



**DIRECTIVES FOR CERTIFICATION
NATIONAL CERTIFICATE (VOCATIONAL)
Level 4**

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Acronyms

ABET	Adult Basic Education and Training
DHET	Department of Higher Education and Training
FET	Further Education and Training
GET	General Education and Training
HESA	Higher Education South Africa
LOLT	Language of Learning and Teaching
NSC	<i>National Senior Certificate (Schools)</i>
NQF	National Qualifications Framework
GETC	General Education and Training Certificate
ISAT	Integrated Summative Assessment Task
ICASS	Internal Continuous Assessment
NC(V)	<i>National Certificate (Vocational)</i>

Glossary

assessment body	a department of education or any other body accredited by Umalusi to be responsible for conducting external assessment for all or some subjects of the <i>NC(V)</i> .
candidate	refers to any person, receiving tuition at a public or private FET college or at a learning institution registered with an accredited assessment body.
change of status	a term used to indicate where the status of a certificate issued to a candidate is replaced by a certificate with a higher status in the combination of subject credits over more than one examination period.
certification	certification is the formal recognition of a completed qualification, part qualification or unit of learning achieved by a candidate.
condonation	the limited relaxation of promotion requirements in the case of a candidate who comes very close to meeting such requirements.
external examination	an external component of the assessment process; it refers to the culmination of the summative assessment process, when candidates are subjected to a final formal assessment in an examination-sitting.
full-time candidate	a candidate who has enrolled for tuition and who offers a <i>National Certificate (Vocational)</i> programme with 7 subjects in a full-time capacity. Such a candidate must fulfil all internal assessment requirements, including oral and practical requirements where applicable.
immigrant candidate	is a child or dependent of a diplomatic representative of a foreign government accredited in South Africa, or a person who, having begun his or her schooling at a school in South Africa, has attended school outside South Africa for two or more consecutive years after Grade 3 or its equivalent and before Grade 9 or its equivalent.
level of competence	the level awarded to a specific subject against agreed criteria to indicate the level of achievement.

National Certificate (Vocational)	a certificate awarded as a final exit qualification to a candidate who has complied with the exit-level outcomes stipulated in the National Education policy on the <i>National Certificate (Vocational)</i> (Level 4), a qualification at Level 4 on the NQF .
National Qualification Framework (NQF)	is a ten-level framework to provide for the registration of national qualifications.
Part-time candidate	a person who spreads his or her programme over a longer period than one year, as indicated in terms of <i>Section 4(1) of the Policy for the National Certificate (Vocational) at Level 2, 3 and 4 on the National Qualifications Framework (NQF), Government Gazette No. 28677 of 29 March 2006.</i> Part- time students must fulfil all Integrated Summative Assessment Tasks and Internal Continuous Assessment requirements. Part-time candidates must complete the programme within a period of three years.
programme	a planned combination of Fundamental and Vocational subjects leading to a qualification.
withdrawn	is referred to where a candidate enrolled for an examination but did not write the examination.

Executive summary

The purpose of this document is to provide information to assessment bodies who submit candidates' achievement records for the *National Certificate (Vocational)* at Level 4 to Umalusi. This document is specific to the certification of the *National Certificate (Vocational)*.

This document:

- Provides guidelines that clarify the way in which candidates results are determined after an examination;
- Outlines the specific directives regarding the submission of candidate information for certification; outlines the way in which Umalusi certifies; and provides the format in which information is to be submitted for certification.
- Provides the policy which governs the NC(V); and
- Gives general information on the verification service that Umalusi offers.

1. Directives for certification

1.1 Introduction

The *General and Further Education and Training Quality Assurance Act, 2001* (Act No. 58 of 2001) as amended, which established Umalusi, legislates the quality assurance functions for which Umalusi is responsible. In terms of section 16(2)(e) of this Act, Umalusi has the responsibility for issuing certificates for qualifications at the exit points in general and further education and training. Umalusi is mandated to ensure that these certificates are credible both nationally and internationally.

Umalusi therefore issues certificates to candidates as stipulated in the regulations for the issuing of certificates. These *Directives for Certification* assist assessment bodies to submit the candidates' assessment records for certification. This document should be read together with the following policies as approved by the Ministers of Higher Education and Training and Basic Education:

- Government Gazette, No. 28677 of 29 March, Policy for the *National Certificate (Vocational)* Qualifications at Level 2 to 4 on the National Qualifications framework.
- Government Gazette, No. 30266 of 7 September 2007, Amendment for the Policy for the *National Certificate (Vocational)*.
- Government Gazette, No. 30287 of 12 September 2007, National Policy on the conduct, administration and management of the *National Certificate (Vocational)*.
- Government Gazette No. 32743 of 26 November 2009, Minimum admission requirements for higher certificate, diploma and degree programmes requiring a *National Certificate (Vocational)* at Level 4 of the National Qualifications Framework.
- Regulations for certification, Government Gazette No. 25794 of 2 December 2003, as amended.

In order to issue certificates, Umalusi maintains the capacity to:

- develop and maintain policies and directives for certification;
- maintain acceptable quality assurance standards for awarding certificates;
- maintain a certification system and infrastructure, including appropriate security arrangements;
- verify certificates; and

- issue replacement certificates.

Umalusi issues the following certificates in General and Further Education and Training (NQF Levels 1 to 4):

- Senior Certificate (Report 550);
- *National Senior Certificate (Schools)*;
- National Senior Certificate (Reports 190 and 191) ;
- National N3 Certificate (Reports 190 and 191);
- *National Certificate (Vocational) (NC(V))*;
- Subject Certificate (Report 550 and Reports 190 and 191);
- General Education and Training Certificate (GETC);
- Learning Area Certificate (GETC);
- Unit Standard Certificate (GETC); and
- Subject Statement (NC(V) and NSC)

All requests for certification must be made to Umalusi by an assessment body. Umalusi will not accept requests for certification from candidates. Individual candidates must channel their requests through an assessment body.

1.2 The purpose of the directives

The purpose of these directives is to provide a common understanding of the responsibilities and requirements spelled out in the policy document on the *National Certificate (Vocational)* at Level 4 of the NQF. Furthermore, these guidelines are designed to assist assessment bodies to request certification for candidates who offer the *National Certificate (Vocational)*.

This document will also help assessment bodies to determine a candidate's results in terms of the requirements stipulated in the policy, and will give direction on how to structure the information required for submission to Umalusi for the issuing of candidates' certificates.

1.3 Changes to qualifications in Further Education and Training

From January 2009, the *National Certificate (Vocational)* at Level 4 on the NQF replaces the following FET College programmes in a phase-in and phase-out process:

- National N Certificates: N3 (Reports 190 and 191)
- National Senior Certificate (Reports 190 and 191)

Candidates will still be allowed to offer the National Certificate N3: Engineering Studies until such time that an alternative occupational qualification is register on the NQF (Refer to Government Gazette No. 33200 of 17 May 2010).

1.4 Compliance by an assessment body

Umalusi awards qualifications based on the credibility of the assessment provided by accredited assessment bodies. In order to satisfy itself of the integrity of the assessment opportunity offered, Umalusi may require an assessment body seeking accreditation to:

- submit full details of its assessment system and practices from time to time; and
- notify Umalusi of any amendments to its assessment system.

An assessment body shall:

- determine the result of a candidate in accordance with the national policy on the *National Certificate (Vocational)*, a Qualification at Level 4 on the National Qualifications Framework (referred to as the NC(V) policy in the rest of the directives), and the directives issued by Umalusi;
- supply final marks to Umalusi in the format outlined in paragraph 13 of these directives in terms of regulation 10(g) of the regulations for the issuing of certificates as promulgated by the Minister of Basic Education.

Further information on accreditation criteria and required compliance by assessment bodies can be obtained from Umalusi's website (www.umalusi.org.za) or as hard copies from Umalusi's office.

1.5 Certification

Certification is the formal recognition of a completed qualification, part qualification, or unit of learning achieved by a candidate. Umalusi will issue a certificate or a subject statement to candidates who have been assessed by an accredited assessment body according to the requirements of an approved qualification and its curricula.

Umalusi will issue the *National Certificate (Vocational)* where a candidate has met the minimum requirements for being awarded the qualification, and a subject statement if the candidate does not meet the minimum

requirements for the qualification or meets the requirements for one or more subjects.

1.6 Certification fees

Umalusi determines certification fees and informs 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.

2. The National Certificate (Vocational), a qualification at Level 4 on the National Qualification Framework

2.1 Type of qualification

The *National Certificate (Vocational)* at Level 4 on the NQF is aimed at students at NQF Level 4 in Further Education and Training (FET) public and private colleges, as well as in other institutions offering FET Vocational programmes.

The *National Certificate (Vocational)* at Level 4 on the NQF enables students to acquire the necessary knowledge, practical skills, applied competence and understanding required for employment in a particular occupation or trade, or class of occupations or trades, or for entrance into Higher Education. The *National Certificate (Vocational)* at Level 4 on the NQF provides learning experiences in situations contextually relevant to the particular vocational area in which the programme is situated. The *National Certificate (Vocational)* at Level 4 on the NQF offers programmes comprising of subjects that consist of academic knowledge and theory, integrated with the practical skills and values specific to each vocational area.

2.2 Entrance requirements

The minimum entrance requirements for the *National Certificate (Vocational)* at Level 4 on the NQF are:

- a. An NQF Level 3 *National Certificate (Vocational)* obtained at a FET college, indicating that the student has met the minimum subject requirements at Level 3; or
- b. An appropriate registered equivalent qualification obtained at NQF Level 3; or
- c. A bridging programme designed for the specific purpose of access to NQF Level 4; or

- d. A Recognition of Prior Learning (RPL) assessment for Grade 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.

2.3 Duration of the qualification

- a. The duration of the *National Certificate (Vocational)* at Level 4 on the NQF programmes for full-time students is a minimum period of one year. Part-time candidates may spread their programme over a longer period than one year. A maximum period of three years is allowed for the completion of part-time programmes.
- b. A *National Certificate (Vocational)* at Level 4 will be issued to both full- and part-time candidates once they have complied with the requirements contemplated in section 2.7 in this document.

2.4 The design of the *National Certificate (Vocational)* at Level 4

- a. The Fundamental component of the *National Certificate (Vocational)* at Level 4 comprises three compulsory subjects.
- b. The Vocational component of the *National Certificate (Vocational)* at Level 4 is designed in terms of programmes comprising a minimum of four subjects.
- c. The purpose of the programme will determine the organising field and, in cases of finer specialisation, the relevant sub-fields as listed in Annexure A of the policy document for the *National Certificate (Vocational)*.

2.5 The structure of the qualification

The qualification comprises two components:

- a. Fundamental learning component

The Fundamental learning component is essential for the qualification and forms the basis for all other learning at that level. It comprises the following three subjects, selected from Annexure B from the policy document for the *National Certificate (Vocational)*.

Subject
One official Home or First Additional Language
Mathematics or Mathematical Literacy
Life Orientation

b. Vocational component

The Vocational component defines the qualification as being a specific specialisation. It involves learning experiences in situations contextually relevant to the particular vocational field, and it provides for the attainment of specific learning required for depth and specialisation within a particular programme. The Vocational component therefore indicates the specialisation of the programme. The Vocational component comprises four subjects, selected from the approved subjects listed in the policy document *National policy on the programme and promotion requirements of the National Certificates and Non-formal Programmes offered in Further Education and Training (FET) colleges*.

c. The three Fundamental learning subjects and four Vocational learning subjects define the *National Certificate (Vocational)*.

2.6 Subject combinations for awarding a National Certificate (Vocational)

Subjects are grouped into two main categories, Fundamental learning subjects and Vocational learning subjects.

2.6.1 Fundamental learning subjects

Fundamental learning subjects are the subjects that are compulsory for the *National Certificate (Vocational)*. Three subjects are selected:

- a. One South African official language: the official language must be offered on the Home Language level or First Additional Language level: Provided that the language is the language of learning and teaching (LOLT) at the institution that the candidate has attended.
- b. Mathematical Science: Mathematics or Mathematical Literacy.
- c. Human and Social Studies: Life Orientation.

2.6.2 Vocational learning subjects

Vocational learning subjects are grouped into sub-fields (instructional programmes) according to certain organising fields listed in Annexure A of the *policy document for National Certificate (Vocational)*.

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Nationally approved organising fields and sub-fields that comply with the requirements of the *National Certificate (Vocational)* at Level 4 on the NQF.

No.	Organising field	No.	Sub-fields/Ins
1	Agriculture and Nature Conservation	1 2 3 4 5	Primary Agriculture Secondary Agriculture Nature Conservation Forestry and Wood Technology Horticulture
2	Culture and Art	1 2 3 4 5 6 7	Design Studies Visual Arts Performing Arts Cultural Studies Music Sport Film, Television and Video
3	Business, Commerce and Management studies	1 2 3 4 5 6 7 8	Finance, Economics and Accounting Generic Management Human Resources Marketing Procurement Office Administration Public Administration Project Management Public Relations
4	Communication Studies and Language	1 2 3 4	Communication Studies Information Studies Language Literature
5	Education, Training and Development	1 2 3 4 5	Schooling Higher Education and Training Early Childhood Development Adult Learning Occupationally Directed ETD Practice
6	Manufacturing, Engineering and Technology	1 2 3 5 6	Engineering and Related Design Manufacturing and Assembly Fabrication and Extraction Process Plant Operations Process Instrumentation
7	Human and Social Studies	1 2 3 4 5 6	Environmental Relations General Social Studies Industrial and Organisational Governance and Human Resource Development People/Human-centred Development Public Policy, Politics and Democratic Citizenship Religious and Ethical Foundations of Society Rural and Agrarian Studies Traditions,

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No.	Organising field	No.	Sub-fields/Ins
		7	History and Legacies Urban and Regional Studies
8	Law, Military Science and Security	1 2 3	Safety in Society Justice in Society Sovereignty of the State
9	Health Sciences and Social Services	1 2 3 4	Preventive Health Promotive Health and Development Curative Health Rehabilitative Health/Service
10	Physical, Mathematical, Computer and Life Sciences	1 2 3 4 5 6	Mathematical Sciences Physical Sciences Life Sciences Information Technology and Computer Sciences Earth and Space Sciences Environmental Sciences
11	Services	1 2 3 4 5 6	Hospitality, Tourism, Travel, Gaming and Leisure Transport, Operations and Logistics Personal Care Wholesale and Retail Consumer Services Cleaning, Domestic, Hiring, Protecting and Rescue Services
12	Physical Planning and Construction	1 2 3 4	Physical Planning, Design and Management Building Construction Civil Engineering Construction Electrical Infrastructure Construction Drawing Office Practice

In order to comply with the certification requirements for a specific sub-field (Instructional program), four Vocational learning subjects must be selected as follows:

- a. Three subjects must be selected from one specific sub-field
- b. One subject can be chosen from any subfield in the organising field or from any other sub-field and organising field listed above.

2.6.3 Second language

Learners opting for the offering a second language must do so on at least First Additional Language level selected as follows:

- a. One of the eleven official languages listed at *Table B1* at *Annexure B* of the *policy document for National Certificate (Vocational)*;

- b. One Non-Official Language listed in the policy document *Further Education and Training College Programmes at Levels 2 to 4 on the National Qualifications Framework (NQF)*;
- c. The second language can be offered in lieu of the fourth optional Vocational subject.

2.7 Minimum requirements to obtain a National Certificate (Vocational)

- a. To obtain a *National Certificate (Vocational)*, a candidate must fulfil the minimum promotion requirements, viz:
 - i. offer and write examinations in not fewer than seven subjects;
 - ii. achieve **40%** in an official language on either First Additional Language level or Home Language level, provided that the language chosen is a language of learning and teaching (LOLT) of the institution (listed in *Table B1 of Annexure B of the policy document for National Certificate (Vocational)*);
 - iii. achieve **30%** in either Mathematics or Mathematics Literacy (listed in *Table B2 of Annexure B of the policy document for National Certificate (Vocational)*);
 - iv. achieve **40%** in Life Orientation (listed in *Table B3 of Annexure B of the policy document for National Certificate (Vocational)*);
 - v. achieve **50%** in four Vocational subjects (sub-fields listed in *Annexure A of the policy document for National Certificate (Vocational)*).
- b. A condonation of a maximum of one Fundamental subject to a maximum of 5% will be applied should the candidate need the specific Fundamental subject to obtain the *National Certificate (Vocational)*. Condonation of the Fundamental subject will be applied as follows:

Subject	Conditions for condonation
First Additional Language or Home Language	35%–39%
Mathematics or Mathematical Literacy	25%–29%
Life Orientation	35%–39%
Vocational Subjects	No condonation
First Additional Language or Home Language offered as a choice subject under the Vocational component	35%–39%
Subject offered in place of Mathematics or Mathematical Literacy (dyscalculia concession)	
<ul style="list-style-type: none"> • If a language is offered • If a Vocational subject is offered 	<ul style="list-style-type: none"> • 35%–39% • No condonation
<ul style="list-style-type: none"> • Second Additional Language (immigrants) 	<ul style="list-style-type: none"> • No condonation

<ul style="list-style-type: none"> Second Additional Language (candidates who experience barriers related to aurally impairment, aphasia and dyslexia) 	<ul style="list-style-type: none"> 25–29%
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c. Umalusi will issue a subject statement where a candidate does not meet the minimum requirements for the issuing of a *National Certificate (Vocational)* at the exit level.

2.8 Weighting of internal and external assessment

Umalusi certifies qualifications based on an internal assessment component and external examinations, both of which are mandatory and contribute to the candidate's final result.

All candidates (both full time and part time) *must* comply with the internal assessment requirements associated with this qualification. The assessment body must ensure that the directives for internal assessment as stipulated by Umalusi are adhered to.

Subject information required by Umalusi for determining a candidate's results must include the internal assessment mark (50%) as part of the final standardised marks.

Candidates who fail to present themselves for ICASS will be regarded as 'incomplete' and these candidates will not have a zero mark awarded. A zero is regarded as a mark and is awarded based on the evaluation of evidence provided.

The weighting for internal and external assessment is as follows:

Subject type	External assessment	Internal assessment
Home/First Additional Language	75%	25%
Mathematics/Mathematical Literacy	75%	25%
Life Orientation	75%	25%
4 Vocational learning subjects	50%	50%

The weighting for internal and external assessment in subjects with an Integrated Summative Assessment (ISAT) component is as follows:

Assessment tasks	End-of-year assessment
ICASS (Internal Continuous Assessment)	External written examination = 70%
	ISAT = 30%
50%	50%

The Internal Continuous Assessment mark will be valid up to the supplementary examination, and the Integrated Summative Assessment Task mark will be valid for a period of three years to enable a student to complete a qualification.

3. Minimum promotion requirements for awarding the *National Certificate (Vocational)* to candidates with special educational needs

Candidates with special educational needs are defined as candidates who experience barriers to learning.

The following concessions in respect of languages may apply to candidates who experience the following barriers to learning:

- (a) Candidates with aural impairment, aphasia and dyslexia whose language of instruction is not their home language may offer the compulsory First Additional Language at Second Additional Language level.
- (b) Candidates suffering from a mathematical disorder such as dyscalculia may be exempted from offering Mathematical Literacy or Mathematics, provided that another subject is offered in lieu of Mathematical Literacy or Mathematics.

In order for a candidate to qualify for the above-mentioned concessions, the candidate must be registered as a candidate with special educational needs.

4. Language requirements for immigrants

- 4.1 A candidate must be registered as an immigrant in order to be eligible for the concessions described in 4.2, below
- 4.2 An immigrant candidate may:
 - i. offer the required official language on at least Second Additional Language level.
- 4.3 The candidate must obtain a rating of at least 30% in the Official Language offered.

5. Provisos

- 5.1 In the selection of Fundamental learning subjects, the provisos as stipulated in paragraph 5.3 will apply. These requirements will also apply in terms of additional subjects, i.e. an eighth and/or a ninth subject. Umalusi will therefore not certify such a subject as part of the qualification.
- 5.2 Where a candidate however offered such a subject combination (paragraph 5.1) as a part-time candidate, after the first full-time sitting, and the candidate adhered to the minimum internal and external assessment requirements, a subject statement will be issued.
- 5.3 Candidates **may not** offer:
- i. both Mathematics and Mathematical Literacy
- 5.4 Only subjects described in the *Policy for the National Certificate (Vocational) at Level 2, 3 and 4 on the National Qualifications Framework* will be considered for the issuing of a *National Certificate (Vocational)*. No subjects from other levels or qualifications will be considered for combination in a *National Certificate (Vocational)* at Level 4.
- 5.5 Subject credits obtained in the *National Senior Certificate (Schools)* will not be considered for combination in a *National Certificate (Vocational)* at Level 4.

6. National Certificate (Vocational) scale of achievement

Umalusi uses the scales of achievement identified in the *Policy for the National Certificate (Vocational) at Levels 2, 3 and 4 of the National Qualifications Framework* to record a candidate's performance for subjects.

The scales are as follows:

a. Fundamental learning 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

b. Vocational learning 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

7. Minimum requirements to enter the examination

Full-time and part-time candidates should meet the promotion requirements for the qualification by successfully completing all subjects at *NC(V)* Levels 2 and 3 separately.

The Minister of Higher Education through Examination instruction 1 of 2009, issued by the then Department of Education, dated 13 January 2009, granted a concession for candidates that did not meet the promotion requirements for Levels 2 and 3 separately to continue at the next level. The minimum requirement has been determined to allow any *NC(V)* Level 2 and 3 candidates who write a supplementary examination to proceed to register at the next level only if they have passed three of their subjects at the previous level.

7.1 Full-time candidates

A full-time candidate is a candidate who has enrolled for tuition and who offers a *National Certificate (Vocational)* in a full-time capacity at a public or private college or any other accredited institution, and who presents seven subjects in terms of the *National Certificate (Vocational)* requirements.

7.2 Part-time candidates

A part-time candidate as defined in this document is a candidate who does not offer the qualification on a full-time basis, or an unsuccessful full-time candidate who enters for a subsequent examination that is not a supplementary examination, in order to fulfil the outstanding requirements of the qualification. For all purposes, such a candidate will be regarded as a part-time candidate in the certification process.

A part-time candidate may spread the duration of the qualification over a longer period of one year. A maximum period of three years is allowed for completing the programme.

For each examination session, a subject statement should be requested for the candidate before a replacement certificate (change of status) can be issued.

8. The supplementary examination

- 8.1. The supplementary examination is regarded as an extension of the main examination sitting, and a candidate can therefore only enter for a subject or subjects that he/she was entered for in the November examination sitting.
- 8.2. If a candidate has not met the minimum promotion requirements and certification requirements in the final external examination, such a candidate may register for the supplementary examination as stipulated in paragraph 8.3. These subjects must be subjects for which the candidate sat in the previous November examination sitting.
- 8.3. All NC(V) Levels 2, 3 and 4 candidates are eligible to write supplementary examinations in their selected subjects if they have achieved a pass in at least three subjects towards completion of subjects at a level. (Refer to Exam instruction No. 1 of 2009, issued by the then Department of Education).
- 8.4. In exceptional cases, candidates who are medically unfit and as a result are absent from one or more external examination, may have the supplementary examination regarded as part of the same sitting.
- 8.5. A candidate may be allowed to register for the supplementary examination subject to the conditions stated in the Policy on the Conduct, Administration and Management of the Assessment of the *National Certificate (Vocational)*.
- 8.6. In the case of death in the immediate family or other special reason, admission to the supplementary examination is at the discretion of the Department of Higher Education and Training.
- 8.7. Where an irregularity is being investigated, provisional entry may be granted to the candidate concerned, pending the outcome of the investigation.

9. Minimum admission requirements to Higher Education

- (a) The minimum admission requirements for entrance to a Higher Education programme are stipulated in Government Notice 1114 of 32743 of 26 November 2009. Umalusi will indicate on the certificate whether a candidate has achieved the minimum admission requirements for the relevant Higher Certificate, Diploma or Bachelor's Degree study. It is, however still the prerogative of higher education institutions in terms of Section 37 of the *Higher Education Act, 1997* (Act No.101 of 1997), to determine specific admission requirements for particular programmes.
- (b) Higher Education has determined minimum entry requirements for admission to the Higher Certificate, Diploma and Bachelor's Degree. Institutional and programme needs may require appropriate combinations of recognised *NC(V)* subjects and levels of achievement for admission into Higher Certificate, Diploma and Bachelor's Degree studies.
- (c) Recognised *National Certificate (Vocational)* subjects are subjects listed in the Appendix A to the policy document *Minimum Admission Requirements for Higher Certificate, Diploma and Bachelor's Degree programmes requiring a National Certificate (Vocational) at Level 4 of the National Qualifications Framework*.

9.1 Admission requirements for Higher Certificate

The minimum admission requirement for Higher Certificate:

- a) an *NC(V)*, as certified by Umalusi,
- b) compliance with the requirements for the language of learning and teaching in a higher education institution.

9.2 Admission requirements for Diploma

The minimum admission requirement for Diploma:

- a) an *NC(V)*, as certified by Umalusi,
- b) achieve at least 50% in three Fundamental subjects, including the language of learning and teaching of a higher education institution,
- c) achieve at least 60% in the three compulsory Vocational subjects.

9.3 Admission requirements for Bachelor's Degree

The minimum admission requirement for Bachelor's Degree:

- a) an *NC(V)*, as certified by Umalusi,

- b) achieve at least 60% in three Fundamental subjects, including the language of learning and teaching of a higher education institution,
- c) achieve at least 70% in the four Vocational subjects, chosen from the NC(V) registered subject list.

10. Subjects and messages listed on the National Certificate (Vocational)

- 10.1 A *National Certificate (Vocational)* lists only subjects passed by the candidate. Subjects failed are not listed on the *National Certificate (Vocational)* or on the subject statement.
- 10.2 A maximum of 12 subjects can be recorded on a *National Certificate (Vocational)*.
- 10.3 The subjects for the NC(V) are listed in the following order:
 - 10.3.1 *Fundamental learning subjects*
 - a) Language (Home Language)
 - b) Language (First Additional Language)
 - c) Mathematics or Mathematics Literacy
 - d) Life Orientation
 - 10.3.2 *Vocational learning subjects*
In alphabetical order
- 10.4 The achievement level and the percentage achieved for each subject is reflected on the certificate.
- 10.5 The certificate reflects the credits required to achieve the NC(V) Level 4 qualification, which constitutes 130 credits.
- 10.6 Once a candidate has been awarded an NC(V), and additional subject credits are obtained in a subsequent examination, excluding the supplementary examination, the additional subject credits are issued as a separate subject statement.
- 10.7 Umalusi issues a subject statement where a candidate has failed to achieve the minimum requirements for the qualification. Only subjects where the

candidate has achieved the minimum promotion requirements in a subject are recorded on the statement.

10.8 The following levels of recognition will be recorded on the *National Certificate (Vocational)* and on the subject statement:

- (a) **For achievement of the NC(V) at its most basic level:** This candidate is awarded the *National Certificate (Vocational)*.
- (b) **For those achieving at minimum levels for Higher Certificate admission:** This candidate is awarded the *National Certificate (Vocational)* and has met the minimum requirements for admission to Higher Certificate study as gazetted for admission to Higher Education, subject to the admission requirements of the Higher Education institution concerned.
- (c) **For those achieving at minimum levels for Higher Certificates and Diplomas:** This candidate is awarded the *National Certificate (Vocational)* and has met the minimum requirements for admission to Diploma or Higher Certificate study as gazetted for admission to Higher Education, subject to the admission requirements of Higher Education institution concerned.
- (d) **For those achieving at minimum levels for Higher Certificates, Diplomas and Bachelor's Degrees:** This candidate is awarded the *National Certificate (Vocational)* and has met the minimum requirements for admission to Bachelor's Degree, Diploma or Higher Certificate study as gazetted for admission to Higher Education, subject to the admission requirements of the Higher Education institution concerned.
- (e) **For those passing only subjects:** This subject statement is not a *National Certificate (Vocational)* but reflects the subjects attained.

11. Transaction types and transaction status

Umalusi issues certificates under eight different categories, and each has a status associated with it. Both the transaction type and status form part of the data structure format for requesting certificates. Paragraph 13.4.3, below, covers both the transaction type and transaction status – the first value reflects the transaction status, while the second value reflects the transaction type.

The transaction status indicates whether the certificate is a first issue, a replacement, a re-issue or a certificate that combines a candidate's results. These alternatives are explained in greater detail paragraph 11.1.

The transaction type identify mainly whether the certificate is a subject statement, an NC(V), or an NC(V) with admission to Higher Education. The status also indicates whether a candidate has failed all subjects or was withdrawn from the exam and/or was absent and/or has subjects outstanding.

11.1 Transaction Types and Transaction status

The transaction type and the applicable transaction status, level obtained and minimum admission requirements for Higher Education applicable for each transaction must be entered onto the type-3 record according to the candidate's marks and the minimum admission requirements as stipulated in paragraph 9:

- 1 - National Certificate(Vocational)
- 2 - Subject statement
- 3 - NC(V): Bachelor's Degree
- 4 - NC(V): Diploma
- 5 - NC(V): Higher Certificate
- 6 - Not used
- 7 - Withdraw/Absent/Outstanding
- 8 - Failed all subjects

Each transaction type and the information that must be submitted to Umalusi for certification is outlined under paragraph 13, which deals with the format for certification.

11.1.1 Examples of transaction types

The following example refers to a record for a *National Certificate (Vocational)* at Level 4 which is issued to candidates who met the minimum requirements for the *National Certificate (Vocational)* qualification. For more detail refer to paragraph 13.

Record type 3 – Candidate detail

Transaction status and transaction type	Values XY X->Transaction status 0 First issue 1 Replacement (Change of status) 2 Replacement (Original certificate) 3 Re-issue (Correction of errors) 4 Replacement (Post irregularity) 5 Replacement (Original lost and
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	Change of personal details) 6 Combination 7 Replacement (Complied with Level 4 pre-requisites) Y → Transaction type 1 NC(V) 2 Subject statement 3 NC(V): Bachelor's Degree 4 NC(V): Diploma 5 NC(V): Higher Certificate 6 Not used (NSC) 7 Withdraw/Absent/Outstanding 8 Failed all subjects
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For example: 01 – First issue: NC(V)
 31 – Re-issue: NC(V)

11.1.2 Outstanding

Candidates who enrolled for one or more subjects but who did not write the examination due to withdrawal (raw mark 999's) from the examination or absence, or who have a mark outstanding should be submitted to Umalusi as a Withdrawal/Absence/Outstanding type.

These transactions are for statistical purposes only.

11.1.3 Failed all subjects

Candidates who failed all the subjects they enrolled for should be sent as a 'Failed all subjects' transaction type.

These transactions are for statistical purposes only.

In cases where there are different reasons (such as absentee, withdrawal from some subjects or failed subjects) for a candidate not achieving credits in any subject registered for in the NC(V) qualification, the transaction should be submitted as 'failed all subjects'.

11.2 Transaction status

The transaction statuses and some of the possible attribute values applicable to some of the records must be entered onto the type-3 record:

- 0 - First issue
- 1 - Replacement (Change of status)
- 2 - Replacement (Original certificate)
- 3 - Re-issue (Correction of errors)

- 4 - Replacement (Post irregularity)
- 5 - Re-issue (Original lost and Change of personal details)
- 6 - Combination
- 7 - Replacement (Complied with Level 4 pre-requisites)

11.2.1 First issue certificate/subject statement

- (a) A first issue certificate is the first certificate issued to a candidate after writing an examination. If a candidate fulfilled the requirements for the requirements for the *National Certificate (Vocational)*, he/she receives a first issue certificate for one of the types explained in paragraph 11.1.1 – 11.1.3. For candidates not qualifying for a *National Certificate (Vocational)* but who have obtained a pass percentage in one or more subjects, a first issue subject statement is issued.

On first issue certificates, no examination dates are printed next to individual subjects, and the effective date of the certificate is the month following the date of the examination.

- (b) A candidate who has fulfilled the requirements for an *NC(V)* after he/she has written the supplementary examination, following the end of the year examination, is also issued with a first issue certificate. The supplementary examination is regarded as an extension of the main examination (See paragraph 8).

11.2.2 Replacement: change of status

- (a) A replacement certificate (change of status) is issued to a candidate who has not qualified for the *National Certificate (Vocational)* in one examination sitting, and who for each examination sitting, for example, has received a subject statement reflecting the relevant subject credits. If the candidate qualifies for the *National Certificate (Vocational)* when all the results have been combined, a Replacement: change of status certificate is issued to the candidate.
- (b) Replacement (change of status) certificates are printed with the examination date next to each individual subject, and the effective date of the certificate is the month following the last examination date.
- (c) The issuing of a replacement certificate (change of status) does not cancel the previous certificate issued and is not withdrawn.

- (d) Subject credits used in a request for a replacement *must* 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.
- (e) In the issuing of a first issue certificate or statement Umalusi checks the subject raw mark and standardisation information. In the application for a replacement certificate it is not required to submit the raw mark and standardisation information again.

11.2.3 Replacement: Original certificate lost, damaged or destroyed

Umalusi will issue a replacement certificate to replace a certificate that has been lost, destroyed or damaged *after* a candidate has been issued with the certificate.

In the case where a certificate was damaged, the original certificate must be returned to Umalusi before a replacement is issued.

An affidavit by the certificate holder to the effect that the certificate was lost or destroyed must be submitted to the assessment body with an application for a replacement certificate. It is the prerogative of Umalusi to request such evidence, if required, from the assessment body.

Umalusi will allow the following changes to a certificate that was lost:

- Correction of misspelt name or surname
- Correction of date of birth or ID number

Documentary evidence must be provided with the application.

11.2.4 Replacement: Post-irregularity

A Replacement certificate: Post-irregularity is issued on application in a case where a candidate was found guilty of an examination irregularity, and has been penalised by having his/her certificate withheld for a period of time after the writing of the examination. The candidate may receive a subject statement at the time of the irregularity, but his/her *National Certificate (Vocational)* will be withheld as a form of sanction.

Where a candidate's behaviour was irregular in one or more subjects, but the whole of the examination result has not been forfeited, a subject statement is requested for the subject/s in which the candidate behaviour

was not irregular. The irregular status will be reflected on the candidate's record, but not on the subject statement.

Where a candidate has been found guilty of irregular behaviour, but has also met the minimum requirements for the issuing of the *NC(V)*, and a sanction period of at least one year has been imposed, only a subject statement reflecting the subject results may be issued.

Only once the sanction period has elapsed may a replacement certificate be requested if the status of the certificate issued changes.

The Replacement certificate: Post Irregularity will reflect an inception date 12 months or more after the examination sitting at which the subjects were written, depending on the length of the exclusion period/sanction.

Where a candidate's behaviour was irregular, and he/she is obliged to re-write one or more subjects to comply with the minimum requirements for awarding of the qualification, the candidate will be eligible to re-write only after the sanction has elapsed. Before it issues a replacement certificate, Umalusi will check whether the subjects were re-written after the sanction had elapsed.

In the issuing of a first issue certificate or statement Umalusi checks the subject raw mark and standardisation information. In the application for a replacement certificate it is not required to submit the raw mark and standardisation information again.

11.2.5 Replacement (Complied with Level 4 pre-requisites)

It should be noted that where a candidate did not comply with the requirements for *NC(V)* Levels 2 and 3 before the candidate completes all requirements for the issuing of an *NC(V)* Level 4 certificate, a subject statement is issued. Only after there is evidence that the candidate complied with all requirements for Levels 2 and 3 can a certificate be issued for *NC(V)* Level 4. The date with effect will be the month following the date on which the final Level 3 examination was written.

In these cases, the transaction type must be a replacement Level 4 pre-requisite compliant when applying for the *NC(V)* Level 4 certificate. The effective date will be the month following the examination date on which the candidate complied with the requirements for the issuing of the *NC(V)* Level 3 certificate. The subject certificate numbers for all subjects should be reflected in the subject statement/certificate number field at the subject level. The previous certificate number field should contain the DHET document number issued for the *NC(V)* Level 3.

In the issuing of a first issue certificate or statement Umalusi checks the subject raw mark and standardisation information. In the application for a replacement certificate it is not required to submit the raw mark and standardisation information again.

11.2.6 Re-issues

The following procedure is required in an application for a re-issue:

- (i) the request for a re-issue must be made through an assessment body;
- (ii) the original certificate must be returned; and
- (iii) the verification process must be undertaken for *each* of the documents submitted, along with the changes made so that the computerised system used for certification is able to recognise the reasons for re-issue, and this should help ensure that fraudulent certificates do not go into circulation.

11.2.6.1 Re-issue: Loss of certificate before receipt

- (a) Where a certificate was issued to a candidate but the certificate was lost by the assessment body *before* delivery to the candidate, the assessment body should submit a re-issue application for such a certificate and provide an affidavit in this regard, as well as a detailed explanation on measures implemented to locate the missing certificate.
- (b) A certificate will be re-issued (change of status) to a candidate on application who has received a NC(V) certificate and has obtained a better promotion status because of a remark or a supplementary examination. The original certificate is withdrawn in such a case.

11.2.6.2 Re-issue: Incorrect information printed on the certificate

- (a) In cases where the spelling of a name on an identity document (ID), an ID number or a date of birth has been changed as a result of an error on the part of the Department of Home Affairs, as well as in cases where the candidate is found to share the same identity number with another person and the ID number has been changed unilaterally by the Department of Home Affairs, an application for a re-issue for consideration by the Umalusi Council may be made.

The following documentation will be needed:

- certified copies of the old and new identity documents;
- a sworn statement (affidavit) by the candidate;
- the original certificate;
- a confirmation letter from the Department of Home Affairs; and

- a formal electronic request by the assessment body.
- (b) In a case where the candidate is not in possession of a birth registration certificate, and the date of birth is to be changed, he/she must endeavour to provide a form of evidence such as a clinic card, baptismal certificate, confirmation certificate or school report that reflects the person's name and date of birth. Should the person have no such documentation, he/she must attest to this fact in an affidavit.

In addition, the candidate must present herself/himself with the above-mentioned documentation and be interviewed by two officials at the assessment body concerned, who should confirm by way of an affidavit that the candidate was interviewed and that the person requesting the re-issue is the person represented in the identity submitted. These affidavits are to accompany the application for the re-issuing of a certificate.

11.2.6.3 Re-issue: Change of marks / subjects

A certificate may be re-issued where a mark change or a subject change is made after a certificate was issued. Such requests might also include cases where the candidate has obtained a better promotion status because of a re-mark or a supplementary examination. The original certificate is withdrawn in such a case. The assessment body should submit an explanation for such changes together with the application for a re-issue.

11.2.6.4 Re-issue: Legal alteration of personal details

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

In the situation where a person has changed his or her name through a legal process and wishes to have the certificate re-issued in a new name, the person may through the relevant assessment body make an application to Umalusi for a re-issue, with a change of personal details being reflected on the Umalusi database, subject to the procedure and requirement outlined in par 11.2.6 (i - iii).

In addition, the candidate must present herself/himself with the above-mentioned documentation and be interviewed by two officials at the assessment body concerned, who should confirm by way of an affidavit that the candidate was interviewed and that the person

requesting the re-issue is the person represented in the identity submitted. These affidavits are to accompany the application for the re-issuing of a certificate.

11.2.6.5 Re-issue: Alteration of sex description and sex status

In a situation where the Director-General of the Department of Home Affairs has granted an application in terms of the *Alteration of Sex Description and Sex Status Act, 2003*, and the person's sex-description has been altered accordingly, the person may through the relevant assessment body make an application to Umalusi for a re-issue with a change of name/personal details (if requested) and a re-assignment of the sex description on the Umalusi data-base.

For applications with regard to sex description and sex status, the following documentation is required:

- a. Certified copies of the old and new IDs belonging to the candidate.
- b. A sworn statement (affidavit) by the candidate.
- c. The original certificate.
- d. A letter from the Department of Home Affairs confirming that it has, on behalf of the person in question, acted in terms of Section 27A of the *Births and Deaths Registration Act, 1992*, and that it has altered the sex description (and the names) of that person.
- e. Formal electronic request by the assessment body.

11.2.6 Combination

A combination is issued when a candidate has written his/her examinations at the same sitting with two assessment bodies. Both assessment bodies must certify results separately for subject statements, and thereafter, one of the assessment bodies should request a combination certificate where the results are combined.

In the issuing of a first issue certificate or statement Umalusi checks the subject raw mark and standardisation information. In the application for a replacement certificate it is not required to submit the raw mark and standardisation information again.

12. Processing of dataset received

- (a) The assessment body must send the dataset information by e-mail to the following e-mail address: certification@umalusi.org.za. The following information must be indicated in the e-mail:
- i. Assessment body code and name
 - ii. Name of dataset to be processed
- (b) Umalusi will register the dataset on the certification system. An e-mail will be sent to the contact person of the assessment body indicating that the dataset was received by Umalusi.
- (c) Umalusi will process the dataset. The following steps will be followed:
- i. Uploading of information in the dataset onto the system;
 - ii. Evaluation of candidate records in the dataset;
 - iii. If required, receipt of supporting documentation for re-issues and replacements;
 - iv. Calculation of amounts to be paid by assessment bodies;
 - v. Printing of certificates;
 - vi. Generation of return dataset.
Should Umalusi encounter an error during the uploading process, an e-mail will be sent to the contact person of the assessment body informing him or her of the errors encountered. Umalusi will await a new dataset from the assessment body before continuing.
- (d) After the return dataset has been created, an e-mail will be sent to the contact person of the assessment body informing him/her that the output dataset was created.
- (e) When printed certificates and relevant documentation are ready for collection, the assessment body will be informed by way of an e-mail either that the certificates are to be collected from Umalusi or that certificates will be distributed to the relevant assessment body as arranged.
- (f) For assessment bodies who have indicated that the certificates must be couriered to them, an e-mail will be sent with the tracking number.

12.1 Information needed for processing of datasets

- (a) Umalusi requires the following contact details and information from assessment bodies, in order to contact them and to e-mail feedback to them about the processing of the dataset. Up to four details for contact persons can be submitted to Umalusi. The information required is:
- i. Contact person
 - ii. Work telephone number
 - iii. Fax number
 - iv. Cell number
 - v. E-mail address
 - vi. Indication of whether certificates will be collected by the assessment body or whether Umalusi should dispatch the certificates to the assessment body.
- (b) Umalusi also requires the following information regarding examination centres:
- i. Examination centre number
 - ii. Examination centre name
 - iii. Region
 - iv. Circuit
 - v. Postal address
 - vi. Street address
 - vii. Telephone number
 - viii. Fax number
 - ix. E-mail address
 - x. Language of learning and teaching (Afrikaans, English or both)
 - xi. Registration type (full-time, part-time)
 - xii. Centre type (Public, Private, Special, Independent)

13. Format for requesting certificates

13.1 Introduction

This part of the directive provides the format for the transfer of information. These directives are subject to review from time to time or when Umalusi deems this necessary. Paragraphs 13 - 15 of this directive provide the format in which the information is submitted to Umalusi, and give specific indicators and field values that *must* be used in the transfer of the information.

Assessment bodies are required to submit candidate information for certification to Umalusi in an electronic format.

13.2 Electronic data set:

13.2.1 Naming Conventions

13.2.1.1 Input dataset

The following naming convention must be used when datasets are created by assessment bodies

Format: OZOZ9.OZ9.IzzCVnnn.DAyyymmdd where

I = Input dataset

zz = assessment body code (See paragraph 15.1, below)

nnn = sequential run number

yy = the year created, for example, 08 if created in 2008

mm = month created

dd = day created.

Example: OZOZ9.OZ9.I08CV123.DA100102

13.2.1.2 Output dataset

The return dataset uses the same convention, but the 'I' will be replaced when created.

Example: OZOZ9.OZ9.Q08CV123.DA100102

13.2.2 Submitting of datasets to Umalusi

13.2.2.1 Department of Higher Education and Training (DHET)

The DHET must submit datasets directly onto the mainframe.

13.2.2.2 Other assessment bodies

Other assessment bodies may submit the input datasets electronically to Umalusias arranged.

13.2.3 Returning datasets to assessment bodies

13.2.3.1 Department of Higher Education and Training

Return datasets for the DHET will be created on the mainframe, and the DHET must retrieve the datasets from the mainframe to upload it in order to obtain the necessary information provided in the output datasets.

13.2.3.2 Other assessment bodies

For other assessment bodies, Umalusi will download the dataset created on the mainframe as a text file and submit it to the assessment body as arranged.

13.3 Composition of data records

All incomplete data elements must be filled with spaces for alpha-numeric elements or zeroes for numeric elements.

14.3.1 Alpha-numeric data elements, e.g. A10, must be left-justified with trailing spaces to fill the field.

14.3.2 Numeric data elements must be right-justified with leading zeroes to fill the field.

14.3.3 Special characters ',' (comma) and ';' (semi-colon) must not be used.

13.4 Data structure

The total length of the data record is 1923 characters.

13.4.1 Record type 1 – Assessment body detail.

Field description	Type and length	Field descriptions and values
Record type	N(01)	Value = '1'
Assessment body code	N(02)	Refer to par 15.1
Assessment body name	A(100)	Official name of the assessment body
Date dataset created	N(08)	Format CCYYMMDD
Subsystem	A(03)	NC(V)
Filler	A(1809)	Value spaces

13.4.2 Record type 2 – Examination centre detail

Field description	Type and length	Field description and values
Record type	N(01)	Value = '2'
FET College number	N(10)	FET College unique number e.g. 0101000000 Province code = First two characters FET group number = Second two characters FET College information must be left zeroes 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)	

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FET College postal address 3	A(30)	
FET College postal address 4	A(30)	
FET College postal code	A(04)	
Campus/Centre number	N(10)	Unique campus number e.g. 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 = Not used 3 = Sub centres 4 = Correctional services 5 = Distance Education colleges 6 = Foreign colleges
Filler	A(1490)	

13.4.3 Record type 3 – Candidate detail

Field description	Type and length	Field descriptions and values
Record type	N(01)	Value = '3'
Examination centre number	N(10)	Number of the centre where candidate registered and wrote the exam.
Examination date	N(06)	Format CCYYMM
Transaction status and transaction type	N(02)	Values XY X->Transaction status 0 = First issue 1 = Replacement (Change of status) 2 = Replacement (Original certificate) 3 = Re-issue (Correction of errors) 4 = Replacement (Post irregularity) 5 = Replacement (Original lost and Change of personal details) 6 = Combination 7 = Replacement (Complied with Level 4 pre-requisites) Y →Transaction type 1 = NC(V) 2 = Subject statement 3 = NC(V): Bachelor's Degree

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		<p>4 = NC(V): Diploma 5 = NC(V): Higher Certificate 6 = Not used (NSC) 7 = Withdraw/Absent/Outstanding 8 = Failed all subjects</p>
Instructional programme code	N(10)	Programme codes for the <i>National Certificate (Vocational)</i> programmes as published in the NC(V) Policy
Candidate examination no.	N(13)	
Attendance type	N(01)	<p>1 = Full time 2 = Part time</p>
Surname	A(55)	
Given name(s)	A(55)	Name(s) up to 50 characters; thereafter, only initials are accepted
Date of birth	N(08)	Format CCYYMMDD
Gender	N(01)	<p>1 = Male 2 = Female</p>
ID number	N(13)	
Immigrant	A(01)	<p>Y = Candidate is an immigrant N = Candidate is not an immigrant</p>
Special conditions	N(02)	<p>00 = None 03 = Dyslexia 05 = Aphasia 07 = Aurally impaired 10 = Dyscalculia 13 = Dyslexia and dyscalculia 15 = Aphasia and dyscalculia 17 = Aurally impaired and dyscalculia</p>
Not used	A(01)	
Race	A(01)	<p>A = Asian B = Black C = Coloured I = Indian W = White N = Not indicated</p>
Language of learning and teaching (LOLT)	N(02)	<p>01 = Afrikaans 02 = English 03 = IsiNdebele 04 = IsiXhosa 05 = IsiZulu 06 = Sepedi 07 = Sesotho 08 = Setswana 09 = Siswati 10 = Tshivenda 11 = Xitsonga</p>
Irregularity indicator	N(01)	<p>0 = No irregularities 1 = Guilty of examination irregularity</p>

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Irregularity date	N(08)	Format CCYYMMDD The date when the irregularity will be lifted. In cases where there is not a sanction period this field should be filled with zeroes
Level obtained	N(02)	01 = <i>National Certificate (Vocational)</i> 02 = Too few subjects for NC(V) qualification 03 = Failed all subjects 04 = Candidate withdrawal (a candidate who enrolled for the examination but who did not write any subject)
Higher education admission	A(01)	B = Bachelor's Degree D = Diploma H = Higher Certificate ' ' = Space
Level 4 pre-requisites	N(01)	0 = Complied with requirements for level 1 = Level 3 requirements outstanding
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) For first issue and a replacement (Change of status) submit the NC(V) Level 3 document number as allocated by DHET
Cancellation code	N(02)	1 = Mark adjustment 2 = Name corrections 3 = Change of subject 4 = Certificate lost/damaged 5 = Incorrect date of birth/ID number 6 = Certificate lost and correction of name or date of birth/ID number 7 = Change of personal details – legal process 8 = Combination of different errors
Cancellation date	N(08)	Format CCYYMMDD
Number of subjects	N(02)	The number of subjects the candidate offered
Certificate language preference (plus English)	N(02)	01 = Afrikaans 02 = English only 03 = IsiNdebele 04 = IsiXhosa 05 = IsiZulu 06 = Sepedi 07 = Sesotho 08 = Setswana 09 = Siswati 10 = Tshivenda 11 = Xitsonga
Filler	A(01)	
Subject information (occurs up to 15 times)		N(113) * 15 = 1695 characters

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Subject code	N(10)	Subject codes as in the NC(V) policy	
Percentage obtained	N(03)	The percentage the candidate has obtained 999: Candidate absent for subject 777: Outstanding mark 333: Candidate was irregular in the subject	
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% 0 = for absent, withdrawal, outstanding external marks and irregular subjects	Vocational subjects 5 = 80%–100% 4 = 70%–79% 3 = 50%–69% 2 = 40%–49% 1 = 0%–39% 0 = for absent, withdrawal, outstanding external marks and irregular subjects
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% 0 = for absent, withdrawal, outstanding external marks and irregular subjects	Vocational subjects The same as rating obtained
Subject indicator	N(02)	1 = Obtained minimum percentage 2 = Condoned to minimum percentage 3 = Did not obtain minimum percentage 5 = Irregular in subject 7 = Mark is outstanding – any component 8 = Withdrawal 9 = Absent in any subject component	
Date subject offered	N(06)	Format CCYYMM	
Subject irregularity indicator	N(01)	Indicator if a candidate was guilty of irregularity in a specific subject 0 = Not Guilty of irregularity 1 = Guilty of irregularity	
Subject statement or certificate number	A(12)	A subject statement or certificate number has to be provided for all replacement documents (Change of status) For example: If a candidate wrote two subjects in	

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		200811 and five in 200911, and the issue date is December 2009, subject statements are required for all the subjects
Paper 1 – raw mark	N(03)	Raw mark for paper 1 999 = Absent 777 = Outstanding 333 Candidate was irregular in the subject
Paper 2 – raw mark	N(03)	Raw mark for paper 2 999 = Absent 777 = Outstanding 333 Candidate was irregular in the subject
Paper 3 – raw mark	N(03)	Raw mark for paper 3 999 = Absent 777 = Outstanding 333 Candidate was irregular in the subject
Paper 4 – raw mark	N(03)	Raw mark for paper 4 999 = Absent 777 = Outstanding 333 = Candidate was irregular in the subject
Not used	N(03)	Fill with leading zeroes
Integrated summative assessment (ISAT) – raw mark	N(03)	Raw mark for Integrated Summative Assessment Tasks (ISAT) 999 = Absent 777 = Outstanding 333 = Candidate was irregular in the subject
Internal continues assessment (ICASS) – raw mark	N(03)	Raw mark for ICASS 999 = Absent 777 = Outstanding 333 = Candidate was irregular for subject
Not used	N(03)	Fill with leading zeroes
Not used	N(03)	Fill with leading zeroes
Disregard ICASS mark	A(01)	A 'Y' should be in this field if the ICASS mark must be disregarded during the calculation of the final percentage due to the standard deviation being less than 5% during the statistical moderation process
Sign (positive/negative adjustment)	A(01)	+ or – sign, space for zero adjustment
Adjustment: External assessment	N(3.7)	Example: 005.1234567
Sign (positive/negative adjustment)	A(01)	+ or – sign; space for zero adjustment
Adjustment: Integrated summative assessment task (ISAT)	N(3.7)	
Sign (positive/negative adjustment)	A(01)	+ or – sign; space for zero adjustment
Adjustment: Internal continuous assessment (ICASS)	N(3.7)	
Sign (positive/negative adjustment)	A(01)	+ or – sign; space for zero adjustment

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adjustment)		
Final adjustment on pre-promotion mark	N(3.7)	
Not used	A(01)	
End of subject information		

13.4.4 Record type 4 – Control record detail

Field description	Type and length	Field descriptions and values
Record type	N(01)	Value = '4'
Number of type-2 records	N(06)	Number of examination centres
Hash total type-2 records	N(06)	Last 6 characters of the total of the last three characters of the examination centres' numbers, e.g. 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 examination centres's numbers, e.g. 765419632, thus 419632
Hash total	N(06)	Total number of records on dataset excluding record type 4
Filler	A(1892)	

14. Format for the output data set to assessment body

14.1 Data structure

The total length of the data record is 1412 characters.

14.1.1 Record type 1 – Assessment body detail.

Field description	Type and length	Field descriptions and values
Record type	N(01)	Value = '1'
Assessment body code	N(02)	Refer to paragraph 15.1
Assessment body name	A(100)	Official name of the assessment body
Date created	N(08)	Format CCYYMMDD Date dataset was created
Subsystem	A(03)	Indicate the subsystem: NC(V)
Filler	A(1298)	Value spaces

14.1.2 Record type 2 – Examination centre detail

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Field description	Type and length	Field description and values
Record type	N(01)	Value = '2'
FET College number	N(10)	FET College unique number, e.g. 0101000000 Province code = first two characters FET group number = second two characters FET College information must be left zeroes 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(04)	
Campus/Centre number	N(10)	Unique campus number, e.g. 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 = Not used 3 = Sub-centres 4 = Correctional Services 5 = Distance education colleges 6 = Foreign examination centres
Filler	A(979)	

14.1.3 Record type 3 – Candidate detail

Field description	Type and length	Field descriptions and values
Record type	N(01)	Value = '3'
Examination centre number	N(10)	The examination centre number where the candidate registered and wrote the exam
Examination date	N(06)	Format CCYYMM
Transaction status and transaction type	N(02)	Values XY X->Transaction status 0 = First issue 1 = Replacement (Change of Status) 2 = Replacement (Original certificate)

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		<p>3 = Re-issue (Correction of errors) 4 = Replacement (Post irregularity) 5 = Re-issue (Original lost and Change of personal details) 6 = Combination 7 = Replacement (Complied with Level 4 pre-requisites)</p> <p>Y → Transaction type 1 = NC(V) 2 = Subject statement 3 = NC(V): Bachelor's Degree 4 = NC(V): Diploma 5 = NC(V): Higher Certificate 6 = Not used 7 = Withdraw/Absent/Outstanding 8 = Failed all subjects</p>
Transaction status and Transaction type as determined by UMALUSI.	N(02)	<p>1 = Replacement (Change of Status) 2 = Replacement (Original certificate) 3 = Re-issue (Correction of errors) 4 = Replacement (Post irregularity) 5 = Replacement (Original lost and Change of personal details) 6 = Combination 7 = Replacement (Complied with Level 4 pre-requisites)</p> <p>Y → Transaction type 1 = NC(V) 2 = Subject statement 3 = NC(V): Bachelor's Degree 4 = NC(V): Diploma 5 = NC(V): Higher Certificate 6 = Not used 7 = Withdraw/Absent/Outstanding 8 = Failed all subjects</p>
Instructional programme code	N(10)	Programme codes for the <i>National Certificate (Vocational)</i> programmes as published in the NC(V) policy
Candidate examination no.	N(13)	
Attendance type	N(01)	<p>1 = Full time 2 = Part time 3 = Repeat candidate</p>
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)	<p>1 = Male 2 = Female</p>
ID number	N(13)	
Immigrant	A(01)	<p>Y = Candidate is an immigrant N= Candidate is not an immigrant</p>
Special conditions	N(02)	01 = None

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		03 = Dyslexia 05 = Aphasia 07 = Aurally impaired 10 = Dyscalculia 13 = Dyslexia and dyscalculia 15 = Aphasia and dyscalculia 17 = Aurally impaired and dyscalculia
Not used	A(01)	
Race	A(01)	A = Asian B = Black C = Coloured; I = Indian W = White N = Not indicated
Language of learning and teaching (LOLT)	N(02)	01 = Afrikaans 02 = English 03 = IsiNdebele 04 = IsiXhosa 05 = IsiZulu 06 = Sepedi 07 = Sesotho 08 = Setswana 09 = Siswati 10 = Tshivenda 11 = Xitsonga
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 In cases where there is not a sanction period this field should be filled with zeroes
Level obtained – assessment body	N(02)	Level obtained as calculated by assessment body 01 = <i>National Certificate (Vocational)</i> 02 = Too few subjects for NC(V) qualification 03 = Failed all subjects 04 = Candidate withdrawal (candidate who enrolled for examination but who did not write any subject)
Level obtained – Umalusi	N(02)	Level obtained as calculated by assessment body 01 = <i>National Certificate (Vocational)</i> 02 = Too few subjects for NC(V) qualification 03 = Failed all subjects 04 = Candidate withdrawal (Candidate who enrolled for examination but who did not write any subject)

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Higher Education assessment – assessment body	A(01)	B = Bachelor's Degree D = Diploma H = Higher Certificate ' ' = Space
Higher Education assessment – Umalusi	A(01)	B = Bachelor's Degree D = Diploma H = Higher Certificate ' ' = Space
Date with effect from	N(06)	Format CCYYMM
Previous certificate number	A(12)	The certificate number being replaced for: <ul style="list-style-type: none"> • Replacement (Original certificate) • Re-issue (Correction of errors) • 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 Incorrect date of birth/ID number 6 = Certificate lost and Correction of name or date of birth/ID number 7 = Change of personal details – legal process 8 = Combination of different errors
Cancellation date	N(08)	Format CCYYMMDD
Number of evaluation errors	N(02)	Number of evaluation errors for candidate, e.g. 02
Evaluation error codes	A(20)	Evaluation error codes E.g. 20\21 Error codes and descriptions will be supplied
Number of capturing errors	N(02)	Number of capturing errors for candidate, e.g. 03
Capturing error codes	A(20)	Capturing error codes, e.g. 1\5\8 Error codes and descriptions will be supplied
Number of subjects	N(02)	The number of subjects the candidate offered
Subject information (occurs 15 times)		N(75) * 15 = 1125 characters
Subject code	N(10)	Subject codes as in the NC(V) policy
Percentage obtained – assessment body	N(03)	The percentage the candidate obtained as calculated by assessment body 999: Candidate absent for subject 777: Outstanding mark 333: Candidate was irregular in the subject
Percentage obtained - Umalusi	N(03)	The percentage the candidate obtained as calculated by Umalusi

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		999: Candidate absent for subject 777: Outstanding mark 333: Candidate was irregular in the subject	
Rating obtained – assessment body	N(01)	The rating obtained as calculated by the assessment body	
		Fundamental subjects: 7 = 80%–100% 6 = 70%–79% 5 = 60%–69% 4 = 50%–59% 3 = 40%–49% 2 = 30%–39% 1 = 0%–29% 0 = for absent, withdrawal, outstanding external marks and irregular subjects	Vocational subjects 5 = 80%–100% 4 = 70%–79% 3 = 50%–69% 2 = 40%–49% 1 = 0%–39% 0 = for absent, withdrawal, outstanding external marks and irregular subjects
Rating obtained – Umalusi	N(01)	The rating obtained 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% 0 = for absent, withdrawal, outstanding external marks and irregular subjects	Vocational subjects 5 = 80%–100% 4 = 70%–79% 3 = 50%–69% 2 = 40%–49% 1 = 0%–39% 0 = for absent, withdrawal, outstanding external marks and irregular subjects
Rating adjusted – assessment body	N(01)	The rating adjusted as calculated by the assessment body	
		Fundamental subjects: 7 = 80%–100% 6 = 70%–79% 5 = 60%–69% 4 = 50%–59% 3 = 40%–49% 2 = 30%–39% 1 = 0%–29% 0 = for absent, withdrawal, outstanding external marks and irregular	Vocational subjects The same as rating obtained

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		subjects	
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% 0 = for absent, withdrawal, outstanding external marks and irregular subjects	Vocational subjects The same as rating obtained
Subject indicator – assessment body	N(02)	The subject indicator as calculated by the assessment body 1 = Obtained minimum percentage 2 = Condoned to minimum percentage 3 = Did not obtain minimum percentage 5 = Irregular in subject 7 = Mark is outstanding – any component 8 = Withdrawal 9 = Absent in any subject component	
Subject indicator – Umalusi	N(02)	The subject indicator as calculated by Umalusi 1 = Obtained minimum percentage 2 = Condoned to minimum percentage 3 = Did not obtain minimum percentage 5 = Irregular in subject 7 = Mark is outstanding – any component 8 = Withdraw 9 = Absent in any subject component	
Date subject offered	N(06)	Format CCYMM	
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, e.g. 02	
Capturing error codes for subject	A(20)	The capturing error codes for subject, e.g. 49\61 Error codes and descriptions are supplied	
Number of evaluation errors found for subject	N(02)	The number of structure errors for the subject, e.g. 05	
Evaluation errors found for subject	A(20)	The structure errors for the subject, e.g. 5\6\8\9\10 Error codes and descriptions are supplied	

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End of subject information		
Certificate number	A(12)	Certificate number issued
Rejection indicator	N(02)	99 – Candidate was rejected 00 – Candidate was accepted

14.1.4 Record type 4 – Control record

Field description	Type and length	Field descriptions and values
Record type	N(01)	Value = '4'
Number of type-2 records	N(06)	Number of centres
Hash total type-2 records	N(06)	Last 6 characters of the total of the last three characters of the examination centres' numbers, e.g. 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 examination centres' numbers, e.g. 765419632, thus 419632
Hash total	N(06)	Total number of records on dataset, excluding record type 4
Filler	A(1381)	

15. Further clarification for certification for National Certificate (Vocational)

15.1 Assessment body code to be used for the National Certificate (Vocational)

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15.2 Due date and information for submission of data required for certification

15.2.1 *Assessment bodies must submit candidate data in respect of the November examination for certification to Umalusi by not later than three months after the examination results were released. Data for candidates who have applied to write the supplementary examinations or who have applied to have scripts re-marked, as well as appeals and irregularities should be submitted by not later than four months after the main examination.*

15.2.2 *All the subjects for which the candidate has enrolled must be submitted to Umalusi. This includes the subjects where marks are outstanding or where the candidate was absent for an examination.*

- 15.2.3 *A numerical mark must be supplied where subject information has been submitted.*
- 15.2.4 *Where a candidate enters for a supplementary examination following the November examination, to fulfil the outstanding requirements for the qualification, the candidate's attendance indicator should be the same as for the November examination.*
- 15.2.5 *Where a candidate enters for one or more subject/s in a supplementary examination following the main examination, to improve subject marks where a qualification has already been awarded, the attendance indicator should be indicated as was indicated for the November examination.*
- 15.2.6 *Given names must be supplied in full. Although provision is made for 55 characters for given names and 55 characters for surnames, a maximum of 70 characters (including spaces) can be accommodated on the certificate.*
- 15.2.7 *If a candidate's names exceed the space provided on the certificate, some of the given names will be printed in full, while the others may be replaced by initials.*
- 15.2.8 *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. The onus is on the assessment body to ascertain that the correct codes are provided.*
- 15.2.9 *Special characters in names will only be printed if supplied in the correct format.*
- 15.2.10 *The previous certificate number 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 for a change in personal details.*
- 15.2.11 *All the subject statement numbers/certificate numbers must be supplied in the case of an application for a replacement certificate (change of status).*
- 15.2.12 *The cancellation code and cancellation date must be supplied only when an application is made for a re-issue, or for a replacement of an original certificate in cases where a change in personal details has been legally sanctioned.*

- 15.2.13 *Assessment bodies should take care to use the appropriate indicators when records for candidates with special concessions are submitted, to ensure correct resulting (in particular the Immigrant and Special conditions fields in the Candidate details fields).*
- 15.2.14 *Where a candidate is found guilty of an examination irregularity in an examination and a subject statement is requested, the subject status will be indicated by a specific value ('1') for the subject irregularity indicator. The irregularity date for the upliftment of the irregularity sanction must also be supplied. Umalusi's system will reflect the date representing the end of the exclusion period. It will only process further data for this candidate after the sanction has been lifted.*
- 15.2.15 *Application for the issuing of an NC(V) for of a candidate who has committed an irregularity in an examination cannot be made for such a candidate within the period that the candidate is excluded from the examination.*
- 15.2.16 *Certificates are automatically sorted according to centre numbers during the printing process.*
- 15.2.17 *The output dataset contains the error codes, as well as Umalusi's evaluation of the candidate, with special reference to transaction type, achievement level obtained and higher education indicator, as well as on a subject level, the percentage obtained, the rating obtained and the subject indicator. Assessment bodies must print their own error lists. Umalusi provides assessment bodies with explanations of the error codes.*
- 15.2.18 *The subject codes for the various subjects consist of 8 digits. The subject codes are defined in the Policy for the National Certificate (Vocational) Qualifications at Levels 2 to 4 on the National Qualifications framework.*
- 15.2.19 *Certificates are printed in English only, or in English and the language of choice of the candidate.*
- 15.2.20 *Due to limited space on a certificate, Umalusi will print a certificate in English only. Where a candidate requires the information printed on the certificate in another official language, an application for a transcript of the certificate may be requested by a candidate through an accredited assessment body.*
- 15.2.21 *Where a candidate has met the requirements of NC(V) Level 4 prior to completing all the requirements for Levels 2 and 3, the Level 4 pre-requisites field must be populated with a '1'. In this instance the transaction type will be a subject certificate.*

16. Verification of certificates

According to section 16(4)(e) of Act No. 58 of 2001, Umalusi is the only body that can issue certificates for qualifications, and it is also the Council's responsibility to verify the authenticity of certificates issued.

Umalusi is responsible for verifying its certificates in General and Further Education (NQF Levels 1-4), as indicated in paragraph 1 of this document.

Umalusi verifies all certificates issued by the South African Certification Council and Umalusi, the General and Further Education and Training Quality Assurance Council, issued since 1992.

Certificates issued prior to September 1992 are verified by the relevant assessment body.

The verification of certificates is carried out at a nominal fee. Umalusi reserves the right to review the tariff annually.