comparison to other learners;
  - (d) The teacher collaborates with a candidate who presents the whole or part of a portfolio that is not his/her own work.

## **5.2 Irregularities occurring during the design phase**

Irregularities that may occur during this phase include the following:

- (a) Registration of candidates;
- (b) Appointment of Examiners, Internal Moderators and Markers – when such persons are regarded as inexperienced or unqualified for the work they have to execute;
- (c) Setting, moderation, typing, editing, proof-reading, translating and approval of question papers – question papers are riddled with errors and the contents of the translated version of the question paper differ with those of the original paper;
- (d) Printing, packaging, storage and distribution of question papers – unauthorized persons get hold of the question paper during the printing and packaging process, when packages are wrongly labeled or when question papers get lost while in transit to the district offices or the examination centre;
- (e) Leaked question papers.

## **5.3 Irregularities occurring during the conduct of examinations**

Irregularities that occur during the writing of examinations may be categorized as:

### **5.3.1. Learners misbehaving or willfully disobeying regulations or instructions issued during an examination.**

This category of irregularities includes:

- (i) Creating a disturbance or intimidating others or behaving in an improper or unseemly manner;
- (ii) Disorderly conduct;
- (iii) Disregard for the arrangement or reasonable instruction of the Invigilator despite a warning; and
- (iv) Disregard for regulations despite a warning.

### **5.3.2. Learners engaged in dishonest acts during the examination process.**

Irregularities falling under this category include those that are identified before the commencement of an examination and those that are identified during the examination:

- (a) Those that can be identified before the commencement of the examination include the following:
- (i) Presentation of a fraudulent identification document, admission letter/permit;
  - (ii) Bribery or attempted bribery;
  - (iii) Incorrect seating position;
  - (iv) Access to leaked question paper/s;
  - (v) Failure to present identification documents.
- (b) Those that can be identified while the question paper is being written include the following:
- (i) Possession of notes or any other unauthorized material which could in any way assist in the answering of the questions;
  - (ii) Copying from notes, textbooks or unauthorized material;
  - (iii) Copying from fellow candidates;
  - (iv) Attempting to obtain assistance from, or being assisted by, another candidate or any other individual;
  - (v) Assisting, or attempting to assist another candidate;
  - (vi) Receiving assistance from any other source;
  - (vii) Question paper written by another, or substitute, candidate;
  - (viii) The use of another candidate's examination number;
  - (ix) Use of cellphones, programmable calculators or any other electronic device that may be of assistance to the candidate whilst writing the examination, except where instructions specify otherwise;
  - (x) Hacking into fellow candidates' computers to access their answers to the question paper/ using computers to access answers;
  - (xi) Any other type of conduct or possession which could render improper assistance or unfair advantage to a candidate and thereby prejudice other candidates being examined under the auspices of the relevant assessment body; or
  - (xii) Any other action which is in contravention of regulations governing the administration of, or management, under the auspices of the relevant assessment body.

### **5.3.3. *Failure of candidates to sit for examinations due to factors beyond their control.***

This category of irregularities refers to incidents where candidates cannot write examinations due to circumstances beyond their control. The following are

possible, though not exhaustive, situations that can prevent candidates from writing examinations:

- (i) Power failure during the writing of subjects that require the use of electricity;
- (ii) Unrests that may threaten the lives of candidates within the vicinity where the examination centre is located;
- (iii) Floods;
- (iv) Loss of question papers during its transit.

## **5.4 Irregularities involving examination officials**

This particular category of irregularities refers to examination officials and educators willfully contravening any of the policies referred to in this document so as to grant candidates an unfair advantage in the examination.

- (a) Examination officials who may be involved in examination irregularities are the following:
  - (i) Examination officials such as Chief Invigilators, Invigilators, monitors, support service personnel, Chief Markers, Senior Markers, Marking Centre Managers, Heads of Examinations, and Heads of Department;
  - (ii) Professionals such as educators or principals at schools or learning institutions; or staff from professional support services; or related directorates or circuit managers, etc., whose normal job descriptions automatically incorporates such duties;
  - (iii) Educators in the immediate employ of an independent school or learning institution registered as an assessment centre with the relevant provincial department of education who, in the performance of examination duties, are doing this under jurisdiction of the relevant provincial department of education as an assessment body;
  - (iv) Administrative personnel whose duties include work in respect of assessment, certification and accreditation; and
  - (v) Administrative personnel in the immediate employ of an independent school or learning institution registered as assessment centre with the relevant provincial department of education who, in the performance of assessment duties, are doing this under the jurisdiction of the relevant provincial department of education as an assessment body
- (b) The following are actions on the part of examination officials that are deemed irregular:

- (i) Negligence;
- (ii) Indolence;
- (iii) Disobedience;
- (iv) Failure to abide by relevant legislation or policies or regulations;
- (v) Improper or disorderly behaviour;
- (vi) Actions detrimental to the interests of the relevant assessment body;
- (vii) Unauthorized release of information;
- (viii) Misuse of authority for private gains or reward;
- (ix) Knowingly making false statements prejudicial to the interests of the relevant assessment body or for personal advantage; and
- (x) Contravention of a prescribed code of conduct or set of rules such as failure to comply with provision of any policy.

## **5.5 Irregularities occurring during the marking process**

Irregularities in the marking process relate to irregularities committed by an assessment body official, irregularities identified by markers on scripts, and those identified by Senior Markers or Chief Markers.

### **5.5.1. *Irregularities involving assessment body officials include the following:***

- (a) Selection and appointment of Markers;
- (b) Transfer and delivery of scripts to the marking centre;
- (c) The administration of the marking process, which includes recording, storage, issuing and security of scripts;
- (d) The actual marking process;
- (e) The checking and totaling of marks on scripts;
- (f) The internal and external moderation of marking; and
- (g) Transfer of marks to mark sheets.

### **5.5.2. *The category of irregularities identified by markers include the following:***

- (i) The answer script handed in differing from that issued by the invigilator – the answer script will differ with the rest from the same centre;
- (ii) Different handwriting in an answer script – however, there are candidates who have a number of varying handwritings;
- (iii) Crib notes discovered;
- (iv) No crib notes but clear evidence of copying;
- (v) Evidence of possible assistance by an Invigilator or any other individual;
- (vi) Two examination answer scripts submitted for one candidate;

- (vii) Indication that the candidate has been allowed to be examined in terms of an “open book” examination; and
- (viii) Answers that raise a suspicion.

**5.5.3. *The category of irregularities identified by a senior or Chief Marker includes the following:***

- (i) Inconsistency in marking;
- (ii) Inaccurate addition of marks;
- (iii) Erroneous transfer of marks from scripts to mark sheets;

**5.6 *Irregularities occurring during the capturing process, standardization and release of results issuing of statements and certification process***

- (a) A contravention of the National Policies on the Conduct, Management and Administration of the Assessment, during any of the stages relating to the capturing, processing, standardization, release of results and certification, on the part of an assessment body official involved in these processes, which could undermine the credibility of the examination results, must be declared an irregularity.
- (b) Some of the actions deemed to be irregular during the processes listed in 5.6. (a) include the following:
  - (i) Negligence;
  - (ii) Indolence;
  - (iii) Failure to abide by relevant legislation or policies or regulations;
  - (iv) Unauthorized release of sensitive/confidential information;
  - (v) Misuse of authority for private gain or reward;
  - (vi) Unauthorized access to examination data or subjects credits; and
  - (vii) Failure to accurately verify information on certificates and qualifications.
- (c) It is the duty of the assessment body official or systems administrator or service provider (currently SITA, or any other provider) responsible for these functions, to ensure the accuracy of the examination data provided. Any data presented that is inaccurate must be regarded as an irregularity.
- (d) Provision of examination data to any institution or individual, without the approval by the Minister of Education or Director-General or assessment body’s Head of Department, or their nominated representatives, constitutes an irregularity.

## **6. MINIMUM REQUIREMENTS FOR ENSURING IRREGULARITY-FREE ASSESSMENT**

Assessment bodies are expected to have the following, which is in line with all the relevant national policies on the conduct of examinations to ensure assessment is irregularity-free:

1. Guidelines for the appointment of Examiners and Internal Moderators, Chief Invigilators, Invigilators and Markers;
2. Training programme for Examiners and Internal Moderators;
3. Training programme for Chief Invigilators and Invigilators;
4. Training programme for Monitors;
5. Monitoring plan for each assessment cycle;
7. An Irregularities Committee as contemplated in the policies referred to in this document;
8. Examinations manual; and
9. The necessary precautions to prevent learners from accessing sources in computers that may assist them in answering question papers.

Umalusi monitors may request copies of all the above-mentioned documents during the monitoring process.

## **7. ROLES AND RESPONSIBILITIES**

### **7.1 Umalusi**

Umalusi has the following responsibilities:

- (i) Evaluate the state of readiness of assessment bodies to conduct examinations;
- (ii) Monitor all the phases of assessment;
- (iii) Report all irregularities that may jeopardize the integrity of the examination to the Director-General;
- (iv) Recommend to the Director-General that an investigation be carried out where there is a suspicion about the credibility of the results;
- (v) Approve the release of results of assessment bodies after it is satisfied that the results are credible;
- (vi) Issue certificates to candidates whose results are considered credible. However, such certificates may be cancelled if the results of the candidates are proved to be not credible after an investigation;
- (iv) Instruct Monitors and External Moderators to report any irregularity to a Chief Invigilator or a Marking Centre Manager; and

(iiiv) Issue certificates to candidates.

## 7.2 Assessment body

### 7.2.1. Head of Examinations

The Head of Examinations has the following responsibilities:

- (i) Ensure that examinations are run according the following policies:
  - The National Policy Relating to the Examinations of Technical College Instructional Programmes, 2001.
  - The National Policy on the Conduct Adult Basic Education and Training Level 4, 2002.
  - The National Policy on the Conduct, Administration and Management of the Assessment of Senior Certificate, 2004.
  - Regulations for the Conduct, Administration and Management of Assessment for the Senior Certificate, 2005.
- (ii) Ensure that all question papers are externally moderated before they are administered;
- (iii) Ensure that all examination preparations are in place before the commencement of examination period;
- (iv) Ensure the establishment of an Irregularities Committee of which he or she will be the chairperson;
- (v) Ensure that the Irregularities Committee has a legal representative;
- (vi) Ensure that all members of the Irregularities Committee have the knowledge and experience of assessment;
- (vii) Ensure that the assessment body deploys an adequate number of Monitors to monitor the assessment process;

The External Moderator will then:

- Ensure that he or she sits in all meetings dealing with irregularities;
- Ensure that minutes of Irregularities Committee meetings are taken and kept safe for future reference;
- Ensure that all minutes of Irregularities Committee meetings are submitted to the Head of Department;
- Report all irregularities and the decisions taken to the Head of Department;
- Report all irregularities that may jeopardize the integrity of the examination to Umalusi before the approval meeting;
- Report to Umalusi decisions taken by the Irregularities Committee to withhold results of some candidates, learning institutions or assessment bodies pending the outcome of the investigation.

### **7.2.2. The Chief Invigilator**

With regard to the preparations and conduct of examinations, the Chief Invigilator has the following responsibilities:

- (i) Ensure the correct registration of candidates;
- (ii) Distribute the individual examination timetables or admission letters timeously to all candidates registered at his/her centre;
- (iii) Organize the venue or room(s) in which examinations will be written, as well as all seating arrangements; see to the cleanliness of the examination centre; ventilation; and ensure that walls and posters have no relevant information on them;
- (iv) Appoint Invigilators and draw up an invigilation timetable;
- (v) Train Invigilators to establish uniform procedures and expectations;
- (vi) Ensure that the stationery required for a particular examination is available before the commencement of examinations;
- (vii) Distribute answer books and question papers;
- (viii) Monitor the invigilation and ensure that no unauthorized person goes into the examination room;
- (ix) Report any irregularity that occurred during an examination session to his or her immediate superior;
- (x) Delegate his/her responsibilities in writing where necessary.

### **7.2.3. The Invigilators**

- (a) During the entire examination period while candidates are writing an examination, Invigilators must ensure that:
  - (i) They admit candidates into the examination room after they produce proof of identity and an admission letter;
  - (ii) Candidates complete the cover page of the examination answer book;
  - (iii) Allow the prescribed reading time for candidates;
  - (iv) No unauthorized persons enter the examination room;
  - (v) No candidate communicates with another candidate;
  - (vi) Candidates do not aid or attempt to aid other candidates; obtain or attempt to obtain aid from anyone; or communicate with anyone outside the examination room;
  - (vii) Candidates do not make use of notes and programmable equipment;
  - (viii) Candidates do not cause a disturbance or conduct themselves in an improper or unseemly manner in the examination room;
  - (ix) Candidates do not leave the examination room at any time during the examination except on account of urgent necessity; and in such

- cases, the Invigilator must take practical precautions against dishonesty;
- (x) They handle any irregularity that occurred during an examination session appropriately and report to the Chief Invigilator.
- (b) The following are actions never to be taken by an Invigilator:
- (i) Read or do any work that will hinder him or her from properly performing his or her duties;
  - (i) Use a cellphone;
  - (ii) Assist a candidate in answering any examination question;
  - (iii) Invigilate the subject that he or she teaches;
  - (iv) Leave the examination session unattended;
  - (v) Speak to another Invigilator in a manner that disturbs the candidates;
  - (vi) Hand over a copy of the question paper to any person outside the examination room or take the question paper out of the examination room before the examination has ended; and
  - (vii) Allow candidates to violate the rules and regulations of the examination.

## 8. RECORDING

**The table below outlines the personnel responsible for the conduct of assessment and their responsibilities with regard to record keeping:**

PERSON RESPONSIBLE	RESPONSIBILITY
8.1. The Invigilator	<ul style="list-style-type: none"> <li>▪ Keep a record of all irregularities occurring during an assessment process</li> <li>▪ Submit all records of irregularities to the Chief Invigilator</li> </ul>
8.2. The Head of Examinations	<ul style="list-style-type: none"> <li>▪ Keep a record of all irregularities reported</li> <li>▪ Keep minutes of all Irregularities Committee meetings</li> <li>▪ Keep a record of all investigations and the outcomes of such investigations</li> <li>▪ Keep separate records of irregularities reported to Umalusi and those not reported.</li> </ul>

## **9. REPORTING**

**(a) *The following are irregularities regarded as serious and must be reported to Umalusi within 48 hours:***

- (i) Delays in exam starting times in excess of an hour;
- (ii) Access to leaked question paper/s;
- (iii) Assistance given to candidates by officials or other individuals;
- (iv) Non-candidates taking an exam for registered candidates;
- (vi) Loss of question papers;
- (vi) Power failure during the writing of subjects that require the use of electricity;
- (vii) Unrests that may threaten the lives of candidates within the vicinity where the examination centre is located; and
- (viii) Floods

**(b) *The line of reporting irregularities should be in the order outlined below:***

- The Invigilator must report all irregularities to the Chief Invigilator at the end of each examination session, if there are any.
- The Chief Invigilator must record all irregularities reported and report to the District/Regional Office when he or she delivers the answer scripts. In case of pressing/urgent matters, the Chief Invigilator should report such telephonically to the District or Regional Office. In the case of VET all irregularities must be reported to the provincial office as well as DOE.
- The Regional/District Office should report to the Provincial office immediately. The reporting can be done telephonically, however, a written report should be sent a later stage (where applicable).
- Depending on the nature of the irregularity (e.g. failure of candidates to sit for the examination due to circumstances beyond their control), the assessment body must immediately report to Umalusi. The reporting can be done telephonically with a written report following at a later stage;
- The provincial assessment body must submit short daily reports to Umalusi.
- In the case of Further Education and Training Colleges the report should be from the Head of Examinations.

**NOTE WELL**

All reports on irregularities must reach Umalusi within 48 hours of its occurrence.

The final report on irregularities, together with a report giving an update on the outcome of investigations, must be submitted to Umalusi before the approval meeting.

The final report on the irregularities that are under investigation at the time of the approval meeting must be submitted to Umalusi by the end of February every year.

**(c) The table below outlines the irregularities and the timeframes within which these irregularities MUST be reported:**

IRREGULARITIES	TIMEFRAMES FOR REPORTING
5.1. Irregularities that occur during internal assessment	<ul style="list-style-type: none"><li>▪ The learning institution manager/Chief Invigilator must report such irregularities to his/her immediate superior within seven (7) working days.</li><li>▪ The Head of Examinations must report to Umalusi before the submission and processing of internal assessments</li></ul>
5.2. Irregularities occurring during the design phase	<ul style="list-style-type: none"><li>▪ The irregularities mentioned in paragraph 5.2. (c) must be reported to Umalusi within 48 hours and the assessment body must provide an explanation of how it will deal with the irregularities</li><li>▪ If an unauthorized person/s get(s) access to the question papers during the stages mentioned in paragraph 5.2. (d), a report must be submitted to Umalusi and the assessment body must investigate the possibility and the extent of the leakage at least a month before the examination date. A report of the findings of the investigation must be submitted to Umalusi within 48 hours of the completion of the investigation. This irregularity is regarded as of serious nature</li></ul>
5.3. Irregularities occurring during the conduct of examinations	
5.3.1.	<ul style="list-style-type: none"><li>▪ Irregularities mentioned in paragraphs 5.3.1. (i) and (ii) must be reported to Umalusi in cases where an examination session is disrupted by one or more candidates. The report must reach Umalusi within 24 hours of occurrence.</li></ul>
5.3.2.(a) (iv)	

5.3.2.(a) (v)  5.3.2. (b)  5.3.3.	<ul style="list-style-type: none"> <li>▪ The assessment body must determine the extent of the leakage of the question paper and report to Umalusi either before the question paper is written or after, depending on when the assessment body became aware of the leakage. This irregularity is regarded as one of serious nature.</li> <li>▪ With regard to incorrect seating positions, the assessment body must determine the possibility of the seating position advantaging some or all candidates, or candidates copying from fellow candidates. A written report should be submitted to Umalusi and, based on the facts in the report, Umalusi will decide as to whether the seating arrangements jeopardized the credibility of the examination or not.</li> <li>▪ In cases where the occurrence of the irregularity is extensive, the assessment body must submit a report to Umalusi within 48 hours of receiving a report. The assessment body must conduct an investigation and submit a report of the findings and outcomes of the investigation to Umalusi within 48 hours of completing the investigation, and before the approval meeting. Irregularities in this category are regarded as of serious nature.</li> <li>▪ In cases where irregularities such as those detailed in paragraph 5.3.3. occur, a report must be submitted to Umalusi within 24 hours.</li> </ul>
<b>5.4. Irregularities involving examination officials</b>	
5.3. (a) and (b)	If there is evidence that there has been a willful intent to contravene any of the policies referred to in this document on the part of examination officials involved in the examination processes listed in paragraph three (3), or any of examination officials involved in any of the actions mentioned in paragraph 5.4. (b), which could result in the granting of an unfair advantage to candidates writing the examination, this must be declared an irregularity and must be reported to Umalusi within 48 hours.
<b>5.5. Irregularities during the marking process</b>	All of the irregularities mentioned in paragraphs 5.4.1 and 5.4.2 can jeopardize the integrity of an examination depending on the extent to

	which they occurred. In cases where there is a prevalence of such irregularities, Umalusi must be informed within 48 hours of the occurrence or detection of the irregularity. Irregularities falling under this category are regarded as of a serious nature.
5.6. Irregularities during the processing, standardization and release of results	
	Any deviation from policy in the implementation of the steps mentioned in paragraph 5.6. constitutes an irregularity. It is the duty of examination officials responsible for these functions and SITA to ensure the accuracy of these processes. Any inaccurate data presented must be regarded as an irregularity and must be reported to Umalusi within 48 hours. These irregularities are regarded as of a serious nature.

## 10. SANCTIONS RELATING TO NON-COMPLIANCE WITH THE DIRECTIVES

The following are sanctions that Umalusi may mete out to assessment bodies, learning institutions or individuals as outlined in Section 21 of the General and Further Education and Training Quality Assurance Act of 2001 which states that:

- (a) Umalusi may decide to withhold results of an assessment body/institution/candidate/s if it is proved beyond reasonable doubt that:
  - (i) Assessment was not conducted in accordance with the regulations;
  - (ii) The credibility of any component of assessment is in jeopardy;
  - (iii) Assessment outcomes do not comply with requirements of validity, reliability and credibility.
- (b) Umalusi may refuse to issue a certificate if a substantial irregularity has occurred in relation to an assessment.
- (c) Umalusi may cancel a certificate that has been issued to a learner if on investigation the Council found that the learner has not met the requirements for the qualification.
- (d) Umalusi may by notice in writing direct a learner whose certificate has been cancelled to return the certificate to the Council within three (3) weeks after such notice.
- (e) Any person who fails to comply with such notice is guilty of an offence and liable on conviction to a fine or imprisonment for a period exceeding six months.

It is Umalusi's prerogative to effect any of the above-mentioned sanctions if and when there is a cause for that.

## **11. CONCLUSION**

It is essential that assessment irregularities be handled in an appropriate and uniform manner in accordance with the approved policies across all assessment bodies.

Assessment bodies should ensure that sanctions and verdicts passed onto candidates and officials who contravene the examination policies of any of the three sectors of education are implemented.

# Glossary

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<b>Assessment Body</b>	a department of education or any other body registered with Umalusi, the Council for Quality Assurance in the General and Further Education and Training Bands
<b>Assessment irregularity</b>	refers to any event, act or omission and any alleged event, act or omission, which may undermine or threaten to undermine the integrity or security of the integrity of the examination, fairness of the entire examination and assessment process. Such threats may occur at any stage of the examinations.
<b>Approval meeting</b>	a meeting of Umalusi Council Subcommittee responsible for approving results after standardization
<b>Candidate</b>	a person or a learner who has entered for an assessment activity
<b>Chief Invigilator</b>	the principal of a registered assessment centre or another person specifically appointed in that capacity who is accountable and responsible for the administration of the examination of the Senior Certificate and other assessment matters, at the assessment centre
<b>Chief Marker</b>	a person who has overall responsibility for the final marking of an external question paper written under the auspices of an assessment body accredited by Umalusi
<b>Examination</b>	a component of the assessment process referring to the culmination of the summative process when learners in Grades 10 –12 are subjected to a final sitting at the end of the year
<b>Head of Department</b>	refers to the Head of an assessment body
<b>Invigilator</b>	is a person duly appointed and responsible for the conduct of an examination or related examination activity at an assessment centre. Invigilators are educators or reputable members of a community

<b>Learner</b>	refers to any person, including part-time learners, receiving education at a public or independent school or learning institution
<b>Marker</b>	a person who is appointed mark an external examination question paper
<b>Senior Marker</b>	the person who, together with the Chief Marker, takes responsibility for a group of markers of an external question paper at a marking centre
<b>Umalusi</b>	the Council for Quality Assurance of General and Further education and Training Bands established in terms of the General and Further Education and Training Act, 2001 (Act No. 58 of 2001)
<b>Marking Centre Manager</b>	the official appointed to be in charge of a marking centre

# The Daily Report format

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The purpose of the daily report is to assist Umalusi in responding to issues that need urgent attention during the conduct of examinations (including marking)

## **INSTRUCTIONS FOR COMPLETION:**

1. Reports on the conduct of examinations must be completed on a daily basis by the assessment body and submitted to both Umalusi and the Department of Education. Completed reports must be submitted before 15:00 on the day of an examination except in the case of afternoon papers where the reports will be expected the day after the examination before 09:00.
2. Detail, where and if required, must be submitted as a supplementary information in a separate report.

**ASSESSMENT BODY:**

**DATE OF EXAMINATION:**

**QUESTION PAPER/S WRITTEN:**

Subject	Date written	Time

**Report on conduct**

Irregularities	Number of candidates involved

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Head of Examinations

# Consolidated report on assessment irregularities

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## 1. INTRODUCTION

The introduction should cover aspects of the general management of the examination and aspects relating to irregularities.

## 2. PURPOSE OF THE REPORT

***The purpose of the report is:***

- To report to Umalusi all irregularities that are referred to as serious in the directives for reporting of irregularities;
- To provide Umalusi with background information on all steps taken from the occurrence of the irregularities up to the stage of reporting;
- To inform Umalusi of the decisions taken with regard to irregularities;
- To ensure that all results released are free of irregularities.

## 3. SCOPE

***The scope should cover:***

- The total number of districts/regions;
- Total number of examination centres;
- Total number of examination centres involved in irregularities and the nature and category of irregularities;
- The action taken;
- Sanctions imposed.

## **4. THE ALLEGED IRREGULARITIES**

***The report must cover the irregularities falling under the following categories:***

- Irregularities that occurred during internal assessment;
- Irregularities that occurred during the design phase;
- Irregularities that occurred during the writing of examinations;
- Irregularities involving examination officials;
- Irregularities that occurred during the marking process;
- Irregularities that occurred during the capturing and processing of results.

## **5. DECISIONS TAKEN BY THE IRREGULARITIES COMMITTEE**

The report on decisions taken on irregularities must be structured in such a way that the irregularities are categorized in line with Umalusi directives.

Irregularities of a serious nature as outlined in Umalusi directives must be highlighted together with the extent to which they compromise the credibility of the assessment outcome.

## **6. RECOMMENDATIONS**

The assessment bodies must make recommendations to Umalusi on the irregularities reflected in the report.

## **7. CONCLUSION**

NB: Assessment bodies must attach minutes of the Irregularities Committees' meetings and the attendance register of each meeting.

# 7

## Chapter Seven

### Assessment Concessions

#### 1. INTRODUCTION

The Council for Quality Assurance in General and Further Education and Training (Umalusi) must assure the credibility of the assessment (i.e. the site-based assessment (SBA) and external examinations) leading to the issue of the Senior Certificate, GETC (ABET), National Senior Certificate or the N3 Certificate. It is the responsibility of the assessment body to ensure that the assessment is conducted in a fair and credible manner, in accordance with policy prescribed by the Minister of Education and any other legislation determined by the assessment body.

However, problems may arise that are not addressed by existing policy and Umalusi is frequently called upon to make a decision in such cases. This policy document seeks to address these problems, although it is accepted that this policy cannot be exhaustive enough to cover all possible cases. The purpose of this policy is to protect the integrity of the assessment, despite the unforeseen circumstances that may arise.

***This policy will address the following three categories of problems:***

- (a) Learners absent from one or more components of the assessment;
- (b) Procedural shortcomings; and
- (c) Learner irregularities.

#### 2. LEARNERS ABSENT FROM ONE OR MORE COMPONENTS OF THE ASSESSMENT

- 2.1 ***A candidate must satisfy all requirements relating to the external examinations and site-based assessment (SBA), prescribed for the qualification, in order to be issued with a certificate.***

## **2.2 In the case of the Senior Certificate:**

- (a) a candidate who is unable to write the November examination, due to illness or trauma, must apply to the assessment body concerned to write a supplementary examination. The conditions governing admission to a supplementary examination is outlined in the National Policy on the Conduct of the Senior Certificate Examination.
- (b) in exceptional cases, a candidate may be exempt from the examination, if, due to serious illness, the candidate is unable to write the November examination and subsequent supplementary examination, in not more than one subject or one or two papers in that subject. In such cases, a detailed medical report from a specialist physician, spanning the period of incapacitation, must be submitted to the assessment body. The assessment body will study the report and submit to Umalusi a recommendation for exemption, if the case warrants exemption. If a candidate is unable to write the November examination and the subsequent supplementary examination in more than one subject, then such a candidate must apply to the assessment body to write those subjects in the following examination.
- (c) In the case of (b), where a candidate is exempt from the examination, the externally moderated CASS mark of that particular candidate should be used to allocate his/ her position in relation to the rest of the class that he/she was part of and then use the average of the marks of those candidates, identified by means of the average CASS mark, as a mark to be allocated to a candidate who is experiencing physical reading and writing problems.
- (d) In the case of SBA, a candidate must present all assessment tasks that contribute to the final CASS mark. However, in cases where learners are absent for legitimate reasons the following procedure should apply:
  - (i) In the case of a learner who is absent for 20% and less of the assessment, schools should be authorized, based on policy provided by the assessment body to approve or disapprove the CASS mark;
  - (ii) A candidate who fails to submit a minimum of 80% of the assessment tasks must submit a medical report to the Assessment Body for consideration. Based on the merits of the individual case and provided the learner has submitted at least 50% of the assessment tasks, the assessment body may grant approval for such a learner's CASS mark to be included as part of his final mark.

- (iii) A candidate who has presented less than 50% of the assessment tasks must submit a medical report to the Assessment Body, who will make a recommendation to Umalusi for final approval.

### **2.3 In the case of the ABET and the FET college examinations**

- (a) a candidate who is unable to write the examination, due to illness or trauma, must apply to the Assessment Body concerned for permission to write the subsequent examination offered in that field/learning area;
- (b) In the case of SBA, a candidate must present all assessment tasks that contribute to the final CASS mark. However, in cases where learners are absent for legitimate reasons the following procedure must apply:
- (i) In the case of a learner who is absent for 20% of the assessment tasks, the college/ABET centre should be authorized, based on policy provided by the Assessment Body to approve or disapprove learners who are absent;
  - (ii) A candidate who fails to submit him/herself for a minimum of 80% of the assessment tasks must submit a medical report to the Assessment Body for consideration. Based on the merits of the individual case and provided the learner has submitted at least 50% of the assessment tasks, the Assessment Body may grant approval for such a learner's CASS mark to be included as part of his/her final mark.
  - (iii) A candidate who has presented less than 50% of his/her assessment tasks must submit a medical report to the Assessment Body, which will make a recommendation to Umalusi for final approval.

### **2.4 Where learners are granted approval for absenteeism from assessment tasks, the learners' final mark must be determined based on the number of tasks submitted e.g. a learner who submits 80% of the tasks will be assessed using 80% as the total mark. This implies that a reduced total will serve to calculate the final CASS mark of a learner.**

**2.5 Candidates who fail to present themselves for any of the CASS tasks or candidates who are not granted exemption from part of the CASS will not have their results processed. This result will be regarded as “incomplete” and candidates must complete the outstanding assessment tasks or present themselves for the entire assessment process.**

### **3. PROCEDURAL SHORTCOMINGS**

It is the responsibility of the Assessment Body to ensure that all assessments are conducted in accordance with the policy prescriptions. However, if a systemic error is detected, it is the responsibility of Umalusi to ensure that no learner is disadvantaged. This aspect of the policy cannot cover all possible problems and therefore assessment bodies are obliged to present all such requests to the Chief Executive Officer of Umalusi for approval.

	<b>PROBLEM</b>	<b>ACTION TO BE TAKEN</b>
3.1	The omission of one or more questions from the question paper is detected at the marking centre.	<p><b>If less than 20% of marks on the question paper are omitted:</b> The question paper is marked using the reduced mark as the maximum mark i.e. if 50 marks of the total 400 marks were omitted, the paper must be marked out of 350 and the candidate's mark must be re-computed to a mark out of 400.</p> <p><b>If more than 20% of the marks on the question paper are omitted.</b> The missing script scenario (see 3.2 below) will apply in this case. This scenario may be applicable to either an individual candidate or a group of candidates.</p>
3.2	Lost scripts	<p><b>Subjects with two or more question papers</b> When one of the scripts of a candidate is lost, the following procedure will apply:</p> <ul style="list-style-type: none"> <li>▪ Rank the marks of the paper for which the candidate has a script. The marks are ranked provincially.</li> <li>▪ Identify the marks of candidates that are 5% above and 5% below the candidate whose script is lost.</li> <li>▪ Identify the marks of these candidates on the second set of scripts.</li> <li>▪ The average mark of these candidates will be the mark awarded to for the lost script.</li> </ul> <p><b>Subjects with only one question paper</b> The candidate's adjusted CASS mark is used as the mark of the second paper and the procedure as described above is applied.</p>
3.3	Script lost and then found	Where a script is lost and found after the release of the final results, the mark is calculated as outlined in 3.2 applying to a

		lost script. When the script or scripts are found, it is remarked. The candidate is awarded the highest mark.
3.4	Missing oral/practical marks	The missing oral/practical mark must be regarded as a missing script and the same procedure as outlined in 3.2 will apply, except that the marks must be ranked per centre and not provincially.
3.5	Incorrect question paper opened on the day of the examination but not distributed.	Provided no candidate has seen the question paper, it is not compromised. The examining body must ensure that the security of the question paper is not at risk after it is opened.
3.6	Incorrect question paper opened and distributed to a few candidates at one centre, but re-collected immediately. Candidates recognise that the paper is the incorrect one.	The fact that candidates have had access to the question paper implies that the paper has been compromised. Unless those candidates can write that paper together with the scheduled paper on the same day, and provided these candidates are not allowed access to candidates who will be writing the compromised paper until the paper is written, the compromised question paper should be reset.
3.7	Late arrival of question papers at a centre.	Late arrival of question papers at a centre. If there is an indication that a question paper is delayed, candidates should be kept under vigilance to prevent possible communication with centres that have already started writing the paper. Where the question paper arrives within the period that it is scheduled to be written, candidates should be allowed to write the paper and should be granted the time allocated for the writing of the paper.  Where the question paper arrives on the day for which the examination is scheduled to be written, candidates should be kept under strict supervision and not be allowed contact with candidates who may have already written the paper. Upon arrival of the paper, they should be allowed to write the paper and granted the allocated time for the paper. This applies only to papers arriving on the day for which the writing of the examination is scheduled.

## 4. LEARNER IRREGULARITIES

Most of the learner irregularities are addressed in the National Policy on the Conduct of the Senior Certificate examinations. This section of the policy therefore only addresses those irregularities that are not covered in the national policy.

#### **4.1 Change of Grade**

##### (a) Change of Grade in Examinations

In the case of a subject where there is more than one question paper and the candidate writes one or more papers for a grade different to the grade for which he/she registered originally, the candidate's marks for that subject must be converted to the standard grade.

In most cases this is declared an irregularity since the candidate would have intentionally decided to change his/her grade. If the mark is on the higher grade, the candidate retains the percentage on the standard grade e.g. if a candidate obtains a mark of 120/400 (30%) on the higher grade, this mark is converted to 90/300(30%) on the standard grade. This conversion penalizes the candidate, which is justified since the candidate wilfully changed his/her grade.

In the case of a candidate who changes his/her grade from the HG to the SG on the day that the examination is written, the candidate will not be resulted. This is declared an irregularity because the candidate intentionally changed his/her grade on the day of the examination.

Where a candidate is registered to write the examination in a Primary Language, but writes one paper for an Additional Language, the missing script scenario will apply in respect of the paper written in the Additional Language.

Where a candidate is registered to write the examination in an Additional Language, but writes one paper for a Primary Language, the missing script scenario will apply in respect of the paper written in the Primary Language.

##### (b) Change of Grade in CASS Marks

If a learner has to change his/her grade prior to the official date allowed for grade changes, but has already accumulated a CASS mark, the marks will be converted as follows:

#### **From Higher Grade to Standard Grade**

The mark on the higher grade is converted to the same percentage on the standard grade and having 10% of the marks he/she has attained being added to the converted mark compensates the candidate. If the learner has a CASS score of 150/400 (37,5%) on the

higher grade, this mark is converted to 112,5/300 (37,5%), which is an equivalent percentage. He/she is then compensated by 10% of the converted mark, which results in a final mark of 123,75/300 (41,25%).

### **From Standard Grade to Higher Grade**

The mark on the standard grade is converted to the same percentage on the higher grade and the mark is brought down by 10% of the converted mark, since he/she offered the subject on a lower. If the learner has a CASS score of 150/300 (50%) on the standard grade, this mark is converted to 200/400 (50%), which is an equivalent percentage. The mark is then brought down by 10% of the converted mark, which results in a final mark of 180/400 (45%).

### **4.2 CASS marks not presented by an entire class or centre**

If an entire class of learners, or the entire centre, does not submit oral, practical CASS marks due to the absence of a teacher for the entire year or greater part of the year, the Assessment Body must supply Umalusi with a detailed motivation signed by the Head of Department/Head of the Assessment Body, explaining the reasons for this occurrence and how this will be avoided in future examinations.

If Umalusi is satisfied with the motivation provided by the Assessment Body the learners will have their final marks calculated based on their adjusted examinations marks.



# 8

## Chapter Eight

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### Standardization

In Section 16 and 18 of the General and Further Education and Training Act it is stipulated that Umalusi may adjust raw marks during the standardization process and that assessment bodies may recommend to the Council during the standardization process. The following principles and procedures will outline the criteria, principles and procedures to be followed during the standardisation processes:

#### **1. STANDARDIZATION MEETING**

- 1.1 Assessment bodies will be given the opportunity to make recommendations for adjustments to raw marks at standardization meetings as and when determined by Umalusi Council. At these meetings an Umalusi team comprising of statisticians and Umalusi staff will evaluate recommendations by assessment bodies.
- 1.2 Meetings will be held as follows:
  - 1.2.1 National Standardization meetings – for all examinations set by the National Department of Education
  - 1.2.2 Provincial standardization meetings – for each provincial departments of education
  - 1.2.3 Private Assessment body meetings – for each private assessment body.
- 1.3 All the standardization meetings (Senior Certificate, ABET level 4 and N1-N3 results) will be hosted by Umalusi. Umalusi Council members will chair these meetings.
- 1.4 National Teacher Union representatives as well as SAQA and HESA will be invited to attend the standardization meetings as observers. Provincial examining bodies may also attend the meetings of the other provincial examining bodies/private assessment bodies as observers.

- 1.5 A representative from Umalusi and a representative from the National Department of Education will record all decisions taken at the national standardization meetings. The accuracy of the record must be confirmed by the meeting and signed by the Chairperson of the meeting and the Director General or his representative prior to the termination of the meeting.
- 1.6 A representative from Umalusi and a representative from the Provincial/ Private assessment body will record all decisions taken at the provincial and private assessment bodies standardization meetings. The accuracy of the record must also be confirmed by the meeting and signed by the Head of the Assessment Body and the Chairperson of the meeting.
- 1.7 All financial costs relating to the participation of the examination bodies at these standardization meetings must be borne by the assessment bodies. Umalusi will provide lunch and tea.

## **2. DOCUMENTATION**

In order to ensure uniformity in the documentation presented at the standardization meetings, the following documents should be made available at the meetings:

### **A. SENIOR CERTIFICATE STATISTICAL REPORTS**

#### **Statistical report 1**

- 1.1 Due Date: One day before the standardization meeting
- 1.2 This report will provide data required for the standardization of the examination marks.
- 1.3 Format:
  - 1.3.1. In tabular form:
    - The distribution of raw marks and adjusted marks per subject over the last five years (or the number of years it may be available for) and the number of candidates who wrote the subject and median for each year's data;
    - The supplied norm as determined by Umalusi on an annual basis;
    - The distribution of raw marks of the current examination; and
    - The computer adjusted marks.

1.3.2. In graph form:

- The raw marks of the current examination;
- The norm; and
- The computer adjusted marks.

1.3.3. Pairs analysis report on raw marks using each of the subjects as an anchor.

1.3.4. Quantile Report.

1.3.5. Raw mark distribution (per subject).

1.3.6. For 2005 no norm is provided for History but the raw marks for 2003, 2004 and 2005 as well as the adjusted marks for 2003 and 2004 must be presented. As from 2006 the same process will be followed for all other subjects.

1.4 The above information should be presented in five booklets as follows:

- (a) National booklet (includes subjects to be standardized nationally);
- (b) Provincial/Assessment body booklet I (includes subjects for which norms have been formulated);
- (c) Provincial/Assessment body booklet II (includes subjects with small numbers for which norms have not been formulated);
- (d) Provincial/Assessment body booklet III (Quantile report)
- (e) Provincial/Assessment body booklet IV (Raw mark distribution per subject)

1.5 In the case of private assessment bodies, the national booklet is not required. In all of the above booklets the subjects must be arranged in alphabetical order.

1.6 NB: Any other specific requirements with regard to the above data and the national subjects will be made available to Examining Bodies, prior to the examination.

## **B. GETC STATISTICAL REPORTS**

### **Statistical report 1**

1.1 Due Date: One day before the standardization meeting

- 1.2 This report will provide data required for the standardization of the examination marks.
- 1.3 This will include:
  - 1.3.1. In tabular form:
    - The distribution of raw marks and adjusted marks per learning area over the last five years (or the number of years it may be available for) and the number of candidates and median for each year's data must be included;
    - The supplied norm where available; and
    - The computer adjusted marks (where available).
  - 1.3.2. In graph form:
    - The raw marks of the current examination;
    - The norm (where available); and
    - The computer adjusted marks (where available).
  - 1.3.3. Pairs analysis report on raw marks using each of the learning areas as an anchor.
- 1.4 The subjects/learning areas must be arranged in alphabetical order.

## **C. RECOMMENDATIONS FOR ADJUSTMENTS**

Recommendations must be presented in the following format twenty-four (24) hours before the commencement of provincial and private assessment bodies standardization meetings and one hour before the national standardization meetings.

# Standardization meetings

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Proposals for adjustments in subjects  
Senior certificate

## **INSTRUCTIONS FOR COMPLETION:**

1. This form serves to inform discussions on subject adjustments in respect of standardization meetings for the Senior Certificate.
2. Each assessment body must complete this form in respect of each subject and grade for which an adjustment proposal is presented.
3. Forms must be fully completed and evidence presented in support of the adjustment must be attached as addenda.
4. Completed forms, together with motivations, must be submitted to Umalusi at least 24 hours before the commencement of the standardization meeting in the case of subjects examined by assessment bodies.
5. In the case of subjects that are examined nationally, completed forms, together with motivations, must be submitted to Umalusi at least one hour before the commencement of the standardisation meeting
6. Please address all enquiries to Eardley Twigg at [eardley@umalusi.org.za](mailto:eardley@umalusi.org.za) or telephone number (012) 349-1510.

## ASSESSMENT BODY

Subject::	
Grade:	

- Nature of adjustment:** (please tick the appropriate block)
- (a) Adjustment upwards      (b) Adjustment downwards  
(c) Computer adjustment      (d) No adjustment


**Details of adjustment:** (please provide details of the proposed adjustment)


**Motivation for adjustment:** (please attach documentary evidence where required)


ASSESSMENT BODY:	
PROPOSER:	
DESIGNATION:	
SIGNATURE:	
DATE:	

### **3. GENERAL PRINCIPLES APPLIED IN THE STANDARDIZATION OF EXAMINATION MARKS**

- 3.1 In general no adjustments should exceed 10%.
- 3.2 In the case of individual candidates, the adjustment effected should not exceed 50% of the mark obtained by the candidate.
- 3.3 Raw marks below 100 in the case of HG and 75 in the case of SG will not be negatively adjusted.
- 3.4 In the case of subjects with a strong practical component (e.g. Technical Drawing, Typing), the raw marks will be accepted in most cases, unless other evidence is provided to justify any adjustment.
- 3.5 In the case of subjects with an enrolment of below 200 in the case of the IEB and the Northern Cape, and below 500 in the case of the remaining provinces, a norm will not be determined.
- 3.6 If the distribution of the raw marks is below the desired distribution, the marks are adjusted upwards, but subject to the limitations that no adjustment should exceed half the actual raw marks or 10%.
- 3.7 If the distribution of the raw marks is above the desired distribution, the marks should be adjusted downwards, but the indicated downward adjustment could be softened to some extent.
- 3.8 Adjustments in excess of 10% would be considered in the case of raw scores of 60% and above to increase the number of distinctions obtained in the African languages.

### **4. LANGUAGE COMPENSATION**

The language compensation as applied in previous years will apply in the 2005 examination. All candidates who take an African Language as a first language and not English or Afrikaans will receive a compensation of 1.05 to their non-language subjects.

## **5. STATISTICAL MODERATION OF CASS**

### **5.1 Eight or more candidates offering the subject**

- (a) All CASS marks will be statistically moderated per subject, per centre to a mean according to the formula listed below and to a standard deviation that is the same as the adjusted examination mark, provided the CASS standard deviation is not both below 5% and less than three quarters of the standard deviation of the adjusted examination mark. CASS means that are:
- (i) Between 5–10% above the adjusted examination mean would be accepted as is.
  - (ii) Less than 5% above the adjusted examination mean must be brought up to 5% above the adjusted examination mean.
  - (iii) More than 15% above the adjusted examination mean must be brought down to 5% above the adjusted mean.
  - (iv) Between 11% and 15% above the adjusted mean of the examination mark will be scaled down as follows:
    - 11 scaled down to 9
    - 12 scaled down to 8
    - 13 scaled down to 7
    - 14 scaled down to 6
    - 15 scaled down to 5
- (b) After the adjusted CASS mark is combined with the adjusted examination mark, further adjustment will be carried out to correct for the change in standard deviation.

### **5.2 Less than eight candidates offering the subject**

If there are less than eight candidates offering the subject, the mean of the CASS mark is adjusted to the mean of the adjusted examination marks in accordance with the same formula as listed in 5.1 (a).

In this category, however, the adjustments to the standard deviation, as described in 2.1 (a) and (b) are not implemented.

### **5.3 Other principles applicable to the adjustment of CASS scores**

**(a) Small standard deviations**

- (i) When the standard deviation of CASS is very small, it is an indication that the assessor was not really able to distinguish the abilities of the candidates. The continuous assessment marks will be ignored if their standard deviation is less than 5% and also less than three quarters of the exam standard deviation. These candidates will be compensated by 1.25%.
- (ii) When the standard deviation of the examination marks is less than 5% and also less than the CASS standard deviation, the adjustments of the standard deviations as stated in 5.1 (a) and (b) will be ignored. Only the mean of the CASS mark will be adjusted.

**(b) The adjustment of CASS marks limited to 50% of the mark obtained by the candidate**

In terms of the existing formula, if a school's mean CASS mark is below its adjusted mean examination mark, it is adjusted to 5% above the adjusted examination mean and their standard deviations are equated. This implies that candidates with very low CASS marks could have them scaled upwards or downwards by a considerable margin.

The above has been revised as from 2003 so that adjustment of CASS marks, either upwards or downwards, is limited to 50% of the mark obtained by the candidate.

**(c) Re-marks of Examination Scripts**

In the case of re-marks of examination scripts, the CASS marks should not be re-adjusted in the light of possible changes in the examination marks, except where there is only one candidate at the centre offering the subject.

**(d) Compensation of 1.25%**

The compensation of 1.25% will only be applied in the case of 5.3(a)(i).

**(e) Incomplete Result**

Candidates who fail to present themselves for CASS will be regarded as "incomplete" and have a zero mark awarded. This implies that the candidate has an incomplete result. A zero is regarded as a mark and is awarded based on the evaluation of evidence provided. All zeros will be excluded from the calculation of the mean.

**(f) The percentage of marks to be captured before the processing of CASS**

The percentage of CASS marks to be captured before the processing of CASS marks is done is a minimum of 80% of the potential number of candidates in a particular subject and a minimum of 10 candidates. If 11 or 12 candidates constitute the potential, then the minimum number is 10. For a potential of 13 and above, 80% of the marks must be captured. In the cases of subjects with 10 or less candidates, the CASS marks of all candidates must be captured.

## **5.4 The Statistical Moderation Formula**

CASS mark are linearly adjusted for a particular subject with a centre as described in 5.1 (a) using the transformation formula. This is done in three steps as follows:

### **STEP 1**

$$TC = \frac{SDE}{SDC} (C - MC) + ME + TF$$

Where:

<b>TC</b>	=	Transformed (adjusted) CASS mark.
<b>C</b>	=	Raw CASS mark of the candidate
<b>SDE</b>	=	Standard deviation of the adjusted examination marks of a school/centre
<b>SDC</b>	=	Standard deviation of the raw CASS marks of a school/centre
<b>ME</b>	=	Mean of the adjusted examination mark of a school/centre
<b>MC</b>	=	Mean of the raw CASS marks of a school/centre
<b>TF</b>	=	Tolerance Factor

If:

$$MC - ME > 15 \text{ then } TF = 5$$

$$MC - ME \text{ between } 5 \text{ and } 10, \text{ then } TF = MC - ME$$

$$MC - ME < 5 \text{ then } TF = 5$$

$$MC - ME \text{ between } 10 \text{ and } 15, \text{ then } TF = 20 - (MC - ME)$$

### **STEP 2**

The adjusted CASS mark and the adjusted examination mark are then combined in the ration of 25:75. This is done as follows:

$$P = (a \times TC) + (b \times E)$$

Where:

<b>P</b>	=	Preliminary promotion mark of the candidate
<b>TC</b>	=	Transformed CASS mark of the candidate
<b>E</b>	=	Adjusted examination mark of the candidate
<b>a</b>	=	weight of the CASS mark (25%)
<b>b</b>	=	weight of the examination mark (75%)

### STEP 3

As the above combination will reduce the standard deviation of the promotion marks, a further adjustment is needed to increase the spread of marks.

$$F = \frac{SDE(P - MP) + MP}{SDP}$$

Where:

<b>F</b>	=	The final promotion mark of the candidate
<b>P</b>	=	The preliminary mark of the candidate
<b>MP</b>	=	The mean of the preliminary promotion mark of a school/centre
<b>ME</b>	=	The mean of the adjusted examination mark of a school/centre
<b>SDE</b>	=	Standard deviation of the adjusted examination marks of a school/centre
<b>SDP</b>	=	Standard deviation of the preliminary promotion marks of a school/centre.



# 9

## Chapter Nine

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### Certification

#### 1. INTRODUCTION

This chapter is divided into three sections.

1. Section A deals with compliance by examining bodies;
2. Section B deals with Senior Certificate, National Senior Certificate and the National N3 Certificate; and
3. Section C deals with the General Education and Training Certificate (ABET Level 4).



# Section A

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## 1. COMPLIANCE BY AN ASSESSMENT BODY

1.1 An assessment body shall:

submit to the Council on a date to be determined, the full details of its assessment system and practices, and any amendments thereto, so that the Council may satisfy itself of the integrity of the assessment. The submission should include, *inter alia*:

- 1.1.1. the various components which contribute to a final mark for a candidate, i.e. the examination component, CASS, practical work, etc, the manner in which each is assessed and moderated, and the weight attached to each of them,
- 1.1.2. the number of examination papers for each subject/instructional offering/learning area and the duration of each external paper,
- 1.1.3. the manner in which examination papers are handled and the measures taken to ensure confidentiality,
- 1.1.4. the measures taken to ensure order in the examination venue, for external assessment,
- 1.1.5. the manner in which the marking of scripts is controlled, in particular in respect of maintaining standards and ensuring the scripts are marked in full and marks are added correctly,
- 1.1.6. the method used to process examination results and to exercise control over such processing,
- 1.1.7. the requirements for a candidate to be allowed to write a supplementary examination,

- 1.1.8. the way in which the supplementary examination is conducted,
  - 1.1.9. the circumstances under which a candidate may apply for the remark of an examination script,
  - 1.1.10. the manner in which learner appeals are dealt with,
  - 1.1.11. the manner in which the CASS for each subject/instructional offering/learning area is constituted,
  - 1.1.12. the manner in which monitoring and moderation of site-based assessment (CASS) for each subject/instructional offering/ learning area is administered;
- 1.2 if ordered by the Council, supply proof to the Council that the control measures mentioned in the submission are being executed;
- 1.3 ensure that the moderation referred to in regulation 10(e) of the regulations for the issuing of certificates, as promulgated by the Minister, includes control of the standard of marking of answer scripts/portfolios and internal moderators are required to certify that the answer scripts/portfolios have been marked according to the standards approved by moderators in the memoranda;
- 1.4 submit to the Council annually before a stipulated date the details which the Council may determine in respect of each candidate enrolled for the assessment, either
  - 1.4.1. in the format attached, or
  - 1.4.2. by granting read access to a computer database containing the information, as required by the Council;
- 1.5 adjust raw assessment marks to conform to the parameters for mark distributions as determined by the Council;
- 1.6 take decisions on such adjustments at a meeting where at least two members of the Council are present and with the concurrence of these representatives;
- 1.7 supply final marks to the Council in terms of regulation 10(d) of the regulations for the issuing of certificates as promulgated by the Minister in the format attached;
- 1.8 determine the result of a candidate in accordance with the notes attached;

- 1.9 supply the Council on a stipulated date with the statistical reports as outlined in par 6 of section B and par 7 of section C;
- 1.10 pay to the Council the fees due in respect of the issue of certificates pertaining to assessment as stipulated in the directives;
- 1.11 accept responsibility for refunding to the Council the payment of the remuneration of external moderators/verifiers according to conditions determined by the Council;
- 1.12 the money payable to the council in respect of the issuing of certificates are:

**For the Senior Certificate and General Education and Training Certificate (ABET):**

- 1.12.1. R 18,00 for 2005 and R 20,00 for 2006 in respect of the issuing of a certificate that a candidate has complied with the minimum requirements to pass at a point of withdrawal;
- 1.12.2. R 6, 00 for 2005 and R 8, 00 for 2006 per subject with a maximum of R 18,00 for 2005 and R 20, 00 for 2006 per candidate per assessment occasion, in respect of the issuing of a certificate that a candidate has complied with the minimum requirements to pass in a subject/instructional offering/learning area;
- 1.12.3. R 15, 00 for 2005 and R 18, 00 for 2006 in respect of the issuing of a certificate that a candidate has complied with the minimum requirements to pass at a point of withdrawal, where the certificate is issued to replace certificates of subject/learning areas passed;
- 1.12.4. R 15, 00 for 2005 and R 18, 00 for 2006 in respect of the issuing of a re-issue or a duplicate certificate.

**For the National Senior Certificate and National N3 Certificate:**

- 1.12.5. R 30, 00 for 2005 and R 40, 00 for 2006 in respect of the issuing of a certificate that a candidate has complied with the minimum requirements to pass at a point of withdrawal;
- 1.12.6. R 6, 00 for 2005 and R10, 00 for 2006 per subject with a maximum of R 30, 00 for 2005 and R 40, 00 for 2006 per candidate per assessment occasion, in respect of the issuing of a certificate that a candidate has complied with the minimum requirements to pass in a subject/instructional offering/learning area;

- 1.12.7. R 20, 00 for 2005 and R 30, 00 for 2006 in respect of the issuing of a certificate that a candidate has complied with the minimum requirements to pass at a point of withdrawal, where the certificate is issued to replace certificates of subject/instructional offerings/learning areas passed;
- 1.12.8. R 20, 00 for 2005 and R 30, 00 for 2006 in respect of the issuing of a re-issue or a duplicate certificate.

The Council reserves the right to amend fees.

## **2. ASSESSMENT BODY CODES**

- “01” Transvaal Education Department
- “02” Orange Free State Education Department
- “03” Natal Education Department
- “04” Cape Education Department
- “05” Administration House of Assembly
- “06” House of Representatives
- “07” House of Delegates
- “08” Department of Education and Training
- “09” Transkei Education Department
- “10” Joint Matriculation Board
- “11” Independent Examination Board
- “12” Namibian Ministry of Education and Culture
- “13” Eastern Cape Education Department
- “14” Free State Education Department
- “15” Gauteng Education Department (Johannesburg)
- “16” KwaZulu-Natal Education Department
- “17” Mpumalanga Education Department
- “18” Northern Cape Education Department
- “19” Limpopo Education Department
- “20” Northwest Education Department
- “21” Western Cape Education Department
- “22” School of Tomorrow
- “23” Beweging vir Christelike Volkseie Onderwys
- “24” Gauteng Education Department (Pretoria)

## Section B

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### Senior certificate, National Senior certificate and National N3 certificate

#### **1. NOTES FOR THE DETERMINATION OF THE RESULT OF A CANDIDATE**

##### ***Condonation***

- 1.1 Condonation is allowed when the candidate lacks at most 2% to meet the requirement for an individual subject/instructional offering and ten (10) marks for the aggregate.
- 1.2 Condonation of a failure to a pass allows a candidate to pass the subject at the grade at which it was offered, and should be considered before any possible conversions.
- 1.3 A candidate may not get more than one condonation.
- 1.4 Where a candidate only qualifies for a certificate of subject passed, condonation is not allowed. Condonation, if possible, can be considered when a replacement certificate is eventually issued.
- 1.5 Condonation to an A symbol is allowed on one result only for candidates who need no other condonation.
- 1.6 Condonation with a view to conversion is not allowed, except in the case of an Official First Language SG for an immigrant.
- 1.7 The condonation of a subject or the aggregate by the assessment body must be to the advantage of the candidate.
- 1.8 Condonation for Senior Certificate is allowed as follows:

<b>Aggregate</b>	710	to	720
<b>Second Language HG</b>	31 1/3	to	33 1/3
<b>Any other subject HG</b>	38	to	40
<b>Any subject SG or LG</b>	31 1/3	to	33 1/3
<b>Official First Language SG (immigrant)</b>	28	to	30

1.10 For university admission the condonation of aggregate is 940 to 950, and the following subject condonations may be considered in addition to those mentioned in 1.8:

<b>Any subject HG or SG</b>	18	to	20
with a view to sub-minimum			
<b>Second Language HG</b>	38	to	40
with a view to recognition in Group D			

1.10 Condonation for N3 is allowed as follows:

One instructional offering per certificate may be condoned on the following conditions:

- the promotion mark obtained for the instructional offering may not be more than two (2) per cent below the pass mark required for the particular instructional offering unless otherwise indicated in Reports 190 and 191; and
- any instructional offering may be condoned to a pass if not more than two per cent is required.

One instructional offering per certificate can be condoned to a distinction for the issuing of a National Certificate if the candidate obtained at least 78% for the instructional offering and no other instructional offering was condoned to a pass for the particular National Certificate.

### **Conversion**

1.11 Conversions for Senior Certificate may be done as follows, where E is 40% to 49,9%, F 33 1/3% to 39,9%, FF 30% to 33,9% and G 25% to 29,9%:

<b>Official First Language HG</b>				
F	to	Official First Language	SG	E
or		Official Second Language	HG	E
FF & G	to	Official First Language	SG	F
or		Official Second Language	HG	F

<b>German First Language HG</b>			
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F	to	German First Language SG	E
	or	German Third Language HG	E
FF & G	to	German First Language SG	F
	or	German Third Language SG	F

<b>Official Second Language HG</b>			
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FF & G	to	Official Second Language SG	F
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<b>Other Subject offering HG</b>			
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F	to	Other Subject SG	E
FF & G	to	Other Subject SG	F

<b>Subject SG</b>			
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FF & G	to	Subject LG	F
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1.12 Conversions for university admission may be done as follows, where E is 40% to 49,9%, F 33 1/3% to 39,9%, and FF 30% to 33,9%:

<b>Official First Language HG</b>			
-----------------------------------	--	--	--

F	to	Official Second Language HG	E
FF	to	Official Second Language HG	F

<b>German First Language HG</b>			
---------------------------------	--	--	--

F	to	German Third Language HG	E
FF	to	German Third Language SG	F

<b>Other Subject HG</b>			
-------------------------	--	--	--

F	to	Other Subject SG	E
FF	to	Other Subject SG	F

1.13 The language requirements for Senior Certificate and for university admission are somewhat different in the case of an immigrant. It will be necessary to ascertain on each occasion whether the candidate is an immigrant or not. For an immigrant the following conversion may be considered for Senior Certificate:

<b>Official First Language SG</b>		
FF	to	Official Second Language SG F

- |    |    |                               |
|----|----|-------------------------------|
| FF | to | Official Second Language SG F |
|----|----|-------------------------------|
- 1.14 Where a candidate qualifies for an endorsement for university admission all conversions in terms of the requirements for Senior Certificate will be reflected on the certificate, even those that do not meet with the requirements for university admission.
- 1.15 The aggregate is indicated by the symbol M if the candidate has met with all the requirements for an endorsement for university admission, and the symbol S in all other cases. It is further indicated that the aggregate is in one of the following intervals:

M5	S5	720 – 949
M4	S4	950 – 1199
M3	S3	1200 – 1439
M2	S2	1440 – 1679
M1	S1	1680 and higher.

The addition of the digit 1, 2, 3, 4 or 5 is for internal use only, and the digit will not appear on the certificate.

- 1.15.1. For a Senior Certificate passed with merit, a candidate would have to obtain an aggregate between 1260 and 1679;
- 1.15.2. For a Senior Certificate passed with distinction, a candidate would have to obtain an aggregate of 1680 or more; and
- 1.15.3. The criteria should apply irrespective of the number of higher or standard grade subjects/instructional offerings and whether the certificate was achieved with endorsement or not. (30 November 2001).
- 1.16 If a candidate was offered more than six subjects or obtained credits at more than one assessment occasion, the aggregate is determined by adding the marks of the best six subjects, provided that the compulsory languages must be included and any subject may only be counted once. If a subject was passed on more than one grade, the highest grade is certified and that mark is used for the aggregate, except if a better mark obtained on a lower grade is needed to meet the required minimum aggregate. If subjects from the same origin/content overlap are offered in addition to the six subjects, only the subject with the highest total will be

included in the aggregate. Subjects offered that do not comply with the prerequisites will not be considered for the calculation of the aggregate.

- 1.17 Where the aggregate for the purposes of university admission differs from the aggregate for the purposes of Senior Certificate (higher because a language was not included or lower because grouping requirements were considered), the aggregate determined according to 1.16 above is indicated on the certificate.
- 1.18 In the case of a candidate who obtains a Senior Certificate with N3-instructional offerings, the aggregate, which must meet with the minimum requirements, is obtained by adding the N3 instructional offerings which are converted to marks out of 300 to the actual marks obtained in the other subjects.
- 1.19 Value of symbols

<b>Symbol</b>	<b>Percentage</b>	<b>HG subjects interval</b>	<b>SG subjects interval</b>
A	80%-100%	320 – 400	240 - 300
B	70%-79%	280 – 319	210 - 239
C	60%-69%	240 – 279	180 – 209
D	50%-59%	200 - 239	150 – 179
E	40%-49% A pass for a subject on higher grade/N3 subject unless otherwise specified under a specific programme	160 - 199	120 - 149
F	33½% -39% A pass for an official second language higher grade subject, any other standard grade subject or lower grade subject	134 - 159	100 – 119
FF	30%-33%	120 - 133	90 – 99
G	25-29%	100 - 119	75 – 89
GG	20%-24%	80 - 99	60 – 74
H	0%-19%	0 - 79	0 - 59

## **2. FORMAT FOR TRANSFER OF INFORMATION FROM EXAMINING BODIES**

### **2.1 Electronic data capture media:**

Stiffy, CD or e-mail:

Type: 1.44 Mb,  
Format: ASCII code

### **2.2 Composition of data records**

2.2.1. Insertion of blanks

2.2.2. All complete data elements must be filled with spaces or zeros, as follows

- (a) Alpha-numeric data elements, eg. A(10) must be left justified with trailing spaces.
- (b) Numeric data elements, eg. N(15) must be right justified with leading zeros.

2.2.3. All incomplete data elements must be filled with spaces (alpha-numeric elements) or zeros (numeric elements).

### **2.3 Data structure**

2.3.1. Data record A(1075)

2.3.2. Assessment body control record – record type “1” redefines Data record.

2.3.3. Layout:

**Record type-1                  N(01)                  Value = “1”**

Assessment body code	N(02)	* see codes
Assessment body name	A(100)	Official name
Capture date	N(08)	Format YYYYMMDD, Date data set created
Filler	A(964)	Value spaces

## **2.4 Examination centre / school – record type “2” redefines Data record.**

2.4.1. Layout:

**Record type-2            N(01)            Value = “2”**

Centre number	N(10)	Exam centre/school no
Centre name	A(80)	Centre/school name
Centre postal address	A(100)	Postal address with postal code. Lines must be delimited with a "," eg. Box 47, Pretoria, 0001
Centre street address	A(100)	Street address (see postal address)
Filler	A(784)	Value spaces

## **2.5 Candidate record – record type “3” redefines Data record.**

2.5.1. Layout

**Record type-3            N(01)            Value = “3”**

Centre number	N(10)	
Examination date	N(06)	Format CCYYMM
Transaction type	N(02)	Transaction code Values X X 0 Subject cert. M/SC SC Extra N3 subj. (MSC) SC with N3 subj. N3 cert. NSC 7 – 8 Spare 9 Grade 11 and Grade 12 combination 0 Firsts issue 1 Replacement certificate (change of status) 2 Replacement certificate (original certificate) 3 Re-issue

4 Combination		
Instructional program code	N(10)	Value eg. 6100000000 NATED 02-550 Code right padded with zeroes
Candidate examination no	A(13)	submit only 8 characters when using format center number-serial number
Full-time or private	N(01)	1 = Full-time 2 = Private 3 = Full-time changing to part-time, retaining 40% credits (MSC)
Surname	A(55)	
Given name(s)	A(55)	
Date of birth	N(08)	Format CCYYMMDD
Gender	N(01)	1 = Male 2 = Female
ID-number	A(13)	
Language preference (plus English)	N(02)	01 = Afrikaans 02 = English only 03 = Ndebele 04 = Northern Sotho 05 = Southern Sotho 06 = Swazi 07 = Tsonga 08 = Tswana 09 = Venda 10 = Xhosa 11 = Zulu
Special conditions	N(02)	00 = None 01 = Immigrant 02 = Hearing impaired 03 = Blind person 04 = Spare 05 = Irregular
Special conditions N3	N(02)	00 = None 01 = Apprentice 04 = N3/NSC OBE 10 = Subject cert only 14 = Immigrant + OBE
Level offered	N(02)	00 = Too few subjects/ instructional offerings 01 = M/SC 02 = SC 03 = Extra N3 subj. (MSC)

		04 = SC with N3 instructional offering 05 = N3 certificate 06 = NSC
Level passed	N(02)	Same as for level offered
Aggregate	N(04)	Total of subject/ instructional offering set marks
Aggregate symbol	A(03)	Letter and digit
Aggregate condoned	N(01)	0 = No 1 = Yes
Date with effect from	N(06)	Format CCYYMM
Previous certificate number	A(12)	Certificate to be cancelled or replaced
Cancellation code Field to occur 15 times	N(02)	01 = Mark adjustment 02 = Name corrections 03 = Subject/instructional offering change 04 = Certificate lost /damaged 05 = Incorrect date of birth
Cancellation date	N(08)	Format CCYYMMDD
Number. of subjects/instructional offerings offered	N(02)	Subject/instructional offering(occurs 15 times)
Subject/instructional offering code offered	N(10)	SANEP row codes for SC NATED codes for N3
Level offered	N(02)	01 = HG Higher Grade 02 = SG Standard Grade 03 = LG Lower Grade 04 = GG Ordinary Grade 05 = N3 level 06 = N3 OBE 07 = Historical SC
Subject/instructional offering code passed	N(10)	SANEP row codes for SC NATED codes for N3
Level passed	N(02)	01 = HG Higher Grade 02 = SG Standard Grade 03 = LG Lower Grade 04 = GG Ordinary Grade 05 = N3 level 06 = N3 OBE 07 = Historical SC
Final mark	N(03)	Mark for SC/M % for N3

Symbol obtained	A(03)	Symbol for SC/M % for N3
Symbol adjusted	A(03)	Symbol for SC/M % for N3 if applicable
Subject/instructional offering fail indicator	N(02)	Values X X 0 Spare Pass Pass condoned Pass converted Pass with year mark Fail Fail (no longer in use) Fail (no longer in use) 8. - Fail – apprentice 19 - Irregular (not in use) 9 - Subject/instructional offering cancelled (not in use) 0 Mark complete 1 Mark incomplete
Date subject/instructional offering offered	N(06)	Format CCYYMM
Wpm	N(03)	values 20, 25, 30, 35, 40, 45, 50, 55, 60, 65, 70, 75, 80, 75, 80 (computyping only) and 35, 40, 45, 50, 55, 60, 65 (typing only)
Subject cert. No	A(12)	Certificate no. subject certificate issued must be supplied for replacement
Sort order	N(12)	Order in which certificates must be printed Value XXXX YYYY ZZZZ Where XXXX = Control break 1 Where YYYY = Control break 2 Where ZZZZ = Control break 3

## 2.6 Data set control record – record type “4” redefines Data record.

2.6.1. Layout:

**Record type-4              N(01)              Value = “4”**

Number of type 2 records	N(06)	
Hash total type 2 records	N(06)	Last 6 characters of the total of the last three characters of the center no. eg. 5418832 thus 418832
Number of type 3 records	N(06)	
Hash total type 3 records	N(06)	Last 6 characters of the total of the last three characters of the center no. eg. 765419632 thus 419632
Filler	A(1050)	Value spaces

### **3. FORMAT FOR THE OUTPUT DATA TO EXAMINING BODIES**

#### **3.1 Layout**

**Record type-3              N(01)              Value = “3”**

Centre number	N(10)	
Examination date	N(06)	Format CCYYMM
Transaction type	N(02)	Transaction code Values X X 0     Subject cert. M/SC SC Extra N3 subj. (MSC) SC with N3 subj. N3 cert. NSC 7 – 8 Spare 9   Grade 11 and Grade 12 combination 0   Firsts issue 1   Replacement certificate (change of status) 2   Replacement certificate (original certificate)

		3 Re-issue 4 Combination
Instructional program code	N(10)	Value eg. 6100000000 NATED 02-550 Code right padded with zeroes
Candidate examination no	A(13)	
Full-time or private	N(01)	1 = Full-time 2 = Private 3 = Full-time changing to part-time, retaining 40% credits (MSC)
Surname	A(55)	
Given name(s)	A(55)	
Date of birth	N(08)	Format CCYYMMDD
Gender	N(01)	1 = Male 2 = Female
ID-number	A(13)	
Language preference (plus English)	N(02)	01 = Afrikaans 02 = English only 03 = Ndebele 04 = Northern Sotho 05 = Southern Sotho 06 = Swazi 07 = Tsonga 08 = Tswana 09 = Venda 10 = Xhosa 11 = Zulu
Special conditions	N(02)	00 = None 01 = Immigrant 02 = Hearing impaired 03 = Blind person 04 = Spare 05 = Irregular
Special conditions N3	N(02)	00 = None 01 = Apprentice 04 = N3/NSC OBE 10 = Subject cert only 14 = Immigrant + OBE
Level offered	N(02)	00 = Too few subjects/ instructional offerings 01 = M/SC 02 = SC

		03 = Extra N3 subj. (MSC) 04= SC with N3 instructional offering 05 = N3 certificate 06 = NSC 07 – 8 = Spare 09 = Grade 11 and Grade 12 combination
Level passed	N(02)	Same as for level offered
Aggregate	N(04)	Total of subject/ instructional offering set marks
Aggregate symbol	A(03)	Letter and digit
Aggregate condoned	N(01)	0 = No 1 = Yes
Date with effect from	N(06)	Format CCYYMM
Previous certificate number	A(12)	
Cancellation code Field to occur 15 times	N(02)	01 = Mark adjustment 02 = Name corrections 03 = Subject/instructional offering change 04 = Certificate lost /damaged 05 = Incorrect date of birth
Cancellation date	N(08)	Format CCYYMMDD
Number. of subjects/instructional offerings offered	N(02)	Subject/instructional offering (occurs 15 times)
Subject/instructional offering code offered	N(10)	SANEP row codes for SC NATED codes for N3
Level offered	N(02)	01 = HG Higher Grade 02 = SG Standard Grade 03 = LG Lower Grade 04 = GG Ordinary Grade 05 = N3 level 06 = N3 OBE 07 = Historical SC
Subject/instructional offering code passed	N(10)	SANEP row codes for SC NATED codes for N3
Level passed	N(02)	01 = HG Higher Grade 02 = SG Standard Grade 03 = LG Lower Grade 04 = GG Ordinary Grade 05 = N3 level 06 = N3 OBE

		07 = Historical SC
Final mark	N(03)	Mark for SC/M % for N3
Symbol obtained	A(03)	Symbol for SC/M % for N3
Symbol adjusted	A(03)	Symbol for SC/M % for N3 if applicable
Subject/instructional offering fail indicator	N(02)	Values X X 0 Spare Pass Pass condoned Pass converted Pass with year mark Fail Fail (No in use) Fail (Not in use) 8. - Fail – apprentice 19 - Irregular – not in use 9 - Subject/instructional offering cancelled – not in use 0 <del>Mark</del> complete 1 Mark incomplete
Date subj. offered	N(06)	Format CCYYMM
Wpm	N(03)	values 20, 25, 30, 35, 40, 45, 50, 55, 60, 65, 70, 75, 80, 75, 80 (computyping only) and 35, 40, 45, 50, 55, 60, 65 (typing only)
Subject cert. No	A(12)	Certificate no. of subject certificate issued
Sort order	N(12)	Order in which certificates must be printed Value XXXX YYYY ZZZZ Where XXXX = Control break 1 Where YYYY = Control break 2 Where ZZZZ = Control break 3
Certificate number	A(12)	Certificate number for certificate issued
Type of issue	N(02)	Transaction code Values X X 0 Subject cert. 1. M/SC 2. SC 3. Extra N3 subj. (MSC)

		4. SC with N3 subj. 5. N3 cert. 6. NSC 7. Spare 8. Grade 11 and Grade 12 combination 0 Firsts issue 1 Replacement certificate 2 Duplicate cert. 3 Re-issue 4 Combination
Error indications	N(02)	If the candidate is rejected, the error code will appear in this field

## 4. FURTHER CLARIFICATION OF THE FORMAT (SENIOR CERTIFICATE, NATIONAL SENIOR CERTIFICATE AND N3)

### 4.1 Senior certificate

- 4.1.1. Umalusi issues Senior Certificates in accordance with the requirements as they appear in the national education policy (Reports 550, 191 and 190) of the Minister of Education.
- 4.1.2. All Senior Certificate subjects passed by the candidate are listed on the certificate. If a candidate has credit for the same subject on more than one grade, it is deemed to be in the best interest of the candidate to list the higher grade, provided that the requirement of a minimum aggregate is not jeopardized in the process. A similar consideration applies in respect of the same language on more than one level.
- 4.1.3. If it is necessary to include N3 instructional offerings to meet with the requirements for Senior Certificate, all the candidate's N3 instructional offerings may be listed on the certificate, provided that no subject is considered on more than one level, or that a N3 instructional offering is not similar to a Senior Certificate subject.
- 4.1.4. The National Education Policy (Report 550) stipulates that A-level subjects can be offered by immigrants, but non-immigrant candidates are not allowed to offer A-level subjects,

## **4.2 Matriculation endorsement**

- 4.2.1. The requirements for a matriculation endorsement appear in the regulations published by SAUVC (Matriculation Board), and the Senior Certificate of a candidate who meets with these requirements, is endorsed accordingly. The results in a subject offered on higher grade and failed with a mark of less than 30% is still shown as a pass on standard grade, but with an indication that it does not meet with the pass requirements for university admission. The result in a subject offered on standard grade and failed with a mark of 25% or more is still shown as a pass on lower grade.

## **4.3 Effective date and types of certificate**

- 4.3.1. First issues

If a candidate meets with all the requirements for a Senior Certificate (and an endorsement, where applicable) in a single assessment session in November, no examination dates are printed next to individual subjects, and the effective date of the certificate is December of that year. If a candidate meets with all the requirements in the assessment session in November and the following supplementary examination (keeping in mind how the requirements for the endorsement are applied to such a situation), no examination dates are printed next to individual subjects. The effective date of the certificate is April or June of the next year, depending on whether the supplementary examination was written in February/March or May. In all these cases Umalusi considers the certificate as a “first issue”.

- 4.3.2. Combination: Endorsement and N3

Where a candidate has complied with the requirements for an endorsement, but also passed an instructional offering on the N3 level, this offering can be printed on the certificate, but will not be used in the calculation of the final result. The candidate must have obtained credits in the N3 instructional offering/s not more than 12 months before the final assessment.

- 4.3.3. Subjects from the same origin

Where a candidate has offered subjects that are from the same origin and is stipulated as subjects that cannot be offered together in accordance with the National Education Policy, reports 550, 190 and 191 and in the matriculation endorsement regulations, this subject will not be used in the calculation of the result of the candidate but will be printed on the certificate.

#### 4.3.4. Grade 11 and Grade 12

A candidate who passed a Grade 12 subject while in Grade 11 will not be allowed to use the subject credits gained in Grade 11 in the determination of the final result, however, these credits will be reflected on the certificate. This practice is only allowed until the November 2004 senior certificate examination.

#### 4.3.5. Replacements (Change of Status)

In all other cases where a candidate meets with the requirements for a Senior Certificate or an endorsement in more than one assessment session the examination dates are printed next to individual subjects, and the effective date is the month following the month of the last assessment involved. In such a case Umalusi considers the certificate as a “replacement certificate”. Other forms of replacement certificates occur when there is a change in the status of a certificate previously issued, such as the replacement of subject certificates by a Senior Certificate or an N3 Certificate; the replacement of an N3 Certificate and credits for the official language by a Senior Certificate; or the addition of a matriculation endorsement to a previously issued Senior Certificate as a result of an additional credit obtained. Certificates issued previously are not withdrawn, so that the different effective dates can be retained.

- 4.3.6. A special type of replacement certificate occurs when a candidate wants to combine certificates of subject/instructional offering passed issued for credits obtained with more than one assessment body but during the same assessment session. In such a case Umalusi considers the certificate as a “combination”, and the considerations mentioned in respect of both “first issues” and “replacement certificates” apply mutatis mutandis, but no examination dates are printed next to individual subjects. Two subject certificates should be requested by the respective assessment bodies, where after one of the assessment bodies should request a special type replacement “combination” certificate. This should also be applied where a candidate offered senior certificate and N3 subjects in the same assessment session. The certificate numbers should be reflected in certificate number fields following the subject information.
- 4.3.7. The request for a replacement certificate should reflect the previous certificate/subject certificate numbers in the certificate number field following the subject information. The dates of the different examinations will be printed next to the individual subjects.

- 4.3.8. In cases where a full-time candidate qualified for a Senior Certificate and requests a combination of the N3 subjects passed in a previous examination session as seventh or an eight subject, a replacement certificate should be requested. It should be noted that the N3 subjects should have been passed not more than 12 months prior to the Senior Certificate subjects, i.e. November 2003 and November 2004. The certificate number for the N3 subject certificate that was issued should be reflected in the certificate number field following the subject information.
- 4.3.9. In cases where a full-time candidate qualified for a Senior Certificate and obtained the N3 subject credit after the Senior Certificate was issued, such combinations would not be allowed, but the N3 subject credit will be reflected on a subject certificate.
- 4.3.10. Combination of a Senior Certificate and an N3 certificate/subject certificate: If a candidate does not qualify for the Senior Certificate, but has N3 subject credits, these results can be combined for a Senior Certificate by requesting a replacement certificate, provided that the N3 subject has already been certified, and provided further that subjects with the same origin will not be certified. The programme code 5033333300 should be used in these cases. The different examination date will be reflected on the certificate.
- 4.3.11. Where a candidate obtained credits in different assessment sessions, a first issue would not be allowed. Therefore, no applications for first issues for a Senior Certificate with N3 subject under programme code 5033333300 will be allowed.
- 4.3.12. In cases where a Senior Certificate with endorsement and N3 subjects passed as a seventh subject is requested the following will apply:

If a candidate obtained a Senior Certificate with matriculation endorsement and also passed an N3 subject as a seventh subject, the N3 subject information could be printed on the certificate but will not be taken into account for mark calculation purposes. The N3 subject will, however, only be printed if it was passed not more than 12 months prior to the Senior Certificate examination, and has been certified on a subject certificate prior to the application for combination.

- 4.3.13. In cases where a replacement of a Senior Certificate with a Senior Certificate with endorsement (full-time / part-time) is requested the following will apply:

A full-time candidate that retains credits from the first examination session, and fulfils the matriculation endorsement requirements as a part-time candidate in a second examination session, may combine the results according to paragraph 5 of the matriculation endorsement and exemption regulations.

- 4.3.14. In cases where a replacement of a Senior Certificate with a Senior Certificate with endorsement (full-time candidates) is requested the following will apply:

Candidates who obtained a conditional exemption may improve their results to obtain a Senior Certificate with endorsement in the supplementary examination or any subsequent examination sitting. Should a candidate submit an improvement in more than two subjects at the supplementary examination session or subsequent examination sitting, the results of the second and additional subjects will not be included on the Senior Certificate but will be issued as a separate subject certificate.

- 4.3.15. Replacement certificates (Original Certificate)

Umalusi issues a “replacement certificate” to replace a certificate that was lost, destroyed or damaged after delivery to the candidate. The original certificate must be returned, or an affidavit to the effect that the certificate was lost or destroyed, must accompany the application.

- 4.3.16. Re-issues

A “re-issue” is made to replace a certificate which was lost, destroyed or damaged before delivery to the candidate, or to correct an error such as a name which was misspelled, a wrong date of birth or ID number or an incorrect subject/instructional offering. The original certificate and a short explanation of the circumstances must accompany the application. The Council does not re-issue certificates when a candidate’s surname or first name has changed. The view of the Council is that in these cases the certificate must be regarded as valid by employers and institutions of higher learning, provided the candidate can prove, by way of original documentation, that the surname or first name has changed.

- 4.3.17. Replacement – irregular candidates

Where a candidate was guilty of an irregularity in an examination and the period for which s/he was excluded from the examination has expired, a replacement certificate should be requested and the inception date should be 12 months or more after the subject dates, depending on the exclusion

period. All subjects should have the same date and the inception date on the Senior Certificate will then reflect the date of 12 months or more after the subject date.

In order for Umalusi to validate the information on the subject certificate previously issued, the request for a replacement certificate should reflect the previous subject certificate numbers in the certificate number field following the subject information. The dates of the examination will be printed next to the individual subjects.

- 4.3.18. In cases where there were irregularities and the candidate was issued with a subject certificate and has completed the outstanding requirements for a senior certificate after the exclusionary period has expired, a request for a replacement certificate in terms of par 4.3.5 of the directives for certification should be requested. The subject certificate number should be provided for each subject in the certificate number field following the subject information. The dates of the subjects will be printed next to the individual subjects and the inception date will be the month following the last subject date.

#### **4.4 Due date for submission of data required for certification**

- 4.4.1. In respect of the November assessment the due date for the submission of the data is the last day of February of the following year. This excludes candidates who have applied to write a supplementary examination or applied to have scripts remarked as well as appeals and irregularities. The certification data for these remaining candidates must be submitted by the end of June of the following year.
- 4.4.2. In the case of a candidate who is absent for the whole or part of the assessment in a subject/instructional offering and a final mark for that subject/instructional offering is to be determined at a later stage, the certification data for that candidate should be held back until the completed result is available. If that subject/instructional offering is to be disregarded completely, it should be omitted from the candidate's record. However, if such a subject/instructional offering is included in the record for some reason or other, the computer system requires that a numerical mark be supplied.

## **5. MATTERS TO BE GIVEN SPECIAL ATTENTION**

### **5.1 Senior Certificate, National Senior Certificate and N3**

- 5.1.1. Any empty numeric field must be filled with zeros.
- 5.1.2. When a replacement certificate (change of status) is requested, the examination date is the date of the assessment in which the final subject/instructional offering was presented.
- 5.1.3. When the entire subject set from which the result is determined consists of Senior Certificate subjects, the instructional program code is 6100000000. For a type 4 transaction with a mixture of Senior Certificate subject and N3 instructional offering where all the N3 instructional offerings are contained in a single instructional programme, the instructional programme code is the code of that programme. For a type 4 transaction with a mixture of Senior Certificate subjects and N3 instructional offerings where all the N3 instructional offerings are not contained in a single instructional program the instructional programme code is 5033333300.
- 5.1.4. When a replacement (MSC) Senior Certificate without endorsement is requested for a candidate who participated in the first assessment as a full-time candidate, the code for full-time or private is “1”, regardless of the fact that the candidate was considered to be a private candidate for the last assessment.
- 5.1.5. Given names are supplied in full. Although provision is made for 55 characters for given names and 55 characters for surname, only 70 characters (including spaces) can be accommodated on the certificate. If a candidate has so many given names that this provision will be exceeded, some of the given names should be supplied in full while the others may be replaced by initials. Particular care should be taken with the hexadecimal codes for special characters in the name, as the wrong code simply means that the name will be printed incorrectly. Special characters in names will only be printed if supplied in the correct format. Umalusi will not change names of candidates that have special characters once information is submitted.
- 5.1.6. The aggregate is the total of the marks obtained for the compulsory language(s) and the best four (or five) of the remaining subjects, using the level certified in the case of a subject for which the candidate has credit on

more than one level. The actual aggregate obtained is indicated, even in the case of condonation.

- 5.1.7. With regard to regulation 5 of the matriculation endorsement regulations, a full time candidate that becomes a part time candidate issued with an endorsement certificate will be indicated in the “full-time or private” field in the layout with the code “3”.
- 5.1.8. The previous certificate number as stated on page 14 must be supplied in the case of an application for a re-issue or a duplicate or in the case where the code for full-time or private is a “3”. The subject certificate number as stated on page 15 must be supplied in the case of an application for a replacement or a combination.
- 5.1.9. Cancellation codes and cancellation dates are supplied when and only when application is made for a re-issue or a duplicate.
- 5.1.10. For Senior Certificates, subject final mark is the actual mark obtained on the grade offered, even when the result is condoned or converted. For N3 instructional offerings, final mark is the percentage obtained.
- 5.1.11. Symbol obtained is the symbol based on the original marks for the subject/instructional offering while symbol adjusted is the new symbol after condonation or conversion.
- 5.1.12. When a Senior Certificate is to be issued, symbol obtained is a letter A to H for all subjects. When an N3 Certificate is to be issued, symbol obtained is the percentage obtained.
- 5.1.13. When a candidate failed a subject/instructional offering, the subject/instructional offering fail indicator should normally be a “5”. In special cases, e.g. where an overall pass mark was obtained but the candidate failed a sub minimum, the subject/instructional offering fail indicator may be given as an “8”, but then the result will be accepted as a fail without any further tests being done.
- 5.1.14. When a candidate committed an irregularity in an assessment session, but a subject certificate is requested, it will be indicated by a “5” in the special condition field.
- 5.1.15. When a Senior Certificate without matriculation endorsement is to be issued, the aggregate is based on the two official languages and four subjects with the highest marks, taking into account the rules for determining an aggregate. In the case of a Senior Certificate with

endorsement the first six subjects are the subjects on which all the other requirements are based but need not be the six subjects on which the aggregate is based. Where a candidate offered two second languages and one of these languages is determined as a Group D subject to fulfill the grouping requirements, the language should not be calculated as one of the official language (Group A) to determine the aggregate.

- 5.1.16. Certificates are automatically sorted according to centre numbers. If any other sorting is required, the assessment body must contact Umalusi for a special arrangement regarding the details to be entered under sort order. If no other sorting is required, sort order should be 000000000000.

## **5.2 Verification of certificates**

- 5.2.1. According to section 16 (4) (e) of Act No 58 of 2001Umalusi is the only body that can issue certificates; it is also the Council's responsibility to verify the authenticity of these certificates.
- 5.2.2. Certificates issued by the South African Certification Council and the General and Further Education and Training Quality Assurance Council (Umalusi) should be verified by Umalusi. The assessment bodies verify certificates issued prior to September 1992.
- 5.2.3. The Council has the responsibility for the issuing of the following certificates:
  - Senior Certificate
  - National Senior Certificate
  - National N3 Certificate
  - Subject certificate
  - General Education and Training Certificate
  - Learning area certificate
  - Unit standard certificate

The verification of certificates is done at a nominal fee.

# **6. FORMAT FOR STATISTICAL REPORTS**

## **Statistical report 1**

Due Date: One day before the standardisation meeting

6.1 This report will provide data required for the standardisation of the examination marks.

6.2 This will include:

6.2.1. In tabular form:

- The distribution of raw marks and adjusted marks per subject over the last five years (or the number of years it may be available for) and the number of candidates who wrote the subject and median for each year's data;
- The supplied norm as determined by Umalusi on an annual basis;
- The distribution of raw marks of the current examination; and
- The computer adjusted marks.

6.2.3. In graph form:

- The raw marks of the current examination;
- The norm; and
- The computer adjusted marks.

6.2.4. Pairs analysis report on raw marks using each of the subjects as an anchor.

6.2.5. Quantile Report.

6.2.6. Raw mark distribution (per subject).

6.3 The above information should be presented in five booklets as follows:

- (a) National booklet (includes subjects to be standardized nationally);
- (b) Provincial/Assessment body booklet I (includes subjects for which norms have been formulated);
- (c) Provincial/Assessment body booklet II (includes subjects with small numbers for which norms have not been formulated);
- (d) Provincial/Assessment body booklet III (Quantile report)
- (e) Provincial/Assessment body booklet IV (Raw mark distribution per subject)

6.4 In the case of the private assessment bodies, the national booklet is not required.  
In all of the above booklets the subjects must be arranged in alphabetical order.

6.5 NB: Any other specific requirements with regard to the above data and the national subjects will be made available to Examining Bodies, prior to the examination.

## **Statistical report 2**

6.6 Due Date: End of March

6.7 This report excludes supplementary examination results and pending irregularities.

6.8 This report should provide the final overall results of the candidates, i.e. both examination and CASS included. The data for full-time and part-time candidates should be presented separately.

6.9 The data must include:

- (a) The number of candidates who enrolled for the assessment;
- (b) The number of candidates who sat for the assessment;
- (c) The number of candidates from (b) who obtained a Senior Certificate;
- (d) The percentage of candidates from (b) who obtained a Senior Certificate;
- (e) The number of candidates who offered a subject set which could lead to matriculation endorsement;
- (f) The percentage of candidates from (b) who offered a subject set which could lead to matriculation endorsement;
- (g) The number of candidates from (e) who obtained a matriculation endorsement;
- (h) The percentage of candidates from (e) who obtained a matriculation endorsement;
- (i) The percentage of candidates from (b) who obtained a matriculation endorsement;
- (j) The number of candidates from (e) who did not obtain a matriculation endorsement but obtained a Senior Certificate;

- (k) The number of candidates who failed;
  - (l) The percentage (%) of candidates from (b) who failed;
  - (m) The number and percentage (%) of candidates who obtained:
    - (i) a Senior Certificate with distinction
    - (ii) a Senior Certificate with merit
    - (iii) endorsement with distinction
    - (iv) endorsement with merit;
  - (n) The number of candidates from (a) who did not present a complete CASS mark (for full-time candidates only); and
  - (o) The percentage (%) of candidates from (a) who did not present a complete CASS mark (for full-time candidates only).
- 6.10 A table containing final results (i.e. examination and CASS combined) for each subject (regardless of the number of candidates, but for full-time candidates only).
- 6.11 Candidates registered on:
- (a) Higher Grade (per subject) –
    - (i) Number of candidates who registered for the subject on the Higher Grade;
    - (ii) Number of candidates who sat for the examination and presented CASS;
    - (iii) Number and percentage (%) of candidates who passed on the Higher Grade;
    - (iv) Number and percentage (%) of candidates who passed on the Standard Grade;
    - (v) Number and percentage (%) of candidates who failed;
    - (vi) Number of candidates who passed the assessment on condonation;
    - (vii) Number of candidates who passed with distinction (excluding condonations);
    - (viii) Number of candidates who passed with distinction on condonation; and
    - (ix) Number of candidates who qualified for any other condonation (e.g. from an H to a GG to qualify for sub minimum in the sixth subject or from an F to an E in Second Language HG to qualify for a Higher Grade credit in Group D, each type of condonation separately according to category).

- (b) Standard Grade (per subject) –
- (i) Number of candidates who registered for the subject on the Standard Grade;
  - (ii) Number of candidates who sat for the examination and presented CASS;
  - (iii) Number and percentage (%) of candidates who passed on the Standard Grade;
  - (iv) Number and percentage (%) of candidates who passed on the Lower Grade;
  - (v) Number and percentage (%) of candidates who failed;
  - (vi) Number of candidates who passed the assessment on condonation;
  - (vii) Number of candidates who passed with distinction (excluding condonations);
  - (viii) Number of candidates who passed with distinction on condonation; and
  - (ix) Number of candidates who qualified for any other condonation.
- 6.12 For each subject assessed (regardless of number of candidates but for full-time candidates only) a table based on examination results only, i.e:
- (a) A distribution of raw marks showing the number of candidates in each of the intervals
- |             |             |                 |
|-------------|-------------|-----------------|
| 0% - 9,9%   | 10% - 19,9% | 20% - 24,9%     |
| 25% - 29,9  | 30% - 33%   | 33 1/3% - 39,9% |
| 40% - 49,9% | 50% - 59,9% | 60% - 69,9%     |
| 70% - 79,9% | 80% - 89,9% | 90% - 100%;     |
- (b) A distribution of adjusted marks (before condonation) showing the number of candidates for the same intervals as in (a);
  - (c) The desired distribution used for the adjustment of marks;
  - (d) Details of the actual adjustments made to the raw marks;
  - (e) A graph of (a), (b) and (c);
  - (f) The Chief Marker's examiner's report on the assessment; and
  - (g) The Internal Moderator's report on the assessment.

Please note that this information should exclude the results of appeals/re-marks and supplementary assessments. Similar information incorporating the results of appeals/re-marks and supplementary assessments will also be required but at a later stage.

6.13 For each subject assessed (regardless of number of candidates but for part-time candidates only) a table based on examination results only i.e.

- (a) A distribution of raw marks showing the number of candidates in each of the intervals

0% - 9,9%	10% - 19,9%	20% - 24,9%
25% - 29,9	30% - 33%	33 1/3% - 39,9%
40% - 49,9%	50% - 59,9%	60% - 69,9%
70% - 79,9%	80% - 89,9%	90% - 100%;

- (b) A distribution of adjusted marks (before condonation) showing the number of candidates for the same intervals as in (a);
- (c) The desired distribution used for the adjustment of marks;
- (d) Details of the actual adjustments made to the raw marks; and
- (e) A graph of (a), (b) and (c);

Please note that this information should exclude the results of appeals/re-marks and supplementary assessments. Similar information incorporating the results of appeals/re-marks and supplementary assessments will also be required, but at a later stage.

6.14 A table comparing the difference between the raw CASS and adjusted examination marks, for each subject, and the difference between raw creative writing marks and means for the adjusted examination marks for Paper 1 and Paper 2, in the case of languages. The comparison should be tabulated as follows:

- (a) Number of schools/ centres with:
- (i) CASS mean below examination mean;
  - (ii) CASS mean between examination mean and 5 % above examination mean;
  - (iii) CASS mean between 5 % and 10 % above examination mean;
  - (iv) CASS mean between 10 % and 15 % above examination mean;
  - (v) CASS mean between 15 % and 20 % above examination mean; and
  - (vi) CASS mean more than 20 % above examination mean.

- (b) The above table should also include:
- (i) The total number of schools/centres per subject; and
  - (ii) The number of schools/ centres per subject with standard deviation less than five per cent and also less than three quarters of the examination standard deviation.
- (c) The above table should be presented separately for schools/centres with eight or more candidates and for all schools/centres combined i.e. schools/centres having eight or more candidates and less than eight candidates.

### **Statistical report 3**

- 6.15 This report should include all data provided in Statistical Report 2, after appeals, remarks and irregularities have been resolved and completed.



# Section C

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## INTRODUCTION

Sections 34 – 39 of the assessment policy in the general education and training band grade R to 9 and ABET (Dec 98) stipulate that:

- adult basic education and training (ABET) comprises three benchmark levels below the General Education and Training Certificate (GETC). The ABET learning continuum therefore covers ABET level 1, 2, 3 and 4, with level 4 being equivalent to national qualifications framework (NQF) level 1 (GETC level).
- ABET learning areas will cover the following learning categories: fundamental, core/contextual and elective, which will be organised into integrated learning programmes. Assessment will be conducted against these learning areas.
- The combined assessment of learning achievement in these learning categories will constitute an ABET qualification.
- At ABET levels 1 – 3, assessment will be conducted internally and the moderation of results will be conducted by the provincial ABET specialists. A record of learning will be kept for each learner.
- At ABET level 4 (GETC) there will be continuous assessment (CASS) as well as external summative assessment, both of which will be moderated externally.

The policy document of the South African Qualifications Authority (SAQA) on the General Education and Training Certificate states that:

- Minimums of 120 credits are required for the GETC of which at least 72 must be at NQF level 1.
- The 20 compulsory credits in language and communication must be obtained at NQF level 1 in one of the official South African languages or in one of the languages promoted by the Pan South African Language Board.
- The 16 credits from the organizational field of mathematics and mathematical literacy must be obtained at NQF level 1.
- A registered GETC can be unit standards-based or non-unit standards-based, in accordance with the requirements of the National Standards Bodies (NSB) regulation which states that, unit and non-unit standard-based certificates should articulate on the basis of their exit-level outcomes.
- Learners not meeting the requirements to be awarded a GETC must receive a statement of achievement, reflecting the credits obtained or outcomes achieved.

Because the required policies, learning programmes, assessment tools, quality assurance structures, trained educators, etc. are not in place yet to implement the final assessment policies, a developmental approach, commencing with that which is feasible in the current circumstances, will have to be followed in order to provide adult learners currently in the system with the opportunity to be awarded a GETC.

The rules of combination of the GETC qualification proposed by the national Department of Education and registered by SAQA on the NQF, stated in paragraph 5 of the directives, will be implemented until a final policy document has been approved.

## **1. CLARIFICATION OF THE FORMAT**

### **1.1 Effective date and types of certificate**

If a candidate meets with all the requirements for a GETC in a single assessment session in June or October, no assessment dates are printed next to individual learning areas, and the effective date of the certificate is July or November of that year.

In all other cases where a candidate meets with the requirements for a GETC in more than one assessment session the assessment dates are printed next to individual learning areas, and the effective date is the month following the month of the last assessment involved. In such a case Umalusi considers the certificate as a “replacement certificate”.

Umalusi issues a “replacement certificate” to replace a certificate that was lost, destroyed or damaged after delivery to the candidate. The original certificate must be returned, or an affidavit to the effect that the certificate was lost or destroyed, must accompany the application.

A “re-issue” is made to replace a certificate which was lost, destroyed or damaged before delivery to the candidate, or to correct an error such as a name which was misspelled; a wrong date of birth or ID number; or an incorrect learning area result. The original certificate and a short explanation of the circumstances must accompany the application.

Certificates are issued under the name in which the candidate entered for the assessment. Names will not be changed once the certificate has been issued and delivered to the candidate.

Where a candidate’s behaviour was irregular in an assessment and the period for which s/he is excluded from the assessment has expired, a re-issue should be

requested, providing the candidate satisfies the requirements for a GETC. The effective date will be printed as the date in the month that the exclusion expired, i.e. if the candidate wrote the assessment in October 2002 and was excluded for a period of two years, the effective date will be November 2004.

## **1.2 Due date for submission of information**

The Council has decided that in respect of the June assessment the due date is September of the same year and for October assessment the due date mentioned in Directive 1.9 (Section A) is the last day of February of the following year.

## **1.3 Absence**

When a candidate was absent for the whole or part of the assessment in a learning area and a final assessment mark for that learning area is to be determined at a later stage, the entire result of the candidate should be held back until that final assessment mark is available. If it is to be disregarded completely, it should be omitted from the record. However, if such a learning area is included in the record for some reason, the computer system requires that a numerical mark be supplied.

# **2. MATTERS TO BE GIVEN SPECIAL ATTENTION**

- 2.1 The instructional program code for the GETC is: 7100000000.
- 2.2 Given names are to be supplied in full. Although provision is made for 55 characters for given names and 55 characters for surnames, only 70 characters (including spaces) can be accommodated on the certificate. If a candidate has so many given names that this provision is exceeded, some of the given names should be supplied in full while the others may be replaced by initials. Particular care should be taken with the hexadecimal codes for special characters in the name, as the wrong code means that the name will be printed incorrectly.
- 2.3 The previous certificate number must be supplied in the case of an application for a re-issue or a duplicate. The learning area certificate number must be supplied in the case of an application for a replacement.
- 2.4 Certificates are automatically sorted according to centre numbers. If any other sorting is required, the assessment body must contact Umalusi for a special arrangement as to the details to be entered under sort order. If no other sorting is required sort order should be 000000000000.
- 2.5 An empty numeric field is filled with zeros if no other number is specified.

- 2.6 When a replacement certificate is requested, the assessment date is the date of the assessment in which the final learning area/s were offered.
- 2.7 The previous certificate number as stated on page 36 must be supplied in the case of an application for a re-issue or a duplicate. Learning area certificate numbers as stated on page 36/37, must be supplied in the case of an application for a replacement.
- 2.8 Cancellation code and cancellation date are supplied when and only when application is made for a re-issue or a duplicate.
- 2.9 The final mark for the learning area is the actual adjusted mark obtained and it is given as a mark. To earn the allocated credits in a particular learning area, a candidate must achieve at least 40% in that learning area.
- 2.10 When a learning area certificate is issued, the number of credits will be printed next to the learning area. Only learning areas for which the candidate obtained full credits, will be printed on the certificate. In cases where the candidate did not obtain the full credits for the learning area, the information should be omitted from the data that is sent to Umalusi.
- 2.11 A GETC will be awarded on achievement of a minimum of 120 credits according to the rules of combination as stipulated in directive 3 of Section C. A learner may achieve more than the minimum number of credits.
- 2.12 Credits may be accumulated over a period of time to achieve a GETC (ABET) qualification.
- 2.13 No conversion or condonation of results is applicable.
- 2.14 To determine the result for the qualifications that will be certified for 2001/10, 2002/06, 2002/10, 2003/06, 2003/10, and onwards all learning areas will be at ABET Level 4.

### **3. RULES OF COMBINATION – GETC (ABET)**

#### **3.1 Allocation of credits per learning area and grouping**

##### **Fundamentals:**

Language, Literacy and Communication (one language)	20 Credits
Mathematical Literacy, Mathematics and Mathematical Sciences (for Provinces 2001 only)	16 Credits
Mathematical Literacy	16 Credits

##### **Core:**

Natural Sciences	16 Credits
Technology	16 Credits
Human and Social Sciences	16 Credits
Economic and Management Sciences	16 Credits
Arts and Culture	16 Credits
Life Orientation	16 Credits
Mathematics and Mathematical Sciences	16 Credits
An Additional Language	16 Credits

##### **Electives:**

Travel and Tourism	10 Credits
Small, Medium and Micro Enterprises (SMME)	10 Credits
Applied Agriculture and Agricultural Technology	10 Credits
Environmental Management	10 Credits
Food and Fibre processing	10 Credits
Ancillary Health Care	10 Credits

**3.2 Table of learning areas making up a GETC (ABET) qualification:**

<b>Fundamentals</b>	<b>Both fundamentals compulsory</b>
<b>Language Literacy and Communication</b> Afrikaans English Sesotho IsiZulu IsiXhosa Siswati Sepedi Tshivenda Xitsonga Setswana IsiNdebele	20 Credits
<b>Mathematical Literacy, Mathematics and Mathematical Sciences (for Provinces 2001 only)</b>	16 Credits
<b>Mathematical Literacy</b>	16 Credits

<b>Core</b>	<b>16 Credits each</b>
Natural Sciences Technology Human and Social Sciences Economic and Management Sciences Arts and Culture Life Orientation Mathematics and Mathematical Science An Additional Language	Option 1 – 64 Credits required from 4 learning areas Option 2 – 80 credits required from 5 learning areas Option 3 – 96 Credits required from 6 learning areas

<b>Electives</b>	<b>10 Credits each</b>
Travel and Tourism SMME Applied Agriculture and Agricultural Technology Environmental Management Food and Fibre processing Ancillary Health Care	Option 1 – 20 Credits from 2 learning areas Option 2 – 10 credits from 1 learning area Option 3 – No credits required

- It is possible to achieve a GETC (ABET) through any of the three options as indicated above combining the fundamentals, core and elective learning areas, irrespective of the assessment dates.
- A learner must achieve at least 120 credits, of which a Language and Mathematical Literacy are COMPULSORY (36 credits).
- A learner must achieve a minimum of 84 additional credits obtained from 6 learning areas in the core and elective groups.
- 16 credits will be granted for each core learning area mastered by the learner i.e. a mark of more than 40% was achieved.
- 10 credits will be granted for each elective learning area mastered.
- Where a candidate was issued with learning area certificates with credits for more than one language and now qualifies for a GETC, the learning area credits for the languages should be given as 20 where after Umalusi will translate it into 16 credits for certification purposes.

## **4. ASSESSMENT AND COMPETENCY REQUIREMENTS**

### **4.1 Assessment at ABET Level 4 will include both site based assessment (CASS) and external assessment:**

The weighting of formative versus summative assessment marks is determined by HEDCOM and CEM. CASS versus external assessment marks for 2001 was 100% summative, in 2002 the ratio was 50% CASS and 50% external assessment and for 2003, it will remain at 50% CASS and 50% external assessment.

The weighting of CASS and external assessment is as follows:

YEAR	CASS	EXTERNAL ASSESSMENT
2001	0 %	100 %
2002	50 %	50 %
2003 and onwards	50 %	50 %

### **4.2 Requirements for competency (pass mark):**

A minimum of 40% is required in the combination of formative and summative assessment. In year 1 (2001) only the external assessment mark obtained is considered for competency (pass mark).

4.2.1. A competency (pass) mark (40%) in a learning area will translate into the credits allocated to each learning area.

4.2.2. The General Education and Training Certificate will reflect the learning areas achieved.

## **5. FORMAT FOR TRANSFER OF INFORMATION FROM EXAMINING BODIES**

### **5.1 Electronic data capture media:**

Stiffy, CD or e-mail

Type: 1.44 Mb,  
Format: ASCII code

### **5.2 Composition of data records:**

5.2.1. Insertion of blanks

5.2.1.1 all complete data elements must be filled with spaces or zeros, as follows:

- alpha-numeric data elements, eg. A(10) must be left justified with trailing spaces; and
- numeric data elements, eg. N(15) must be right justified with leading zeros.

5.2.1.2 all incomplete data elements must be filled with spaces (alpha-numeric elements) or zeros (numeric elements).

### **5.3 Data structure:**

5.3.1. Data record A(1075)

5.3.2. Assessment body control record – record type “1” redefines Data record.

5.3.2.1 Layout:

**Record type-1**                   **N(01)**                   **Value = “1”**

Assessment body code	N(02)	* see codes
Assessment body name	A(100)	Official name
Capture date	N(08)	Format CCYYMMDD Date data set created
Filler	A(964)	Value spaces

5.3.3. Assessment centre/school – record type “2” redefines Data record.

5.3.3.1 Layout:

**Record type-2**                   **N(01)**                   **Value = “2”**

Centre number	N(10)	Exam centre school no
Centre name	A(80)	Centre/school name
Centre postal address	A(100)	Postal address with postal code. Lines must be delimited with a “,” eg. Box 47, Pretoria, 0001
Centre street address	A(100)	Street address Format (see postal address)
Filler	A(784)	Value spaces

5.3.4. Candidate record – record type “3” redefines Data record.

5.3.4.1 Layout:

**Record type-3**                   **N(01)**                   **Value = “3”**

Centre number	N(10)	
Examination date	N(06)	Format CCYYMM
Transaction type	N(02)	Transaction code Values X X 7 = Learning area certificate 8 = GETC (ABET) certificate 0      Firsts issue 1      Replacement certificate (change of status) 2      Replacement

		certificate (Original certificate) 3 Re-issue 4 Combination
Instructional program code	N(10)	Value eg. 7100000000 Umalusi Code right padded with zeroes
Candidate examination no	A(13)	Submit only 8 characters when using format centre number serial number
Full-time or private	N(01)	Not used
Surname	A(55)	
Given name(s)	A(55)	
Date of birth	N(08)	Format CCYYMMDD
Gender	N(01)	1 = Male 2 = Female
ID-number	A(13)	
Language preference (plus English)	N(02)	01 = Afrikaans 02 = English only 03 = Ndebele 04 = Northern Sotho 05 = Southern Sotho 06 = Swazi 07 = Tsonga 08 = Tswana 09 = Venda 10 = Xhosa 11 = Zulu
Special conditions	N(02)	Submit only two zeros
Special conditions	N(02)	Submit only two zeros
Level offered	N(02)	07 = Learning area certificate 08 = GETC (ABET)
Level passed	N(02)	Same as for level offered
Aggregate	N(04)	Submit only four zeros
Aggregate symbol	A(03)	Not used
Aggregate condoned	N(01)	Not used
Date with effect from	N(06)	Format CCYYMM
Previous certificate number	A(12)	Certificate to be cancelled or replaced
Cancellation code	N(02)	01 = Mark adjustment 02 = Name corrections 03 = Learning area change 04 = Certificate lost

		/damaged 05 = Incorrect date of birth
Cancellation date	N(08)	Format CCYYMMDD
Number of learning areas offered	N(02)	occurs 15 times
Learning area code offered	N(10)	Umalusi codes
Level offered	N(02)	08 = ABET Level 4
Learning area Credits	N(10)	Leading zeros with last 2 digits indicating credits
Level passed	N(02)	08 = ABET Level 4
Final mark	N(03)	Actual mark
Symbol obtained	A(03)	Not used
Symbol adjusted	A(03)	Not used
Learning area fail indicator	N(02)	Always use 01
Date learning area offered	N(06)	Format CCYYMM
Wpm	N(03)	Not used
Learning area certificate number	A(12)	Certificate number of learning area certificate issued must be supplied for replacement
Sort order	N(12)	Order in which certificates must be printed Value XXXX YYYY ZZZZ Where XXXX = Control break 1 Where YYYY = Control break 2 Where ZZZZ = Control break 3

5.3.5. Data set control record – record type “4” redefines Data record.

#### 5.3.5.1 Layout:

Record type-4	N(01)	Value = “4”
Number of type 2 records	N(06)	I
Hash total type 2 records	N(06)	Last 6 characters of the total of the last three characters of the centre no. eg. 5418832 thus 418832
Number of type 3 records	N(06)	
Hash total type 3 records	N(06)	Last 6 characters of the total of the last three characters of the centre no. eg. 765419632 thus 419632

Filler	A(1050)	Value spaces
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## 6. GETC (ABET) LEARNING AREA CODES

**Instructional programme: 7100000000**

LEARNING AREA	CODE
LLC: Afrikaans	121098000
LLC: English	121098100
LLC: Sesotho	121098200
LLC: isiZulu	121098300
LLC: isiXhosa	121098400
LLC: Siswati	121098500
LLC: Sepedi	121098600
LLC: Tshivenda	121098700
LLC: Xitsonga	121098800
LLC: Setswana	121098900
LLC: isiNdebele	121099000
Mathematical Literacy, Mathematics and Mathematical Science	152099100
Mathematical Literacy	152077000
Mathematics and Mathematical Science	152077100
Natural Science	153099200
Technology	116099300
Human and Social Sciences	225099400
Economic and Management Science	466099500
Arts and Culture	366099600
Life Orientation	216099700
Small, Medium and Micro Enterprises	466099800
Applied Agriculture and Agricultural Technology	166099900
Ancillary Health Care	960772000
Environmental Management	160773000
Food and Fibre Processing	100774000
Travel and Tourism	226000100

## **7. FORMAT FOR STATISTICAL REPORTS (GETC)**

### **7.1 Statistical Report 1**

- 7.1.1. This report will provide data required for the standardisation of the examination marks.
- 7.1.2. This will include:
  - (a) In tabular form:
    - 7.1.2.1 The distribution of raw marks and adjusted marks per learning area over the last five years (or the number of years it may be available for) and the number of candidates and median for each year's data must be included;
    - 7.1.2.2 The supplied norm where available; and
    - 7.1.2.3 The computer adjusted marks (where available).
  - (b) In graph form:
    - (i) The raw marks of the current examination;
    - (ii) The norm (where available); and
    - (iii) The computer adjusted marks (where available).
  - (c) Pairs analysis report on raw marks using each of the learning areas as an anchor.

### **7.2 Statistical Report 2**

- 7.2.1. Please note that the information included in the data below, should exclude the results of appeals/re-marks and irregularities pending.
- 7.2.2. All the statistics below must be supplied for male, female, separately and as a total.
- 7.2.3. A table containing:
  - (a) Overall results
  - (i) Examinations only:

- The number of candidates who enrolled for the examination;
- The number of candidates who sat for the examination in at least one learning area; and
- The percentage of candidates who did not sit for the examination at all.

(ii) CASS only:

- The number of candidates who enrolled for CASS;
- The number of candidates who presented CASS marks in at least one learning area; and
- The percentage of candidates who did not present CASS marks at all.

(iii) Examination and CASS combined:

- The number of candidates who enrolled for the examination and CASS;
- The number of candidates who sat for the examination and presented CASS marks that presented CASS marks in at least one learning area; and;
- The percentage of candidates who did not sit for the examination and did not present CASS marks at all; and;
- The number of candidates who qualified for a GETC.

Note that in respect of overall results, each candidate should be counted once, regardless of the number of learning areas involved

#### 7.2.4. Learning area results

- (a) A table containing results for each learning area assessed (both external examination marks and CASS, combined):
  - (i) The number of candidates who enrolled for the learning area;
  - (ii) The number of candidates who completed the final assessment (both external examination and CASS) for the learning area;
  - (iii) The percentage (%) of candidates who completed the final assessment (both external examination and CASS);
  - (iv) The number of candidates who sat for the final examination but did not present CASS;
  - (v) The percentage (%) of candidates who sat for the final examination but did not present CASS;

- (vi) The number of candidates who passed the assessment based on the total number of candidates who wrote the examination;
  - (vii) The percentage (%) of candidates who passed the assessment based on the total number of candidates who wrote the examination;
  - (viii) The number of candidates who failed the assessment based on the total number of candidates who wrote the examination; and
  - (ix) The percentage (%) of candidates who failed the assessment based on the total number of candidates who wrote the examination.
- (b) For each learning area assessed a table containing (external examination only):
- (i) The number of candidates who enrolled for the learning area;
  - (ii) The number of candidates who sat for the external examination per learning area;
  - (iii) The percentage (%) of candidates who sat for the external examination;
  - (iv) The number of candidates who passed the external examination;
  - (v) The percentage (%) of candidates who passed the external examination;
  - (vi) The number of candidates who failed the external examination;
  - (vii) The percentage (%) of candidates who failed the external examination;

#### 7.2.5. Per learning area:

- (a) A distribution of raw marks showing the number of candidates in each of the intervals -
- |             |             |                 |
|-------------|-------------|-----------------|
| 0% - 9,9%   | 10% - 19,9% | 20% - 24,9%     |
| 25% - 29,9  | 30% - 33%   | 33 1/3% - 39,9% |
| 40% - 49,9% | 50% - 59,9% | 60% - 69,9%     |
| 70% - 79,9% | 80% - 89,9% | 90% - 100%;     |
- (b) The desired distribution used for the adjustment of marks;
- (c) Details of the actual adjustments made to the raw marks;
- (c) A graph of (a) and (b);
- (d) The Chief Marker's/Examiner's report on the assessment; and
- (e) The Internal Moderator's report on the assessment.

7.2.6. For each learning area assessed a table containing (CASS only):

- (a) A distribution of raw marks showing the number of candidates in each of the intervals:

0% - 9,9%	10% - 19,9%	20% - 24,9%
25% - 29,9	30% - 33%	33 1/3% - 39,9%
40% - 49,9%	50% - 59,9%	60% - 69,9%
70% - 79,9%	80% - 89,9%	90% - 100%;

- (b) A distribution of adjusted CASS marks, showing the number of candidates - each of the intervals:

0% - 9,9%	10% - 19,9%	20% - 24,9%
25% - 29,9	30% - 33%	33 1/3% - 39,9%
40% - 49,9%	50% - 59,9%	60% - 69,9%
70% - 79,9%	80% - 89,9%	90% - 100%;

- (c) The number and names of centres where the CASS marks were ignored; and

- (d) The moderators' reports on CASS.

### 7.3 Statistical Report 3

7.3.1. This report should only be made available in electronic data format and this report should provide a comparison between CASS and examination marks per learning area, per centre:

- (a) Number of candidates who wrote the examination;
- (b) Number of candidates who presented CASS;
- (c) Mean and standard deviation of the raw examination marks;
- (d) Mean and standard deviation of the adjusted examination mark;
- (e) Mean and standard deviation of the raw CASS mark; and
- (f) Mean and standard deviation of the adjusted CASS mark.

Note that Statistical Report 2 and 3 should be made available simultaneously

## **7.4 Statistical Report 4**

7.4.1. This report should include:

- (a) All data provided in Statistical Report 2, after appeals, remarks and irregularities have been resolved and completed; and
- (b) The difference in the overall pass rate as compared to Statistical Report 2.



# 10

## Chapter Ten

### Conclusion

This document brings about coherence to the quality assurance function of Umalusi. It provides all assessment bodies, both in the public and private sectors a consolidated manual on Umalusi requirements for quality assurance of assessments. All providers of assessment services falling under the jurisdiction of Umalusi, either as “deemed accredited” public providers or Umalusi accredited private providers in the General and Further Education Band are expected to adhere to these requirements. Information that is not contained in the document, in the form of criteria and report formats for certain processes, is available on the Umalusi website.

These requirements, jointly and severally, articulate Umalusi’s quality assurance of assessment approach. They give clear directives and guidelines to all assessment bodies on what to do in order to satisfy the Council of the credibility of assessment and its outcomes. It is, therefore, on the basis of all the requirements contained in this booklet that Umalusi will certify assessment outcomes.

All the requirements herein detailed have been duly approved by Umalusi Council, the highest decision-making body of Umalusi. Any additions and / or amendments will be communicated to all concerned in the established communication channels with due regard for appropriate protocol requirements.