DIRECTIVES FOR CERTIFICATION
NATIONAL CERTIFICATE
(VOCATIONAL)
Levels 2 — 4

UMALUSI

**Council for Quality Assurance in
General and Further Education and Training**

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NATIONAL CERTIFICATE (VOCATIONAL)
Levels 2 — 4

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Abbreviations and Acronyms

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

Glossary

assessment body   means a department of education or a juristic body accredited by the Council as a body responsible for conducting internal assessment and external examinations;

candidate   means any learner, receiving tuition at a public or private FET college or at a learning institution registered with an accredited assessment body;

change of status   indicates that a certificate issued to a candidate has been replaced by a certificate with a higher status, resulting from the combination of subject credits over more than one examination sitting;

certification   means the formal recognition of the award of a qualification or part qualification to a successful learner;

condonation   the limited relaxation of promotion requirements in the case of a candidate who comes very close to meeting such requirements;

external examination   means 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   means a learner who has enrolled for tuition and who offers a *National Certificate (Vocational)* 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   means the level awarded to a specific subject against agreed criteria to indicate the level of achievement;

National Certificate (Vocational)	means the 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 *National Certificate (Vocational) (Level 4), a qualification at Level 4 on the NQF;*
National Qualification Framework (NQF)	(NQF) is a ten-level framework providing for the registration of national qualifications;
Part-time candidate	means a person who spreads his or her programme over a longer period than one year, as indicated in terms of *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.* 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	is a planned combination of Fundamental and Vocational subjects leading to a qualification;
Umalusi	the Council for Quality Assurance in General and Further Education and Training established in terms of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001);
withdrawn	refers to a candidate who 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 Levels 2 — 4 to Umalusi. This document is specific to the certification of the *National Certificate (Vocational)*.

This document:

- Provides guidelines that clarify the manner in which candidates results are determined after an examination;

- Outlines the specific directives regarding the submission of candidate information for certification;

- Provides the format in which information is to be submitted for certification and outlines the way in which Umalusi certifies;

- Provides the policy which governs the certification of the *NC(V)*; and

- Gives general information on the verification service offered by Umalusi.

1. Directives for certification

1.1 Introduction

The promulgation of the *National Qualifications Framework (NQF) Act, 2008*, (Act No 67 of 2008), constituted Umalusi as the Quality Council for General and Further Education and Training, as provided for in the amended General and Further Education and Training Quality Assurance Act (GENFETQA) of 2008. Umalusi now serves as the Quality Council for General and Further Education and Training.

In terms of the 2008 amendment of the *General and Further Education and Training Quality Assurance Act, 2001* (Act No 58 of 2001), and further explicated in Council Policy, Umalusi's responsibilities are identified as the development and management a sub-framework of qualifications, quality assurance of assessment (both internal and external) at exit points, certification, the accreditation of private assessment bodies and the monitoring of public assessment bodies, as well as the quality assurance of private education institutions that offer qualifications on the General and Further Education and Training Qualifications Sub-framework.

The *General and Further Education and Training Quality Assurance Act*, 2001 (Act No. 58 of 2001) legislates the quality assurance functions for which Umalusi is responsible. In terms of section 17(A)(6) 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.

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); and
- Subject Statement (*NC(V)* and *NSC*)

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 2006, *Policy for the National Certificate (Vocational) Qualifications at Level 2 to 4 on the National Qualifications framework, as amended.*
- 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.
- Quality Assurance of Assessment: Policies, Directives, Guidelines and Requirements, July 2006: Umalusi

All requests for certification must be made to Umalusi by an assessment body. Umalusi does not accept requests for certification from individual candidates.

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 Levels 2 – 4, registered on 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 assist assessment bodies to determine a candidate's results in terms of the requirements stipulated in the policy, and indicate the structure of the information required for submission to Umalusi for the issuing of candidates' certificates.

1.3 Changes to qualifications in Further Education and Training

In January 2007, the NC(V) Level 2 was offered in FET colleges for the first time and in 2008, the NC(V) Level 3 was phased in.

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 as an alternative occupational qualification has been registered 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 or accredited assessment body to:

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

An assessment body:

- determines the result of a candidate in accordance with the national policy on the *National Certificate (Vocational)*, a Qualification at Levels 2 - 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;

- supplies 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 for and the 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 but meets the requirements for one or more subjects.

1.6 Certification fees

Umalusi determines certification fees and informs assessment bodies in advance of 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 Levels 2 - 4 on the National Qualification Framework

2.1 Type of qualification

The *National Certificate (Vocational)* at Levels 2 - 4 on the NQF is aimed at students at NQF Levels 2 - 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 Levels 2 — 4 on the NQF offers programmes comprising subjects that consist of academic knowledge and theory, integrated with the practical skills and values specific to each vocational area.

The National Certificate (Vocational) at Level 2 of the NQF enables 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 occupations or trades.

The National Certificate (Vocational) at Level 3 of the NQF enables students to acquire the necessary knowledge, practical skills, applied competence and understanding required for employment at an intermediate level of a particular occupation or trade, or class of occupations or trades.

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.

2.2   Entrance requirements

2.2.1   The minimum entrance requirements for the National Certificate (Vocational) at Level 2 on the NQF *are:*
a.   A Grade 9 Certificate; or
b.   *An* Adult Education and Training (ABET) NQF Level 1 Certificate; or
c.   A recognised equivalent qualification obtained at NQF Level 1; or
d.   *An* approved bridging programme designed for the specific purpose of access to NQF Level 2; or
e.   A Recognition of Prior Learning (RPL) assessment programme, which meets the basic requirements for access to NQF Level 2.

2.2.2   The minimum entrance requirements for the National Certificate (Vocational) at Level 3 on the NQF are:
a.   A National Certificate (Vocational) at NQF Level 2; or
b.   A recognised equivalent qualification obtained at NQF Level 2; or
c.   *An* approved bridging programme designed for the specific
d.   purpose of access to NQF Level 3; or
e.   A Recognition of Prior Learning (RPL) assessment programme, which meets the basic requirements for access to NQF Level 3.

2.2.3   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 an 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 Levels 2, 3 and 4 on the NQF programmes for full-time students is a minimum period of one year for each level. Part-time candidates may spread their programme over a longer period than one year for each level. A maximum period of three years is allowed for the completion of part-time programmes for each level.

b. A *National Certificate (Vocational)* at Levels 2, 3 and 4 will be issued to both full- and part-time candidates once they have complied with the requirements contemplated in section 2.7 of this document.

2.4   The design of the *National Certificate (Vocational)* at Levels 2 - 4

a. The Fundamental component of the *National Certificate (Vocational)* at Levels 2, 3 and 4 comprises three compulsory subjects.

b. The Vocational component of the *National Certificate (Vocational)* at Levels 2, 3 and 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 to 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 specialisation. This component 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 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 and is required to be 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)*.

Nationally approved organising fields and sub-fields that comply with the requirements of NQF are used for the classification of the vocational instructional programmes for the *National Certificate (Vocational)* at Levels 2, 3 and 4 on the NQF.

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

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

In order to comply with the certification requirements for a specific sub-field (Instructional programme), 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 sub-field in the organising field or from any other sub-field and organising field listed above.

2.6.3 Second language

Learners opting to offer a second language must do so on at least First Additional Language level selected as follows:

a. One of the eleven official languages listed in *Table B1* in *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 a minimum of **40%** in an official language (listed in *Table B1* of *Annexure B* of the *policy document for National Certificate (Vocational)* 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*;*
  iii. achieve a minimum of **30%** in either Mathematics or Mathematics Literacy (listed in *Table B2* of *Annexure B* of the *policy document for National Certificate (Vocational);*
  iv. achieve a minimum of **40%** in Life Orientation (listed in *Table B3* of *Annexure B* of the *policy document for National Certificate (Vocational);*
  v. achieve a minimum of **50%** in four Vocational subjects (sub-fields listed in *Annexure A* of the *policy document for National Certificate (Vocational).*

b. A condonation 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) • If a language is offered • If a Vocational subject is offered	 • 35% – 39% • No condonation
• Second Additional Language (immigrants) • Second Additional Language (candidates who experience barriers related to aurally impairment, aphasia and dyslexia)	• No condonation • 25 – 29%

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, but meets the pass requirements for certain subjects offered.

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 until 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 education needs**

Candidates with special education 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 an 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 education 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 Levels 2, 3 and 4 on the National Qualifications Framework* will be considered for the issuing of a *National Certificate (Vocational)*.

5.5 Only subject credits in the *National Senior Certificate (Schools),* as approved by Umalusi and listed in par 5.6 will be considered for combination in a *National Certificate (Vocational)* at Levels 2, 3 and 4.

5.6 Umalusi has approved the recognition of credit transfer between the National Senior Certificate (Schools) and the National Certificate (Vocational) Level 4 with effect from January 2012 in the following subjects:

- English Home Language or FAL (passed at 40% and above)
- Mathematics (passed at 30% and above)
- Mathematical Literacy (passed at 30% and above)
- Physical Sciences (passed at 50% and above)

This recoginition will not be implemented retrospectively but is only applicable to new registrations for the NC(V) Levels 2, 3 and 4 from January 2012.

Where condonation was applied to a subject in the NSC, the condoned pass will be accepted as meeting the minimum requirements as stipulated above.

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 in 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 who did not meet the promotion requirements for Levels 2 and 3 separately, allowing them to continue to the next level. The minimum requirement was determined to allow any *NC(V)* Level 2 and 3 candidates who write a supplementary examination to proceed with registration for the next level only if they have passed three of their subjects at the previous level.

Where a candidate is/has been placed in a NC(V) programme on levels 3 or 4 without completing the pre-requisite NC(V) level and thus fulfilling the entry requirements as per the approved NC(V) qualification policy, through participating in an approved bridging programme, recognition of prior

learning or a recognised equivalent qualification, Umausi must be informed of the details of such candidates as the pre-requisite is tested in the certification process.

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 fulltime 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 fulltime basis, or an unsuccessful fulltime 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 than one year. A maximum period of three years is allowed for completing each of the NC(V) Level (2, 3 and 4) programmes.

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 which the candidate were registered for 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 main 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.

8.8.   Candidates who are enrolled for the supplementary examination should not be certified before the supplementary results are available. The following procedure should be followed for certification of these candidates:
- If the supplementary examination improves the promotional status, a first issue certificate will be issued with an effective date of the month following the supplementary exam date.
- If the supplementary results do not change the promotional status, the main examination and the supplementary examination will nevertheless be certified by means of a first issue certificate with an effective date one month following the last examination date, using whichever subject mark/s is/are better.

In the event that the main examination has been certified prior to the release of results for the supplementary examination, the following procedure will apply:

- If the candidate improves his/her promotion status or a subject result, a re-issue with the new promotion status, with the best subject marks, will be issued on request, with an effective date a month following the supplementary examination date.

- Alternatively a replacement certificate (change of status) can be requested subject to the certification of both the November and March examinations, only if the status of the November examination has improved through subjects offered in the March examination.

8.9   In the event where a candidate was found guilty of an irregularity in the supplementary examination, the results for the November and the Supplementary examination should not be combined, but certified separately. Only once the sanction period has expired, can a replacement certificate be requested, with an effective date, the month following the end of the sanction period of the irregularity, and only where the status has improved.

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 as applicable. 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 study, however 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 *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 study**
The minimum admission requirement for Higher Certificate study is:
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 study**
The minimum admission requirement for Diploma study is:
a) an *NC(V)*, as certified by Umalusi,

b) achievement of at least 50% in three Fundamental subjects, including the language of learning and teaching of a higher education institution,

c) achievement of at least 60% in the three compulsory Vocational subjects.

9.3 **Admission requirements for Bachelor's Degree study**
The minimum admission requirement for Bachelor's Degree study is:

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

b) achievement of at least 60% in three Fundamental subjects, including the language of learning and teaching of a higher education institution,

c) achievement of 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 Mathematical 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)* Levels 2, 3 and 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 in which the candidate has achieved the minimum promotion requirements 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 Certificate and Diploma study:*** 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 the 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 where the candidate has satisfied the promotion requirements.

(f) **On all NC (V) certificates:** The candidate has obtained the minimum 130 credits for this qualification, as registered on the National Qualifications Framework.

11. Transaction types and transaction status

Umalusi issues certificates under 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 11.1, below, covers both the transaction status and transaction type – the first value reflects the transaction status, whilst 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 in paragraph 11.1.1.

The *transaction type* mainly identifies the certificate as 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 = Withdrawn/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 outlines the format for certification.

11.1.1   Examples of transaction types

The following explains the way in which a record for a *National Certificate (Vocational)* is submitted. 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 = Not used
	6 = Combination
	7 = Replacement (Complied with Levels 3 or 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 = Withdrawn/Absent/Outstanding
		8 = Failed all subjects

For example: 01 = First issue: *NC(V)*

13 = Replacement (change of status): NC(V) Bachelor's degree

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 must 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 absence, 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 the applicable attribute values to the candidate 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 = Not used
6 = Combination
7 = Replacement (Complied with Level 3 or 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) and the effective date is the month following the examination date.

(c) In the certification of Levels 3 and 4 it is important to note that Level 2 must be certified and finalised prior to the certification of Level 3 and Level 3 must be certified prior to certification of Level 4. Umalusi will then be in a position to confirm that the pre-requisite for Level 3 and 4 respectively (previous certificate number issued by Umalusi) was satisfied in order to issue the certificate.

11.2.2 Replacement: change of status

(a) A replacement certificate (change of status) is issued to a candidate who has qualified for the *National Certificate (Vocational)* in more than one examination sitting, and who, for each examination sitting, has received a subject statement reflecting the relevant subject credits. If the candidate finally 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.

(d) The issuing of a replacement certificate (change of status) does not cancel the previous certificates issued and they are not withdrawn.

(e) Subject credits used in a request for a replacement *must* all have been certified prior the request for a replacement. The assessment body should therefore ensure that before a replacement is requested Umalusi has indeed certified all subjects.

(f) 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, the raw mark and standardisation information must therefore not be re-submitted.

11.2.3 Replacement: Original certificate lost, damaged or destroyed

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

(b) In the case of a certificate that has been damaged, the original certificate must be returned to Umalusi before a replacement is issued.

(c) A detailed 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 for a replacement certificate. It is the prerogative of Umalusi to request such evidence from the assessment body.

11.2.4 Replacement: Post-irregularity

(a) 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.

(b) 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.

(c)   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 will be issued.

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

(e)   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 sanction period.

(g)   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 period has elapsed. Before Umalusi issues a replacement certificate, it will check whether the subjects were re-written after the sanction period had elapsed.

(h)   Where a candidate was found guilty of irregular behaviour in an examination and the sanction is related only to the results of the subject in question being nullified, the sanction period should be left blank (zeroes). Supporting documentation confirming the irregularity status must be submitted before the request for certification will be considered.

(i)   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, the raw mark and standardisation information must therefore not be re-submitted.

11.2.5   Replacement (Complied with Levels 3 or 4 pre-requisites)

It should be noted that where a candidate did not comply with the requirements for *NC(V)* Levels 2 and 3 a subject statement is issued.   For example, only after there is evidence that the candidate has 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 3 or 4 (pre-requisite compliant) when applying for the *NC(V)* Level 3 or 4 certificates. 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 2 or 3 certificate. For example, the subject certificate numbers

for all subjects should be reflected in the subject statement number field at the subject level.

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 therefore not required to submit the raw mark and standardisation information again.

11.2.6   Re-issues

Umalusi in its certification responsibility makes every effort to ensure the credibility and validity of the certificates it issues. Umalusi therefore requirest that the assessment body, in registering candidates for the qualifications it offers, ensures that candidate registration information is accurate.

Where possible, the assessment body should, through the assistance of the institution, ensure that all candidates are issued with an identify document *prior* registration for the examination, and that submission of a copy of the identity document becomes a compulsory prerequisite for the registration of South African citizens. A copy of an equivalent document – passport, study permit or identification document from country of origin – must accompany the registration form of non-South African candidates.

Within the six month period after certification, but not later than a year after the examination, Umalusi *will* consider a request for a re-issue under the conditions as state in par 11.2.6.3.

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) a verification process for *each* of the documents submitted must be undertaken, along with the changes made so that the computerised system used for certification is able to recognise the reasons for re-issue. This helps ensure that fraudulent certificates do not go into circulation.
(iv) A change to an original certificate will **not** be considered unless the original certificate (not a replacement) is returned.
(v) Supporting documentation with regard to re-issues should reach Umalusi within seven working days after Umalusi has requested the documentation from the assessment body.

11.2.6.1   Re-issue of certificates for the window period 1 May 2013 – 31 May 2014

Umalusi will consider applications for the following types of re-issues during a window period of 12 months (1 May 2013 to 31 May 2014).

(a)   Change of personal details due to errors

In the case where the spelling of a name on an identity document, an ID number or date of birth has been changed as a result of an error made by 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 may be made for the consideration of Umalusi.

(b)   A certificate may be re-issued where a mark change or a subject change is done after a certificate was issued. Such requests might also include cases where the certificate was requested prior the finalisation of the supplementary examination results, although this practice is contrary to the directives. The assessment body should submit an explanation and the original registration forms or mark sheets/scripts for such changes with the application for a re-issue.

(c)   Umalusi *will* consider a request for a re-issue where there is sufficient proof that the mistake on the certificate, with regard to some aspect of the personal details, is incorrect because of a registration error by the institution or the assessment body. In such cases, the assessment body should submit an explanation for such changes together with the application *and* the original registration forms for a re-issue.

(d)   Where an identity document was issued after the examination, a change of personal information will not be considered.

(e)   A change to an original certificate will **not** be considered unless the original certificate (not a replacement) is returned.

11.2.6.2   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.

11.2.6.3   Re-issue: Administrative errors

(a)   Administrative Errors

Within the six-month period after certification, but not later than a year after the last examination, Umalusi *will* consider a request for a re-issue in the following cases where there is sufficient proof that the mistake on the certificate, either with regard to a subject mark, subject choice or a change in result, or some aspect of the personal details, is incorrect because of a registration error by the school or the assessment body.

(b)   Umalusi is of the opinion that this is sufficient time as the assessment body, in its responsibilities to conduct the examination in a manner that is fair, *must* ensure that all results have been certified within a three-month period after the release of the results for a specific examination.

(c)   Only in exceptional cases, where sufficient proof (original examination material) can be submitted to prove that a candidate was disadvantaged due to a mark that was incorrectly submitted to Umalusi or that incorrect registration details was submitted to Umalusi, will a re-issue request be considered beyond a 12-month time frame.

(d)   A change to an original certificate will **not** be considered unless the original certificate (not a replacement) is returned.

11.2.6.4   Re-issue: Legal alteration of personal details

A change of personal details due to marriage or civil union or in the case of a person changing his or her name through a legal process does **not** qualify for a re-issue. The onus is on the certificate holder to provide the necessary documentation to prove that he/she is the rightful owner of the certificate.

11.2.6.5   Re-issue: Replacement : Change of Status

A re-issue **cannot** be requested to change personal details or subject information once a candidate has received a replacement certificate (change of status).   The assessment body must however take particular care in requesting certificates where results from different examination sittings are used in a request for a replacement certificate (change of status).

In cases where details such as a candidate's date of birth and ID differ between the certificates issued for different examination sittings, the

erroneous certificate/subject statement must be corrected *before* a replacement certificate (change of status) is requested through the re-issue process.

A re-issue of a replacement certificate (change of status) will only be allowed in cases where the certificate was lost by the assessment body prior receipt by a candidate as explained in par 12.2.5.2.

In exceptional circumstances, where a replacement certificate (change of status) was issued, *and* an error is identified on the replacement certificate, as a result of an error on previously issued statement(s) or certificate(s), the original replacement certificate with the improved status (change of status) must be returned to Umalusi with a request for cancellation. A clear motivation for the reason for the change must be furnished.

Once Umalusi has cancelled the replacement certificate (change of status), the assessment body may then request a re-issue on the previously-issued certificate / statement with supporting documentation, and whereafter a new request for a replacement certificate (change of status) must be submitted. This request must however be made within the time frame allowed for requests for re-issues.

11.2.6.6   Re-issue: alteration of Sex Description and Sex Status

In the 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 a person's sex-description has been altered accordingly, the person may, through the relevant assessment body, make application to Umalusi for a re-issue with a change of name/personal details (if requested), and a re-assignment of sex description on the Umalusi data-base.

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

i.   Certified copies of the candidate's old and new identity documents
ii.   A detailed sworn statement (affidavit) by the candidate.
iii.   The original certificate.
iv.   A letter from the Department of Home Affairs confirming that it has, on behalf of the person in question, acted in terms of Section 27(A) of the *Births and Deaths Registration Act, 1992,*

and that it has altered the sex description (and the names) of the person concerned.

    v.   Formal electronic request by the assessment body.

(b)   A change to an original certificate will **not** be considered unless the original certificate (not a replacement) is returned.

11.2.6.7   Re-issue: Change of personal details due to **errors** on the ID document made by the Department of Home Affairs

(a)   In the case where an Identity Document, an ID number or date of birth has been changed as a result of an error made by 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 the consideration of Umalusi may be made. The relevant information, including a letter from the Department of Home Affairs which states the error and how it is corrected, must accompany the application for a re-issue.

(b)   *For applications with regard to errors on the side of the Department of Home Affairs, the following documentation is required:*

    i.   Certified copies of the candidate's old and new identity documents;
    ii.   A sworn statement (affidavit) by the candidate;
    iii.   The original certificate;
    iv.   A confirmation letter from the Department of Home Affairs; and
    v.   A formal electronic request by the assessment body.

(c)   A change to an original certificate will **not** be considered unless the original certificate (not a replacement) is returned.

11.2.7   Combination

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

(b)   In the issuing of a first issue certificate or statement Umalusi checks the subject raw mark and standardisation information. In the

application for a combination, the raw mark and standardisation information must not be re-submitted.

12. Processing of dataset received

(a) The assessment body must send the dataset information via 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 at 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 taken 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
    vii. Couriering or collection of the printed certificates.
    viii. Invoicing of the assessment body
    ix. Payment by the assessment body; (except for bulk certification where payment is required prior to the printing of certificates)

(d) 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/her of the errors encountered. Umalusi will await a new dataset from the assessment body before continuing.

(e) After the output 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 has been created.

(f) 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.

(g)   An e-mail will be sent to those assessment bodies who have indicated that the certificates must be couriered to them, indicating 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. The details of up to four 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 at the expense of the assessmemt body concerned.

(b)   Umalusi also requires the following information regarding examination centres to be submitted annually by 31 August in an electronic format which is prescribed by Umalusi:
   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)

The examination centre information must be submitted to certification @umalusi.org.za.

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 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.IzzCSfnn.DAyymmdd** where
> I = Input dataset
> zz = assessment body code (See paragraph 15.1, below)
> f = The f field is the value for NC (V) Levels 2, 3 or 4
> nn = sequential run number
> yy = the year created, for example, 08 if created in 2008
> mm = month created
> dd = day created.

> **Example:** *OZOZ9.OZ9.I08CS201.DA110612*   *NC(V) Level 2*
> *OZOZ9.OZ9.I08CS301.DA110612*   *NC(V) Level 3*
> *OZOZ9.OZ9.I08CS401.DA110612*   *NC(V) Level 4*

13.2.1.2 Output dataset

The output dataset uses the same convention, but the 'I' is replaced by 'O' when created.

> **Example: *OZOZ9.OZ9.O08CS401.DA110612***

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 Umalusi as arranged.

13.2.3   **Returning datasets to assessment bodies**

13.2.3.1 Department of Higher Education and Training
Output datasets for the DHET will be created on the mainframe, and the DHET must retrieve the datasets from the mainframe to upload 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.

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

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

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

13.4   **Data structure**

The total length of the data record is 1 923 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(1 809)	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 an 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 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)	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)
		  3 = Re-issue (Correction of errors)
		  4 = Replacement (Post irregularity)
		  5 = Not used
		  7 = Replacement (Complied with Levels 3 or 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 = Withdrawn/Absent/Outstanding
		  8 = Failed all subjects

Instructional programme code	N(10)	Programme codes for the *National Certificate (Vocational)* programmes as published in the *NC(V)* Policy
Candidate examination no.	N(13)	
Attendance type	N(01)	1 = Full time 2 = Part time
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)	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(02)	00 = None 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 sanction will be lifted. In cases where there is not an sanction period this field should be filled with zeroes
Level obtained	N(02)	01 = *National Certificate (Vocational)* 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 = Levels 2 or 3 requirements outstanding
Date with effect from	N(06)	Format CCYYMM
Previous certificate number	A(12)	The certificate number being replaced for: • Replacement (Original certificate) • Re-issue (Correction of errors) For first issue and replacement (Change of status) submit the *NC(V)* Level 2 or 3 certificate number.
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 = Not used
		7 = Change of Personal details – Legal changes
		8 = Combination of different errors
		9 = Change in results status (e.g. immigrant or level 3 pre-requisite was incorrect in first issue)
		10 = Certificate lost before receipt
		11 = Post irregularity
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
NSC credit Transfer	A(01)	Y = Yes N = No
Subject information (occurs up to 15 times)		N(113) * 15 = 1 695 characters
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	Vocational subjects The same as rating obtained

		external marks and irregular subjects	
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 indictor	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 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 continuous 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
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' 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 1 412 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

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 examination
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 = Not used
		 6 = Combination
		 7 = Replacement (Complied with
		       Level 3 or 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
		 7 = Withdrawn/Absent/Outstanding
		 8 = Failed all subjects

Transaction status and Transaction type as determined by UMALUSI.	N(02)	Values
		XY
		X->Transaction status
		 1 = Replacement (Change of Status)
		 2 = Replacement (Original
		       certificate)
		 3 = Re-issue (Correction of errors)
		 4 = Replacement (Post irregularity)
		 5 = Not used
		 6 = Combination
		 7 = Replacement (Complied with
		       Level 3 or 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
		7 = Withdrawn/Absent/Outstanding
		8 = Failed all subjects
Instructional programme code	N(10)	Programme codes for the *National Certificate (Vocational)* programmes as published in the NC(V) policy
Candidate examination no.	N(13)	
Attendance type	N(01)	1 = Full time 2 = Part time 3 = Repeat candidate
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(02)	01 = None 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 = *National Certificate (Vocational)* 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 = *National Certificate (Vocational)* 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)
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: • Replacement (Original certificate) • Re-issue (Correction of errors)
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 = Not used 7 = Change of Personal details - Legal process 8 = Combination of different errors 9 = Change in results status (e.g. immigrant or level 3 pre-requisite was incorrect in first issue) 10 = Certificate lost before receipt 11 = Post irregularity
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 = 1 125 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 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%	Vocational subjects 5 = 80% – 100% 4 = 70% – 79% 3 = 50% – 69% 2 = 40% – 49% 1 = 0% – 39% 0 = for absent,

		1 = 0% – 29% 0 = for absent, withdrawal, outstanding external marks and irregular subjects	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% –2 9% 0 = for absent, withdrawal, outstanding external marks and irregular subjects	Vocational subjects The same as rating obtained
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 = Withdrawal
		9 = Absent in any subject component
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, 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 structure/evaluation errors found for subject	N(02)	The number of structure/evaluation errors for the subject, e.g. 05
Structure/Evaluation errors found for subject	A(20)	The structure/evaluation errors for the subject, e.g.
		5\6\8\9\10
		Error codes and descriptions are supplied
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)*

08   Department of Higher Education and Training (DHET): FET Colleges

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 and supplementary examinations for certification to Umalusi by **not later than three months** after the examination results were released. Data for candidates 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 examination.

15.2.2   Data for all the subjects for which the candidate has enrolled must be submitted to Umalusi. This includes the subjects for which marks are outstanding or in which 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 and a replacement of an original certificate.

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.

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 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.

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 through an accredited assessment body.

16. Credit transfer National Senior Certificate to the National Certificate (Vocational)

16.1 The Minister amended the NC(V) Policy to allow for subject credit transfer from the National Senior Certificate (NSC) to the National Certificate (Vocational) (NC(V)) as published in Government Gazette No 35036 of 13 February 2012.

16.2 The directives for certification with regard to credit transfer as listed in par 16 will assist an assessment body to submit data with regard to the NSC and NC(V) subjects for certification.

16.3 Candidates who have obtained the credits in the subjects as listed in the NSC will be regarded as meeting the requirements in these subjects for the NC(V) Levels 2, 3 and 4. Such candidates will therefore be exempted from offering these subjects.

16.4 This applies only to subject credits obtained in the NSC in the following subjects, and not to the the Senior Certificate qualification subjects.

Subjects that can be transferred from the NSC to the NC(V) are:

Subject name	Subject code	Pass %
English First Additional Language	13311114	40%
English Home Language	13301084	40%
Mathematical Literacy	19321024	30%
Mathematics	19331054	30%
Physical Science	19351114	50%

It is important to note that the subject codes as listed in the NSC policy will be used in the certification process. These subject codes are listed in the table above.

16.5 The NSC subject information must be forwarded to Umalusi in the certification process with the percentage as obtained and printed on the National Senior Certificate and the subject indicator indicated as 1.

16.6   Information printed on the NC(V) certificate
- NSC subjects will printed as NSC subjects with the percentage and rating as recorded in the NSC policy under the heading "National Senior Certificate".
- NC(V) subjects will be printed as NC(V) subjects under the heading "fundamental" or "vocational".

16.7   Irregularities on the NSC and the NC(V)

- A candidate record with an active irregularity on the NSC, with a sanction date, cannot be used for credit transfer to the NC(V) qualification until such time as the sanction period has expired.
- A candidate record with an active irregularity on the NC(V) with a sanction date cannot be used for combination with the NSC subjects until such time as the sanction period has expired.

16.8   Transaction type

The NSC subjects will only be listed on the NC(V) certificate when the candidate has complied with all the requirement for the issuing of the NC(V). Candidates have record of subjects passed in the NSC which are separately certified.

Once the candidate has complied with the requirements for the NC(V), the assessment body should request a replacement certificate (change of status) to combine the records of the NSC and the NC(V) for certification purposes.

The transaction type should be included in the data submitted to Umalusi in the following way:

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 = Not used
		  7 = Replacement (Complied with Levels 3 or 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

Example:

Transaction status and type :   11 = achieved NC(V)

13 = achieved NC(V) with admission to Bachelor's Degree

14 = achieved the NC(V) with admission to Diploma Studies

15 = Achieved the NC(V) with admission to Higher Certificate studies

16.9   Information to be submitted on the certification dataset

16.9.1   In the subject code field the subject code as listed in the policy for the *National Senior Certificate (NSC)* must be submitted.

16.9.2   In the rating obtained and adjusted, the rating as certified in the NSC subject must be submitted. The following rating scale is used for the NSC:

1	0 — 29	Not achieved
2	30 — 39	Elementary achievement
3	40 — 49	Moderate achievement
4	50 — 59	Adequate achievement
5	60 — 69	Substantial achievement
6	70 — 79	Meritorious achievement
7	80 — 100	Outstanding achievement

16.9.3   In the subject date field, the date the subject was achieved must be indicated.

16.9.4   In the subject certificate field, the number of the NSC subject statement/certificate issued by Umalusi must be indicated.

16.9.5   Raw mark information and adjustments should not be submitted for the NSC subjects.

16.9.6   The field following the certificate language field was not in use but is now allocated for the NSC credit transfer process. The filler is renamed as the "NSC credit transfer: the field must be populated with a Y if transactions are submitted which include NSC subject credit transfers and N if the records include only NC(V) subjects.

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
NSC credit Transfer	A(01)	Y = Yes
		N = No

17.   Verification of certificates

According to section 17(A)(6) of the General and Furhter Education and Training Act, 2001 (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 or provincial education department.

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

UMALUSI

Council for Quality Assurance in
General and Further Education and Training