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**GOVERNMENT NOTICE**

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**DEPARTMENT OF EDUCATION**

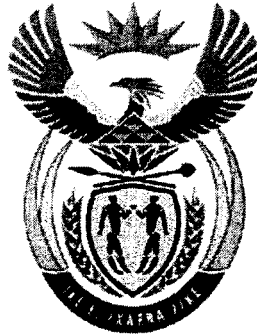
No. 1081

17 September 2004

**NATIONAL EDUCATION POLICY ACT, 1996 (ACT NO. 27 OF 1996) AND  
THE SOUTH AFRICAN SCHOOLS ACT, 1996 (ACT NO. 84 OF 1996) AS  
AMENDED****NATIONAL POLICY REGARDING FURTHER EDUCATION AND  
TRAINING PROGRAMMES: APPROVAL OF THE DRAFT POLICY  
DOCUMENT, *NATIONAL POLICY ON THE CONDUCT, ADMINISTRATION  
AND MANAGEMENT OF THE ASSESSMENT OF THE SENIOR  
CERTIFICATE* AS NATIONAL EDUCATION POLICY**

1. I Grace Naledi Mandisa Pandor Minister of Education, hereby, in terms of *Sections 3(4)(l) and 7* of the *National Education Policy Act, 1996 (Act No. 27 of 1996)* and *Sections 6(A) and 61* of the *South African Schools Act, 1996 (Act No. 84 of 1996)*, approve the draft policy document, *National policy on the conduct, administration and management of the assessment of the Senior Certificate* as national education policy.
2. The policy document, *National policy on the conduct, administration and management of the assessment of the Senior Certificate* will govern the Senior Certificate examinations applicable to all assessment bodies.
3. This policy is hereby published in terms of *Section 7* of the *National Education Policy Act, 1996 (Act No. 27 of 1996)*.

GNM Pandor, MP  
Minister of Education  
Date:



Department of Education

**NATIONAL POLICY ON THE CONDUCT,  
ADMINISTRATION AND MANAGEMENT OF THE  
ASSESSMENT OF THE SENIOR CERTIFICATE**

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## DEFINITIONS

Any definition that is contained in the *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)* will be applicable to this policy document and will have the same meaning, unless a different meaning is attached through the context.

**Assessment Body** a department of education or any other body registered with the Umalusi, the Council for General and Further Education and Training Quality Assurance as a body responsible for conducting external assessment.

**Assessment Centre** a centre registered by an accredited assessment body in terms of *Section 18* of the *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)*.

**Assessment Process** includes the total process of assessment that commences with the registration of candidates, the setting of the question papers, moderation, the security and integrity of such assessment, internal and external, the marking and processing of results and the certification thereof and relates with any action therewith.

**Candidate** a person or learner who has entered for an assessment activity.

**Certificate of****Complete Exemption**

"certificate of complete exemption" means a certificate issued by the Committee of University Principals (SAUVCA) in terms of the provisions of the matriculation endorsement and exemption regulations as published in *Government Notice 1226* of 1 December 2000, and amended by *Government Notice 1001* of 12 October 2001, *Government Notice 1272* of 11 October 2002 and *Government Notice 1354* of 26 September 2003, admitting a candidate to first bachelor's degree study at a South African university without any conditions or limitations.

**Certificate of****Conditional****Exemption**

"certificate of conditional exemption" means a certificate issued by the Committee of University Principals (SAUVCA) in terms of the provisions of the matriculation endorsement and exemption regulations as published in *Government Notice 1226* of 1 December 2000, and amended by *Government Notice 1001* of 12 October 2001, *Government Notice 1272* of 11 October 2002 and *Government Notice 1354* of 26 September 2003, admitting a candidate to first bachelor's degree study at a South African university, subject to specified conditions and for a specified period.

**Chief Examiner**

is a person responsible for the setting, translation, editing and final proof-reading of a national or provincial external question paper, memoranda and other assessment material as may be applicable. The Chief Examiner has overall responsibility for the final marking of the external question

- paper appointed for. This definition also includes Chief Marker.
- Chief Executive Officer** refers to the chief executive head of Umalusi, the Council for General and Further Education and Training Quality Assurance.
- Chief Invigilator** is the Principal of a registered assessment centre or another person specifically appointed in that capacity who is accountable and responsible for the administration of the examination of the Senior Certificate and other related assessment matters, at the assessment centre.
- Chief Marker** is the person overall responsible for the final marking of an external question paper written under the auspices of an accredited assessment body by Umalusi.
- Deputy Chief Examiner** is the person assisting the Chief Examiner with the translation, editing and final proof-reading of a national or provincial external question paper, memoranda and other assessment material as may be applicable. The Deputy Chief Examiner, together with the Chief Examiner, is responsible for the final marking of such external question paper.
- Deputy Chief Marker** is the person who assists the Chief Marker with the final marking of an external question paper.
- Examination** is a component of the assessment process and refers to the culmination of the summative assessment process when

learners in Grades 10 - 12 are subjected to a final sitting at the end of the year.

**Examination Sitting**

is either a main examination sitting during October to November each year or a supplementary examination sitting. Examination sittings are only combined in cases where medical and/or other evidence warranting a combination of two assessment sittings is submitted to the satisfaction of the assessment body, being Umalusi, the Council for General and Further Education and Training Quality Assurance or the Matriculation Board, statutorily known as the Committee of Principals.

**Full-time candidate**

is a learner who has enrolled for tuition and who offers a Senior Certificate in a full-time capacity at a public or independent school or any other registered institution and who presents six (6) subjects in terms of the Senior Certificate. Such a candidate must fulfil all internal assessment requirements, including oral and practical requirements where applicable.

**Grade**

means that part of an educational programme, which a learner may complete in one school year, or any other education programme, which the Member of the Executive Council (MEC) may deem to be equivalent thereto.

**Hard Copy**

is a paper copy of an external question paper or memorandum or any other assessment material.

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<b>Head of Department</b>	refers to the Head of an education department.
<b>Head of the Institution</b>	refers to the educator appointed as Principal or acting as principal of a school or the head of any other registered learning institution.
<b>Independent School or Learning Institution</b>	is in terms of the <i>South African Schools Act, 1996 (Act No. 84 of 1996)</i> as amended and the <i>Further Education and Training Act, 1998 (Act No. 98 of 1998)</i> , a school or learning institution or distance learning college not registered as a public school or Adult Basic Education and Training (ABET) centre at a provincial education department. Such school or institution may or may not participate in assessment under the auspices of a provincial education department as assessment body.
<b>Internal Assessment</b>	means any assessment conducted by the provider, the outcomes of which count towards the achievement of a qualification. Internal Assessment thus refers to School-Based Assessment or Site-Based Assessment, Continuous Assessment (CASS) and Performance Assessment that form part of the final assessment.
<b>Invigilator</b>	is a person duly appointed and responsible for the conduct of an examination or related examination activity at the assessment centre. Invigilators would be educators or reputable members of the community.



**Learner** refers to any person, including part-time learners, receiving education at a public or independent school or learning institution.

**Learning site** the environment or location where learners are given the opportunity to access the learning programme.

**Marker** is the person who is appointed to mark an examination question paper.

**Matriculation**

**Endorsement** "matriculation endorsement" means the effecting of an endorsement by the Council for Quality Assurance in General and Further Education and Training (Umalusi) in terms of the provisions of the *Section 16(7) of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)* and the provisions of the matriculation endorsement and exemption regulations published in *Government Notice 1226* of 1 December 2000, and amended by *Government Notice 1001* of 12 October 2001, *Government Notice 1272* of 11 October 2002 and *Government Notice 1354* of 26 September 2003, that a Senior Certificate candidate has satisfied the requirements for matriculation endorsement.

**MEC** the member of the Provincial Executive Council responsible for Education.

**Part-time candidate** is a person who does not attend and receive any full-time tuition.

**Personnel****Administration****Measures (PAM)**

is the policy document which outlines and governs the remuneration and other service conditions of educators employed in terms of the *Employment of Educators Act, 1998 (Act No. 76 of 1998)*.

**SACE**

The South African Council for Educators is in terms of the *Employment of Educators Act, 1998 (Act No. 76 of 1998)*, a statutory body.

**School or****Learning Institution**

is the environment or location where learners receive the opportunity to access learning programmes. A public or independent school or learning institution may enroll learners in one or more grades between Grade R and Grade 12 or in any combination thereof.

**Senior Certificate**

is the current certificate that is awarded as a final exit qualification at the end of Grade 12 to candidates who have complied with national education policy as stipulated in the policy document, *A résumé of instructional programmes in schools, Report 550 (2001/08)*.

**Senior Marker**

The person who, together with the Chief Marker or Deputy Chief Marker, takes responsibility for a group of markers of an external question paper at a marking centre.

**Service Contract**

is a binding and legal agreement between a provincial education department as assessment body and an Independent School or Learning Institution or a college for distance education to be registered as an assessment centre

in respect of the administration, running and management of an examination or other assessment activities as may be required.

**Stakeholder**

refers to an organisation or body or member of the public with a direct and continuing interest in the education or training institution, programme, phase or sector in question.

**Subject Grade**

refers to the level of complexity (i.e. the breadth, depth, and scope) at which a particular subject is offered for the Senior Certificate. Currently there are two grades at which a subject may be offered, namely Higher and Standard Grade. Unsuccessful results obtained at Standard Grade in Grade 12 may, however, be converted to Lower Grade.

**Umalusi**

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

**Venue Manager**

is the official appointed to be in charge of a Marking Centre.

## CHAPTER 1

### INTRODUCTION

#### 1. General

In meeting the challenges of reforming education and training, the government has committed itself to a paradigm shift in the education and training system, underpinned by the following principles:

- An integrated approach to education and training;
- Lifelong learning;
- Equity and redress;
- Accountability and transparency;
- Responsiveness and relevance;
- Diversity;
- Quality and efficiency; and
- Credibility.

The above paradigm shift in education policy also encompasses a shift from a mainly content-based approach towards an outcomes-based (OBE) approach, and from an examination-driven approach to an assessment approach. In view of this, the current Senior Certificate and its associated policy documents do not meet this requirement.

#### 2. Assessment

Assessment refers to gathering evidence to make a judgment or describe the status of learning of an individual or group. Assessment should be linked to learning, teaching and not be viewed - or used - in isolation. The main aim of assessment,

is not simply to judge the outcome of learning, but to provide a supportive and positive mechanism that helps learners to improve their learning and teachers to improve their teaching and thereby to contribute to the efficiency of the learning and teaching programme.

The approach to authentic assessment is inclusive and also creates equal opportunities for all learners, including learners who experience barriers to learning. In line with *Education White Paper 6 on Special Needs Education: Building an Inclusive Education and Training System*, assessment must create the conditions for a true reflection of the actual academic abilities of learners irrespective of the barriers which they experience.

Examination is a sub-component of assessment and will be conducted at the end of the year for Grades 10 - 12. The purpose of these examinations is to provide reliable and fair measures of the achievements of learners in the subjects offered. Each examination is designed to address the learning outcomes, assessment standards and content competencies of the subject and to provide learners, parents and teachers with results that are meaningful indications of what the learners know, understand and can do at the time of the examination.

### 3. Policy documents

- (1) The two relevant Senior Certificate documents, namely *A résumé of instructional programmes in schools*, Report 550 (2001/08) and the *National Policy on the Conduct of the Senior Certificate examinations* (*Government Gazette, Vol. 409, No. 20280* of 9 June 1999) focus on the administration and management of the Senior Certificate.
- (2) Furthermore, the two above-mentioned policy documents should also be amended in terms of the most recent legislation in this field, namely the:

- (a) The *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)* which clearly defines the roles of the relevant applicable bodies and emphasises quality assurance instead of certification; and
  - (b) *Section 61 of the South African Schools Act, 1996 (Act. No. 84 of 1996)* as amended, allowing the Minister to make regulations on:
    - (i) A national curriculum statement applicable to public and independent schools by setting minimum outcomes and standards;
    - (ii) A national process and procedures for the assessment of learner achievement in public and independent schools; and
    - (iii) A national process for the assessment, monitoring and evaluation of education in public and independent schools.
- (3) Considering the above, the *National Policy on the Conduct of the Senior Certificate examinations (Government Gazette, Vol. 409, No. 20280 of 9 June 1999)* will be replaced by this document that has been developed with the aim of ensuring the necessary policy support for the Senior Certificate examinations for the catering of part-time learners during the transitional phase of the Certificate.

## CHAPTER 2

### THE PURPOSE OF THIS DOCUMENT

#### 4. General

The function of the Minister of Education is to set norms and standards on the Senior Certificate. The policy is set on norms and standards to which all assessment bodies give effect. Guidance will be given to exercise these functions ascribed to by law.

If the assessment of the Senior Certificate has to be quality assured, there has to be a clear policy against which the monitoring process can be executed. In this regard this document provides the necessary policy support and assistance in developing, organising, structuring and implementing an assessment framework to maintain the Senior Certificate.

The document will furthermore focus on assessment policy for both internal assessment (site-based assessment), conducted at the applicable site and which includes a variety of assessment methods, and assessment that is conducted primarily by an external body.

The document also provides rules and conditions relating to the conduct and administration of the final examination. This will serve to govern the rights and privileges of all persons involved in the assessment process, which include all officials who are involved in the administration of the assessment, candidates, parents and institutions that require assessment results.

This policy document is aimed at quality assurance and must therefore be read in conjunction with the policy document, *A résumé of instructional programmes in schools*, Report 550 (2001/08).

## 5. Supporting legislation

The document is also underpinned by *Section 3(4)(l)* of the *National Education Policy Act, 1996 (No. 27 of 1996)* which makes provision for the determination of national education policy regarding curriculum frameworks, core syllabuses and education programmes, learning standards, examinations and the certification of qualifications, subject to the provisions of any law establishing a national qualifications framework or a certifying or accrediting body.

## 6. Supporting policy documents and regulations

National policy on assessment is also contained in the following policy documents and all assessment bodies must comply with the prescriptions as set out in these documents:

- (1) *Formal Technical College Instructional Programmes in the RSA*, Report 191 (2001/08);
- (2) Regulations under the *General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001)*; and
- (3) Matriculation Endorsement and Exemption Regulations, *Government Gazette, Vol. 426, No. 21805* of 1 December 2000, as amended in *Government Gazettes, Vol. 448, No. 23900* of 11 October 2002 and *No. 25506* of 26 September 2003.



- (4) *Education White Paper 6 on Special Needs Education: Building an Inclusive Education and Training System* that provides a policy framework which guides the transformation of practices related to examinations and assessment in general with a view to achieving enabling mechanisms to support learners who experience barriers to learning.

## CHAPTER 3

### FUNCTIONS ACCORDED TO VARIOUS QUALITY ASSURANCE AND ASSESSMENT BODIES

#### 7. Functions of assessment bodies

*Section 16 of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001) stipulates the following bodies to be involved with quality assurance and assessment:*

- (1) South African Qualifications Authority (SAQA);
- (2) General and Further Education and Training Quality Assurance Council (Umalusi);
- (3) Department of Education;
- (4) Public providers;
- (5) Independent providers;
- (6) Assessment bodies; and
- (7) South African Universities Vice-Chancellors' Association (SAUVCA), statutorily known as the Committee of Principals and for the purpose of this document the meaning of these bodies will be the same as stated in the Act.

## CHAPTER 4

### CONDUCT OF INTERNAL ASSESSMENT

#### 8. General requirements: Norms and Standards

- (1) An internal assessment mark based on site-based assessment is a compulsory component of the final promotion mark for all full-time candidates registered for a Senior Certificate.
- (2) No full-time candidate presenting a subject listed in national policy at any grade for the Senior Certificate is excluded from the requirements of internal assessment practice.
- (3) The compilation of the internal assessment mark is not applicable to part-time candidates.
- (4) Full-time candidates presenting more than six (6) subjects for the Senior Certificate must fulfil all the requirements in respect of internal assessment for each additional subject.
  - (a) Each full-time candidate wanting to present a seventh and/or additional subject(s) for the Senior Certificate must obtain permission to do so from the Head of Department or his or her nominee and must comply with all internal assessment requirements.
  - (b) Full-time learners who wish to enroll for an elective or additional electives for the Senior Certificate, presented at a school or institution other than the school or institution where the candidate

is registered for the full Senior Certificate, must have the approval of the Heads of both institutions and such candidates must be internally assessed.

- (c) The centre of registration is that centre where the candidate is registered for the full Senior Certificate, and the Principal of such centre remains responsible for the reporting of the internal assessment mark of the candidate to the assessment body. It is the responsibility of the institution offering the subject or additional subjects to ensure that internal assessment results are forwarded to the institution where the candidate is registered.
- (5) The internal assessment mark for continuous assessment must count 25% and, where applicable, the performance assessment (practical) component must count a further 25% towards the final promotion mark or any other percentage determined from time to time. The relative weighting of the internal assessment mark towards the final promotion mark should be determined by national policy.
- (6) The absence of an internal assessment mark in any subject will result in the candidate registered for that particular subject receiving an "incomplete" result.

#### **9. Compilation of the internal assessment mark: Norms and Standards**

- (1) The compilation of the internal assessment mark must be done in accordance with the requirements of the applicable provincial internal assessment policy document. The provincial internal assessment policy document for each subject must take into account, and be based, on the National Guideline Document for the implementation of internal assessment.

- (2) All directives issued by the Council for Quality Assurance in General and Further Education and Training (Umalusi) in respect of internal assessment must be strictly adhered to.
- (3) The provincial internal assessment policy document for each subject must contain an explanation of the different components comprising the internal assessment mark, minimum requirements for each component in terms of frequency and nature and the relative weighting of each component in relation to the final internal assessment mark. Other conditions, as may be set, must also be adhered to.
- (4) With a view to ensuring some degree of control and promoting the authenticity of internal assessment practice, some components of the internal assessment mark may be administered in a controlled environment.
- (5) Learner portfolio:
  - (a) The learner portfolio must be a collection of the learner's work that was used to compile his or her internal assessment mark.
  - (b) Every learner must submit a portfolio per subject.
  - (c) The portfolio must contain all evidence used to calculate the learner's internal assessment mark in the subject.
  - (d) A portfolio must:
    - (i) Consist of five assessment components. The mark for each component will be derived from one or more assessment

- tasks (e.g. two tests and the preparatory assessment are equal to one component, i.e. formal testing);
- (ii) Provide evidence for moderation;
  - (iii) Contain a range of assessment methods, including not more than one component of formal testing;
  - (iv) Utilise methods chosen to accommodate assessment of learning outcomes and to show competency; and
  - (v) Show progression in that assessment must provide evidence of the teaching and learning towards the attainment of the learning outcomes throughout the year.
- (e) All work must be evaluated, checked and authenticated before being taken up into the learner portfolio.
- (6) Educator portfolio:
- (a) The educator portfolio must be a full and complete record of the interaction between the educator and learner in the particular subject.
  - (b) Educators must submit a portfolio for every subject taught in respect of the Senior Certificate.
  - (c) Failure to submit a portfolio must constitute an act of misconduct and will be dealt with in accordance with the *Employment of Educators' Act, 1998 (Act No. 76 of 1998)*.
  - (d) Where two or more educators are responsible for the teaching of the same subject, each educator must present a separate portfolio.

- (e) The educator portfolio must be available when monitoring and moderation, at whatever level, take place.
- (7) Where the learner fails to comply with the minimum requirements of any component of the internal assessment mark, the following must apply:

In the event of a valid reason for compliance failure, the learner should be allowed the opportunity to redo the task or, where impractical, the mark for that particular component of the internal assessment mark will not be taken into consideration.

“Valid reason”, in this context, constitutes the following:

- (a) Medical reasons as supported by a valid medical certificate issued by a registered medical practitioner;
  - (b) Humanitarian reasons, e.g. the death of an immediate family member, if supported by valid written evidence;
  - (c) The learner appearing in a court hearing; supported by written evidence; or
  - (d) Any other reason as may be declared valid by the Head of Department or his or her nominee.
- (8) Learners must be reminded that the fabrication of evidence constitutes fraud.
- (9) In the event of a learner failing to comply with the internal assessment requirements of a particular subject on the basis of valid reasons, evidence

of such valid reasons must be included in the learner portfolio for that subject.

- (10) Where the learner does not comply with the minimum requirements of internal assessment for a subject without a valid reason, a “0” (nought) is recorded and 0 is used in the compilation of the mark for the particular component of internal assessment as a whole (Annexure A).
- (11) A distinction must be made between the use of nought (0) in the event of a candidate not complying with the minimum requirements of internal assessment for a subject without a valid reason and a candidate not complying with the minimum requirements of internal assessment for a subject on the basis of a valid reason. This distinction has an impact on the calculation of the candidate’s final mark in respect of internal assessment.
- (12) Where the subject educator does not comply with the minimum requirements for internal assessment in the subject he or she is responsible for, and learners may be disadvantaged through no fault of their own, this constitutes an act of misconduct and must be dealt with in accordance with the provisions of the *Employment of Educators’ Act*. Such learners will be accommodated in terms of fair administrative practice and marks adjusted appropriately.

#### **10. Monitoring and moderation of internal assessment: Norms and Standards**

- (1) All internal assessment marks must be subjected to internal and external monitoring and moderation, as well as statistical moderation.



- (2) Monitoring is the process of determining whether the minimum requirements for internal assessment in a particular subject, in terms of components and frequency, have been adequately met.
- (3) Moderation is the process of adjudging whether minimum requirements of internal assessment in a particular subject, in terms of quality and standard, have been met adequately.
- (4) Independent schools, learning institutions and distance learning centres, preparing candidates for the Senior Certificate as administered by a provincial education department, must be registered as assessment centres with that provincial education department and must adhere to, and be subjected to, all monitoring and moderation procedures, regulations or other requirements.
- (5) All directives issued by Umalusi in respect of monitoring or moderation must be strictly adhered to.
- (6) Directives aimed at the provisioning of assistance to educators in ensuring greater authenticity to internal assessment may be issued by a provincial education department, as assessment body, as schedules or annexures to this policy.

## CHAPTER 5

### LEARNERS TO BE ASSESSED

#### 11. Admission: General

Public and independent providers as well as assessment bodies must ensure that full-time and part-time Senior Certificate candidates are admitted by them for a final examination. To facilitate the process of policy formulation on assessment and related matters a provincial assessment body could be assisted by a provincial assessment board that would have an oversight role over all assessment processes in the province. A guideline to establish such an assessment board is contained in (Annexure B). All assessment bodies must comply with all requirements stated in this document.

#### 12. Admission: Norms and Standards

##### (1) Full-time candidate

A full-time candidate who enters for the final examination must comply with the following requirements:

- (a) Enrolment for tuition as a full-time learner at a public/independent school or any other registered institution, offering a Senior Certificate course of study;
- (b) Enrolment for a Senior Certificate course of study that will be completed prior to the date of commencement of the examination;
- (c) Enrolment for six or more Senior Certificate subjects; and

- (d) Compliance with all internal assessment and oral and practical requirements where applicable.
- (2) A candidate may be enrolled at an institution as a full-time learner but may offer fewer than six subjects (Senior Certificate) (e.g. Finishing Schools). Such a learner, by virtue of his/her full-time attendance, shall fulfil all requirements of a full-time candidate in the subjects he/she is entering, in terms of continuous assessment and performance (practical) assessment.
- (3) To qualify for matriculation endorsement, full-time candidates for the Senior Certificate must, in accordance with the matriculation endorsement requirements as stipulated in the Matriculation Endorsement and Exemption Regulations, *Government Gazette, Vol. 426, No. 21805* of 1 December 2000, as amended in *Government Gazettes, Vol. 448, No. 23900* of 11 October 2002 and *No. 25506* of 26 September 2003, enter for at least six subjects at one and the same assessment sitting. An assessment sitting refers to the October/November assessment sitting only, but in exceptional cases candidates, who are medically unfit or absent for other valid reasons, may have the supplementary assessment regarded as part of the same sitting.
- (4) The entry of a full-time candidate who is registered at a public school and who does not attend school after registering for the final examination with sufficient regularity to complete the learning programmes and all internal assessment requirements may be cancelled unless the Head of Department is satisfied that candidate has valid reasons for not attending school. Such a candidate may be admitted to all assessment including the final examination.

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- (5) A part-time candidate who registers for a Senior Certificate may enter for one or more subjects at each examination sitting.
- (6) An unsuccessful full-time candidate who passed at 40% or better in a minimum of three recognised subjects at a sitting:
- (a) Is deemed to have sat as a part-time candidate for the purpose of this paragraph;
  - (b) May retain credit for the subject or subjects he or she passed at 40% or better; and
  - (c) Will, where necessary, be deemed to have met the subminimum requirement of 20% in the sixth subject in one of the two examination sittings if he or she obtained more than 20% for the sixth subject in this sitting.
- (7) Grade 11 public and independent school candidates who wish to enroll for the Senior Certificate assessment in certain subjects as private/part-time candidates with the intention of obtaining a Senior Certificate with more than the minimum of six subjects, will be allowed to do so subject to the following conditions:
- (a) This practice will be allowed to continue until the October /November 2004 Senior Certificate examinations when it will be terminated.
  - (b) The 2004 Grade 11 cohort will be the last group of learners who will be allowed to be assessed in the Senior Certificate examinations in their Grade 11 year.

- (c) Once the NCS Grades 10 - 12 (General) has been implemented, learners enrolled for this curriculum will have to attain all the outcomes from Grade 10 - 12 in the selected programme. Considering this, Senior Certificate learners enrolling in 2004 for Grade 10 will also be compelled to complete the full Grade 10 - 12 programme for each subject enrolled to be examined in the 2005 final Senior Certificate examination and may therefore only be examined in the subjects offered in Grades 10, 11 and 12.
- (d) In 2004 candidates will only be allowed to be assessed in the subjects in Grade 11 that are additional to the six subjects to be assessed in the Grade 12 year.
- (e) Provincial education departments have to be informed by the schools when 2004 Grade 11 candidates offer Senior Certificate subjects as private/part-time candidates.
- (f) When the 2004 Grade 11 candidate offers his/her Senior Certificate subjects in his/her Grade 12 year, the candidate is entered as a full-time candidate.
- (g) The part-time results and the full-time results may be combined.
- (h) The part-time and full-time results may be combined at the request of the learner after the resulting process indicating the date of the assessment sitting.
- (i) The part-time results cannot be taken into account for aggregate purposes.

- (8) For matriculation endorsement requirement purposes part-time Senior Certificate candidates are required to obtain the minimum promotion requirements in at least two Higher Grade subjects selected from at least two groups at one sitting, and satisfy the other requirements for endorsement at two sittings, in order to obtain a matriculation endorsement. This implies that a candidate can obtain the minimum promotion requirements in one, two or more subjects at one sitting, provided all other endorsement requirements are satisfied in the second sitting.

### 13. Entries: Norms and standards

- (1) To be examined a candidate must register with an assessment body before the prescribed date.
- (2) No candidate is permitted to change the grade on which he/she will offer subject/s after the due date for submission of final entries. Should a candidate change grade(s) after the final submission date, (i.e. at the assessment centre) such a change will constitute an irregularity and will therefore be dealt with as an irregularity.
- (3) The candidate and his/her parents/guardian will have the final right to decide the grade on which the candidate will be assessed in a particular subject.
- (4) All learners attending public schools should be obliged to be examined in the Senior Certificate examination of the relevant provincial department of education, except in cases where the subject offered by the learner is not assessed by the provincial department of education.

- (5) The common deadline for the registration of full-time candidates should be 15 March of the year of the examination. No registrations should be accepted after this date unless there are exceptional circumstances and the Head of Department or his or her representative approves such registration based on the exceptional circumstance. Candidates who wrote the supplementary examination and were unsuccessful will be given 15 working days following the release of the supplementary results to register for the examination.
- (6) Entry forms for part-time candidates must be made available by the assessment body. The common deadline for the registration of candidates should be 15 March of the year of the examination.
- (7) The accurate capture of the registration details of the candidate is fundamental to the processing of the candidate's final results and therefore assessment bodies must ensure that candidates' information is accurately captured. The information furnished on the entry forms must be processed and sent to assessment centres for checking prior to the assessment date. At this stage only corrections should be made. Each province should determine the format of the entry form and the detailed procedure to be followed in the registration of candidates.
- (8) Assessment bodies must ensure that candidates are placed on the appropriate subject grades.
- (9) Transfer of candidates from one province to the other must be mutually agreed upon by the assessment bodies concerned. If no mutual agreement is obtained, the matter must be referred to the Minister for intervention.

- (10) In respect of unregistered learners who present themselves for an examination the following will apply:
- (a) Learners must be informed well in advance that unregistered candidates will not be assessed internally or permitted to undertake the final examination
  - (b) In cases where the non-registration of candidates can be attributed to an error or omission by the Head of the Institution or any other official, the candidates must be allowed to undertake the examination and thereafter the cases must be handled as a technical irregularity.

#### **14. Entries: Guidelines**

- (1) Candidates should be provided with appropriate advice and guidance with regard to grade choices at school and this should commence in the Grade 10 year.
- (2) The Head of the Institution may recommend to the Provincial Head of Department the cancellation of an entry of a candidate after the entry has been accepted, if the candidate is irregular in attendance and/or has committed a serious misdemeanour. The Provincial Head of Department must apply his or her mind to the circumstance and his or her decision is final.

#### **15. Fees: Norms and Standards**

- (1) The Minister of Education, after consultation with the Members of the Executive Councils (MECs), may also levy fees for the assessment process, in particular with regard to candidates at independent institutions.



In such cases the institution will be responsible for payment of such fees to the assessment body.

- (2) The Minister may also, after consultation with the Members of the Executive Councils (MECs), levy a fee for the re-marking of scripts. If the re-marking process results in an improvement of the symbol obtained by the candidate, the fee must be refunded to the candidate.
- (3) A fee may be levied for the supplementary examination. In a case where a candidate is absent from the October/November examination owing to medical or other special reasons, the assessment fee paid for the October/November examination will be carried over to the supplementary assessment.

#### **16. Assessment manual: Norms and Standards**

- (1) Assessment bodies must develop an assessment manual, which must be approved by the Head of Department in the province. All assessment bodies must be provided with a manual on the conduct of the assessment processes. The manual must at least address the following issues:
  - (a) Subjects that will be examined;
  - (b) The number of question papers per subject;
  - (c) The format of question papers;
  - (d) The duration of question papers;
  - (e) Mark allocation; and
  - (f) Differentiation.

**17. Language Medium: Norms and Standards**

- (1) Question papers must be set in the language of instruction. Unless otherwise directed in the question paper, candidates must answer all questions in the language of instruction applicable to the candidate.
- (2) Questions in other languages must be answered in the language specified by the assessment body.

**18. Internal Assessment, Orals, Practical Work, Assignments and Projects: Norms and Standards**

- (1) Internal assessment, oral work, practical work and assignments, if prescribed by the assessment requirements, must be assessed and hence form part of the assessment.
- (2) The composition of the internal assessment, oral or practical mark and the method of assessment must be clearly outlined to learning centres through directives given by Umalusi. It is the responsibility of the assessment bodies to ensure that all educators comply with the method of assessment of oral/practical work.
- (3) The internal assessment, oral, practical and the year mark must be subjected to a moderation mechanism put in place by the assessment body and the Umalusi standardisation process. The moderators must agree upon clear and detailed guidelines before they undertake the moderation process so as to ensure that uniformity of standards is maintained.
- (4) The combination of the internal assessment component must not exceed 25%, or 50% in the case of subjects with a performance assessment component.

**19. Internal Assessment, Orals, Practical Work, Assignments and Projects:  
Guidelines**

(1) The following details relating to the internal assessment mark are contained in *A Résumé of Instructional Programmes in Schools, Report 550 (2001/08)*:

- (a) Grade 10: internal assessment must be a compulsory component of the promotion marks. The internal assessment component must be at least 50% of the mark on the report card, or of the promotion mark.

In cases where learners offering subjects with an approved practical component are entitled to an additional 25% internal assessment mark, over and above the approved CASS mark, the pre-determined ceiling of 50% for internal assessment in Grade 10 shall, however, not be exceeded, and the additional 25% practical component allocated to subjects with an approved practical component shall be calculated as part of the 50% internal assessment mark.

- (a) Grades 11 and 12: internal assessment must be a compulsory component of the promotion marks. The internal assessment component must be at least 25% of the mark on the report card, or of the promotion mark.

Learners with subjects with an approved practical component are entitled to an additional 25% internal assessment mark, over and above the approved CASS mark, provided that the practical component is either externally set or externally moderated. Learners offering subjects qualifying for an additional 25%

practical component, will be allocated a maximum internal mark of 50% in Grades 11 and 12.

- (2) Umalusi must approve the internal assessment requirements and processes for the Senior Certificate which must be in accordance with policy. If the assessment body desires to include a year mark component in the final mark, such a body must provide Umalusi with details regarding the composition of the year mark, the weighting of the year mark with regard to the other components and the processes to be applied to ensure the appropriate standards of the assessment will be maintained, along with evidence that these processes will function satisfactorily. The approval of Umalusi must be obtained before the assessment body decides to embark on the inclusion of a year mark component in the final mark.

## 20. Assessment concessions: Norms and Standards

- (1) The following concessions in respect of languages may be applied to candidates who experience barriers related to aural impairment, aphasia and dyslexia:
  - (a) In the case where two languages are required only one language, at First Language level need to be offered, provided that an additional instructional offering is offered in lieu of the second language.
  - (b) In cases of candidates with aural impairment, whose language of instruction is not their home language, the language referred to in paragraph 19(1)(a) above, may be offered at Second language Level.
- (2) Further concessions related to reading and writing may be granted in accordance with *White Paper 6*.

**21. Absentees: Norms and Standards**

- (1) In the case of illness or any other circumstances beyond the control of the candidate, medical certificates, affidavits or acceptable proof are to be countersigned by the Head of the Institution concerned before submission to the assessment body. Where the authenticity of a candidate's claim is in doubt, the Head of the Institution is to advise the Head of Department in writing, and then investigate the matter further.
- (2) Candidates who absent themselves from an assessment for no valid reason must not be permitted to enter the supplementary assessment.

**22. Absentees: Guidelines**

- (1) If a candidate is unable to write (or complete) the examination for reasons other than illness or injury, a written report in which the circumstances are set out, must be submitted by the Head of the Institution.

**23. Supplementary examination: Norms and Standards**

- (1) A candidate, who did not register for a subject in the November examination, may not be permitted to be examined in an examination in that subject in the supplementary examination.
- (2) Only the following candidates qualify for the supplementary examination, including:
  - (a) A candidate who becomes ill during the October/November examination, on condition that he/she produces a medical certificate;

- (b) A candidate who has not met the minimum promotion requirements in the examination but requires one subject to obtain a final promotion. Such a candidate may register for a maximum of two subjects;
  - (c) A candidate who obtains a conditional exemption, i.e. one requirement short of a Senior Certificate with endorsement will be allowed to register for a maximum of two subjects; and
  - (d) A candidate who provides documentary evidence that he/she qualifies for admission to university or any other higher education institution but does not satisfy the higher education faculty/department/subject requirements. Such a candidate will be allowed to register for a maximum of two subjects.
- (3) In the case of a death in the family or other special reasons for absence, admission to the supplementary examination is at the discretion of the Head of Department.
  - (4) In the case where an irregularity is being investigated, provisional entry may be granted to the candidate concerned, pending the outcome of the investigation.
  - (5) In cases where the reason for admission to the supplementary examination needs to be supported by documentary evidence, it is imperative that the Head of the Institution be requested to recommend or not recommend the admission of the candidate concerned.
  - (6) Candidates must write the supplementary examination on the same grade as the grade on which the subject was examined in the November examination.

**24. Conduct of the Senior Certificate examination beyond the borders of the Republic of South Africa: Norms and Standards**

- (1) The following criteria will apply when candidates lodge requests to be examined in the Senior Certificate final exit assessment outside the borders of the country:
- (a) Only candidates who possess citizenship of the Republic of South Africa and have registered for the Senior Certificate examination will be considered and are entitled to be examined outside the borders of the country;
  - (b) Children of diplomats or personnel of the Embassy/Consulate<sup>1</sup>;
  - (c) Candidates whose parents/guardian have/has been transferred by their employees to other countries;
  - (d) Candidates who have been transferred by employers to other countries; and
  - (e) Candidates who represent the country/province in a recognised and registered code of sport/cultural event.
- (2) Applications will only be considered if:
- (a) Candidates have already been registered for the Senior Certificate examination.

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<sup>1</sup> Foreign diplomats in South Africa and South African diplomats in foreign countries.

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- (b) A motivation in writing requesting permission to be examined at an approved overseas venue in accordance with the prescribed schedule has been submitted.
- (3) Assessment centres outside the borders of the Republic of South Africa will be South African Diplomatic Missions or centres approved by the relevant assessment body.
- (4) The following criteria will be used to select a centre:
- (a) A suitable room should be available for the conducting of the examination.
  - (b) Sufficient light and ventilation.
  - (c) A vault should be available for the safekeeping of the question papers and examination material.
  - (d) Suitable furniture, e.g. a chair and table for the candidate(s) and the invigilator.
- (5) Invigilation must be conducted in accordance with this policy.
- (6) The candidate will be responsible for all expenses, e.g.:
- (a) Packaging and postage;
  - (b) Invigilator for invigilating;
  - (c) Renting of venue if applicable; and
  - (d) Any other incidental costs.
- (7) It will be the responsibility of the assessment body to supply the question papers and all material needed, for example two answer scripts per



question paper, wrapper, attendance register, mark sheet, individual timetable, additional needs such as graph paper, typing paper, etc., either by the diplomatic bag – outside the Republic of South Africa or courier services.

- (8) The assessment body will be responsible for the confirmation of the submission of all examination materials. Costs regarding this correspondence will be borne by the candidate.
- (9) Conformation to the South African Standard Time requirements:
  - (a) It is a pre-requisite that candidates conform to the South African Standard Time requirements for the respective question papers.
  - (b) Where this is not practicable in terms of vast time zone differences, a quarantine period commencing at the time of the question paper will apply.
- (10) Resulting additional costs will be met by the candidate in this regard.

## CHAPTER 6

### PREPARATION FOR THE EXAMINATION

#### 25. Management plan relating to examination: Norms and Standards

- (1) Assessment bodies must have a clear and detailed management plan that must include the following relating to examination and monitoring:
  - (a) Objectives or targets to be achieved pertaining to the examination process;
  - (b) Possible steps and processes that will lead to the achievement of the targets;
  - (c) Persons responsible/accountable;
  - (d) Time plan; and
  - (e) Monitoring of the examination process.

#### 26. Management plan relating to examination: Guidelines

- (1) A management plan may be drawn up in conjunction with the key persons involved in the examination process, so that they develop a sense of ownership of the plan. This plan aims to instill a greater degree of accountability in the persons involved. It is this sense of accountability that is a vital ingredient for the organisation and implementation of successful examination.

**27. Advance planning of the examination: Norms and Standards**

- (1) Preparation for the final examinations carried out by the assessment bodies must commence not later than eighteen (18) months prior to the examination.
- (2) Question papers that are set by the Department of Education (nationally set subjects) and other assessment bodies must cover the core syllabi adequately and must be of a standard acceptable to Umalusi.
- (3) The instructions and procedures which individual examiners or a panel of examiners must adhere to, must be determined by the Department of Education and the assessment body.
- (4) The criteria for the appointment of educators for examination-related work are contained in the Personnel Administration Measures (PAM), determined by the Minister of Education in terms of the *Employment of Educators Act, 1998 (Act No. 76 of 1998)* and the regulations made in terms of the Act (Annexure C).
- (5) An examiner and an internal moderator must be appointed by assessment bodies for a maximum period of four (4) years with a mechanism in place to terminate the appointment of an examiner if he/she is unable to comply with the necessary requirements and standards. If a panel is appointed, the chief examiner in the panel may be appointed to fulfil the functions of an internal moderator.
- (6) The remuneration for the performance of examination-related duties and the compensation for travel and subsistence costs are contained in the Personnel Administration Measures (PAM) determined by the Minister of

Education in terms of the *Employment of Educators Act, 1998 (Act No. 76 of 1998)* and the Regulations made in terms of the Act.

- (7) When candidates need to answer only a selected number of questions from those given in a question paper, an instruction to this effect should appear on the question paper to indicate to the candidate what marking procedure will be followed.
- (8) All question papers that are not in English or Afrikaans must have an instruction page in English as well as the language of the question paper.

**28. Advance planning of the examination: Guidelines**

- (1) The purpose of planning ahead for the examination is to eliminate undue pressure on the staff, to ensure that deadlines are adhered to and to allow for contingency plans, if necessary (Annexure D).
- (2) Officials responsible for the co-ordination and the drawing up of timetables must ensure that no clashes occur on the timetable.

**29. Responsibilities of examiners and internal moderators: Norms and Standards**

- (1) The Department of Education and assessment bodies must ensure that:
  - (a) Examiners in the respective subjects set the question papers and prepare the memoranda for the question paper concerned, for the final and the supplementary examination as well as an additional question paper;

- (b) The October/November external question paper and the supplementary question paper are set at the same time so as to ensure that the standard of both these papers is the same;
  - (c) Question papers conform to the core syllabus, adequately provides for differentiation and that it is of the required standard;
  - (d) The internal moderator is satisfied that the question paper conforms to the requirements of the nationally approved core syllabus and that it is of the required standard and adequately provides for differentiation; and
  - (e) All examiners and internal moderators comply with all instructions issued to them by the Department of Education and the assessment body.
- (2) Where an internal moderator is appointed, he/she may not be involved in the setting of the question paper, since he/she is required to provide an objective and critical review of the question paper in terms of its coverage of the subject statement and the overall standard.
- (3) It is the responsibility of the Department of Education and the assessment body to ensure that all question papers are approved by the internal and external Umalusi moderators. The Department of Education and the assessment body must ensure that all changes recommended by the internal and the external moderator(s) are made to the question paper. In the case of a disagreement between the examiner and the moderator the following procedure must be followed:
- (a) If the disagreement is between the internal moderator and the examiner, the assessment body should attempt to mediate a

consensus position between the examiner and the internal moderator. If consensus cannot be reached, the decision of the assessment body is final.

- (b) If the disagreement is between the examiner/internal moderator or the external moderator, the Chief Executive Officer of Umalusi should mediate a consensus position between the examiner/internal moderator or the external moderator. If consensus cannot be reached, the decision of the Chief Executive Officer of Umalusi, in this case, is final.
- (4) The Department of Education and assessment bodies must comply with Umalusi's requirements regarding the external moderation of question papers.
  - (5) Control of current examiners and moderators lies with the Head of the Department, who is to ensure that examiners and moderators do not participate in any activity that may compromise confidentiality clauses in their contracts.
  - (6) The Department of Education and the assessment body must provide examiners and internal moderators with a clear guideline relating to the setting of the question paper. This instruction must at least include the following:
    - (a) The duration of the question paper;
    - (b) The maximum marks;
    - (c) The number of question papers; and
    - (d) The format of the question paper.

- (7) Internal moderators must perform the following functions:
- (a) Establish systems to standardise the examination, including the plans for internal moderation;
  - (b) Monitor consistency of examination records;
  - (c) Through sampling, check the design of examination materials for appropriateness before they are used, monitor examination processes, check candidates' evidence, check the results and decisions of examiners for consistency;
  - (d) Co-ordinate examiner meetings;
  - (e) Liaise with external moderators; and
  - (f) Provide appropriate and necessary support, advice and guidance to examiners.

**30. Processing of examination question papers: Norms and Standards**

- (1) The Department of Education and assessment bodies must have clear structures and procedures in place relating to the typing, editing and printing of question papers.
- (2) Question papers must be submitted to the external moderator timeously so as to allow for thorough moderation, changes, adaptations and duplication of the question papers and other required examination materials

**31. Processing of examination question papers: Guidelines**

- (1) It must be borne in mind that the external moderator also needs to moderate question papers from other assessment bodies and therefore the return of question papers in the shortest period cannot always be guaranteed (Annexure E).

**32. Storage and distribution of question papers: Norms and Standards**

- (1) The safekeeping of question papers prior to them being written is a key function of any assessment body that seeks to administer a credible examination. The Department of Education and assessment bodies must have a clear policy and management framework in place for the safekeeping of question papers.
- (2) Each assessment body may select the distribution mechanism best suited to the conditions prevailing in the province.
- (3) Irrespective of the mechanism adopted by the assessment body the following principles must be adhered to at all times:
  - (a) The distribution chain should be as short as possible.
  - (b) The number of persons involved in the distribution process should be restricted to the minimum.
  - (c) The transfer of the question papers from one responsible officer to the other should be carefully checked and controlled on receipt.
  - (d) Any discrepancies that are detected during the transfer process should be reported to the provincial head office immediately.
  - (e) All persons involved in the distribution process should complete a Contract of Confidentiality.



## CHAPTER 7

### CONDUCTING THE EXAMINATION

#### 33. Establishment and registration of assessment centres: Norms and Standards

- (1) All independent providers, which request the Department of Education to conduct the Senior Certificate examination for the first time, must register with the Department of Education in terms of the agreed procedures. Satellite centres or subsidiary centres of the registered centre may not be allowed. Every centre should be registered under its own name with the provincial department of education. Prisons, where examinations are administered, must register as assessment centres and such assessment centres must adhere to all assessment regulations and procedures, including starting and finishing times of all examinations.
- (2) Assessment centres must be visited by an official from the district office, regional office or head office, to verify that the necessary facilities required for conducting the examination, are available at the centre.
- (3) Independent institutions may negotiate with the provincial departments of education to accommodate their learners, where possible.
- (4) The head of a centre for private candidates must register with the provincial department of education on or before the closing date that will be announced by the Head of Department. Centres for private candidates must register on an annual basis before 15 March.
- (5) The total number of candidates at a part-time centre may not exceed 500 candidates for any one session.

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- (6) Application for registration of an assessment centre must be made on a prescribed form that should be available from the regional offices/district offices of the provincial department of education.
- (7) Assessment bodies must develop criteria for the registration of assessment centres, which may include the following:
- (a) Registration of centre as an educational institution;
  - (b) Suitable venue to accommodate candidates, i.e. sufficient space and appropriate furniture to seat candidates;
  - (c) Security of venue;
  - (d) Clearance in terms of the local health and fire services by-laws;
  - (e) Provision of proper lighting;
  - (f) Availability of water and toilet facilities;
  - (g) Suitably qualified teaching staff or members of the community who can be trained as invigilators;
  - (h) Availability of a strong room for the safekeeping of assessment material; and
  - (i) The necessary equipment and facilities required for proper assessment of all learners who experience barriers to learning and registered at the specific centre.

- (2) Should the centre/institution/venue be approved as an assessment centre, a centre number should be issued and the head of the centre/venue/institution informed accordingly.
- (3) The registration of centres should be reviewed every three years.

**34. Establishment and registration of assessment centres: Guidelines**

- (1) A *pro forma* contract that could serve as an example between an independent school and the Department of Education, is attached at Annexure F.

**35. De-registration of assessment centres: Norms and Standards**

- (1) Assessment centres that do not comply with policy will be de-registered due to the following reasons:
  - (a) Physical relocation of the assessment centre from the premises approved by the assessment body to other premises. All assessment centres are required to operate in the premises, which, after inspection, were approved for this purpose by the assessment body.
    - (i) The following procedure should be followed when a centre relocates to new premises:
      - (aa) Should any centre relocate to new premises, their registration as an assessment centre lapses immediately and they will be forced to seek registration at the new premises from the provincial assessment body.

- (bb) In exceptional circumstances, and provided that the centre has an unblemished record as far as irregularities and administration is concerned, the Head of the Department may allow the centre to continue to operate for the current assessment year only, during which time the centre must apply for, and receive, assessment centre status in respect of the new premises. Should such permission be refused, or for any other reason not granted, the registration of the centre shall lapse forthwith.
- (cc) Should this process stretch over the year end, no new candidates may be registered until a decision is taken on the registration of the centre.
- (dd) The onus is on the owner or management (centre manager/principal) to inform the Head of Department timeously of his/her intention to move.
- (ee) The Head of Department or his or her nominee shall inform the owner or management, in writing, of the course to be followed.
- (ff) If the application for the registration of the centre at the new premises is unsuccessful, the Head of Department or his or her nominee shall inform the owner or management of the lapse in the registration of the centre.
- (gg) The owner or management shall have the right to respond to the decision and furnish reasons why they believe the centre should not be de-registered.
- (hh) The Head of Department shall consider such representation and make a final decision. This decision must be conveyed to the owner or management, in writing. The decision is final.

- (b) Intentional undermining of the integrity of the examination
- (i) Assessment centres, where there is clear evidence that “ghost writers” were permitted, of collusion between Chief Invigilators/Invigilators and candidates, of question papers in the care of the centre being given to persons for perusal before the examination and related practices should be closed and the perpetrators prosecuted. It is not sufficient for an offending centre to re-shuffle personnel and to re-deploy another staff member to act as Chief Invigilator. Firm steps must be taken.
- (ii) The following procedure should be followed when it is found that irregular practices took place at an assessment centre:
- (aa) Competent authorities should investigate the above-mentioned irregularities.
- (bb) If clear evidence emerges from such investigations, disciplinary action should be instituted and steps taken to de-register the centre.
- (cc) The owner or management must be informed, in writing, of the intention of the Head of Department to close the centre due to the incidence of irregularities.
- (dd) The owner or management shall be asked to furnish a motivation why the centre should not be closed.
- (ee) The Head of Department shall consider such representations and, in the best interests of the integrity of the examination, take a decision

whether or not to close the centre. Such a decision shall be final.

- (ff) The decision must be communicated in writing to the owner or management.

(c) Maladministration

- (i) Assessment centres may be de-registered if their maladministration results in any disadvantage to candidates or affects the integrity of the examination or impacts negatively on the ability of the assessment body to render a service or, if in reviewing the venue, there is evidence that the venue no longer adheres to the requirements for registration as an assessment centre.
- (ii) The following procedure should be followed when maladministration of an assessment centre occurs:
- (aa) The owner or management of such an assessment centre shall be made aware of the situation, in writing, of the situation and given an opportunity to set matters to rights.
- (bb) Should the maladministration of the centre continue, the centre may be placed on probation for a period determined by the Head of Department (not longer than one (1) assessment year) during which time, if the owner or management again demonstrates an inability to administer the process adequately during the probation period, the centre may be de-registered at the end of the assessment year.

- (cc) The owner or management must be informed, in writing, of the intention of the Head of Department to de-register the centre and asked to furnish reasons why this should not be done. The owner or management may respond to this, whereafter the Head of Department may, in the best interests of candidates and the integrity of the process, decide to de-register the centre. Such a decision shall be final.
- (d) The flouting of assessment policies and guidelines
- (i) Assessment centres where assessment officials flout assessment rules and regulations and instructions issued by competent authority may be closed.
- (ii) The following procedure should be followed when assessment policies and guidelines are flouted by an assessment centre:
- (aa) Instances where it is alleged that assessment officials at centres flout assessment rules and regulations and/or instructions issued by competent authority shall be investigated.
- (bb) Should substance be found to such allegations, the owner or management shall be warned in writing, specifying exactly the nature of the contravention of rules, regulations and instructions. The owner or management shall be given an opportunity to set matters to rights.

- (cc) Should the flouting of assessment policies and guidelines continue, the centre may be placed on probation for a period determined by the Head of Department (not longer than one (1) assessment year) during which time, if a further offence occurs, the centre may be de-registered at the end of the assessment year.
- (dd) The owner or management must be informed, in writing, of the intention of the Head of Department to de-register the centre and asked to furnish reasons why this should not be done. The owner or management may respond to this, whereafter the Head of Department may, in the best interests of candidates and the integrity of the process, decide to de-register the centre. Such a decision shall be final.

**36. Appointment and duties of Chief Invigilators and Invigilators: Norms and Standards**

- (1) The assessment body must formulate guidelines with regard to the appointment and duties of Chief Invigilators and Invigilators and ensure that all invigilators are appropriately trained (Annexure G).
- (2) In respect of admission of candidates to the examination room, Invigilators must ensure that every candidate produces his/her admission letter as well as proof of identity, preferably his/her official identity document, driver's license or passport on admission to the examination room. However, a full-time learner at a school needs to produce only his/her admission permit since it is assumed that the invigilators know the learner. Invigilators must enforce this admission requirement rigorously.



- (3) If a candidate fails to produce the required documentation, an irregularity will be declared and the candidate will be allowed to present the required documentation to the Invigilator after the examination, failing which the normal procedure pertaining to irregularities must be followed.

**37. Reading time: Norms and Standards**

- (1) A period of ten (10) minutes before the official commencement of the examination must be allowed for reading of the question paper over and above the reading of any instructions that may be necessary, but no writing may take place during this time.

**38. Return of scripts: Norms and Standards**

- (1) The return of scripts directly to the provincial head office or any other collection point, must be handled with the same care and security as the question papers, and therefore assessment bodies must have clear procedures that must be followed in the return of scripts (Annexure H).

**39. Examination monitoring team: Norms and Standards**

- (1) It is the responsibility of assessment bodies to develop and implement a monitoring policy and to implement such a system. Umalusi will verify the monitoring system and ensure that the outcome of the system is valid.
- (2) All assessment bodies must establish a structure to monitor examinations.

- (3) The monitoring team must visit the assessment centres while the examination is in progress and report on, amongst others, the following:
  - (a) General management of the examination;
  - (b) Invigilation;
  - (c) Condition of examination rooms;
  - (d) Seating of candidates;
  - (e) Control of ten (10) minutes reading time; and
  - (f) Return of scripts.
  
- (4) The marking process, as described in paragraph 8, should also be monitored. The monitoring team should also visit the marking centres to observe the marking process.
  
- (5) The provincial department of education must determine the composition of the monitoring team. The monitoring team may include representatives from outside the provincial department of education so as to ensure the credibility of the monitoring team.

**40. Examination monitoring team: Guidelines**

- (1) The main function of the examination monitoring team is to ensure that the examination is conducted in accordance with the rules and procedures determined by the assessment body.

## CHAPTER 8

### THE MARKING PROCESS

#### 41. Appointment of markers: Norms and Standards

- (1) Markers are appointed in terms of the Personnel Administration Measures (PAM) (Annexure I).
- (2) All selection panels should be chaired by the relevant provincial Head of Education or his or her designee, since the provincial education department is finally responsible for the appointment of markers.
- (3) In order to ensure that the information provided by the applicant for the position of marker is correct it must be verified by his or her employer. A person applying for the post of marker must be an educator currently offering the subject for which he or she applies in the FET band.

#### 42. Appointment of markers: Guidelines

- (1) It is recommended that provinces should commence with this process early in the year so that adequate time is available for the verification of information and the actual selection procedure. Additional markers must be placed on a reserve list, in the event of appointed markers failing to report during the marking session.
- (2) The information as contained in the application form as prescribed by the relevant provincial department of education must be verified by district managers. If provinces are not satisfied with this method of verification, then all application forms should be accompanied by a sworn affidavit confirming the qualifications and experience of the applicant.

- (3) It is advised that persons appointed as markers fall under the *Employment of Educators Act, 1998 (Act No. 76 of 1998)* to ensure that provincial departments of education can exercise control over them.

**43. Marking centres: Norms and Standards**

- (1) Each assessment body must have criteria relating to the establishment and management of marking centres.

**44. Marking centres: Guidelines**

- (1) If the number of markers exceeds six hundred (600), a decentralised approach to marking should be adopted. Marking can be decentralised in terms of geographic regions or groups of subjects. If a subject is marked by more than one (1) venue, special measures must be taken to ensure a common standard of marking.
- (2) The marking venue must cater adequately for the needs of the marking personnel. The following aspects need to be considered before a marking venue is selected:
  - (a) Marking space;
  - (b) Catering facilities;
  - (c) Overnight accommodation (if required);
  - (d) Security;
  - (e) Prevention of access to unauthorised persons;
  - (f) Control centre; and
  - (g) ICT facilities.

(3) The control section is the heart of operations at the marking centre. The operation of the control section can be divided into three (3) phases, viz.:

(a) Phase one:

This phase entails a stocktaking of all mark sheets and their respective scripts at the marking centre. All unregistered mark sheets/scripts are to be registered in a specific register.

(b) Phase two:

Chief Markers sign a control list when scripts are issued to them and when they return the scripts. (At this point it is possible to determine exactly how many scripts have not been marked/returned.)

(c) Phase three:

Mark sheets should be kept in a safe place and sent to the Chief Marker as soon as possible. During this phase, copies should be made of the completed mark sheets that have been returned by the Chief Markers. The original copy should be sent for data capturing. Control lists are checked at this stage to see whether Chief Markers have returned all the scripts.

**45. Marking procedure: Norms and Standards**

- (1) Marking procedure should be clearly formulated by the assessment body, taking into consideration the following (Annexure J):
  - (a) Marking question by question;
  - (b) Marking complete scripts;
  - (c) Staggered marking; and
  - (d) Marking at the termination of the examination, i.e. after all the question papers have been written.
- (2) When candidates need to answer only a selected number of questions from those given in a question paper, the marker should mark only the required number of questions in the order in which they appear in the answer script and delete the remaining answers.
- (3) All marks on mark sheets and any other official documents must be entered in ink. NO pencil marks will be allowed on mark sheets or official documents.
- (4) Provincial departments of education will release the marking memoranda and question papers of an examination of the previous year to interested parties not before the end of April the next year, as standard practice.

## CHAPTER 9

### PROCESSING OF MARKS

#### 46. Processing of marks: Norms and Standards

- (1) An assessment body must establish or have access to a fully-fledged Information Technology component.
- (2) Mark adjustments are done by the assessment body in conjunction with Umalusi after the capture of the marks. The distribution of raw marks on a data set must be provided at the mark adjustment meeting. A set of graphs that represents the distribution of the raw marks and the adjusted marks is also required at this meeting.

#### 47. Processing of marks: Guidelines

- (1) The computer system should be used to assist with the processing of marks and should provide an easy-to-use mechanism for the capture of marks. Direct capturing on the mainframe and decentralised printing should be done.
- (2) The computer system should use a uniform format when printing results taking into consideration that provinces have their uniqueness (e.g. different province names, signatures, etc.).
- (3) The marks obtained by learners, as reflected on the mark sheets, should be captured by specially trained staff. Verification of all data being captured, using the double capture method, is recommended.

- (4) With regard to the release of results, the release date shall be decided upon by the Council of Education Ministers (CEM) on the recommendation of the Heads of Education Departments Committee (HEDCOM) on an annual basis.



## CHAPTER 10

### RE-MARKING AND RE-CHECKING OF SCRIPTS

#### 48. Re-marking and re-checking of scripts: Norms and Standards

- (1) A candidate may apply for the re-marking or re-checking of his or her assessment scripts, within thirty (30) days of the official release of results by the MEC. This applies to both the October/November and supplementary examinations.
- (2) A re-marking or re-checking fee will be determined by the MECs.
- (3) The prescribed fee must be communicated to the learners with the statement of results.

## CHAPTER 11

### VIEWING OF SCRIPTS

#### 49. Viewing of scripts: Norms and Standards

- (1) The candidate and/or the candidate's parent/guardian or representative will, subject to the *Promotion of Access to Information Act, 2000 (Act No.2 of (2000))*, be allowed to view the script/s of the candidate concerned.
- (2) Viewing of scripts will therefore only be allowed under the following conditions:
  - (a) An application to view the script must be made in writing to the Head of Department in terms of the prescribed form of the regulations of the *Promotion of Access to Information Act, 2000 (Act No.2 of (2000))*, within thirty (30) days of the release of the remark results, providing clear reason(s) for the request;
  - (b) The script will be viewed in the presence of an examination official and may not be removed from the viewing room;
  - (c) No other document, except the script of the candidate, will be allowed in the room where the viewing takes place;
  - (d) No writing on the scripts during the viewing process will be allowed;
  - (e) The candidate and/or the candidate's parent/guardian or representative may request a copy of the script(s) at a tariff as

prescribed by the regulations of the *Promotion of Access to Information Act, 2000 (Act No.2 of 2000)* and levied by the relevant provincial department of education; and

- (f) The candidate and/or the candidate's parent/guardian will be given a period of seven (7) days to lodge an application for remarking after the viewing. The provincial department of education will respond to this application with a final decision on the matter within a period of not longer than thirty (30) days.

## CHAPTER 12

### DEALING WITH IRREGULARITIES

#### 50. Dealing with irregularities: Norms and Standards

- (1) Assessment bodies must adopt the procedures relating to irregularities. Each assessment body must establish an Irregularities Committee to investigate, confirm and make recommendations to both the national and provincial Heads of Education regarding irregularities identified during the assessment process.
- (2) The following criteria must be followed regarding the issuing of a Senior Certificate to a candidate suspected of committing an irregularity:
  - (a) Firstly, it should be established whether the irregularity is due to the conduct of the learner or another person.
  - (b) If the learner is responsible for the irregularity, only those areas that can be proved to be irregularities can be dealt with, while the other areas must still be evaluated.
  - (c) If the irregularity is not due to the learner's action, the situation must be reconstructed to the previous position, i.e. the situation as it was before an irregularity was affected, and the marks allocated to the learner must be adjusted to the original position at the first possible opportunity.
  - (d) If the irregularity is in one of the papers of a subject, it will have an effect on the subject as a whole, but will not affect the other assessed subjects.

- (3) Candidates who attend an irregularity hearing have the right to legal representation.
- (4) Should a candidate decide to have legal representation, the Department of Education (Provincial) should be informed of this intention three (3) days before the hearing to allow the Department to ensure appropriate Departmental representation at the hearing.

**51. Dealing with irregularities: Guidelines**

- (1) As a guideline Annexure K provides an example how these criteria should be dealt with.

## CHAPTER 13

### SECURITY AND CONFIDENTIALITY

#### 52. Security and confidentiality: Norms and Standards

- (1) Security of information and security of all venues utilised in the assessment process are of utmost importance. The assessment body must take all reasonable steps to ensure the security and confidentiality of the question papers, answer books/scripts, mark sheets and other assessment documents. At least the following areas of the examination process should, amongst others, be covered with at least the following effective security and confidentiality measures:
  - (a) The drafting of the question papers;
  - (b) The dispatching of the question papers to moderators;
  - (c) The printing of the question papers by accredited providers;
  - (d) The safeguarding of the printed question papers;
  - (e) The separate storage of final printed question papers and printed back-up question papers;
  - (f) The keeping of a register of all people entering/exiting the restricted examination administrative areas; and
  - (g) Record keeping of all question papers going out and answer scripts coming in.
- (2) There will be national prescription in respect of a security and confidentiality agreement relating to examination matters, which must be signed by all officials involved in managing and administering the examination.

- (3) All employees, including examiners and moderators, involved in the Senior Certificate examination, and having children of their own in Grade 12 must disclose information relating to their own children participating in the Grade 12 examination to the provincial department of education. The Head of the Department will make a decision with regard to the involvement of the official in the Senior Certificate examination for that year.

**53. Security and confidentiality: Guidelines**

- (1) The use of outside agents or institutions in the examination process is a provincial responsibility and issues relating to security, cost-effectiveness and capacity building within the province must be taken into consideration before an outside agency or institution is engaged.

## CHAPTER 14

### ACCESSIBILITY OF EXAMINATION INFORMATION

#### 54. Accessibility of examination information: Norms and Standards

- (1) Examination answer scripts and related documentation such as mark sheets and attendance registers must be filed for at least six (6) months from the date on which results are released, and thereafter they may be shredded except in cases where litigation is still in process, for example scripts of candidates involved in irregularities.
- (2) Assessment bodies must use a good filing system for examination scripts and mark sheets, since access to these documents after the marking process may be necessary.

#### 55. Accessibility of examination information: Guidelines

- (1) Scripts needed for re-checking, re-marking, finding of lost marks or resolving queries may be filed per subject, grade, paper, in centre order, etc.



## CHAPTER 15

### DOCUMENTS AND DOCUMENT CONTROL OF THE SYSTEM

#### 56. Documents and document control of the system: Norms and Standards

- (1) Documents printed by the computer system are the responsibility of the provinces. The Head of the Assessment Directorate or his or her delegated officials must check the signatures and the descriptions on these documents.

#### 57. Documents and document control of the system: Guidelines

- (1) Documentation on the results of the computer system is essential for use by the provinces and should be available to them. This information is used for reference purposes in order to maintain and further develop the system.

**CHAPTER 16****COPIES OF HISTORICAL CERTIFICATION RECORDS AND  
DATA RETENTION****58. Copies of historical certification records and data retention: Norms and standards**

- (1) Copies of historical certification records are a national asset and are the responsibility of the national Department of Education. The original documents of the assessment and certification process will be part of the provincial filing system and subject to the *National Archives of South Africa Act, 1996 (Act No.43 of 1996)*.

**59. Copies of historical certification records and data retention: Guidelines**

- (1) Access to historical records is an integral part of the functioning of any assessment section. The provinces need computer infrastructures that can access the centralised database. The retention of these records is to be used for queries, combination of results and checking of fraudulent cases.

## CHAPTER 17

### MINIMUM REQUIREMENTS FOR A COMPUTER SYSTEM

**60. Minimum requirements for a computer system: Norms and Standards**

- (1) An assessment body must formulate the minimum requirements for a computer program used in the assessment process. A guideline to establish such minimum requirements is contained in Annexure L.

# ANNEXURE A

## ADMINISTRATIVE ISSUES RELATING TO CONTINUOUS ASSESSMENT (CASS) MARKS

### 1. INTRODUCTION

The following issues are addressed in this policy:

- The awarding of a 999 (absent)
- The awarding of a "0" and how it should be handled
- Procedure to be followed with candidates with pending or outstanding CASS mark.
- Measures to be taken with regard to learners that are unable to attend school for periods of the year.

### 2. PRESENTATION OF CASS MARKS

All learners offering a particular subject that requires a CASS component must present a mark.

The mark may be either a "0" (zero), or numeric 1 through to the maximum number of marks for that component, or a mark of 999 to indicate an absent. An outstanding mark initially indicated by a 777 means that the learner has an outstanding mark and the final result will therefore be withheld until the marks have been received.

Learners must be given a grace period to submit CASS tasks for evaluation (three weeks).

### **3. THE AWARDING OF A 999 (ABSENT)**

A learner is awarded a 999 (absent) in the following cases:

#### **3.1 The learner s not offering themselves for CASS**

The definition of 999 (in the case of CASS) should be interpreted as “not offered”. A learner can only obtain a 999 if he or she did not offer ANY components of school-based assessment (SBA) without a valid reason. In other words, the learner attended school but did not do a single piece of work, or project, or never wrote an examination or test.

#### **3.2 Incorrect registration**

This is when a learner registered for the wrong subject and grades and it was detected too late to make corrections on the system. Then “999” will be indicated on the official mark sheet and a handwritten mark sheet must be completed for the learner for the correct subject or grade. (Prior permission must have been sought from the Examination Directorate in the province. A permission letter from the Examinations Directorate must be attached to the handwritten mark sheet.) A province will then be aware of handwritten mark sheets that must be completed for written papers.

#### **3.3 Learners not part of the system any more**

A “999” is indicated on the official mark sheet if for some or other reason a learner left the system after final registration. The learner may have left the school, passed away, re-located, or any other reason. In these cases the Department will know on which written paper mark sheets a “999” can be expected.

#### **4. THE AWARDING OF A "0" ZERO MARK**

A "0" zero mark can only be awarded to a learner if such a learner excused him or herself for any ONE or more of the CASS components and/or did not offer him or herself for evaluation **WITHOUT** a valid reason/s. In such cases a "0" zero mark will be allocated for that component.

#### **5. A PENDING OR OUTSTANDING CASS MARK AND THE PROCEDURE TO BE FOLLOWED**

Pending marks in the system are captured as a "777" which indicate an outstanding mark. These problems must be solved as soon as possible and the "777" must be replaced with either a mark or a "999" (absent). (A "0" is regarded as a mark.)

Should no mark be received at the time of release, assessment centres will be given another opportunity to submit CASS marks together with an acceptable explanation. This must be completed within three (3) months of the publication of results or prior to the release of the next supplementary examination results, if and where applicable.

If no CASS marks with an accepted explanation are submitted within the timeframe mentioned, it will be assumed the learner did not present him or herself for CASS and the "777" will be changed to "999" or absent.

Should this happen, Senior Certificate learners will have to register again for that subject in the new examination cycle, and if they successfully complete the assessment, a combination of results can be requested.

If a learner completed the CASS portfolio, but failed to write or to pass the written paper, the learner must be given the opportunity in the next cycle to write

the examination and the CASS and written marks may then be combined for resulting.

No mark, whether written or CASS, may remain in the system for longer than three (3) years. Should a learner not achieve a full result within three years after either the CASS or written mark was captured, the marks of that subject must be removed from the system.

## 6 THE COMPILATION OF CASS MARKS

**Example (for purposes of illustration):**

**CASS components of learning area XXX:**

	Component 1	Component 2	Component 3	Component 4	Component 5
<b>Max marks</b>	5	5	30	20	40

*Scenario 1:*

**CASS components of learning area XXX with learner's marks:**

	Component 1	Component 2	Component 3	Component 4	Component 5
<b>Max marks</b>	5	5	30	20	40
<b>Learner</b>	Did not offer (No valid reason)	Did not offer (No valid reason)	Did not offer (No valid reason)	Did not offer (No valid reason)	Did not offer (No valid reason)

This scenario is highly unlikely, however, should there be such learners the Principal/Teacher must provide a written motivation to the relevant assessment

body as to the reasons why the learner did not offer him/herself for evaluation and in such case a final mark of 999 (absent) must be awarded. (See paragraph 3).

**Scenario 2:**

**CASS components of learning area XXX with learner's marks:**

	Component 1	Component 2	Component 3	Component 4	Component 5
<b>Max marks</b>	5	5	30	20	40
<b>Learner</b>	4	Did not offer (No valid reason)	16	Did not offer (No Valid reason)	20

$$\begin{aligned} \text{CASS mark} &= (4+0+16+0+20)/(5+5+30+20+40) \\ &= 40/100 \\ &= 40\% \end{aligned}$$

Once a learner has offered any ONE or more of the CASS components, he or she MUST receive a CASS mark, calculated as follows:

- Components that the learner offered: Award a mark (could also be a "0").
- Components that the learner did not offer **WITHOUT** valid reasons: Award a "0" mark.
- A 0 can only be awarded if a learner offered at least ONE component but failed to obtain any marks in any of the components that he or she offered.



*Scenario 3:***CASS components of learning area XXX with learner's marks:**

	Component 1	Component 2	Component 3	Component 4	Component 5
<b>Max marks</b>	5	5	30	20	40
<b>Learner</b>	4	Did not offer (Valid reason given)	16	Did not offer (Valid reason given)	20

$$\begin{aligned} \text{CASS mark} &= (4+16+20)/(5+30+40) \\ &= 40/75 \\ &= 54\% \end{aligned}$$

Once a learner has offered any ONE or more of the CASS components, he or she MUST receive a CASS mark, calculated as follows:

For those components that the learner did not offer **WITH** valid reasons; disregard the specific component and scale the remaining components to equal that of the full CASS component.

Valid reasons accepted will be:

- No teacher available to evaluate or;
- Trauma (This will only apply where a learner could not present him or herself for evaluation due to trauma and no alternative assessment could be conducted).

## 7. COMPLETION OF CASS MARK SHEETS

The following information is important and must reach every Assessment Centre and Regional, District or Area Office:

When the completed mark sheets are collected, the examination officials at Regional, District, Area level must check that:

- Each learner's results have been properly moderated and correctly entered;
- The teacher, principal and moderator have signed each mark sheet;
- That their printed names are clearly legible;
- An imprint of the school stamp appears on each mark sheet;
- The  $\sqrt{\text{ /a}}$  column of each mark sheet has been completed;
- That every learner that appears on the mark sheet has been allocated a mark (or is marked absent) a = 999, and a "0" is a mark, (Whenever a 999 or 0 is given to a learner a comprehensive report from the principal must be attached to the mark sheet to justify the mark given);
- The Hash Total (i.e. the total of the moderated marks) has been correctly added and inserted in the correct columns, (999 adds as nine hundred and ninety nine); and
- That under no circumstances whatsoever changes are made to the names, ID number., examination number, grades, totals, etc. on any mark sheet. A 777 will be indicated where a learner's CASS mark is outstanding.

Handwritten mark sheets for CASS-, Oral-, Creative writing and Practical marks are to be completed for every learner who does not appear on the official mark sheets, provided these cases were reported previously to the Examination Section and that a suitable written explanation accompanies every handwritten mark sheet. **All mark sheets are to be completed in black ink.**

**8. STATISTICAL MODERATION OF CASS MARKS**

Learners whose CASS marks are missing or have not been finalised at the time of statistical moderation, are removed from the moderation process. The examination results for these learners are initially left out of the moderation process, and the moderated marks are calculated at a later stage using information from the rest of the group.

Learners with CASS marks lower than 25% (or 0 CASS marks) must not form part of a school's statistical moderation process. Such learners' CASS marks must remain un-adjusted (raw CASS marks).

CASS marks must be captured as submitted, taking the above into account. Learners with a 999 (Absent) will therefore receive an "absent" for that subject and the result will be calculated in terms of the remaining subjects.

# ANNEXURE B

## ASSESSMENT BOARD

### 1. INTRODUCTION

The provincial assessment board, which should be representative of the various stakeholders and role-players in education, assumes an essential role in the assessment process in the province. A provincial assessment board can only assume responsibility for assessment once it has been established in accordance with the legislation of the province.

### 2. FUNCTIONS OF THE ASSESSMENT BOARD

- (1) The assessment board may have the following functions:
  - (a) To facilitate the process of policy formulation on assessment and related matters; and
  - (b) To advise the Head of Department on all matters relating to assessment.

### 3. SUGGESTED COMPOSITION OF THE ASSESSMENT BOARD

- (1) The composition of the Board could be as follows:
  - (a) The Head of Education in the province (Chairperson) or his or her designated nominee.

- (b) Representative/s from the following stakeholders and role-players:
- (i) Provincial assessment directorates;
  - (ii) Other directorates in the department of education involved in assessment;
  - (iii) Heads of Institutions;
  - (iv) Teacher unions;
  - (v) School governing bodies;
  - (vi) Universities;
  - (vii) Technikons;
  - (viii) Technical and community colleges;
  - (ix) Colleges of education;
  - (x) Umalusi;
  - (xi) Independent Schools Council;
  - (xii) Distance education colleges; and
  - (xiii) Inclusive Education.
- (c) The MEC for Education will have the right to appoint additional members to the Board if he/she so deems fit.

#### **4. SUGGESTED CONSTITUTION OF THE ASSESSMENT BOARD**

- (1) The following could serve as a guideline when drafting the constitution of the assessment board:
- (a) Two ordinary meetings of the board should be held annually on dates and places determined by the Head of Education.
  - (b) The Head of Education may convene a special meeting if deemed necessary.

- (c) At least fourteen (14) days' notice should be given for all ordinary meetings.
- (d) In the absence of the Head of Education, the Acting Head or Deputy Head of Education may act as chairperson.
- (e) The Executive Committee should consist of the Head of Education, the Deputy Head of Education, the Head of Assessment and the Secretary.
- (f) A quorum should consist of fifty (50) per cent of the members of the board.
- (g) Meeting procedures:
  - (i) At least thirty (30) days prior to the date determined for an ordinary meeting, a written notification should be given to members requesting items for inclusion on the agenda. The response to such a request must be submitted to the secretary in writing, within ten (10) days of the date of such notification.
  - (ii) An urgent matter, which is not included on the agenda, may, however, be submitted to an ordinary meeting, and may be dealt with providing none of the members present raises an objection.
  - (iii) Notice of a special meeting should be given at least seven (7) days prior to such a meeting. The agenda for such a meeting should be specified in the notice of the meeting, and no other matter may be discussed at the meeting.

- (iv) The report of the Executive Committee may be submitted to the board by the Chairperson of the Executive Committee or by such a member of the committee as the chairperson may determine.
  - (v) No member may comment without consent of the chairperson on any motion or amendment to the motion more than once, but the proposer of a motion or an amendment has the right to reply. Each member has the right to propose that the committee deal with a matter under discussion and if seconded, the proposal must be presented without further discussion.
  - (vi) All matters dealt with by the board are decided by a majority vote of the voting members present. The chairperson may have a casting as well as a deliberative vote.
  - (vii) The decision of the chairperson on any question of order or procedure will be binding unless challenged immediately by a member, in which case it shall be put without discussion to the meeting, whose decision shall be final.
  - (viii) A decision of the board may not be changed or recalled within fifteen (15) months except by a majority of two thirds of the members present.
- (h) Subsistence and travelling allowances, based on the prevailing tariffs, should be paid to members of the board for attendance of meetings.

- (i) Representatives on the board should be appointed for a period of three (3) years and members should be eligible for re-appointment.
  
- (j) Resignations from the board should be submitted in writing to the secretary.



# ANNEXURE C

## AN EXCERPT FROM THE PERSONNEL ADMINISTRATION MEASURES

4.2 In addition to the general criterion referred to in paragraph 27(4), the following criteria should apply with regard to the selection and appointment of examiners (for the setting and moderation of question papers and accompanying memoranda) and internal moderators:

- (a) Advertisements for the posts of examiners and internal moderators should be included in a departmental circular or provincial gazette as well as in the national and/or local press.
- (b) A selection panel shall be appointed by the Department of Education. Teacher unions, that are members of the Education Labour Relations Council, shall be allowed observer status on such a panel.
- (c) The following criteria will apply in respect of the selection and appointment of candidates:

The appointee must:

- (i) have at least a recognised three-year post matric qualification that must include the subject concerned at second or third year level;
- (ii) have extensive experience as an educator in the particular subject or in a related area and at least two (2) years' teaching experience within the last five (5) years at the appropriate level; and
- (iii) have experience as a marker.

- (d) In addition to the above criteria, preference should be given to serving school- and college-based educators.

# ANNEXURE D

## INDIVIDUAL EXAMINER/PANEL OF EXAMINERS

### 1. INDIVIDUAL EXAMINER

- (1) If an individual examiner is tasked with the responsibility of setting a question paper for a certain subject on a particular grade, then a small reference group comprising teachers and subject advisors may be appointed to advise the examiner on:
  - (a) The possible format of the paper;
  - (b) Certain variations that may exist locally;
  - (c) The latest developments in the teaching of the subject; and
  - (d) How this should impact on the setting of the question paper.
- (2) It is advisable that the examiner be in contact with the school context. It is also important that learners and educators are informed about the format of the question paper. This can be done through a guideline document that is circulated to all schools.

### 2. PANEL OF EXAMINERS

- (1) It is advantageous to appoint two or three examiners to set a particular question paper for the respective grades on which the paper is to be written. This allows for the perspectives of two or three experts in the particular subject to be utilised in the setting of the question paper, which

is, after all, the most important aspect of the entire examination. If there are only two grades in a subject, the other possibility would be to appoint one additional examiner and increase the panel to three (3) persons responsible for the setting of the two papers.

- (2) It is also suggested that, in the case of subjects like the languages, Geography, etc. where more than one paper is written, examiners appointed to set each of the individual papers for the particular grades, form a panel and work collectively in setting all the papers for the subject. Another advantage of the panel system is that it allows for capacity building by including one or two persons who lack prior experience in the setting of question papers. If a panel of examiners is used it is important that a Chief Examiner be appointed. The Chief Examiner takes final responsibility for the quality and standard of the question paper.

# ANNEXURE E

## PROCESSING OF EXAMINATION QUESTION PAPERS

### 1. TYPING OF QUESTION PAPERS

- (1) A team of selected personnel, not exceeding four to five typists and supervised by a chief typist, may carry out the typing of question papers. They may do their work on personal computers not linked to an external network and all their work should be done in a restricted area. This task should be supervised by a senior staff member, i.e. one of the officials in the department who has access to the question papers. The hard disks should be cleared and transferred to stiffy disks which must then be locked away on a daily basis.

### 2. EDITING OF QUESTION PAPERS

- (1) Language editing may be carried out by specially appointed language editors. Alternatively, this function may be carried out by a select group of subject advisors who should also complete the Contract of Confidentiality document. The final editing should be the task of the Chief Examiner and he/she, together with the internal moderator (where possible), should sign to certify that he/she has checked the question paper in every respect and that the question paper is ready for printing.

### 3. PRINTING OF QUESTION PAPERS

- (1) Assessment bodies should invest in a building with proper security that can be used for typing, printing, packaging and storage. All assessment activities may then be carried out in this safe building, which allows

access to certain persons only. Therefore, in terms of printing, assessment bodies should move to establishing in-house printing facilities. Where in-house printing is done, the persons involved in the printing may also be involved in the packaging. The printing process must be carried out under close supervision of a senior official. If the examiner/senior examiner lives in close proximity to the printing venue, he/she should be contacted to inspect the first batch of printed question papers personally, before the total number of question papers is printed. Alternatively, a senior official may be entrusted with the task of approving the quality and standard of the first batch of printed question papers.

- (2) Where assessment bodies choose to use external agencies for the purpose of printing, the agency concerned should be fully investigated by the assessment body to ensure that, *inter alia*, strict security measures are in place, and the quality of the printing is good. Assessment bodies should, however, attempt to move away from the use of external printers and seek to build capacity in the province.

# **ANNEXURE F**

## **A PRO FORMA SERVICE CONTRACT**

**BETWEEN THE**

**DEPARTMENT OF EDUCATION**

**AND**

---

**(NAME OF SCHOOL)**

**IN RESPECT OF REGISTRATION AS**

**ASSESSMENT CENTRE**

**FOR THE SENIOR CERTIFICATE EXAMINATION**

**FOR**

**2003/ 2004**

1. This service contract is entered into with \_\_\_\_\_  
(name of independent school) - hereafter referred to as independent institution

- in respect of registration as assessment centre for the conduct of the Senior Certificate examination under the administration of the Department of Education.
2. The service contract, although entered into independently of registration with the Department of Education, is dependent upon the provision of proof of registration as school with the Department of Education.
  3. The service contract, although entered into independently of registration with the Council for Quality Assurance in General and Further Education and Training (Umalusi), is dependent upon the provision of proof of registration as Provider of Education and Training with the Council for Quality Assurance in General and Further Education and Training (Umalusi).
  4. The conclusion of this service contract is a precondition to qualify for registration as assessment centre with the Department of Education.
  5. The service contract and accompanying registration as assessment centre with the Department of Education is only valid for the year of examination (inclusive of the supplementary examination) as stated.
  6. The owners and management of the independent institution will enter into this service contract with the Department of Education in respect of registration of as an assessment centre. Where the owner/management of the independent institution is the same legal person, this will be clearly indicated.
  7. The conclusion of this service contract confirms that the independent centre has met, to the satisfaction of the Department of Education, the following minimum preliminary requirements for registration as assessment centre:
    - 7.1 Sufficient space and appropriate furniture for the seating of candidates;



- 7.2 Adequate general security;
  - 7.3 A lock-up facility for the storage of assessment material;
  - 7.4 Clearance - under the applicable municipal by-laws - from local fire and health services;
  - 7.5 Provision of proper lighting;
  - 7.6 Access to sufficient water and acceptable and adequate toilet facilities;
  - 7.7 Teaching staff suitably qualified and in sufficient numbers to be trained and utilised as invigilators; and
  - 7.8 Clear evidence of an ability to meet any and all costs relating to electricity, water, taxes and/or rental for the premises for the duration of the examinations.
8. The Department of Education retains the right to re-evaluate the independent centre in respect of any or all of the above criteria at any time.
9. The Department of Education retains the right to monitor the conduct of the Senior Certificate examination and related assessment processes at the Independent Centre at any time without forewarning. This includes the appointment of a Monitoring Invigilator at the assessment centre for the duration of the Senior Certificate examination.
10. The Independent Centre, in concluding this service contract, commits itself to unquestionably abide by all regulations in respect of the conduct, administration and management of the Senior Certificate examination and related assessment processes and procedures as contained in the applicable national and provincial regulations.
11. The Department of Education retains the right to request the Independent Centre to conduct and participate in any other reasonable administration matters as may be deemed necessary.

12. Where, in the opinion of the Provincial Head of Department, as a result of a preliminary investigation, developments at the Independent Centre may adversely affect the interests of candidates or the integrity of the examination or related assessment processes, the Department of Education reserves and retains the right to take control of the conduct, administration and management of the assessment centre with immediate effect.
13. Where the above clause is applied, a proper investigation should be conducted. The results of such an investigation will guide the Head of Department in deciding, in accordance with national/provincial regulations, on the future of the Independent Centre as assessment centre.
14. The examination and related assessment irregularities will be dealt with in accordance with prescribed procedures as contained in the applicable national or provincial regulations. All involved in assessment in general and the examination in particular are, in respect of this, under the direct jurisdiction of the relevant provincial department of education as assessment body. Failure to co-operate by any person not in the employ of the Department of Education will result in sanctioning as prescribed by the national or provincial regulations.
15. Failure to abide by any of the regulations or other reasonable requests in respect of the conduct, administration and management of the Senior Certificate examination and related assessment processes and procedures as contained in the national or provincial regulations may result in the de-registration of the Independent Centre as assessment centre by the Department of Education.

16. The de-registration of a independent centre as assessment centre with the Department of Education will take place in accordance with national or provincial regulations (see the next section).

## **1. De-registration of Assessment Centres**

Assessment centres that do not comply with policy as stipulated in the *National policy on the conduct, administration and management of the assessment of the Senior Certificate*, will be de-registered.

### **1.1 Reasons for de-registration of Assessment Centres:**

- 1.1.1 Physical removal of the assessment centre from the premises approved by the assessment body;
- 1.1.2 Intentional undermining of the integrity of the assessment;
- 1.1.3 Maladministration; and
- 1.1.4 Flouting of policies, regulations and guidelines.

1.1.1 Physical removal of the assessment centre from the premises approved by the assessment body

All assessment centres are required to operate in the premises that were approved for this purpose by the assessment body. Where relocation does occur, the new premises must again be inspected by the relevant provincial department of education for evaluation as assessment centre.

No assessment centre may consider relocation within or less than sixty (60) days before the commencement of the final Senior Certificate examination.

Where relocation of a independent centre is unavoidable because of external factors (e.g. a natural disaster), the following must be strictly adhered to:

- The Head of Department must immediately be informed in writing of the enforced relocation.
- Learners and parent(s) or guardian(s) must be informed.
- The independent centre is obliged to ensure the presence of proper notices at the old centre clearly indicating, *inter alia*, the location of the new venue, the name of a contact person and a telephone number for the contact person.
- The relevant provincial department of education will ensure the publication of such information in the printed/ electronic media.

#### 1.1.1.1 Procedure to follow when a centre relocates to new premises

- (a) Should any centre relocate to new premises, their registration as an assessment centre lapses immediately and they will be forced to seek registration at the new premises from the assessment body.
- (b) In exceptional circumstances, and provided that the centre has an unblemished record as far as irregularities and administration is concerned, the Head of Department may allow the centre to continue to operate for the current final exit assessment year only, during which time the centre must apply for, and receive, assessment centre status in respect of the new premises. Should such permission be refused, or for any other reason not granted, the registration of the centre shall lapse forthwith.
- (c) Should this process stretch over the year end, no new candidates may be registered until a decision is taken on the registration of the centre.

- (d) The onus is on the Chief Invigilator (centre manager/ principal) to inform the Head of Department timeously of his or her intention to move.
- (e) The Head of Department shall inform the chief invigilator, in writing, of the course to be followed.
- (f) If the application for the registration of the centre is unsuccessful, the Head of Department shall inform the Chief Invigilator of the lapse in the registration of the centre.
- (g) The Chief Invigilator shall have the right to respond to the decision and furnish reasons why they believe the centre should not be de-registered.
- (h) The Head of Department shall consider such representation and make a final decision. This decision must be conveyed to the Chief Invigilator, in writing. The decision is final.

### 1.1.2 Intentional undermining of the integrity of the examination

Assessment centres where there is clear evidence that there were “ghost writers” permitted, of collusion between Chief Invigilators/Invigilators and candidates, of question papers in the care of the centre being given to persons for perusal before the examination and related practices SHOULD be closed and the perpetrators prosecuted. It is not sufficient for an offending centre to re-shuffle personnel and re-deploy another staff member to act as Chief Invigilator. Firm steps must be taken.

#### 1.1.2.1 Procedure to follow when it is found that irregular practices took place at an assessment centre:

- (a) Competent authorities should investigate the above-mentioned irregularities.
- (b) If clear evidence emerges from such investigations, disciplinary action should be instituted and steps taken to de-register the centre.
- (c) The Chief Invigilator must be informed, in writing, of the intention of the Head of Department to close the centre due to the incidence of irregularities.
- (d) The Chief Invigilator shall be asked to furnish a motivation why the centre should not be closed.
- (e) The Head of Department shall consider such representations and, in the best interests of the integrity of the examination, take a decision whether or not to close the centre. Such a decision shall be final.

- (f) The decision must be communicated in writing to the chief invigilator.

### 1.1.3 Maladministration

Assessment centres may be de-registered if their maladministration results in any disadvantage to candidates, affects the integrity of the examination or impacts negatively on the ability of the assessment body to render a service.

The relevant provincial department of education reserves to take over the administration of the independent centre as stated in this service contract.

#### 1.1.3.1 Procedure to follow when maladministration of an assessment centre occurs

- (a) The Chief Invigilator of such an assessment centre shall be warned, in writing, of the situation and given an opportunity to set matters to rights.
- (b) Should the maladministration of the centre continue, the centre may be placed on probation for a period determined by the Head of Department (not longer than one (1) examination year) during which time, if the Chief Invigilator again demonstrates an inability to administer the process adequately, the centre may be de-registered at the end of the examination year.
- (c) The Chief Invigilator must be informed, in writing, of the intention of the Head of Department to de-register the centre and asked to furnish reasons why this should not be done. The Chief Invigilator may respond to this, whereafter the Head of Department may, in the best interests of candidates and the integrity of the process, decide to de-register the centre. Such a decision shall be final.

#### 1.1.4 The flouting of assessment policies, regulations and guidelines

Assessment centres where assessment officials flout rules, regulations and instructions issued by competent authority may be closed.

##### 1.1.4.1 Procedure to follow when maladministration of an assessment centre occurs

- (a) Instances where it is alleged that assessment officials at centres flout assessment rules and regulations and/or instructions by a competent authority shall be investigated.
- (b) Should substance be found to such allegations, the Chief Invigilator shall be warned in writing, specifying exactly the nature of the contravention of rules, regulations and instructions. The Chief Invigilator shall be given an opportunity to set matters to rights.
- (c) Should the flouting of assessment policies and guidelines continue, the centre may be placed on probation for a period determined by the Head of Department (not longer than one (1) examination year) during which time, if a further offence occurs, the centre may be de-registered at the end of the examination year.



- (d) The Chief Invigilator must be informed, in writing, of the intention of the Head of Department to de-register the centre and asked to furnish reasons why this should not be done. The Chief Invigilator may respond to this, whereafter the Head of Department may, in the best interests of candidates and the integrity of the process, decide to de-register the centre. Such a decision shall be final.

Signed at \_\_\_\_\_ on this \_\_\_\_\_ day of  
\_\_\_\_\_ 2004.

**DEPARTMENT OF EDUCATION:**

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INITIALS & SURNAME	CAPACITY	DATE
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WITNESS I \_\_\_\_\_

WITNESS II \_\_\_\_\_



# ANNEXURE G

## APPOINTMENT AND DUTIES OF CHIEF INVIGILATORS AND INVIGILATORS

### 1. CHIEF INVIGILATORS

- (1) An assessment centre should be managed by a Chief Invigilator.
- (2) The Head of the Institution may be appointed as Chief Invigilator unless the Head has a son or daughter taking the examination. In such a case the next senior official at the institution may be appointed as Chief Invigilator.
- (3) Appointment of invigilators at part-time centres, where no permanent staff exist, may be made from unemployed educators, retired educators or select members of the community with the approval of the district manager/director and they are to be remunerated according to approved departmental tariffs.
- (4) When the Chief Invigilator is absent, his deputy should assume full responsibility. This responsibility should be delegated in writing. The Director: Assessment Services in the province should be advised via the regional/district office.

### 2. INVIGILATORS

- (1) At full-time centres suitably qualified educators from the teaching staff may be appointed as invigilators. At part-time centres invigilators are to be appointed in accordance with the instruction of the Head of Department.

- (2) Invigilators may be appointed in writing before the commencement of the examination. The appointments may be made by the Chief Invigilators and the head office/regional/district office should be informed of all appointments.
- (3) Besides the Chief Invigilator, one (1) invigilator may be appointed per thirty (30) candidates or part thereof.

Example:      0 - 30 candidates:      1 invigilator  
                  31 - 60 candidates:      2 invigilators  
                  61 - 90 candidates:      3 invigilators

- (4) Under no circumstances should educators be appointed to invigilate or even to relieve other invigilators when the subject that they teach is being written.
- (5) Relief invigilators may be appointed for sessions of two (2) hours or longer. The relief may be for a maximum period of twenty (20) minutes during the session.
- (6) Under normal circumstances, no person is eligible for appointment as an invigilator or assistant invigilator if a near relative (son, daughter, brother or sister) is sitting for a specific examination session. If it is necessary to appoint such a person as an invigilator or as an assistant invigilator, then the Director: Assessment Services must be informed immediately.
- (7) Where the need exists, private invigilators may be appointed to assist with the invigilation of private candidates. Private invigilators should be persons who are trustworthy and honest, preferably community leaders.

### 3. TRAINING OF CHIEF INVIGILATORS AND INVIGILATORS

- (1) Chief Invigilators may be invited to a meeting where they are thoroughly briefed regarding the procedures, rules and regulations relating to examination.
- (2) Invigilators should be fully trained in invigilation and examination administration by the Chief Invigilator before they assume duty in the examination room.

### 4. INVIGILATION

- (1) Duties of the Head of the Institution/Chief Invigilator
  - (a) The Head of the Institution/Chief Invigilator is fully responsible and therefore accountable for the examination conducted at his/her assessment centre. He or she must be present at the assessment centre for the duration of every examination session. His or her specific examination-related duties might include the following:
    - (i) The Chief Invigilator should select and appoint Invigilators.
    - (ii) The Chief Invigilator should draw up invigilation and relief invigilation timetables and submit these for approval of the district director/manager.
    - (iii) The Chief Invigilator should see to the preparation and readiness of the examination room(s), which includes the following:
      - (aa) Candidates may not sit two (2) to a desk or table.

- (bb) Candidates must be seated at least one (1) metre apart.
  - (cc) Subject matter such as drawings, etc. must be removed from the walls.
  - (dd) Chalkboards must be cleared of writing, formulae or drawings, etc.
  - (ee) Examination rooms must be sufficiently ventilated and illuminated.
- 
- (iv) Before the commencement of the first examination session, the Chief Invigilator should read the instructions relating to the examination and inform candidates that they could forfeit their results should they contravene any of the instructions.
  - (v) The Chief Invigilator should ensure that the candidates have ten (10) minutes reading time per question paper, during which no writing may take place, before the official commencement of the examination over and above the reading of any other instructions that may be necessary.
  - (vi) Before opening the question papers in the examination room, the Chief Invigilator should ascertain that the question paper is correct, according to the time and date specified on the examination timetable (e.g. grade, paper number, language, etc.).
  - (vii) The Chief Invigilator should open the question paper envelopes in front of the candidates and remain in the examination room until the question papers have been issued to candidates.

- (viii) The Chief Invigilator should visit the examination room(s) frequently during each session and make sure that a high standard of invigilation is maintained.
- (ix) The Chief Invigilator should draw up a seating plan, indicating the examination room(s) with the desk arrangement and the examination numbers of candidates. This must be submitted for each paper written. If the Chief Invigilator prefers to combine groups in one (1) hall/room to economise, the arrangement will have to be reflected on the plan.
- (x) The Chief Invigilator should ensure that there are no unauthorised persons in and around the examination room(s).
- (xi) The Chief Invigilator should ensure that all candidates are advised timeously of requisites such as rulers and drawing instruments to be used in the examination of specific subjects, e.g. Technical Drawing.
- (xii) The Chief Invigilator should ensure that the invigilators complete the absent/present column on the mark sheets correctly.
- (xiii) The Chief Invigilator should assist with relief invigilation in centres.
- (xiv) The Chief Invigilator should ensure that scripts are properly batched and packed according to the candidates' examination numbers once the session has ended. The

mark sheet belonging to a certain batch of scripts must be included with that batch.

- (xv) The collection of the scripts or the delivery of the scripts to the regional/district/circuit office, as arranged by the regional/district/circuit office, is the responsibility of the Chief Invigilator.
- (xvi) Chief Invigilators should ensure that all equipment (e.g. computers, printers, typewriters, drawing boards, etc.) to be used by candidates is serviced timeously and is in perfect working condition and available at the examination venue on the day of the examination.
- (xvii) The Chief Invigilator should collect, check and sign all invigilation claim forms, if applicable.
- (xviii) The Chief invigilator should submit written reports on all suspected and other cases of irregularities to the district office without delay.

**NOTE: The head office/regional office/district or circuit office must be informed in writing of any changes in venue, invigilation timetables, etc.**



## (2) Specific duties of invigilators

## (a) Admission of candidates to, and their exit from, the examination room

- (i) Every candidate must produce his/her admission letter as well as proof of identity, preferably his/her official identity document, driver's licence or passport, on admission to the examination room. A full-time learner at a school only needs to produce an admission letter/permit. Invigilators must enforce this requirement rigorously. If a candidate fails to produce the required documents, an irregularity will be declared and the candidate will be allowed to present the required documents to the invigilator after the examination, failing which the normal procedure pertaining to irregularities must be followed.
- (ii) A candidate should be seated at least fifteen (15) minutes before the commencement of the examination session. The invigilator should be present in the examination room from the time that the examination room is opened to the candidates until the end of the session.
- (iii) The invigilator should ensure that the candidates have ten (10) minutes reading time per question paper, during which no writing may take place, before the official commencement of the examination over and above the reading of any other instructions that may be necessary during which no writing may take place.
- (iv) Only in exceptional circumstances may a candidate be admitted to the examination room after the commencement of an examination, but not after an hour has elapsed.

- (v) A candidate may not leave the examination room during the course of the first hour of the examination session.
- (vi) Only a candidate who has registered for the examination, the invigilator concerned, the Chief Invigilator and an authorised representative of the department may be present during an examination. An examiner who has to conduct an oral examination, or a reader of test passages may be present in the examination room/centre for the period required for the execution of his/her duties.
- (vii) All persons not officially concerned with the examination should leave the examination room before the envelopes containing question papers are opened, and such persons may not enter the examination room during the examination.
- (viii) In an emergency a candidate may leave the examination room temporarily but only under supervision.
- (ix) The invigilator should move about continually in the examination room but without disturbing the candidates.
- (x) Any candidate contravening the rules and regulations of the examination should be referred to the Chief Invigilator without delay.
- (xi) The invigilator must ensure that the candidate's examination number, which appears on his/her timetable, is written at the top of each examination answer book and at the top of each loose sheet of paper used by that candidate during the examination.

(b) Instructions to Candidates

The following instructions to candidates must be discussed in detail during an information session before the actual start of the examination and, if necessary, at the start of each examination session.

(c) The following is a guideline of what may be read out to candidates:

- (i) *Examination will now be conducted in this room in the following subjects: (the invigilator then announces the actual subjects, e.g. Accounting, Geography, Mathematics etc). Candidates who have not entered for these subjects must now leave the examination room.*
- (ii) *No explanation of examination questions may be asked for or given.*
- (iii) *As soon as you have handed in your examination script, you must leave the examination room. You will not be allowed to leave the examination room within the first hour from the start of the session. In an emergency a candidate will be allowed to leave the examination room under supervision.*
- (iv) *A candidate must carefully read and comply with the instructions, which appear on the front cover of his/her answer book and also those on the question paper.*
- (v) *You are not allowed to assist another candidate or try to assist him/her to get help or communicate with anybody other than the invigilators. Any questions should be directed at the invigilator.*
- (vi) *You may not create a disturbance in the examination room or behave in an improper or unseemly manner.*

- (vii) *You may not disregard the instructions of the invigilator.*
  
- (viii) *Unless otherwise stipulated for an examination, you may not have a book, memorandum, notes, maps, photos or other documents or papers (including unused paper), or other material which may be of help to you in the examination, other than that provided to you by the invigilator and the admission letter/permit in your possession, while you are in the examination room. The excuse that you have forgotten that you had it in your possession will not be accepted.*
  
- (ix) *Only non-programmable calculators may be used by a candidate in the examination, except in subjects where these are indicated on the question paper as being prohibited.*
  
- (x) *If you do not obey these instructions, you render yourself liable to suspension from future examinations, and the Department may, in such a case, refuse to give you credit for other examination papers written.*
  
- (xi) *All aids and answer books as well as answer sheets issued to you must be handed in before you leave the examination room.*
  
- (xii) *Read any errata on a specific question paper to the candidate(s) concerned.*
  
- (xiii) *You are allowed ten minutes reading time of the question paper before the official commencement of the examination during which NO writing of any kind may take place.*

## 5. EXAMINATION SCRIPTS

- (1) All work, including rough work, is to be done on the script/answer book/papers provided. Candidates may not be given scripts especially for rough work and all used answer books, including spoiled answer books, are to be collected.
- (2) Strict attention is to be paid to the instructions, if any, printed at the top of an examination question paper on using separate answer sheets for particular sections or parts of a paper.
- (3) Invigilators may not issue a second answer book to a candidate before they have satisfied themselves that the first answer book is full, except where paragraph 5(2) is applicable. Steps are to be taken to ensure that candidates do not receive more answer books than they require. Where more than one (1) answer book is used, every answer book is to be numbered to indicate the number of the answer book and the total number of answer books handed in, e.g. 1 of 1 (only one answer book was handed in), 2 of 3 (the second answer book of a total of 3), etc.
- (4) Under no circumstances may the names of the candidates or the name of the institutions where they are enrolled, appear anywhere on their answer books.
- (5) Under no circumstances may a candidate be allowed to remove either a used or an unused answer script from the examination room.
- (6) Aerial photographs and topographic maps are to be collected on conclusion of the examination and these may become the property of the school concerned for future use in the teaching of Geography.

**6. HANDLING OF EXAMINATION QUESTION PAPERS**

- (1) Before the examination commences, the chief invigilator is to draw the attention of all candidates to:
  - (a) The main instructions on the examination timetable and on the answer books; and
  - (b) The fact that no recognition will be given to answer scripts or any other answer sheets which candidates omit to hand in immediately on conclusion of the examination session in the paper concerned.
- (2) After the question papers have been distributed to candidates, the invigilator must ask the candidates to go through the question paper with him or her, page by page, checking it against the certified copy, to ensure that on each page:
  - (a) The number of the page is correct;
  - (b) The name of the examination paper is the same on each page; and
  - (c) The frame/border around the printed matter is complete.
- (3) Invigilators are to check against a control list (mark sheet) that every candidate has received the correct question paper for the subject and level at which the candidate entered. A question paper is thus not to be issued simply on the show of hands.
- (4) Invigilators may not, on any account, read aloud to a candidate any question or part of a question, or draw attention to any error which he/she may have observed in any of the examination questions unless an errata is

included in the question paper. They may not respond to any enquiry from a candidate in a manner that would be regarded as an explanation of the question.

## 7. INVIGILATION

- (1) Invigilators must ensure that candidates write their correct identity numbers/examination numbers on their scripts.
- (2) Chalkboards must be cleared of all writing, drawings, etc.
- (3) Each session must commence and terminate according to the time specified on the examination timetable.
- (4) An invigilator may not knit, read, mark or do any work that will hamper him/her in the execution of his/her duties as invigilator. Cellular phones may not be used under any circumstances.
- (5) An invigilator may not sit down but must move around the examination room without disturbing the candidates.
- (6) An invigilator may not help a candidate with the answering of any examination question or explaining any "unclear" part of the examination paper to the candidate.
- (7) An invigilator may not invigilate a subject which he/she teaches in any grade except where the subject demands it, e.g. Computer Studies, Technical Drawing, Computyping, etc.
- (8) Invigilators may not speak to one another or cause a disturbance to candidates.

- (9) Invigilators may not leave the examination room or leave the candidates unattended.
- (10) An invigilator must position him or herself inside the examination room facing the candidates and may not invigilate from outside the examination room looking through the windows.
- (11) Invigilators may not allow candidates to copy.
- (12) Copies of question papers may not be given to anybody outside the examination room nor may they be taken out before the session has ended and the candidates have left the room.
- (13) Invigilators must adhere to the special examination requirements of certain subjects.

**8. PACKING OF THE SCRIPTS BY THE INVIGILATORS AFTER EACH SESSION**

- (1) Invigilators should:
  - (a) Check that candidates who were present and wrote the paper are marked present and those who were absent are marked absent.
  - (b) Arrange the scripts which belong to a specific mark sheet in numerical order according to the examination numbers appearing on the mark sheet, e.g. if there are hundred and fifty (150) candidates, there should be three (3) mark sheets and three (3) piles of scripts.
  - (c) Place the mark sheet that belongs to a pile of scripts on top of the pile of scripts.



- (d) Wrap the scripts and the mark sheets and write down the centre number, subject (First or Second Language), and the number of scripts on the wrapper. Consideration should also be given to sealing scripts on return.
- (e) Make sure that all the scripts are handed in and that each parcel of scripts is accompanied by its relevant mark sheet.
- (f) Deliver the scripts to the district/circuit office or the official responsible for the collection of the scripts. Scripts should be returned to the district/circuit office on a daily basis.

## **9. DEALING WITH MARK SHEETS**

- (1) This is one of the most important documents and it is of vital importance to the examination process. It must be completed correctly by the invigilators on duty in the examination room. The following should be noted about mark sheets:
  - (a) There must be at least one (1) mark sheet for each subject written at a centre.
  - (b) Different mark sheets are provided for languages.
  - (c) If there are more than fifty (50) candidates writing a certain subject, there should be more than one (1) mark sheet. (One mark sheet is used for every fifty (50) candidates or part thereof.)
  - (d) The examination numbers of the candidates should appear on the mark sheets.

- (e) It is imperative that mark sheets are accompanied by the correct set of scripts.
- (f) The ONLY "writing" which invigilators should include on the mark sheet, is the completion of the "absent/present" columns.
- (g) All mark sheets must be returned to the provincial head office via the regional/district/circuit office concerned, even if none of the candidates wrote the particular paper.
- (h) Under no circumstances should information be added to the mark sheet.
- (i) Information appearing on a mark sheet may not be deleted or changed.
- (j) If a mark sheet is not included with the question papers, this should be reported to the regional/district/circuit office by the Head of the Institution/Chief Invigilator. The regional/district/circuit office, in turn, has to report this to the provincial head office.
- (k) In instances where mark sheets are not included with the question papers, hand-written copies should be completed and submitted.

**10. RELIEF INVIGILATION**

- (1) **All invigilators invigilating sessions longer than two (2) hours should be relieved for a maximum of twenty (20) minutes.**
- (2) The Head of the Institution/Chief Invigilator acts as a relief invigilator for the first six (6) invigilators.
- (3) One (1) relief invigilator may be appointed for each six (6) invigilators or part thereof, for example:

0 - 6 invigilators: Head of the Institution/Chief Invigilator

7 - 12 invigilators: Head of the Institution/Chief Invigilator + 1 relief Invigilator.

# ANNEXURE H

## RETURN OF SCRIPTS

1. Examination scripts should either be fetched from the assessment centre by an assessment official or delivered to the regional/district office by the Chief Invigilator or by a designated official.
2. A register should be kept at all points where scripts are transferred. Officials involved in the transfer of scripts should sign this register, which should be kept at the regional/district office until the end of the examination and then transferred to the provincial head office.
3. Under no circumstances should scripts be kept at an assessment centre overnight.
4. Examination scripts should also be sealed in a special envelope to prevent them from being tampered with.
5. When scripts are received at the provincial head office, they should be checked against the relevant mark sheet, before being transferred to the Marking Centre. A record should be kept of all examination scripts transferred to the marking centre and the marking centre manager must sign for the receipt of these scripts.
6. It is recommended that a control system that is accurate and reliable be put in place so as to allow officials to ascertain where particular scripts are at any given time.

# ANNEXURE I

## AN EXCERPT FROM THE PERSONNEL ADMINISTRATION MEASURES

“4.3 In respect of an examination paper where no suitable candidate can be recruited with the set minimum qualifications or experience, the Head of Education concerned may approve the appointment of a suitable candidate with other appropriate post school qualifications or with less than the required experience, after consultation in this regard with the relevant teacher unions. The final decision with regard to the appointment of examiners and internal moderators rests with the Head of Department.” (*Personnel Administration Measures (PAM)*, pp. 104 & 105).”

Markers are appointed in terms of the Personnel Administration Measures (PAM) the criteria for the appointment of markers are as follows:

“4.4 The criteria to qualify for appointment as markers (including Senior Markers, Deputy Chief Markers and Chief Markers) should, in addition to those referred to in paragraph 4.1 of the PAM document, include the following:

- (1) A recognised three-year post school qualification, which must include the subject concerned at second or third year level or other appropriate post matric qualifications;
- (2) Appropriate teaching experience, including teaching experience at the appropriate level, in the subject concerned;
- (3) Language competency; and
- (4) In addition to the above criteria, preference should be given to serving educators who are presently teaching the subject concerned.

The provision in paragraph 4.2 of the PAM document for the relaxation of requirements in respect of qualifications and experience also applies in respect of these appointments.

The selection of markers for a specific examination question paper should be carried out by a panel comprising:

- the Chief Examiner;
- relevant departmental officials; and
- teacher unions (as observers).” (*Personnel Administration Measures (PAM), p.105*).

# ANNEXURE J

## MARKING PROCEDURE

1. Marking can either commence at the termination of the examination or a staggered approach can be adopted where marking commences while the examination is in progress. In this approach the scripts are marked soon/immediately after they are written. The advantage of this approach is that it removes the pressure associated with marking at the end of the examination and the problems associated with assembling a large number of markers during a stipulated period at three (3) or four (4) marking centres. However, this approach to marking has implications for schools as markers are withdrawn from schools while the school internal assessments are in progress. It also has repercussions relating to the conditions of service of educators, since marking is done during the school term.
2. The marking procedure in terms of the different subjects should be left to the Chief Examiner. "Script marking" may be used in certain subjects, rather than "question marking". The "question marking" approach creates logistical problems but it is advantageous in contributing to standardisation in the marking process.

# ANNEXURE K

## DEALING WITH DISCIPLINE AND MISCONDUCT – ASSESSMENT IRREGULARITIES

### 1. THE ASSESSMENT IRREGULARITIES COMMITTEE

#### (1) Composition

- (a) The Assessment Irregularities Committee must be made up of officials in the employ of the relevant provincial department of education recommended to the Head of Department for appointment by the Senior Manager of Assessment, Certification and Accreditation.
- (b) The Chairperson of the Assessment Irregularities Committee must be appointed by the Head of Department from amongst the ranks of the members of the Assessment Irregularities Committee.
- (c) The Chairperson of the Assessment Irregularities Committee must, in turn, appoint the Secretary of the Assessment Irregularities Committee.
- (d) The relevant provincial department of education, where necessary, may make use of legal representation. This person and under such circumstances may be included as an *ad hoc* member of the Assessment Irregularities Committee.



## **2. JURISDICTION**

- (1) The Assessment Irregularities Committee has jurisdiction in any alleged assessment irregularity relating to or occurring during the:
  - (a) Compilation, monitoring and moderation of internal assessment;
  - (b) Writing the final Senior Certificate examination;
  - (c) Marking of examination answer sheets or answer scripts;
  - (d) Processing of external question papers;
  - (e) Processing and release of examination results;
  - (f) Conditions under which candidates are examined;
  - (g) Conditions under which educators examine; or
  - (h) Any other irregularities related to examinations.

## **3. DUTIES**

- (1) The Assessment Irregularities Committee must investigate and make recommendations on appropriate action to the Senior Manager of Assessment, Certification and Accreditation in respect of the following:
  - (a) Misconduct by educators in the compilation, monitoring or moderation of internal assessment;

- (b) Misconduct by any person involved in any or all processes of assessment;
- (c) Misconduct by the Chief Invigilators or Assessment monitors or officials involved in the administration or running or management or monitoring of examination;
- (d) Misconduct by invigilators or any other person involved in the administration or management or monitoring of examinations at public or independent schools or learning institutions registered as assessment centres with the relevant provincial department of education;
- (e) Assessment irregularities involving candidates at public or independent schools or learning institutions registered as assessment centres with the relevant provincial department of education;
- (f) Irregularities in the appointment of Chief Invigilators or invigilators or Internal Moderators or Chief Examiners or Chief Markers or Deputy Chief Examiners or Deputy Chief Markers or Senior Markers or markers or Monitors or Assessment or Administration Assistants;
- (g) Any action by an outside body or person that may impact adversely in any way on the successful administration, management or monitoring of assessment or compromise the integrity and legitimacy of such assessment;
- (h) Assessment irregularities based on reports or complaints received from any quarter; and

- (i) Any other irregularities related to examinations.

#### 4. IDENTIFICATION OF IRREGULARITIES IN RESPECT OF INTERNAL ASSESSMENT

##### (1) Candidates

- (a) Irregularities in respect of internal assessment and involving candidates may occur through a technicality or derive from misbehaviour or disobedience or stem from dishonesty.

- (b) This category of irregularity includes:

- (i) A candidate not fulfilling the minimum requirements in respect of the compilation of a mark for internal assessment in a subject;
- (ii) A candidate refusing to abide by any or all of the minimum requirements in respect of the compilation of a mark for internal assessment in a subject;
- (iii) A candidate who, in respect of any component of a mark for internal assessment completed under controlled conditions, does the following:
  - (aa) Continues to create a disturbance or intimidate others, or behave in an improper or unseemly manner despite a warning; or
  - (bb) Drunk or disorderly conduct; or

- (cc) Persists in disregarding the arrangements or reasonable instructions of an invigilator despite a warning: or
  - (dd) Continues to disregard assessment regulations despite a warning.
- (iv) A candidate knowingly making a false statement in respect of the authenticity of a particular component of the mark for internal assessment in the subject or the internal assessment mark for the subject as a whole.
- (2) Assessment officials
- (a) Irregularities in respect of internal assessment may be committed by:
    - (i) Professional educators, such as educators or principals at schools or learning institutions or staff from Professional Support Services or related directorates or circuit managers, etc., whose normal job descriptions automatically incorporate such duties.
    - (ii) Educators in the immediate employ of an independent school or learning institution registered as an assessment centre with the relevant provincial department of education who, in the performance of assessment duties, are doing this under the jurisdiction of the relevant provincial department of education as assessment body.
    - (iii) Administrative personnel whose duties include work in respect of assessment, certification and accreditation.

- (iv) Administrative personnel in the immediate employ of an independent school or learning institution registered as an assessment centre with the relevant provincial department of education who, in the performance of assessment duties, are doing this under the jurisdiction of the relevant education department as assessment body.
- (v) Irregularities in respect of internal assessment involving assessment officials may be identified at any of the following stages:
  - (aa) The compilation of the mark for internal assessment at the school or learning institution.
  - (bb) The monitoring or moderation of the mark achieved in respect of internal assessment.
  - (cc) The capturing and processing of data;
  - (dd) Investigations in respect of suspected internal assessment irregularities.

## **5. IDENTIFICATION OF EXAMINATION IRREGULARITIES IN RESPECT OF THE SENIOR CERTIFICATE EXAMINATION**

- (1) Examination irregularities of a technical nature
  - (a) Technical examination irregularities include:
    - (i) Failure to produce (as opposed to fraudulent) an identity document;
    - (ii) Late arrival at the assessment center;
    - (iii) Incorrect or no examination number;
    - (iv) Examination number not on the mark sheet;

- (v) Answer script damaged;
  - (vi) Examination answer script found amongst answer scripts from another assessment centre;
  - (vii) Examinations conducted at an assessment centre other than the assessment centre where the candidate registered;
  - (viii) Examination answer script lost or missing;
  - (ix) Prescribed (as opposed to issued) answer script not used; and
  - (x) Any other technical difficulty or problem with either answer scripts or answer sheets or proceedings.
- (2) Examination irregularities involving candidates stemming from misbehaviour or wilful disobedience regarding regulations or instructions issued during an examination
- (a) This category of examination irregularity includes:
    - (i) Creating a disturbance or intimidating others or behaving in an improper or unseemly manner despite a warning;
    - (ii) Disorderly conduct;
    - (iii) Disregard for the arrangements or reasonable instructions of the invigilator despite a warning; and
    - (iv) Disregard for examination regulations despite a warning.

- (3) Examination irregularities involving candidates stemming from dishonesty
- (a) This category of examination irregularity includes:
- (i) Before the commencement of the examination:
- (aa) Presentation of fraudulent identification documents;  
or
- (bb) Bribery or attempted bribery; or
- (cc) Leaked external question paper.
- (ii) While the external question paper is being written:
- (aa) Possession of notes or any other unauthorised material which could in any way unduly assist in the answering of questions; or
- (bb) Copying from notes or textbooks or any other unauthorised material; or
- (cc) Copying from fellow candidates; or
- (dd) Attempting to obtain assistance from, or being assisted by another candidate; or
- (ee) Assisting, or attempting to assist, another candidate;  
or
- (ff) Receiving assistance from any other source; or
- (gg) External question paper written by another or substitute candidate; or
- (hh) The use of another candidate's examination number; or
- (ii) Any other type of conduct or possession which could render improper assistance or unfair advantage to a candidate and thereby prejudice

other candidates being examined under the auspices of the relevant provincial department of education as assessment body; or

- (jj) Any other action, which is in contravention of regulations governing the administration or management under the auspices of the relevant provincial department of education as assessment body.
- (iii) As answer scripts are handed in or marked:
- (aa) The answer script handed in is different from that issued by the invigilator; or
  - (bb) Different handwriting in an answer script; or
  - (cc) Two examination answer scripts submitted for one candidate; or
  - (dd) Crib notes discovered;
  - (ee) No crib notes, but clear evidence of copying; or
  - (ff) Evidence of possible assistance by an invigilator; or
  - (gg) Indications that the candidate has been allowed to be examined in terms of an "open book" examination; or
  - (hh) Answers too similar to the memorandum; or
  - (ii) Answer script removed from the examination room and submitted later; or
  - (jj) Examination conducted outside the examination room or assessment centre without prior authorization.



- (4) Examination irregularities involving examination officials
- (a) Examination irregularities in respect of the examination may be committed by:
- (i) Professional educators, such as educators or principals at schools or learning institutions or staff from Professional Support Services or related directorates or circuit managers, etc., whose normal job descriptions automatically incorporate such duties.
  - (ii) Educators in the immediate employ of an independent school or learning institution registered as an assessment centre with the relevant provincial department of education who, in the performance of examination duties, are doing this under the jurisdiction of the relevant provincial department of education as assessment body.
  - (iii) Administrative personnel whose duties include work in respect of assessment, certification and accreditation.
  - (iv) Administrative personnel in the immediate employ of an independent school or learning institution registered as assessment centre with the relevant provincial department of education who, in the performance of assessment duties, are doing this under the jurisdiction of the relevant provincial department of education as assessment body.

- (b) Examination irregularities may be identified at any of the following stages:
- (i) Setting or moderation or translation or editing of external question papers;
  - (ii) Typing or printing or packing or distribution or collection or delivery of external question papers or answer scripts;
  - (iii) Invigilation or monitoring;
  - (iv) Marking;
  - (v) Data capturing and processing; and
  - (vi) Release of examination results.
- (c) Actions, deemed irregular, include:
- (i) Negligence;
  - (ii) Indolence;
  - (iii) Disobedience;
  - (iv) Failure to abide by relevant legislation or policies or regulations;
  - (v) Improper or disorderly behaviour;
  - (vi) Absence from duty without valid reasons.
  - (vii) Misappropriation of resources;
  - (viii) Actions detrimental to the interests of the relevant provincial department of education;
  - (ix) Unauthorised release of information;
  - (x) Misuse of authority for private gain or reward;

- (xi) Knowingly making false statements prejudicial to the interests of the relevant provincial department of education or for personal advantage;
- (xii) Committing of a criminal offence; and
- (xiii) Contravention of a prescribed code of conduct or set of rules such as failure to comply with any provision of this national policy.

## **6. ASSESSMENT IRREGULARITY PROCEDURES**

- (1) Procedures in respect of internal assessment candidates
  - (a) Internal assessment irregularities involving learners must not be submitted to the Assessment Irregularities Committee, but dealt with at the level of the school or learning institution.
  - (b) Where the candidate does not comply with the minimum requirements of any component of the internal assessment mark, the following applies:
    - (i) In the event of a valid reason for compliance failure, the candidate must be allowed the opportunity to redo the task or, where impractical, the mark for that particular component of the internal assessment mark should not be taken into consideration.
      - (aa) "Valid reason", in this context, constitutes the following:

- Medical reasons as supported by a valid medical certificate issued by a registered medical practitioner;
  - Humanitarian reasons, e.g. the death of an immediate family member. If supported by valid written evidence;
  - The learner appearing in a court hearing; supported by written evidence; or
  - Any other reason as may be declared valid by the Head of Department or his/her nominee.
- (c) Candidates must be reminded that the fabrication of evidence in general and especially in respect of the stipulations of paragraph 6(1)(b)(i)(aa) above constitutes fraud.
- (d) Where a candidate does not comply with the minimum requirements of internal assessment for a subject on the basis of valid reasons, evidence of such valid reasons must be included in the learner portfolio for that subject.
- (e) Where a candidate does not comply with the minimum requirements of internal assessment for a subject without a valid reason, a "0" (nought) is recorded and 0 is used in the compilation of the mark for the particular component or internal assessment as a whole (as may be applicable).
- (f) A distinction must be made between the use of nought (0) in the event of a candidate not complying with the minimum requirements of internal assessment for a subject without a valid reason and a candidate not complying with the minimum

requirements of internal assessment for a subject on the basis of a valid reason.

- (g) The absence of an internal assessment mark in any subject must result in the candidate registered for that particular subject receiving an “incomplete” result. The Directorate of Assessment, Certification and Accreditation must be informed of all cases where a candidate enters the final Senior Certificate examination without a final mark in respect of internal assessment.
- (2) Procedures in respect of internal assessment – assessment officials
- (a) All suspected assessment irregularities in respect of internal assessment involving assessment officials must be brought to the immediate attention of the Directorate of Assessment, Certification and Accreditation.
  - (b) Suspected internal assessment irregularities involving educators constitutes an act of misconduct and must be dealt with in accordance with the *Employment of Educators’ Act*.
  - (c) Suspected internal assessment irregularities involving assessment officials employed in terms of the Public Service Act constitutes an act of misconduct and must be dealt with in accordance with the relevant Public Service Regulations.
  - (d) Prior to an investigation being conducted in respect of assessment officials suspected an internal assessment irregularity, the Head of Department or his or her nominee, provided that substantial evidence in respect of the alleged irregularity exists, may:

- 
- (i) Immediately suspend the services of a suspected defaulting official from marking or monitoring or moderation;
  - (ii) Immediately suspend the services of a suspected defaulting official in respect of any or all related assessment processes; or
  - (iii) In the case of independent schools or learning institutions registered as assessment centres with the relevant provincial department of education as an assessment body, insist on the application of the relevant clauses of the Service Contract entered into with the particular assessment centre.
- (3) Procedures in respect of examination irregularities of a technical nature at schools or learning institutions:
- (a) Examination irregularities of a technical nature should not be submitted to the Assessment Irregularities Committee, but to the administrative team at the marking centre on the most appropriate action in each case.
  - (b) In the event of a candidate failing to produce an identity document or an acceptable alternative document providing identity and where the candidate is unknown to the invigilator, the procedures set out in paragraph 6(3)(a) in this policy document must be followed.
  - (c) Where an answer script is found amongst those from another assessment centre or where a candidate has been examined at an assessment centre other than the assessment centre where originally registered, the former assessment centre must contact the

assessment centre at which the examination should have been conducted and arrange through the regional office or area project office for the transfer of that candidate's answer script.

- (d) Where an answer script is lost, the matter must be referred to Umalusi to decide the most appropriate course of action.
- (4) Initial procedures in respect of examination irregularities stemming from misbehaviour or willful disobedience regarding regulations or instructions issued during an examination:
- (a) The invigilator, in all cases, must immediately bring the specific examination irregularity to the attention of the Chief Invigilator.
  - (b) The Chief Invigilator must then offer the candidate suspected of an irregularity the opportunity to make representations, either in writing or verbally, in the presence of the invigilator. If the Chief Invigilator, after considering the facts, finds that such an irregularity has indeed occurred, he or she must submit the matter to the Assessment Irregularities Committee for processing.
  - (c) In the event of a candidate persistently refusing to co-operate, the Chief Invigilator must request the candidate suspected of an irregularity to leave the assessment room, confiscate the answer script and note the date and exact time of its confiscation. Should the candidate refuse to leave, especially if paragraphs 6(4)(a) and 6(4)(b) apply, the Chief Invigilator may call upon the South African Police Services to assist.
  - (d) If the candidate agrees to co-operate, the Chief Invigilator must allow him or her to continue with the external assessment, in which

case another answer book with the date and exact time of issue noted thereon should be issued, the following the procedure and associated requirements set out in paragraphs of this policy document.

- (e) The Chief Invigilator must forward his or her report, together with a report from the invigilator on duty at the time of the suspected irregularity and the candidate's representation, accompanied by a written account of events or any statement or exhibit, to the regional office or area project office for onward transmission to the Assessment Irregularities Committee.
- (5) Initial procedures in respect of examination irregularities stemming from dishonesty
- (a) Examination irregularities identified as having occurred before the external question paper is written.
  - (b) Leakage of external question papers set at provincial level – the extent of which must be determined by the Assessment Irregularities Committee.
    - (i) If the leakage is widespread, the relevant provincial department of education must arrange for the external question paper to be re-written on a date to be decided. If the irregularity is confined to a single or few assessment centres, then it may be recommended to the Head of Department that the action taken be limited to those affected assessment centres.



- (ii) In the event of the leakage of an external question paper written at national level (the so-called national papers), the Head of Department or his or her nominee, together with the Director-General of the national Department of Education, the MEC, and the National Minister of Education should decide on the most appropriate course of action.
  
- (c) Examination irregularities identified as the external question paper is being written:
  - (i) The following procedure should be followed when an examination irregularity is suspected by the invigilator:
    - (aa) The invigilator must remove the candidate's answer script and write the word "IRREGULARITY" on the front outside cover page and the type, time, date and place of the irregularity.
    - (bb) The words "Answer script confiscated on.....at----- hours" must also be written on the outside cover page in bold print.
    - (cc) The invigilator must take possession of any unauthorised or incriminating material such as notes or any other object used directly or indirectly or in the possession of the candidate that may have been used to commit the irregularity.
    - (dd) Such material must be attached to the confiscated answer script, which then becomes the property of the relevant provincial department of education and neither the candidate nor his or her parents or guardians have the right to demand its return.

- (ee) The invigilator must then give the candidate a new answer script. This answer script must also be endorsed, this time with the words "NEW ANSWER SCRIPT" together with the time of issue.
- (ff) The candidate must be informed that the fact that he or she is allowed to continue with the examination does not serve as a condonation of his or her contravention of examination regulations and that a written report will be submitted to the Chief Invigilator at the conclusion of the examination and that the incident will be reported to the Assessment Irregularities Committee of the relevant provincial department of education.
- (gg) The invigilator must not allow any additional time to compensate for time lost in the course of detecting and processing the examination irregularity.
- (hh) The invigilator, following the completion of the examination, must immediately submit a full written report to the Chief Invigilator concerning the irregularity together with a report from the Principal of the school or learning institution where the examination is in progress.
- (ii) The candidate, following the completion of the examination, must be confronted about the irregularity and given the opportunity to provide a written declaration or response to the alleged offence.
- (jj) Where the candidate refuses to submit the required written declaration or provide a response, this refusal must be noted by the invigilator in writing.

The candidate should sign a document as an acknowledgement to that effect.

- (kk) Where the candidate refuses to comply with paragraph 6(5)(c)(i)(jj) another invigilator attached to the assessment centre must sign. This signature formalises the refusal of the candidate to append his or her signature.
  - (ll) The answer script, any incriminating material and all applicable statements must then be sent for marking in the normal way and subsequently forwarded to the Assessment Irregularities Committee.
- (6) Examination irregularities identified as the answer script is handed in or being marked
- (a) All examination irregularities suspected by markers must be reported immediately to the Senior Marker or Deputy Chief Marker or Chief Marker.
  - (b) Answer scripts in which suspected examination irregularities occur must be marked as usual with marks indicated on the front outside cover page. Irregularities must be circled in red ink and "IRREGULARITY" written in the margin alongside. Answer scripts containing irregularities must then be handed over, along with other answer scripts and completed mark sheets, to the Senior Marker or Deputy Chief Marker or Chief Marker for attention.
  - (c) If the Senior Marker agrees with the finding of the marker, he or she must clearly indicate on each answer script where the examination irregularity occurs and hand the whole batch of

answer scripts over to the relevant Deputy Chief Marker or Chief Marker.

- (d) Where the Senior Marker disagrees with the finding of the marker, he or she must hand the answer script back to the marker for normal processing.
- (e) After confirmation of the suspected examination irregularity by the Deputy Chief Marker or Chief Marker, the following must be done.
  - (i) Answer scripts containing examination irregularities must be separated from answer scripts that do not;
  - (ii) Clearly identify answer scripts containing examination irregularities by writing the word "IRREGULARITY" in bold print on the outside front cover page of every answer script;
  - (iii) Use a highlighter to mark the examination irregularity in the answer script;
  - (iv) Indicate the questions in regard to which examination irregularities occurred by circling the corresponding question numbers on the outside front cover page of the answer scripts involved;
  - (v) Indicate on the prescribed form where the examination irregularities occurred in the answer scripts, adding any additional information if and when required on the reverse

of that form, and then complete the rest of the form attaching it to the answer scripts containing irregularities;

- (vi) Photocopy the mark sheet;
  - (vii) Submit answer scripts containing examination irregularities, together with the completed report form and the photocopies mark sheet, to the Directorate of Assessment, Certification & Accreditation;
  - (viii) Continue to deal with mark sheets in the usual way; and
  - (ix) Return answer scripts without examination irregularities to the Directorate of Assessment, Certification and Accreditation in accordance with prescribed procedures.
- (7) Procedures in respect of investigations and hearings by the Assessment Irregularities Committee
- (a) General Principles
    - (i) A minimum of two (2) members of the Assessment Irregularities Committee must take part in all investigations and hearings.
    - (ii) Findings of an investigation or hearing must be submitted to a full sitting of the Assessment Irregularities Committee. Investigating officials or officials in control of a hearing in respect of an examination irregularity, while participating in deliberations of a full sitting of the Assessment Irregularities Committee, will be excluded from final

decision-making in respect of an examination irregularity investigated by them.

- (iii) All meetings of the Assessment Irregularities Committee and all examination irregularity investigations or hearings, at whatever level, must be minuted.
- (iv) No member of the Assessment Irregularities Committee may be involved in, or allowed access to any examination irregularity investigation or hearing or documentation involving a relative by blood or marriage or descent.
- (v) The Assessment Irregularities Committee may call upon any official in the service of the relevant provincial department of education or any invigilator or any candidate or learner to appear before the Committee and it may also question any candidate accused of an alleged Irregularity.
- (vi) The Assessment Irregularities Committee may call upon any person not in the immediate employ of the relevant provincial department of education but under its jurisdiction as assessment body to appear before the Committee and it may also question any such person in the normal course of an investigation or hearing.
- (vii) The Assessment Irregularities Committee has access to any room or place at any school or learning institution registered as assessment centre with the relevant provincial department of education and may scrutinise or take possession of any book or register or record or document or

article or other evidence which, in the opinion of the Committee, may be connected to the investigation.

- (viii) In cases of serious misconduct, where appropriate, the relevant provincial department of education should reserve the right to report any such cases to the South African Police Services for criminal investigation.
- (ix) Decisions and consequent recommendations by the Assessment Irregularities Committee must be made known to both the Senior Manager of the Directorate Assessment, Certification and Accreditation and the person or school or learning institution under investigation for an alleged irregularity within sixty (60) working days of the completion of the investigation.

(8) Procedures: Investigations and hearings

- (a) Procedures for investigations and hearings vary between candidates, examination officials and independent schools or learning institutions.
- (b) Procedures for Investigations and Hearings – Candidates
  - (i) Identification and confirmation of the suspected examination irregularity by the Assessment Irregularities Committee.
  - (ii) Written notification to the candidate concerned of the suspected examination irregularity.

- (iii) Written notification of an investigation or hearing to the candidate concerned or his or her parent or guardian or representative, which must either be registered or delivered against a signature acknowledging receipt.
- (iv) Where a candidate suspected of an examination irregularity or his or her parent or guardian or representative cannot be traced, the Regional Executive Manager must inform the Secretary of the Assessment irregularities Committee thereof in writing. The inability to trace or inform a candidate suspected of an examination irregularity or his or her parent or guardian or representative should not delay the processing of the irregularity in any way.
- (v) All candidates suspected of an examination irregularity must be allowed the opportunity to respond to the alleged irregularity within ten (10) working days of being notified of an irregularity investigation.
- (vi) Notification of a suspected of an examination irregularity must state clearly that the absence of a reply will neither delay the investigation or formal hearing in respect of the suspected examination irregularity.
- (vii) Due notice must be given to the candidate or his or her parent or guardian or representative of the date, venue and time of an investigation or hearing.
- (viii) The candidate or his or her parent or guardian or representative may attend the investigation or hearing.



Failure to attend an investigation or hearing should not delay the processing of the examination irregularity.

- (ix) Where the candidate or his or her parent or guardian or representative decides to make use of legal representation during an investigation or hearing, permission must be sought from the Chairperson of the Assessment Irregularities Committee at least three (3) working days before the scheduled hearing or investigation.
  - (x) Evidence presented at an investigation or hearing may take the form of material or written or oral or other evidence.
  - (xi) Findings of an investigation or hearing must be submitted to a full sitting of the Assessment Irregularities Committee. Investigating officials or officials in control of hearing in respect of an examination irregularity, while participating in deliberations of a full sitting of the Assessment Irregularities Committee, will be excluded from final decision-making in respect of examination irregularity investigated by them.
- (c) Procedures for Investigations and Hearings – Assessment Officials
- (i) Identification and confirmation of the suspected examination irregularity by the Assessment Irregularities Committee.
  - (ii) Written notification to the examination official concerned of the suspected examination irregularity.

- (iii) Written notification of an investigation or hearing to the examination official concerned or his or her representative, which must either be registered or delivered against a signature acknowledging receipt.
- (iv) Where an examination official suspected of an examination irregularity cannot be traced, the Regional Executive Manager must inform the Secretary of the Assessment Irregularities Committee thereof in writing. The inability to trace or inform a candidate suspected of an examination irregularity or his or her parent or guardian or representative should not delay the processing of the irregularity in any way.
- (v) All examination officials suspected of an examination irregularity must be allowed the opportunity to respond to the alleged irregularity within ten (10) working days of being notified of an examination irregularity investigation.
- (vi) Notification of a suspected examination irregularity must state clearly that the absence of a reply will neither delay the investigation or formal hearing in respect of the suspected irregularity.
- (vii) Due notice must be given to the examination official or his or her representative of the date, venue and time of an investigation or hearing.
- (viii) The examination official or his or her representative may attend the investigation or hearing. Failure to attend an

investigation or hearing should not delay the processing of the examination irregularity.

- (ix) A representative from a recognised trade union may attend the investigation or hearing pertaining to a suspected examination irregularity investigation against a member of that particular union. Hearings may only be attended as observers.
- (x) In the event of an investigation or hearing against an examination official in the employ of the relevant provincial department of education and serving at a regional office or area project office level, the relevant regional manager or leader of the area project office or his or her nominee should also attend the investigation or hearing.
- (xi) In the event of an investigation or hearing against an examination official not in the immediate employ of the relevant provincial department of education, his or her immediate supervisor should also attend the investigation or hearing.
- (xii) Where the examination official decides to make use of legal representation during an investigation or hearing, permission must be sought from the Chairperson of the Assessment Irregularities Committee at least three (3) working days before the scheduled hearing or investigation.
- (xiii) Evidence presented at an investigation or hearing may take the form of material or written or oral or other evidence.

- (xiv) Finding of an investigation or hearing must be submitted to a full sitting of the Assessment Irregularities Committee. Investigating officials or officials in control of a hearing in respect of an examination irregularity, while participating in deliberations of a full sitting of the Assessment Irregularities Committee, will be excluded from final decision-making in respect of an examination irregularity investigated by them.

(9) Sanctions

- (a) The Assessment Irregularities Committee is empowered to recommend to the Head of Department or his or her nominee :
  - (i) Whether a candidate should or may register for or participate in an examination activity administered by the relevant provincial department of education as assessment body;
  - (ii) That a defaulter be expelled or prevented from participating in a examination or being awarded a certificate;
  - (iii) Suspension of a defaulting examination officials from examinations, marking, monitoring or moderation or any related examination activity or process;
  - (iv) Suspension or cancellation of the results of a candidate found guilty of misconduct relating to examinations; and
  - (v) Deregistration of an independent school or learning institution as examination centre registered with the

relevant provincial department of education as assessment body where there is evidence of:

- (aa) The physical removal of the examination centre from the premises approved by the relevant provincial department of education.
- (bb) The undermining of the integrity of the examinations or related examination processes.
- (cc) Maladministration.
- (dd) The flouting of policies, regulations and guidelines.
- (ee) Other sanctioning as may be contained in national policies or guidelines or regulations not stated here.

(10) Appeals

- (a) Appeals, in all cases must be made in writing to the MEC within ten (10) working days of the receipt of the decision of the Head of the Department or his or her nominee in respect of an examination irregularity.
- (b) All appeals should include written reasons in support of the appeal.

# ANNEXURE L

## MINIMUM REQUIREMENTS FOR A COMPUTER SYSTEM

1. Browse Information on Files: Enable the user to browse through information available on all data files, e.g. look through candidates registered at a specific centre to find a candidate's ID number.
2. Entries: Candidate entries are registered per examination by means of electronic/magnetic media or directly within the on-line environment. Full candidate validation takes place according to the rules and regulations set out by National Education.
3. Mark Sheets: Generation of mark sheets, capturing and controlling of mark sheets. The mark sheets are also printed with bar codes for controlling the flow of mark sheets at strategic points.
4. Examination Results: All results are processed programmatically in accordance with the rules and regulations set out by the national Department of Education.
5. Mark Adjustment: Also known as "ogiving", compares the subject written marks to a five-year norm and recommends adjustment to give candidates a fair pass rate.
6. Subject information: All subject and paper information is carried forward from the previous examination and, where required, changes are made. Subject information has a direct influence on validation of candidate entries, candidate promotion and conversion, examination packing procedures, timetable, admission letters, etc.

7. Irregularities: Irregular candidates are suspended individually or per assessment centre. This subsystem controls the correspondence and investigations into these irregularities.
8. Region, Area, Circuit or Assessment Centres: All assessment centres are registered and allocated to a circuit, area and region as well as their respective provinces.
9. Candidates and Document History: Candidates who enter on an ongoing basis and apply for certification, are processed along with their historical information for possible certification.
10. Document issuing and issues: Control and enquiries concerning all documents issued by the department via the computer system since 1907.
11. Preliminary number of candidate entries: Is an optional system that can be used by management to gauge the number of candidate entries per school so that up front planning, budgeting and stationery requirements can be made.
12. Recovery of Funds: Control of funds received from assessment centres for examination fees paid.
13. Re-Marking and Checking: When a candidate applies for re-marking or re-checking his certificate is suspended and re-marking or re-checking takes place.
14. Supplementary Examinations: Automatic registration of learners that qualify for supplementary examinations.
15. Stationery and Examination Aids: Controlling of codes and descriptions used by candidates during examinations.

16. Question Paper Stock Maintenance: Used to monitor the reproduction of examination papers and to highlight shortages.
17. Packing of stationery/question papers: Reports are generated to assist with the packing and distribution of question papers and examination stationery supplied by the department.
18. Statistics: All statistics pertaining to pass and fail rates, entry irregularities, etc. can be extracted per province, region or at a national level, and made available for press releases, subject advisors, planners and management.
19. Timetable: Dates, times and duration of each question paper are maintained for candidate admission letters, payment of examiners, etc.
20. System Parameter and System Index Maintenance Indexes: Standard names used etc. are maintained by the systems administrator.
21. Word Processor: Editing of letters for irregularities, examination results, candidate entries, etc.
22. Examination Marking Claims: Control and payment of examiners for bulk marking sessions by means of cheque or direct payment.
23. Hand Claims: Indirect payment of examiners' claims and expenses incurred by means of cheque or direct payment.
24. SANMED Functions: Updating of sectors and magisterial codes per assessment centre for statistical purposes for the national Department of Education.
25. Invigilators' Claims: Payment of invigilators' claims and expenses incurred by means of cheque or direct payment.



26. Question Papers (setting of papers): Control of the setting of examination papers and correspondence between the department, examiners and moderators.
27. Examination Officials: Appointment and control of all examination officials' personal information.
28. Job Control and General Functions: Control of batch processes, bulk printing, task scheduling, etc.