

# **Guidelines and Directives for Certification National Certificate (Vocational)**

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## **Acronyms**

ABET	Adult Basic Education and Training
DoE	Department of Education
FET	Further Education and Training
GET	General Education and Training
GETC	General Education and Training Certificate
HESA	Higher Education South Africa
ISAT	Integrated Summative Assessment Task
NC(V)	National Certificate (Vocational)
NQF	National Qualifications Framework

## **Glossary**

<b>assessment body</b>	a department of education or any other body accredited by Umalusi as a body responsible for conducting external assessment
<b>certification</b>	certification is the formal recognition of a full qualification or subject/unit offered by a learner
<b>condonation</b>	the limited relaxation of promotion requirements in the case of a candidate who comes very close to meeting such requirements
<b>examination</b>	an external component of the assessment process and refers to the culmination of the summative assessment process when students are subjected to a final sitting in an examination
<b>full-time candidate</b>	a candidate who has enrolled for tuition and who offers a National (Vocational) programme in a full-time capacity, such a candidate must fulfil the Internal Continuous Assessment and Integrated Summative Assessment Task requirements.
<b>level of competence</b>	the level awarded to a specific subject against agreed-upon criteria to indicate the level of competence
<b>National Certificate (Vocational)</b>	a certificate awarded as a final exit qualification at the end of Levels 2 to 4 on the NQF to candidates who have complied with national education policy on the National Certificate (Vocational), Levels 2 to 4 as published in the Government Gazette, No. 28677 of 29 March 2006, and amended in the National policy on the conduct, administration and management of assessment of the National Certificate (Vocational), Government Gazette No. 30287, of 12 September 2007.
<b>part-time candidate</b>	a person who spreads his or her programme over a longer period than one (1) year as indicated in terms of section 14 (1) of the policy for the National Certificate (Vocational) : A qualification at Level 2 ,3 and 4 on the National qualification framework (NQF). A part-time candidate must fulfil all Internal Continuous Assessment and Intergrated Summative Assessment Task requirements.

<b>programme</b>	a planned combination of fundamental and vocational subjects leading to a qualification
<b>weighting</b>	the weight that a specific area within a subject carries towards the final mark

## **Executive summary**

The purpose of this document is to provide guidelines and directives to assessment bodies who submit candidates' achievement records for NC(V) certification to Umalusi. This document is specific to the National Certificate (Vocational).

This document is divided into three chapters.

- Chapter 1 deals with the guidelines that clarify the way in which candidates are resulted after an examination.
- Chapter 2 outlines the specific directives regarding the submission of candidate information for certification, the way in which Umalusi certifies, clarifies the format in which information is submitted for certification and provides clarity on areas within the policy which governs the NC(V).
- Chapter 3 gives general information on the verification service that Umalusi supplies.

# **CHAPTER 1**

## **Guidelines for certification – National Certificate (Vocational)**

### **Section 1: Introduction**

- 1.1 The General and Further Education and Training Quality Assurance Act (No. 58 of 2001), which established Umalusi, legislates the quality assurance functions for which Umalusi is responsible. In terms of paragraph 16(2)(e) of this Act, Umalusi is responsible for issuing certificates for qualifications at the exit points in the general and further education and training bands.  
Umalusi therefore issues certificates to candidates as stipulated in the regulations for the issuing of certificates published in Government Notice No. 1754 of 2 December 2003 (Government Gazette No. 25794 of 2 December 2003), as amended in Government Notice No. 158 of 2005 (Government Gazette No. 27249 of 4 February 2005), published by the Minister of Education.
- 1.2 Umalusi is mandated to ensure that these certificates are credible both nationally and internationally.
- 1.3 The purpose of these guidelines is to simplify and extend the understanding of responsibilities and requirements spelled out in the policy on the National Certificate (Vocational), NQF Levels 2 to 4, as published in the Government Gazette, No. 28677 of 29 March 2006, as amended in Government Notice NO. 826 of 7 September 2007 (Government Gazette No. 30266 of 7 September 2007) and in the National Policy on the conduct, administration and management of the National Certificate (Vocational) as published in Government Gazette, No. 30287 of 12 September 2007, published by the Minister of Education.  
Furthermore, the guidelines for certification will help assessment bodies to request certificates for candidates who offer the National Certificate (Vocational). These guidelines inform assessment bodies about how to submit candidate records to Umalusi for certification.

### **Section 2: Certification**

- 2.1 Certification is the formal recognition of a full qualification or subject/unit achieved by a candidate.
- 2.2 Umalusi certifies qualifications on the basis of an internal assessment component and an external examination, both of which contribute to the final result of the candidate. Internal assessment and external examinations are central to the quality assurance processes and are mandatory at all exit levels.
- 2.3 An accredited assessment body assesses candidates against an accredited qualification and curriculum as a means for candidates to obtain a qualification or a subject certificate.

- 2.4 In order to issue certificates, Umalusi maintains the capacity to:
- develop and maintain policies and directives for certification;
  - maintain acceptable standards for awarding certificates;
  - maintain a certification system and infrastructure including appropriate security arrangements;
  - verify certificates;
  - issue replacement certificates.
- 2.5 Umalusi is responsible for issuing the following certificates in the GET and FET bands (NQF Levels 1 to 4):
- Senior Certificate (Report 550)
  - National Senior Certificate (to be phased in schools during 2008)
  - National Senior Certificate (Nated 190 and 191)
  - National N3 Certificate (Nated 190 and 191)
  - National Certificate (Vocational) (NC(V))
  - Subject Certificate (Report 550 and Nated 190 and 191)
  - Subject Certificate (National Senior Certificate)
  - Subject Certificate (National Certificate (Vocational))
  - Subject Statement (National Certificate (Vocational))
  - General Education and Training Certificate (GETC)
  - Learning Area Certificate (GETC)
  - Unit Standard Certificate (GETC)
- 2.6 Candidates may request a certificate from Umalusi via an accredited assessment body, provided that such a request has met Umalusi's guidelines and directives for certification.

### **Section 3: Compliance by an assessment body**

- 3.1 Since Umalusi awards qualifications on the strength of assessment organised by accredited assessment bodies, in order to satisfy itself of the integrity of that assessment, it may require an assessment body seeking accreditation to:
- submit full details of its assessment system and practices from time to time;
  - notify Umalusi of any amendments to its assessment system.

Further information on accreditation criteria and compliance by assessment bodies can be obtained from Umalusi's website ([www@umalusi.org.za](http://www@umalusi.org.za)) or alternatively as hard copies from Umalusi's office.



## **Section 4: About the National Certificate (Vocational)**

### **4.1 Purpose of the National Certificate (Vocational):**

The terms of the policy on the National Certificate (Vocational), Levels 2 to 4, as published in the Government Gazette, No. 28677, of 29 March 2006, and in the National Policy on the conduct, administration and management of the National Certificate (Vocational), as published in Government Gazette, No. 30287 of 12, September 2007, defines the purpose of the National Certificate (Vocational), as enabling students to acquire the necessary knowledge, practical skills, applied competence and understanding required for employment:

- at an elementary level of a particular occupation or trade or class of occupation or trades in the case of Level 2 qualifications;
- at an intermediate level of a particular occupation or trade, or class of occupations or trades in the case of Level 3 qualification;
- or entrance into Higher Education in the case of Level 4 qualifications.

### **4.2 The structure of the qualification:**

Each of the qualifications on Levels 2, 3 and 4 on the NQF has a minimum total of 130 credits. The qualification consists of two components, i.e. the fundamental component, which forms the basis of all other learning and is therefore a compulsory component, and the vocational component, which defines the specialization of the qualification. Levels 2, 3 and 4 qualifications on the NQF are all structured as follows:

#### **4.2.1 Fundamental component (50 credits)**

Language 20: credits

Mathematics or Mathematical Literacy: 20 credits

Life Orientation: 10 credits

#### **4.2.2 Vocational component (80 credits)**

4 vocational subjects 20 credits for each vocational subject.

### **4.3 Duration and entrance requirements for the NC(V) qualification levels:**

Each level requires a minimum of one year full-time learning and a maximum of three years part-time learning.

#### **4.3.1 Entrance requirements for NC(V) Level 2:**

- Grade 9; or
- ABET Level 4 / NQF Level 1; or
- Recognised NQF Level 1 qualification; or
- Approved bridging programme equivalent to NQF Level 1; or
- Recognition of Prior Learning assessment programme, which meets the basic requirements for access to NQF Level 2.

#### **4.3.2 Entrance requirements for NC(V) Level 3:**

- NC(V) at NQF Level 2; or
- Recognised equivalent qualification obtained at NQF Level 2; or

- Approved bridging programme designed for the specific purpose of access to NQF Level 3; or
- Recognition of Prior Learning assessment programme, which meets the basic requirements for access to NQF Level 3.

#### 4.3.3 Entrance requirements for NC(V) Level 4:

- NC(V) at NQF Level 3; or
- Recognised equivalent qualification obtained at NQF Level 3; or
- Approved bridging programme designed for the specific purpose of access to NQF Level 4; or
- Recognition of Prior Learning assessment for Grades 11 or 12 learners who meet the basic requirements for access to NQF Level 4 and for students not part of the South African school system.

#### 4.4 Weighting of assessment in NC(V) and pass requirements:

Subject type	External assessment	Internal assessment	Pass mark
Language and Life Orientation	75%	25%	40%
Mathematics and Mathematical Literacy	75%	25%	30%
Vocational Subjects	50%	50%	50%

#### 4.5 Scale of achievement:

##### 4.5.1 Umalusi will use the seven-level scale of achievement to record the candidates' performance for fundamental subjects and the five-level scale for vocational subjects:

Rating code	Rating	Fundamental (%)
7	Outstanding	80 – 100
6	Meritorious	70 – 79
5	Substantial	60 – 69
4	Adequate	50 – 59
3	Moderate	40 – 49
2	Elementary	30 – 39
1	Not Achieved	0 – 29

Rating code	Rating	Vocational (%)
5	Outstanding	80-100
4	Highly competent	70 – 79
3	Competent	50 – 69
2	Not yet competent	40 – 49
1	Not achieved	0 – 39

## Section 5: Minimum requirements for awarding a NC(V) certificate

5.1 The minimum requirement for awarding a National Certificate (Vocational) is 130 credits as explained below:

Subject type	Credits	Pass mark
First Additional Language or Home language	20	40%
Mathematics or Mathematical Literacy	20	30%
Life Orientation	10	40%
4 x Vocational Subjects	80 (4 x 20)	50%
TOTAL	130	

## **Section 6: Supplementary examination**

- 6.1 The supplementary examination is seen as an extension of the main examination sitting, and therefore a candidate may only enter for a subject/s for which he/she had previously been entered in the main examination sitting.
- 6.2 A candidate may enter for one or more subject/s as long as the minimum entry requirements for the specific level of the qualification or subject has been met, and furthermore that the candidate has met the internal and practical assessment requirements.

## **CHAPTER 2**

### **Directives for certification – National Certificate (Vocational)**

#### **1. Introduction**

The directives for certification are aimed at helping assessment bodies to submit the candidates' assessment records for certification. This document should be read together with the policy on the National Certificate (Vocational), Levels 2 to 4 on the NQF, as published in the Government Gazette, No. 28677, of 29 March 2006, as amended in Government Notice NO. 826 of 7 September 2007 (Government Gazette No. 30266 of 7 September 2007) and in the National Policy on the conduct, administration and management of the National Certificate (Vocational), as published in Government Gazette, No. 30287 of 12 September 2007.

This document will also help assessment bodies to determine a candidate's results in terms of the requirements stipulated in the policy, and on how to structure the information needed by Umalusi in order for it to issue candidates' certificates.

Umalusi published directives for certification with respect to the qualifications that it has certified since September 1992. These directives are still applicable and will be revised once the new qualifications, certified by the Council, have been implemented.

#### **2. Responsibilities of assessment bodies**

An assessment body shall:

- determine the result of a candidate in accordance with the national policy and directives issued by Umalusi;
- supply final marks to Umalusi in the format outlined in paragraph 17 of the directives; in terms of regulation 10(g) of the regulations for the issuing of certificates, as promulgated by the Minister, and
- supply Umalusi with statistical reports in an Umalusi-approved format.

#### **3. Certification fees**

Umalusi determines certification fees and will inform assessment bodies well ahead of time about the certification fees to be paid in respect of the issuing of certificates for a specific financial year.

Umalusi will issue the National Certificate (Vocational) where a candidate has met the minimum requirements for awarding the qualification, *or* a subject certificate (if the minimum qualification requirements have not been met) *or* a subject statement, where a

candidate has failed to meet the minimum requirements for any of the subjects written.

#### **4. Higher Education requirements**

The admission requirements for entrance to a Higher Education programme are determined by HESA and approved by the Minister. Umalusi may indicate on the certificate at Level 4 on the NQF whether a candidate can enter into Higher Education for a specific programme.

#### **5. Entry level requirements**

When a candidate is registered for the examination, the assessment body must ensure that the candidate meets the minimum entry requirements for a specific qualification or subject as stipulated in the national policy

#### **6. Language requirements and special concessions**

The language requirements for National Certificate (Vocational) in the case of an immigrant or a learner that experiences barriers to learning related to aural impairment, aphasia and dyslexia, will be determined by identifying the candidate with a special indicator as required in the format for the transfer of learner information outlined in paragraph 17.

An immigrant candidate may offer the required official language on Second Additional Language Level, provided that the candidate complies with the necessary promotion requirements of that language at second Additional Level, namely a rating of 30% at Elementary Level as stipulated in paragraph 11 of these directives.

Students with aural impairment, aphasia and dyslexia, whose language of instruction is not their home language, may offer the language of learning at Second Additional Language Level.

Students suffering from dyscalculia may be exempted from the need to offer Mathematical Literacy or Mathematics, provided that another subject is offered in lieu of Mathematical Literacy or Mathematics.

The above concessions are limited to candidates with immigrant status and candidates who experience barriers to learning related to aural impairment, aphasia, dyslexia and dyscalculia in terms of paragraphs 7(1)(a)(i)(aa), 10(1)(c), 10(2)(a) and (b) of the National policy regarding Further Education and Training programmes: approval of the documents, policy for the National Certificate (Vocational): Qualifications at Levels 2 to 4 on the National Qualifications Framework (Vol. 489, No. 28677 of 2006).

## 7. Condonation

- 7.1 Condonation of a failure allows a candidate to pass the subject solely in order for her/him to meet the minimum requirements for the award of a qualification.
- 7.2 A candidate may only be awarded a condonation to a maximum of one fundamental subject.
- 7.3 Condonation is not allowed where a candidate would qualify only for a subject certificate. Condonation can, however, be considered when a replacement certificate is finally issued, and the qualification is awarded.
- 7.4 The condonation of a subject must be made in favour of the candidate.
- 7.5 Condonation in the National Certificate (Vocational) will be considered in the following instances:

Subject	Conditions for condonation
First Additional Language or Home Language	35% – 40%
Mathematics or Mathematical Literacy	25% – 30%
Life Orientation	35% – 40%
Vocational Subjects	No condonation
First Additional Language or Home Language offered as a choice subject under the vocational component	35% – 40%
Subject offered in place of Mathematics or Mathematical Literacy (dyscalculia concession) <ul style="list-style-type: none"><li>• If a language is offered</li><li>• If a vocational subject is offered</li></ul>	<ul style="list-style-type: none"><li>• 35% – 40%</li><li>• No condonation</li></ul>
<ul style="list-style-type: none"><li>• Second Additional Language (immigrants)</li><li>• Second Additional Language (candidates who experience barriers related to aural impairment, aphasia and dyslexia)</li></ul>	<ul style="list-style-type: none"><li>• No condonation</li><li>• 25 – 30%</li></ul>

## 8. Candidate status in awarding a qualification

- 8.1 A full-time candidate is required to meet the requirements for the qualification in one year.
- 8.2 An unsuccessful full-time candidate who enters for a subsequent examination to fulfil the outstanding requirements to be awarded a qualification will, for all purposes, be regarded as a part-time candidate in the certification process.
- 8.3 A part-time candidate will be allowed a maximum of three years to complete the requirements for the awarding of a NC(V). A part-time candidate does not have to fulfil the requirements in three consecutive years.
- 8.4 The results for a maximum of three years can be considered when the minimum pass requirements for the qualification are determined.

## 9. Internal Continuous Assessment

- 9.1 All candidates (both full-time and part-time) must comply with the internal assessment requirements associated with the qualification.
- 9.2 For certification purposes the candidate's Internal Continuous Assessment and Integrated Summative Assessment Task must be subjected to a moderation process put in place by the Department of Education and Umalusi standardization process.

## **10. External assessment**

- 10.1 External assessment for vocational subjects will consist of a theoretical and practical component.
- 10.2 For certification purposes, both components (theoretical and practical), in a vocational subject, should be included in the final mark submitted to Umalusi for certification.

## **11. Subject combinations**

- 11.1 In the subject choice for the vocational component, three subjects must be selected from one sub-field and a fourth may be chosen from another sub-field.
- 11.2 Where the choice of a fourth subject is not in the same sub-field, but a language, it must be selected on either First Additional Language or Home Language Level. Candidates who experience barriers to learning and candidates with immigrant status, who have been granted a concession, may choose to offer a language on the Second Additional Language Level.

## **12. Awarding a National Certificate (Vocational)**

- 12.1 The minimum requirement for awarding a National Certificate (Vocational) is 130 credits as explained below:

<b>Subject type</b>	<b>Credits</b>	<b>Pass mark</b>
First Additional Language or Home Language	20	40%
Mathematics or Mathematical Literacy	20	30%
Life Orientation	10	40%
4 x Vocational Subjects	80 (4 x 20)	50%
<b>TOTAL</b>	<b>130</b>	

- 12.2 Umalusi will issue a subject certificate where a candidate has not fully met the requirements for the issuing of a National Certificate (Vocational).

## **13. Subjects listed on the certificate**

- 13.1 All National Certificate (Vocational) subjects whether passed or failed by the candidate in a single examination are listed on the certificate.
- 13.2 Once a candidate has been awarded a NC(V) and extra subject credits are obtained in a subsequent examination, the extra subject credits will



not be printed on the certificate but issued as a separate subject certificate.

13.3 Credits awarded for a National N3 Certificate, (Report 190 (2000/03) specified in Report 191 (2001/08) will not be considered for combination in the National Certificate (Vocational) qualification.

13.4 Umalusi will issue a subject statement where a candidate fails to achieve any credits (i.e. all subjects were failed).

## 14. Levels of competence

14.1 Umalusi will, in the issuing of certificates for the National Certificate (Vocational), print the exact percentage next to the subject. An explanation of the value of the rating and credit values will be provided on the back of the certificate.

The minimum pass requirements for subjects are listed below and should be read with the rating tables in order to determine whether a candidate has met the minimum requirements to pass in a subject.

Subject type	Credits	Pass mark
First Additional Language or Home language	20	40%
Mathematics or Mathematical Literacy	20	30%
Life Orientation	10	40%
4 x Vocational Subjects	80 (4 x 20)	50%
TOTAL	130	

Fundamental subjects:

Rating code	Rating	Fundamental (%)
7	Outstanding	80 – 100
6	Meritorious	70 – 79
5	Substantial	60 – 69
4	Adequate	50 – 59
3	Moderate	40 – 49
2	Elementary	30 – 39
1	Not achieved	0 – 29

Vocational subjects:

Rating code	Rating	Vocational (%)
5	Outstanding	80 - 100
4	Highly competent	70 – 79
3	Competent	50 – 69
2	Not yet competent	40 – 49
1	Not achieved	0 – 39

## 15. Supplementary examination

15.1 Where a candidate was unsuccessful in the main examination, the subjects he or she has passed in a subsequent supplementary examination will be considered in awarding a qualification.

15.2 Where a candidate has already met the minimum requirements for a qualification in the main examination and improves marks in one or

more subject in a subsequent supplementary examination, the improved marks for these subjects will be listed on a separate subject certificate.

- 15.3 A candidate can only enter for a subject in the supplementary examination if he or she has fulfilled all the internal assessment requirements prior to the main examination sitting. A supplementary examination is seen as an extension of the main examination. A candidate can only enter for a supplementary examination for a subject/s that he or she was entered for in the main examination.

## **16. Effective date and types of certificates**

There are six conditions under which a certificate is issued:

- First issue;
- Replacement (Change of status);
- Replacement (Original certificate);
- Re-issue;
- Replacement – candidate found guilty of an examination irregularity; and
- Replacement – original certificate lost as well as a change of personal details.

Details on each condition are given below:

### **16.1 First issue:**

- 16.1.1 When a candidate meets all the requirements for a National Certificate (Vocational) in a single assessment session in a main examination, no examination dates are printed next to the individual subjects, and the effective date of the certificate is the month following the date of the examination.
- 16.1.2 When a candidate meets with all the requirements in the main examination *and* the subsequent supplementary examination, no examination dates are printed next to individual subjects. The effective date of the certificate is the month following the last examination.

### **16.2 Replacement (change of status):**

- 16.2.1 In all cases where a part-time candidate meets with the requirements for a National Certificate (Vocational) across two or more assessment sessions, the examination dates are printed next to individual subjects. The effective date is the month following the month of the last examination involved.
- 16.2.2 Where the status of a certificate is different from that of a previously issued certificate (for example when a National Certificate (Vocational) supersedes subject certificate) the previous certificates are not withdrawn, and the different effective dates are retained on the final certificate.
- 16.2.3 Subject credits used in a request for a replacement certificate should all be certified prior to the request for a replacement. The assessment body should therefore ensure that, before a replacement is requested, Umalusi has indeed certified all subjects.

16.2.4 In submitting the data to Umalusi for certification, the certificate numbers for all subjects should be reflected in the certificate number field following the subject information as stipulated in paragraph 17 of these directives.

### **16.3 Replacement certificate (original certificate):**

16.3.1 Umalusi will issue a replacement certificate to replace a certificate that has been lost, destroyed or damaged **after** the candidate has received the certificate;

16.3.2 In cases where the certificate was damaged, the original certificate must be returned to Umalusi; or

16.3.3 An affidavit, by the certificate holder, to the effect that the certificate was lost or destroyed must be submitted to the assessment body with the application, and Umalusi might request that the affidavit accompany the request for a replacement certificate.

### **16.4 Re-issue**

16.4.1 A “re-issue” replaces an original certificate under two different circumstances. A certificate is re-issued if an original certificate is lost, destroyed or damaged **before** delivery to the candidate. A certificate is also re-issued if the certificate contains an error such as a misspelled name, an incorrect date of birth, an incorrect ID number or an incorrect subject.

16.4.2 Where the original certificate is incorrect, both it and a short explanation of the circumstances must accompany the application.

16.4.3 Where an original certificate is not available, the re-issue of a certificate will not be considered, but a replacement certificate, as stated in paragraph 16.6, should be requested instead.

16.4.4 The Council may consider the re-issue of a certificate when a candidate’s identity number, surname or first name has changed after the certificate was awarded. Proof of such changes from the Department of Home Affairs must be submitted with the application.

16.4.5 A change of personal details due to marriage does not qualify for a re-issue.

16.4.6 Assessment bodies should take extra care when candidates’ entries for the examination are finalised to ensure that the personal details of each candidate are captured accurately.

### **16.5 Replacement**

Replacement certificates are issued where candidates found guilty of an examination irregularity were penalized by having their certificates withheld for a period of time after the writing of the examination.

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

16.5.2 Where a candidate has qualified for the issuing of a National Certificate (Vocational) without re-writing an additional subject, the subjects

should have the same date, but the inception date on the National Certificate (Vocational) will then reflect a date of 12 months or more after the subject dates.

- 16.5.3 Where a candidate was found guilty of an irregularity and he or she has to re-write one or more subject/s to comply with the minimum requirements for the award of the qualification, Umalusi will confirm the irregular status against the subjects in which the candidate was irregular.
- 16.5.4 When an application is submitted to Umalusi, the certificate numbers for all subjects should be reflected in the certificate number field following the subject information.
- 16.5.5 Where a candidate's behaviour was irregular in one or more subjects the whole of the examination result is not forfeited, a subject certificate should be requested for the subjects in which the candidate was not irregular. The irregular status should be reflected on the candidate's record.

## **16.6 Replacement**

When an original certificate has been lost and there is a change of personal details as well, a replacement certificate is issued.

- 16.6.1 An affidavit from the candidate should be submitted to Umalusi, which requests the change of personal details and testifies that the original certificate has been destroyed or lost.
- 16.6.2 Proof of such changes to the personal details of the candidate, issued by the Department of Home Affairs, must be submitted with this application.

## **17. Format for transfer of information from assessment body to Umalusi**

Umalusi provides directives for the transfer of information in consultation with assessment bodies these guidelines are subject to review from time to time, or when Umalusi deems it necessary.

Assessment bodies are required to submit learner information for certification to Umalusi in an electronic format. This section provides the format in which the information is submitted to Umalusi and gives specific indicators and field values that will be used in the transfer of the information.

- 17.1 Electronic data set :  
A dataset with the following naming convention must be created on the mainframe.

OZOZ9.OZ9.izzCVnnn.DAyyymmdd where

zz = 08 (Assessment body code)

nnn = sequential run number

yy = the year created. Example: 07 if created in 2007

mm = month created

dd = day created

The return dataset will use the same convention but the “I” will be replaced with an “O”.

Example: OZOZ9.OZ9.OzzCVnnn.DAyyymmdd

## 17.2 Composition of data records

### 17.2.1 Insertion of blanks

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

- (a) Alpha-numeric data elements, eg (A10) must be left justified with trailing spaces.
- (b) Numeric data elements, eg. N(15) must be right justified with leading zeros.

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

## 17.3 Data structure

The total length of the data record will be 1093 characters.

### 17.3.1 Record type 1 – Assessment body detail.

Record type	N(01)	Value = “1”
Assessment body code	N(02)	Value = 08 Department of Education
Assessment body name	A(100)	Official name – “Chief Directorate: Educational Measurement, Assessment and Public Examinations”
Date created	N(08)	Format CCYYMM Date dataset was created
Subsystem	A(03)	Indicate the subsystem: NCV
Filler	A(979)	Value spaces

### 17.3.2 Record type 2 – FET College detail

Record type	N(01)	Value = “2”
FET College number	N(10)	FET College unique number. Eg. 0101000000 Province code = First two characters FET group number = Second two characters FET College information must be left zero's if campus not part of a FET College
FET College name	A(80)	Name of FET College
FET College postal address 1	A(30)	
FET College postal address 2	A(30)	
FET College postal address 3	A(30)	
FET College postal address 4	A(30)	
FET College postal code	A(4)	
Campus/Centre number	N(10)	Unique campus number. Eg. 0899995843
Campus/Centre name	A(80)	Name of campus
Campus postal address 1	A(30)	
Campus postal address 2	A(30)	
Campus postal address 3	A(30)	
Campus postal address 4	A(30)	

Campus postal code	A(04)	
FET College group number	N(02)	Refer to FET College number: FET group number 00 must be supplied if Campus / Centre not part of FET College
Private or Public campus	N(01)	1=Private 2=Public
Type of centre	N(01)	1=Examination centre 2=School 3=Sub centres 4=Prisons 5=Education colleges 6=Foreign colleges
Filler	A(660)	

### 17.3.3 Record type 3 - Candidate detail

Record type	N(01)	Value = "3"
FET Campus number	N(10)	The campus/centre numbers where the candidates wrote.
Examination date	N(06)	Format CCYYMM
Transaction type	N(02)	<p>Values XY Y → 1 National Certificate (Vocational) 2 Subject certificate 3 Subject statement 7 Drop out X → 0 First issue 1 Replacement (Change of Status) 2 Replacement (Duplicate of original certificate) 3 Re-issue 4 Replacement (guilty of irregularity) 5 Replacement (original lost and change of personal details)</p>
Instructional programme code	N(10)	Programme codes for the National Certificate (Vocational) programmes as published in the Government Gazette.
Candidate examination no	N(13)	
Full-time or private	N(01)	1=Full time 2=Part time
Surname	A(55)	
Given name(s)	A(55)	Names up to 50 characters and thereafter only initials will be accepted.
Date of birth	N(08)	Format CCYYMMDD
Gender	N(01)	1 = Male 2 = Female
ID-number	N(13)	
Immigrant	A(01)	Y=Candidate is an immigrant N=Candidate not an immigrant
Special conditions	N(02)	00 = None 01 = Hearing impaired 02 = Visual impaired 03 = Dyslexia 04 = Dyscalculia
Race	A(01)	A = Asian B = Black C = Coloured; I = Indian W = White N = Not indicated.
Irregularity indicator	N(01)	0 = no irregularities 1 = guilty of examination irregularity
Irregularity date	N(08)	Format CCYYMMDD The date when the sanction will be lifted
Level obtained	N(02)	01 National Certificate (Vocational) 02 Not enough credits for NC(V) qualification 03 Failed all subjects 04 Drop-out candidate (A candidate who enrolled for examination and did not write any subject)
Credits obtained	N(03)	Total credits candidate obtained as

		calculated by an assessment body 999 for drop-out candidate	
Date with effect from	N(06)	Format CCYYMM	
Previous certificate number	A(12)	The certificate to be replaced for: Replacement (Original certificate) Re-issue Replacement (lost certificate and change of personal detail)	
Cancellation code	N(02)	1 = Mark adjustment 2 = Name corrections 3 = Change of subject 4 = Certificate lost/damaged 5 = Incorrect date of birth 6 = Certificate lost and change of name or date of birth	
Cancellation date	N(08)	Format CCYYMMDD	
Number of subjects	N(02)	The number of subjects the candidate has offered	
<b>Subject information (occurs 15 times)</b>		N(58) * 15 = 780 characters	
Subject code	N(10)	Subject codes for the National Certificate (Vocational) as published in the Government Gazette.	
Credits obtained	N(02)	The credits obtained for the subject 99 = drop-out candidate 77 = outstanding mark	
Percentage obtained	N(03)	The percentage the candidate has obtained 999 : Candidate absent for subject 777: Outstanding mark.	
Rating obtained	N(01)	Fundamental subjects: 7 = 80-100 6 = 70-79 5 = 60-69 4 = 50-59 3 = 40-49 2 = 30-39 1 = 0-29	Vocational subjects 5 = 80-100 4 = 70-79 3 = 50-69 2 = 40-49 1 = 0-39
Rating adjusted	N(01)	Fundamental subjects: 7 = 80-100 6 = 70-79 5 = 60-69 4 = 50-59 3 = 40-49 2 = 30-39 1 = 0-29	Vocational subjects 5 = 80-100 4 = 70-79 3 = 50-69 2 = 40-49 1 = 0-39
Subject indicator	N(01)	1 = obtained minimum percentage 2 = condoned to minimum percentage 3 = did not obtain minimum percentage 4 = Candidate did not write the examination 5 = Mark is outstanding	
Date subject offered	N(06)	Format CCYYMM	
Subject irregularity indicator	N(01)	0=Not Guilty of irregularity 1=Guilty of irregularity	
Subject certificate number	A(12)	A subject certificate number has to be provided for all replacement documents (change of status). For example: If candidate wrote two	



		subjects in 200711 and four in 200811 and the issue date of the NC(V) is December 200811 a subject certificate is required for all the subjects.
External summative assessment Paper 1	N(03)	Written paper 1 999 = Absent 777 = Outstanding
External summative assessment Paper 2	N(03)	Written paper 2 999 = Absent 777 = Outstanding
Integrated summative assessment (ISAT)	N(03)	Integrated summative assessment Practical compulsory component for Vocational subjects, 999 = Absent 777 = Outstanding
Internal continued assessment (ICASS)	N(03)	Internal Continuous assessment.
WPM	N(03)	Words per minute.
Adjustment: External assessment	N(02)	
Adjustment: Integrated summative assessment (ISAT)	N(02)	
Adjustment: Internal summative assessment (ICASS)	N(02)	
End of subject information		

#### 17.3.4 Record type 4 – Control record detail

Record type	N(01)	Value = "4"
Number of type 2 records	N(06)	Number of campuses/centres.
Hash total type 2 records	N(06)	Last 6 characters of the total of the last three characters of the campus/centre numbers. Eg. 5418332 thus 418332
Number of type 3 records	N(06)	Number of candidate records
Hash total type 3 records	N(06)	Last 6 characters of the total of the last three characters of the campus/centre numbers. Eg. 765419632 thus 419632
Hash Total	N(06)	Total number of records on dataset excluding record type 4.
Filler	A(1062)	

### 18. Format for the output data set to assessment body from Umalusi

#### 18.1 Data structure

The total length of the data record will have 1395 characters.

##### 18.1.1 Record type 1 – Assessment body detail.

Record type	N(01)	Value = "1"
Assessment body code	N(02)	08 = Department of Education
Assessment body name	A(100)	Official name
Date created	N(08)	Format CCYYMM Date dataset was created
Filler	A(1284)	Value spaces

### 18.1.2 Record type 2 – FET Colleges and campus/centre detail

Record type	N(01)	Value = "2"
FET College number	N(10)	Unique FET College number.
FET College name	A(80)	Name of FET College
FET College postal address 1	A(30)	
FET College postal address 2	A(30)	
FET College postal address 3	A(30)	
FET College postal address 4	A(30)	
FET College postal code	A(4)	
Campus/Centre number	N(10)	Unique campus/centre number
Campus/Centre name	A(80)	Name of Campus/Centre
Campus postal address 1	A(30)	
Campus postal address 2	A(30)	
Campus postal address 3	A(30)	
Campus postal address 4	A(30)	
Campus postal code	A(4)	
Private or Public campus	N(01)	1=Private 2=Public
Type of centre	N(01)	1=Examination centre 2=School 3=Sub centres 4=Prisons 5=Education college 6=Foreign colleges
Filler	A(964)	

### 18.1.3 Record type 3 – Candidate detail

Record type	N(01)	Value = "3"
FET Campus number	N(10)	The campus/centre number where the candidate wrote.
Examination date	N(06)	Format CCYYMM
Transaction type	N(02)	Values XY Y → 1 National Certificate (Vocational) 2 Subject certificate 3 Subject statement 7 Drop out X -> 0 First issue 1 Replacement (Change of Status) 2 Replacement (Duplicate of original certificate) 3 Re-issue 4 Replacement (guilty of irregularity) 5 Replacement (original lost and Change of personal details)
Transaction type as determined by UMALUSI.	N(02)	Values XY Y → 1 National Certificate (Vocational) 2 Subject certificate 3 Subject statement 9 Errors found X -> 0 First issue 7 Drop out 1 Replacement (Change of Status)

		2 Replacement (Duplicate of original certificate) 3 Re-issue 4 Replacement (guilty of irregularity) 5 Replacement (original lost and Change of personal details)
Instructional programme code	N(10)	Program codes for the National Certificate (Vocational) programmes as published in the Government Gazette.
Candidate examination no	N(13)	
Full-time or private	N(01)	1=Full time 2=Part time
Surname	A(55)	
Given name(s)	A(55)	Names up to 50 characters and thereafter only initials will be accepted.
Date of birth	N(08)	Format CCYYMMDD
Gender	N(01)	1 = Male 2 = Female
ID-number	N(13)	
Immigrant	A(01)	Y=Candidate is an immigrant N= Candidate is not an immigrant
Special conditions	N(01)	00 = None 01=Hearing impaired 02=Visually impaired 03=Dyslexia 04=Dyscalculia
Race	A(01)	A = Asian B = Black C = Coloured I = Indian W = White N = Not indicated
Irregularity indicator	N(01)	0 = no irregularities 1 = guilty of examination irregularity
Irregularity date	N(08)	Format CCYYMMDD The date when the irregularity will be lifted
Level obtained – Assessment body	N(02)	Level obtained as calculated by assessment body 01 National Certificate (Vocational) 02 Not enough credits for NC(V) qualification 03 Failed all subjects 04 Drop-out candidate (Candidates who enrolled for examination and did not write any subject)
Level obtained – Umalusi	N(02)	Level obtained as calculated by Umalusi 01 National Certificate (Vocational) 02 Not enough credits for NC(V) qualification 03 Failed all subjects 04 Drop out candidate (Candidates who enrolled for examination and did not write any subject)
Credits obtained – Assessment body	N(03)	Total credits candidate obtained as calculated by the assessment body
Credits obtained – Umalusi	N(03)	Total credits candidate obtained as calculated by Umalusi.
Date with effect from	N(06)	Format CCYYMM
Previous certificate number	A(12)	The certificate to be replaced for

		Replacement (Original certificate) Re-issue Replacement (lost certificate and change of name or date of birth.)	
Cancellation code	N(02)	1 = Mark adjustment 2 = Name corrections 3 = Change of subject 4 = Certificate lost/damaged 5 = Incorrect DOB 6 = Certificate lost, and change of name or date of birth.	
Cancellation date	N(08)	Format CCYYMMDD	
Number of Evaluation errors	N(02)	Number of evaluation errors for candidate. eg. 02	
Evaluation error codes	A(20)	Evaluation error codes Eg. 20/21 Error codes and descriptions will be supplied	
Number of capturing errors	N(02)	Number of capture errors for candidate. Eg. 03	
Capturing error codes	A(20)	Capturing error codes Eg. 1/5/8 Error codes and descriptions will be supplied	
Number of subjects	N(02)	The number of subjects the candidate offered	
<b>Subject information (occurs 15 times)</b>		N(74) * 15 = 1110 characters	
Subject code	N(10)	Subject codes as in the policy for National Certificate (Vocational)	
Credits obtained – Assessment body	N(02)	The credits obtained for the subject as calculated by assessment body.	
Credits obtained – Umalusi	N(02)	The credits obtained for the subject as calculated by UMALUSI.	
Percentage obtained – Assessment body	N(03)	The percentage the candidate obtained as calculated by the assessment body 999 : Candidate absent for subject 777: Outstanding mark.	
Percentage obtained – Umalusi	N(03)	The percentage the candidate obtained as calculated by Umalusi 999 : Candidate absent for subject 777: Outstanding mark.	
Rating obtained – Assessment body	N(01)	The rating obtained calculated by the examination body. Fundamental subjects: 7 = 80-100 6 = 70-79 5 = 60-69 4 = 50-59 3 = 40-49 2 = 30-39 1 = 0 – 29	Vocational subjects  5 = 80-100 4 = 70-79 3 = 50-69 2 = 40-49 1 = 0-39
Rating obtained – Umalusi	N(01)	The rating obtained calculated by Umalusi Fundamental subjects:	Vocational subjects  5 = 80-100 4 = 70-79 3 = 50-69 2 = 40-49

		7 = 80-100 6 = 70-79 5 = 60-69 4 = 50-59 3 = 40-49 2 = 30-39 1 = 0 – 29	1 = 0-39
Rating adjusted – Assessment body	N(01)	The rating adjusted as calculated by the examination body. Fundamental subjects: 7 = 80-100 6 = 70-79 5 = 60-69 4 = 50-59 3 = 40-49 2 = 30-39 1 = 0 – 29	Vocational subjects 5 = 80-100 4 = 70-79 3 = 50-69 2 = 40-49 1 = 0-39
Rating adjusted – Umalusi	N(01)	The rating adjusted as calculated by Umalusi. Fundamental subjects: 7 = 80-100 6 = 70-79 5 = 60-69 4 = 50-59 3 = 40-49 2 = 30-39 1 = 0 – 29	Vocational subjects 5 = 80-100 4 = 70-79 3 = 50-69 2 = 40-49 1 = 0-39
Subject indicator – Assessment body	N(01)	The subject indicator as calculated by the examination body. 1 = obtained minimum percentage 2 = condoned to minimum percentage 3 = did not obtain minimum percentage 4 = Candidate did not write the examination 5 = Mark is outstanding	
Subject indicator – UMALUSI	N(01)	The subject indicator as calculated by UMALUSI 1 = obtained minimum percentage 2 = condoned to minimum percentage 3 = did not obtain minimum percentage 4 = Candidate did not write the examination 5 = Mark is outstanding	
Date subject offered	N(06)	Format CCYYMM	
Subject irregularity indicator	N(01)	0=Not Guilty of irregularity 1=Guilty of irregularity	
Number of capturing errors for subject	N(02)	The number of capturing errors found for subject eg. 02	
Capturing error codes for subject	A(20)	The capturing error codes for subject eg. 49, 61 Error codes and descriptions will be supplied	
Number of structure errors found for subject	N(02)	The number of structure errors for the subject eg. 05	
Structure errors found for subject	A(20)	The structure errors for the subject eg. 5/6/8/9/10 Error codes and descriptions will be Supplied	

End of subject information		
Certificate number	A(12)	Certificate number issued.
Rejection indicator	N(02)	99 – Candidate was rejected.

#### 18.1.4 Record type 4 – Control record

Record type	N(01)	Value = “4”
Number of type 2 records	N(06)	Number of campuses/centres.
Hash total type 2 records	N(06)	Last 6 characters of the total of the last three characters of the centre no. Eg. 5418332 thus 418332
Number of type 3 records	N(06)	Number of candidate records
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
Hash Total	N(06)	Total number of records on dataset excluding record type 4.
Filler	A(1370)	

### 19. Further Clarification of the Format for the National Certificate (Vocational)

- 19.1 Assessment body codes to be used for the NC(V)  
“08” Department of Education Chief Directorate: Educational Measurement, Assessment and Public Examinations.
- 19.2 Due date and information for submission of data required for certification:
- 19.2.1 Assessment bodies must submit learner data for certification to Umalusi in respect of the main examination not later than three months after the examination results were released. Data for candidates who have applied to write a supplementary examination or who have applied to have scripts remarked as well as appeals and irregularities should be excluded. This data must be submitted by the latest four months after the main examination.
- 19.2.2 All the subjects that the candidate has enrolled for must be submitted to Umalusi. This includes the subjects where marks are outstanding or any absentees.
- 19.2.3 The computer system requires that a numerical mark be supplied when subject information is submitted. See paragraph 17.3.3 for the required values.
- 19.3 Further clarification of specific field information related to the format in which certification information are submitted:
- 19.3.1 Any empty numeric field must be filled with zeros.
- 19.3.2 When a replacement certificate (change of status) is requested, the examination date is the date of the assessment in which the final subject was presented.
- 19.3.3 The effective date for awarding a qualification is the month following the date of the last examination.
- 19.3.4 Where a candidate enters for a supplementary examination following the main examination, to fulfil the outstanding requirements for the

- qualification, the candidate status should be indicated as a full-time candidate.
- 19.3.5 Given names are supplied in full. Although provision is made for fifty five (55) characters for given names and fifty five (55) characters for surname only seventy (70) characters (including spaces) can be accommodated on the certificate.
- 19.3.6 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.
- 19.3.7 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.
- 19.3.8 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 by the assessment body.
- 19.3.9 The previous certificate number as stated in paragraph 16 must be supplied in the case of an application for a re-issue, a replacement of an original certificate or where a replacement is requested where there is a change in personal details.
- 19.3.10 The subject certificate number following the subject information must be supplied in the case of an application for a replacement.
- 19.3.11 Cancellation code and cancellation date are supplied when and only when application is made for a re-issue, a replacement of an original certificate where a replacement is requested where there is a change in personal details.
- 19.3.12 Using the appropriate indicators, assessment bodies should take care when records for candidates with special concessions are submitted to ensure correct resulting.
- 19.3.13 For a National Certificate (Vocational), subject final mark is the actual mark obtained, even when the result is condoned.
- 19.3.14 Rating obtained is the rating based on the original marks for the subject while rating adjusted is the rating after condonation was applied.
- 19.3.15 When a request for the issuing of a National Certificate (Vocational) is submitted, the rating is supplied by using scale of achievement 1 to 7 for fundamental subjects and 1 to 5 in the case of vocational subjects.
- 19.3.16 When a candidate is found guilty of irregular behaviour in an examination and a subject certificate is requested, the status will be indicated by entering a one (1) in the irregularity indicator field as well as a date when the irregularity will be lifted. On subject level the subject irregularity indicator must also be entered as a one(1) if a specific subject was irregular in the specific field. This will be reflected on the Umalusi system by a date 12 months after the examination date.
- 19.3.17 A combination or application for a first issue of a NC(V) in terms of a candidate that was found guilty of an irregularity in an examination cannot be made for such a candidate within the period that the candidate is excluded from the examination. The directive explained in paragraph 16.5 should be followed.
- 19.3.18 Certificates are automatically sorted in the printing process, 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.

- 19.3.19 The output dataset contains the error codes as well as the information as Umalusi evaluated the candidate. Assessment bodies must print their own error list. Umalusi will provide the assessment bodies with explanations of the error codes.

## **20. Programme and subject codes**

- 20.1 The programme code for the different sub-fields will consist of 10 digits. The programme codes as per national policy will be used.
- 20.2 The subject codes for the different subjects will consist of 10 digits. The subject codes are as per national policy.



## **CHAPTER 3**

### **Verification**

#### **Verification of certificates**

1. According to section 16 (4)(e) of Act No. 58 of 2001, Umalusi is the only body that can issue certificates for qualifications referred to in par 2.5 in Chapter 1. It is also the Council's responsibility to verify the authenticity of these certificates.
2. Umalusi verifies certificates issued by the South African Certification Council and Umalusi, the General and Further Education and Training Quality Assurance Council. The assessment bodies are responsible for the verification of certificates issued prior to September 1992.
3. The verification of certificates is carried out at a nominal fee.