

DEPARTMENT OF HIGHER EDUCATION AND TRAINING

NO. 1620

17 December 2021

CONTINUING EDUCATION AND TRAINING ACT, 2006 (ACT NO. 16 of 2006)

NATIONAL POLICY PERTAINING TO THE CONDUCT, ADMINISTRATION AND MANAGEMENT OF THE EXAMINATION OF COLLEGES ESTABLISHED, DECLARED OR REGISTERED IN TERMS OF THE CONTINUING EDUCATION AND TRAINING ACT, 2006 (ACT NO. 16 OF 2006)

I, **Bonginkosi Emmanuel Nzimande, MP**, Minister of Higher Education, Science and Innovation, in terms of section 41B(1) of the Continuing Education and Training Act, 2006 (Act No. 16 of 2006), determine and hereby publish, after consideration of the public comments, for implementation, the national policy for the conduct, administration and management of the examinations of colleges established, declared or registered in terms of the Continuing Education and Training Act, 2006.

In terms of Section 41F(a) of the Continuing Education and Training Act, 2006, further be advised that the national policy for the conduct, administration and management of the examinations of colleges established, declared or registered in terms of the Continuing Education and Training Act, 2006, shall be obtainable and only be downloaded from the website of the Department of Higher Education and Training for public access at www.dhet.gov.za.

This national policy aims to provide direction regarding the conduct, administration and management of the examinations for colleges. Specifically, it intends to deal with matters related to the preparation and the conduct of examinations, the marking and other related processes, irregularities, security and confidentiality relating to the examination, access to examination and certification information, including historical records.



Dr BE Nzimande, MP

Minister of Higher Education, Science and Innovation

Date: 28/10/2021



**higher education
& training**

Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA

**NATIONAL POLICY PERTAINING TO THE CONDUCT, ADMINISTRATION AND
MANAGEMENT OF THE EXAMINATIONS OF COLLEGES ESTABLISHED,
DECLARED OR REGISTERED IN TERMS OF THE CONTINUING EDUCATION AND
TRAINING ACT, 2006 (ACT NO. 16 OF 2006)**

LEGISLATIVE FRAMEWORK

- (a) Chapter 10 of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996) prescribes the basic values and principles governing public administration;
- (b) The Continuing Education and Training Act, 2006 (Act No. 16 of 2006) relating to the planning, coordination, management, monitoring, evaluation and well-being of the continuing education and training management system, including the provision of data, examinations and certification;
- (c) The General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001) with regard to policies and directives issued by the General and Further Education and Training Quality Council established in terms of section 4 of this Act relating to external assessment, internal assessment and irregularities;
- (d) Education White Paper 6 on Special Needs Education: Building an Inclusive Education and Training System provides a policy framework that guides the transformation of practices related to examinations and assessment in general with a view to achieving enabling mechanisms to support students who experience barriers to learning;
- (e) The Skills Development Act, 1998 (Act No. 97 of 1998) and the Skills Development Amendment Act, 2008 (Act No. 37 of 2008);
- (f) The National Qualifications Framework Amendment Act, 2019 (Act No. 12 of 2019); and
- (g) The White Paper for Post-School Education and Training: Building an Expanded Effective and Integrated Post-School System, 15 January 2014.

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CHAPTER 1

DEFINITIONS, ABBREVIATIONS/ACRONYMS, OBJECTIVES, SCOPE AND APPLICATION

1. Definitions and abbreviations/acronyms

1.1 Definitions

'act of dishonesty' means a student or students engaging in dishonest acts during the examination process, including acts that are identified before the examination commences, as well as acts that are identified while the examination question paper is written or after the examination has been written.

'act of misconduct' means misbehaving, creating a disturbance or wilfully disobeying legitimate instructions that may have an adverse effect on other students, the examination process or the outcome of the examination;

'Act' means the Continuing Education and Training (CET) Act, 2006 (Act No. 16 of 2006);

'Adult Education and Training' means all learning and training programmes leading to a qualification on Level 1 of the National Qualifications Framework, of which the level is below further education;

'administrative error or omission' means an examination error of a technical nature where the student or an examination official unintentionally fails to follow the prescribed administrative procedure resulting in information being omitted, something not being done or being neglected in any way that may cause the student to be advantaged or disadvantaged as a result of this error or omission;

'assessment body' means an assessment body as defined in the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001);

'assessment irregularity' means any error, act or omission, or any alleged event, act or omission that may undermine or threaten to undermine the integrity, credibility, security or fairness of the internal and external assessment process;

'assessment task' means evidence of a structured assessment activity designed by the lecturer or the assessment body, which is used by lecturers and students to determine the performance of students in a learning area/subject, grade or in a specific content area;

'candidate' means a person registered as a student for a qualification on the National Qualifications Framework of South Africa;

'centre' means a site under the control, supervision and administration of another state department which is responsible for the conduct, administration and management of examinations governed by this policy;

'certification' means the formal recognition of a qualification or part-qualification awarded to a successful student on meeting the set requirements or standards;

'chief examiner' means a person who manages the process of setting the examination question paper and who takes responsibility for the quality and standard of the examination question paper;

'Chief Executive Officer' means the Chief Executive Officer, as contemplated in the relevant legislation of the respective quality council appointed by the Minister.

'chief marker' means a person in charge of a marking team of a subject/learning area of an external examination question paper written under the auspices of an assessment body accredited by the quality council;

'Community Learning Centre' (CLC) and **'Satellite Learning Centre' (SLC)** means a public centre that is under the control, supervision and authority of a Community Education and Training College established, declared or merged in terms of the CET Act, 2006 (Act No. 16 of 2006);

'continuous assessment' means a component of assessment that is ongoing and is used to determine a student's achievement on a particular level;

'control centre' means a secure area, for example, a big classroom or hall where examination scripts can be received, controlled and stored before and after marking to be dispatched to the examination body;

'Department' means the department responsible for continuing education and training;

'deputy chief marker' means a person who assists the chief marker with the final marking of an external examination question paper;

'Director-General' means the accounting officer of the department responsible for continuing education and training;

'evidence of student performance' means the student's work which constitutes the internal assessment contributing to the final promotion mark;

'examination centre' means a centre registered by an assessment body;

'examination irregularity' means any error, act or omission, or any alleged event, act or omission which may undermine or threaten to undermine the integrity, credibility, security or fairness of the examination process;

'examination process' means, but is not limited to the complete process relating to the registration of students, the setting and moderation of the examination question papers, the transportation and storage of examination material, the security of all examination material, the marking of examination answer scripts, the processing of results, the issuing of results and the certification of these results or such process related to the examination process;

'external assessment' means any task(s)/examination set marked at a level outside the centre by the external assessment body separate to the organisation or institution providing learning such as the Department of Higher Education and Training (hereinafter referred to as the Department);

'examination sitting' means a main examination sitting or a subsequent sitting of the examination, including a supplementary examination;

'formative assessment' means a component of assessment used to support student development and to feed back into teaching/lecturing and learning;

'general education and training certificate' means a qualification on Level 01 of the National Qualifications Framework awarded to a student on completion of such a level;

'Head of an assessment body' means the Director-General of the Department responsible for continuing education and training;

'Head of Department' means the accounting officer of the Department responsible for continuing education and training;

'immediate family' means father, mother, brother, sister, grandparents, husband, wife, legal partner, children, guardians, main caregivers and foster parent;

'implementation protocol' means in terms of the Intergovernmental Relations Framework Act, 2005 (Act No. 13 of 2005), the agreement between the Department and the provincial education departments regarding the provisioning of the GETC examination;

'impostor' means any person who writes or attempts to write the examination on behalf of a registered student at an examination centre;

'internal continuous assessment' means any internal assessment which counts towards the achievement of a qualification and is contained in a portfolio of evidence in accordance with the requirements specified in the Subject Assessment Guidelines;

'integrated summative assessment task' means an integrated summative assessment task which draws on the skills and practices of cumulative learning achieved throughout the year and is conducted in accordance with the requirements specified in the Subject Assessment Guidelines;

'investigation' means all activities relating to the collection of evidence in respect of a reported irregularity or any conduct in connection with the examinations;

'invigilator' means any person appointed to assist the chief invigilator in conducting an examination-related activity at the examination centre;

'lecturer portfolio of assessment' means the full and final record of all the assessment tasks completed by the student and kept by the lecturer as evidence of the internal assessment mark for a particular learning area/subject;

'marker' means a person who has been appointed to mark an examination answer script;

'marking centre manager' means a person appointed to be responsible for the management and administration of a marking centre;

'Minister' means the Minister responsible for continuing education and training;

'moderation' means moderation, as defined in section 1 of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001);

'moderator' means a person, as defined in section 1 of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001);

'NQF Level 01' means a sublevel determined by the South African Qualifications Authority;

'parent', as defined in the South African Schools Act, 1996 (Act No. 84 of 1996);

'part-qualification' means an assessed unit registered as part of a qualification;

'private examination centre' means a centre registered in terms of the Continuing Education and Training Act, 2006 (Act. No. 16 of 2006) and accredited by the relevant quality council;

'processes and procedures for the assessment of student achievement' means the conduct, administration and management of internal assessment, and the final examination;

'progression' means the advancement of a student from one level to the next;

'promotion' means the movement of a student from one level to the next if the student meets the minimum required level of achievement;

'qualification' means the formal recognition of a student's achievement of the required number and range of credits and such other requirements at specific levels of the National Qualifications Framework, as may be determined by the relevant bodies registered for such purpose by the South African Qualification Authority;

'quality council' means the particular council established in terms of the relevant act to quality assure a relevant qualification or qualifications;

'QCTO' means the Quality Council for Trades and Occupations, as contemplated in the National Qualifications Framework Act, 2008 (Act No. 67 of 2008);

'repeat student' means a student who failed the examination and who wants to satisfy the outstanding requirements for the examination or any level to obtain a certificate;

'SAQA' means the South African Qualifications Authority, as contemplated in the National Qualifications Framework Act, 2008 (Act No. 67 of 2008);

'SBA' means a site-based assessment, which involves a series of various tasks determined by the assessment body and the approved Subject Assessment Guidelines intended to obtain a student's demonstrated achievement which contributes to the final mark and the achievement of the qualifications;

'senior marker' means a person who assists the chief marker in the marking process and who takes responsibility for a group of markers at the marking centre;

'Subject Assessment Guidelines' mean documents that specify the internal and external assessment requirements for each of the listed subjects in accordance with any policy or directive;

'Student Portfolio of Evidence' means the collection of a student's assessment evidence used to compile his/her integrated summative assessment task SBA/ICAS/oral marks;

'UMALUSI' means the Council, as contemplated in section 1 of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001);

'unit standard' means registered statements of desired education and training outcomes, and their associated assessment criteria.

1.2 Abbreviations and Acronyms

AET	Adult Education and Training
ABRSM	Associated Board of the Royal School of Music
CD	Compact disc
CD: NEA	Chief Directorate: National Examinations and Assessment
CEO	Chief Executive Officer
DCS	Department of Correctional Services
CLC	Community Learning Centre
DP	Delivery point
DG	Director-General
ELRC	Education Labour Relations Council
GETCA	General Education and Training Certificate for Adults
GETC	General Education and Training Certificate
HOD	Head of Department
ICASS	Internal Continuous Assessment
ISAT	Integrated Summative Assessment
NC(V)	National Certificate (Vocational)
NEAIC	National Examinations and Assessment Irregularities Committee
NECC	National Examinations Concessions Committee
NLRD	National Learner Record Database
POA	Portfolio of Assessment
POE	Portfolio of Evidence
RSA	Republic of South Africa
SOP	Standard Operating Procedure
SAQA	South African Qualifications Authority
SAG	Subject Assessment Guidelines
SBA	Site-based assessment
SDA	Service Delivery Agreement
TCL	Trinity College of London

UNISA University of South Africa**2. Objectives, scope and application**

To provide a policy directive concerning the conduct, administration and management of the examinations and assessment process for public and private colleges for internal and external examinations.

2.1 Application

The policy is applicable for all examinations – external and internal – that are conducted, administered and managed in terms of the Continuing Education and Training Act, 2006 (Act No. 16 of 2006) by public and accredited private assessment bodies and any centre –

- (1) administered or under the control of other departments of the state in connection with the conduct, administration and management of examinations under this policy, or as may be prescribed; and
- (2) under the control of a foreign country in terms of a memorandum of understanding between the RSA and a foreign country, and such centres being accredited by the quality councils and being duly registered as an examination centre under this policy.

CHAPTER 2

CONDUCT OF SITE-BASED/INTERNAL CONTINUOUS ASSESSMENT, PRACTICAL AND LANGUAGE ORAL ASSESSMENT TASKS

3. Requirements for site-based/internal continuous assessment/practical and language oral assessment tasks

- (1) SBA/ICASS/PAT/oral assessment tasks set at national level and implemented by colleges must be a compulsory component of the final promotion mark for all students registered for a particular qualification or part-qualification.
- (2) All students presenting any learning area/subject for a particular qualification or part-qualification must fulfil all the requirements in respect of SBA/ICASS/PAT/oral assessment tasks, as reflected in the Learning Area/Subject Examinations and Assessment Guidelines.
- (3) The centre manager or such appointed person of a college is responsible for ensuring that the SBA/ICASS/PAT/oral assessments are conducted, verified, moderated and recorded.
- (4) The college is responsible for reporting the SBA/ICASS/PAT/oral assessment mark of the student to the Department or accredited private assessment body.
- (5) The SBA/ICASS/PAT/oral assessment mark will count a percentage towards the final promotion mark, as stipulated in the Examinations and Assessment Guidelines. The other percentage will consist of the marks of an externally set national examination.
- (6) The absence of an internal assessment mark in any learning area/subject will result in the student registered for that particular learning area/subject receiving an incomplete result for that particular learning area/subject.
- (7) During the monitoring and moderation process of an internal SBA/ICASS/PAT/oral assessment mark, a POE and a POA must be submitted per learning area/subject.

4. Compiling the site-based assessment/continuous assessment mark: Norms and standards

- (1) The college will compile the SBA/ICASS/PAT/oral assessment mark in accordance with the requirements of the applicable learning area/subject specified in the examinations and assessment guidelines.
- (2) The college must strictly adhere to all directives issued by a quality council in respect of internal assessment.
- (3) The national internal assessment policy document for each learning area/subject must contain an explanation of the different components comprising the internal SBA/ICASS/PAT/oral assessment mark, the 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.
- (4) Student's POE
 - (a) The POE is a collection of a student's work used to compile his/her SBA/ICASS/PAT/oral assessment mark.
 - (b) Each student will submit a POE of SBA/ICASS/PAT/oral assessment tasks for each learning area/subject for which he/she has registered, as stipulated in the SAG for a learning area/subject of a particular qualification.
 - (c) The portfolio will contain all evidence used to calculate the student's SBA/ICASS/PAT/oral assessment mark for the particular learning area/subject.
 - (d) A student's portfolio must comply with the following requirements, namely, it must –
 - consist of a minimum number of assessment tasks. The mark for each task is derived from one assessment task, unless otherwise specified in the examinations and assessment guidelines.
 - provide evidence of internal moderation by a subject head, HOD or relevant subject specialist.

- contain a range of suitable assessment methods, tools and techniques.
- use methods chosen to accommodate the assessment of unit standards and to show competency.
- show progression, in other words, the assessment must provide evidence of the lecturing and learning towards the attainment of the unit standards/minimum requirements throughout the year.

(e) All the work a student presents must be evaluated, checked and authenticated by the learning area/subject lecturer before it is added to the student's POE.

(f) A student who fails an examination is allowed to resubmit SBA/ICASS/PAT/oral assessment marks within a time stipulated in the learning area/SAG.

(g) The lifespan of a portfolio is for a period stipulated in the learning area/SAG for a particular qualification and kept at the site of teaching and learning.

(5) Lecturer's POA

(a) The lecturer's POA is a full and complete record of the interaction on assessment between the lecturer and the students in the particular learning area/subject and should include all formal assessment tasks given to the students, as well as all assessment tools to do the particular assessment.

(b) The lecturer must submit a POA for every learning area/subject taught in respect of the qualification.

(c) The lecturer's portfolio must include the assessment plan for the specific learning area/subject, indicating the moderated assessment tasks, forms of assessment, unit standards, assessment tools and dates for completion.

(d) Should the lecturer fail to submit a POA, it will constitute an act of misconduct and consequence management must be applied in line with the relevant legislation where applicable.

(e) If two or more lecturers are responsible for lecturing the same learning area/subject, each lecturer will present a separate POA.

(f) The lecturer's POA will be available when verification and moderation, at whatever level, take place.

(6) Should a student fail to comply with the minimum requirements of any component of the SBA/ICASS/PAT/oral assessment mark, the following will apply:
If a student supplies a valid reason for failing to comply, the Department will give the student an opportunity to redo the task.

(7) A valid reason, in this context, will constitute the following: Medical reasons supported by a valid medical certificate issued by a registered medical practitioner; humanitarian reasons, for example, the death of an immediate family member, supported by valid written evidence;

(8) Appearance at a court hearing, supported by written evidence and any other reason the DG or his/her representative may declare valid or reasonable.

(9) Should a student fabricate evidence, it will constitute fraud.

(10) Should a student fail to comply with the SBA/ICASS/PAT/oral assessment requirements of a particular learning area/subject and supply valid reasons, he/she must include evidence of such valid reasons in his/her student POE for the particular learning area/subject.

(11) Should a student not comply with the minimum requirements of SBA/ICASS/PAT/oral assessment tasks for a learning area/subject without providing a valid reason, the lecturer will record "444" and he/she will use "0" to compile the mark for the particular component of internal assessment as a whole. If an SBA/ICASS/PAT/oral assessment mark is pending due to a valid reason, the lecturer must enter "999" on the marksheet instead of "444", which must be verified by the college.

(12) The lecturer must distinguish between a "0" if a student did not comply with the minimum requirements of SBA/ICASS/PAT/oral assessment tasks for a learning area/subject without a valid reason and if a student did not comply with the minimum requirements of SBA/ICASS/PAT/oral assessment tasks for a learning area/subject with a valid reason. This distinction is important when

the student's final mark in respect of SBA/ICASS/PAT/oral assessment tasks is calculated.

(13) If a learning area/subject lecturer does not comply with the minimum requirements for SBA/ICASS/PAT/oral assessment tasks in the learning area/subject for which he/she is responsible causing students to be disadvantaged through no fault of their own, it will constitute an act of misconduct. Any student(s) disadvantaged as a result of such action must be accommodated in terms of fair administrative practice and their marks must be adjusted appropriately.

5. Monitoring and moderation of site-based assessment/internal continuous assessment, practical assessment: Norms and standards

(1) Lecturers must submit all SBA/ICASS/PAT/oral assessment marks for internal and external monitoring and moderation.

(2) Lecturers must undertake monitoring as it refers to the process of determining whether the minimum requirements for SBA/ICASS/PAT/oral assessment tasks in a particular learning area/subject in terms of tasks and their frequency have been met adequately.

(3) Private centres, learning centres/campuses and distance/satellite learning centres or centres that prepare students for the colleges and national examination administered by the Department must register as examination centres with the Department and must adhere to all monitoring and moderation procedures, policies or other requirements for SBA/ICASS/PAT/oral assessment tasks.

(4) Private centres, learning centres/campuses and distance/satellite learning centres must strictly adhere to all directives issued by the relevant quality council in respect of monitoring or moderation.

(5) The Department or accredited private assessment body may issue directives aimed at providing assistance to lecturers in ensuring greater authenticity to SBA/ICASS/PAT/oral assessment tasks.

(6) The Department or accredited private assessment body must block the SBA/ICASS/PAT/oral assessment and examination marks of any examination centre in the event that such centre fails to submit sufficient assessment evidence for monitoring, verification and moderation. The affected centre is required to update and submit assessment evidence to verify the adequacy of such evidence, failing which it will be constituted as an irregularity.

6. The moderation process

(1) The moderation/verification process should take place at the following levels:

- (a) Learning site;
- (b) College;
- (c) National; and
- (d) Quality council in accordance with their roles and responsibilities.

(2) It will be an added advantage for moderators to acquire the relevant SAQA assessor and moderator unit standards and be qualified as assessors and moderators.

(3) Moderation at learning site level: At learning site level, a college must assign a lecturer, who must be a different person to the one who set and marked the assessment, to moderate all SBA/ICASS/PAT/oral assessments of learning that will lead to promotion and certification. The moderator shall ensure that appropriate standards are maintained in the assessment process, in other words, the assessment task, process of assessment and marking/evaluation of the task. The moderator at learning site level shall support, guide and develop the lecturer to ensure that the student's assessment is done fairly and that it is valid, reliable and is of a high quality.

(4) Moderation at college level: Colleges must establish clusters/focus groups of learning sites based on proximity and must incorporate a range of clusters/groups, which must be formed in terms of learning areas/subjects. These learning area clusters/groups must meet three times a year to set appropriate standards, to monitor and moderate the assessment of student performance at learning sites. The cluster/group must be coordinated either by the relevant college official or the cluster/group may nominate a cluster/group leader. Lecturers from centres in the particular cluster/group

must bring samples of student evidence to the cluster/group meeting and the cluster/group leaders must ensure that a common standard of assessment is applied, but they must not adjust students' marks. The cluster/group leader must provide a written report to the relevant learning area/subject official at the college.

- (5) Moderation/Verification at national level by the Department or accredited private assessment body or quality councils jointly as external verifiers must sample POEs and POAs from different CLCs/campuses in each region for verification. The findings of the national verification team must be fed back into the assessment process at national level to be implemented in the current year or in subsequent years.
- (6) Moderation/Verification must be conducted by the relevant quality council, as per directive and specifications issued by the quality council.
- (7) Private colleges and accredited private assessment bodies must ensure that moderation takes place at various levels, as follows:
 - (a) At the site by the relevant subject head;
 - (b) The HOD;
 - (c) The Deputy Principal Academic;
 - (d) National department/Accredited private assessment body; and
 - (e) The relevant quality council.

CHAPTER 3

STUDENT-RELATED MATTERS

7. Admission: General

The Department or accredited private assessment body and colleges must ensure that students are admitted and prepared for the final examination or for any other continuing education and training examination leading to a qualification or part-qualification.

8. Admission requirements

A student who enters for the final examination must comply with the following requirements:

- (1) The student must enrol for tuition as a student at a public/private college/centre offering a course of study.
- (2) The student must have passed the previous level of the qualification or the learning area/subject offered.
- (3) A registered institution/centre must issue an official learning area/subject statement at the previous level of the qualification or the learning area/subject offered.
- (4) A registered institution/centre must issue a report card indicating the following:
 - (a) Proof of previous level of achievement;
 - (b) The results of placement assessment administered by the centre, indicating readiness to enter the learning programme;
 - (c) Enrolment for a course of study that must be completed prior to the commencement date of the external examination;
- (5) Admission to an examination for a particular qualification should strictly adhere to the requirements, as per the Examinations and Assessment Guidelines.

9. Registration of students

- (1) To write the examination, a student must register with the Department or accredited private assessment body before the prescribed date.

- (2) All students attending public and private colleges/centres are obliged to write the examination if they qualify to do so.
- (3) The Department or accredited private assessment body must determine the common deadline for the registration of students and must issue management plans in this regard.
- (4) The Department or accredited private assessment body must make entry forms for the examinations available to students. The Department will not accept registration after the set common deadline dates unless there are exceptional circumstances and the DG or his/her representative approves such registration based on exceptional circumstances.
- (5) The Department or accredited private assessment body must ensure that the registration details of all students are accurately captured as this is fundamental to processing a student's final results. The Department or accredited assessment body must, therefore, process and send the information provided on the student's entry forms to examination centres to be checked prior to the assessment date. At this stage, only corrections must be made. The Department or accredited private assessment body must determine the format of the entry form and a detailed procedure to be followed to register students.
- (6) The regions/colleges must mutually agree on the transfer of students from one region to the other. If the respective regions/colleges cannot reach a mutual agreement in this regard, they must refer the matter to the Head of Examination of the Department for their intervention.
- (7) The following applies in respect of unregistered students who present themselves for an examination:
 - (a) The Department or accredited private assessment body must inform students well in advance that they will neither assess unregistered students internally, nor will they allow unregistered students to write the final examination. However, if the candidate claims that he/she did register, the student will be allowed to write and must complete a pro forma affidavit form, indicating that after an investigation, it turned out that it was the fault of the Department or accredited private

assessment body, his/her scripts must be marked and the results must be released. If it is proven that the error was on the side of the candidate, his/her scripts must not be marked and the results must not be released.

- (b) If an error or omission by the Head of the institution or any other official caused the non-registration of a student, the Department or accredited private assessment body must allow the student to write the examination, following which the case will be handled as a technical irregularity.
- (c) If a student committed a serious misdemeanour, the Head of the institution may recommend to the DG or his/her representative that the student's entry be cancelled after the entry has been accepted. The DG or his/her representative of the Department must apply his/her mind to the circumstances of each case and his/her decision will be final.

(8) Entries for distance education candidates

Any candidate who would like to pursue a qualification offered by the Department or an accredited private examination body may do so by enrolling at an accredited learning institution of his/her choice. Such a person will be regarded as a part-time candidate and must comply with this policy.

(9) Procedures for distance education candidates

The following procedure must apply to candidates who register to sit for external examinations:

- (a) Distance education colleges must ensure that it receives the candidate's registration form by the prescribed date.
- (b) Distance education colleges must ensure that all their candidates are registered on or before the closing date for registration.
- (c) Distance education colleges must ensure that the candidates' information is complete and has been captured accurately on the prelim;
- (d) Distance education colleges must send prelims to the Department or accredited private assessment body on or before the prescribed date.

- (e) Private distance education colleges must identify and consult with an appropriate public college in consultation with the Department when their candidates sit for the public examinations;
- (f) Distance education colleges must enter into a memorandum of understanding (MoU) with the relevant public college and take responsibility for any fees payable to the public college.
- (g) The MoU must be submitted to the CD: NEA for examination monitoring purposes (to be filed with their registration documents.)
- (h) Distance education colleges must inform the public college by sending entries as soon as they have entered into the MoU to prepare for such candidates.
- (i) The Department must register the candidate accordingly and must send the examination permit, the marksheets and question papers to the relevant college, together with the candidates of the public college.
- (j) The public college will accommodate the distance education candidate, together with their own candidates, in the same examination room. Such candidates must adhere to all policies, rules and procedures for the conduct of the examinations.
- (k) Distance education colleges must comply with all SBA/ICASS/ISAT practical examination and oral examination requirements for their candidates and must submit the above to the Department by the required date for moderation.
- (l) Should the Department reject these marks, the distance education college must correct the marks by a date stipulated by the Department.
- (m) The Department reserves the right to adjust SBA/ICASS/PAT/oral assessment marks upwards or downwards during the moderation process.
- (n) Quality councils may adjust distance education candidates' SBA/ICASS/PAT/oral assessment marks statistically and the final results must be standardised by the quality councils.
- (o) The Department must send the final results to the distance education college for release to their respective candidates;
- (p) No public college will be obliged to allow distance education candidates to write examinations at their centre. Should there, however, be any dispute in this regard, the relevant distance education college must make alternative arrangements in the best interest of the candidates.

10. Fees

- (1) The Minister may levy fees for the assessment process, in particular with regard to students at private institutions. In such cases, the private institution will be responsible for paying such fees to the examining body.
- (2) The Minister may also levy fees for the viewing and re-marking of scripts. If the viewing and/or re-marking process results in an improved symbol for a student, he/she will be refunded.
- (3) Accredited private assessment bodies must determine their own fees.

11. Assessment policies

The Department or accredited private assessment body must develop an examinations and assessment manual on conducting the assessment processes, which must be approved by the DG or such delegated official. The manual at least addresses the following issues:

- (1) Learning areas/subjects to be examined;
- (2) Number of question papers to be written per learning area/subject;
- (3) Weighting of unit standards and formative and summative assessment components;
- (4) Format of question papers;
- (5) Duration of question papers;
- (6) Mark allocation;
- (7) Setting processes and procedures; and
- (8) Security of question papers.
- (9) Minimum promotion and certification requirements.

12. Language related to an examination question paper

Question papers must be set in the language of learning and lecturing. Unless otherwise directed in the question paper, students must answer all the questions in the language of instruction. The registration form should allow candidates to select the language of lecturing in order to receive the correct question paper.

13. Concessions

The following concessions may be made, provided the necessary professional expertise in the related field agrees with such requests for concessions:

- (1) In respect of languages, concessions may be granted to students who experience barriers related to aural impairment, aphasia and dyslexia.
- (2) In respect of Mathematics, Mathematical Literacy, Mathematical Science, Natural Sciences, et cetera, concessions may be granted to students who experience barriers related to dyscalculia.
- (3) Further concessions related to reading and writing may be granted in accordance with White Paper 6.
- (4) Concessions may be granted in instances where there is a learning area/subject clash on the timetable. These concessions must be approved by the CD: NEA.
- (5) Other concessions may include errors on the question paper and where the question paper cannot be marked out of the full mark. The relevant quality council must approve these concessions.

14. Absentees

A student who is unable to write (or complete) the examination for any reason must register for the next examination cycle of that particular year. If an irregularity is under investigation, the Department or accredited private assessment body may grant provisional entry to the student concerned, pending the outcome of the investigation.

15. Supplementary examination

- (1) If a candidate did not register for a subject in the main examination, he/she shall not be permitted to write the examination in that subject in the supplementary examination.
- (2) A supplementary examination will be granted under the following conditions:
 - (a) If a full-time or part-time candidate did not meet the minimum programme and certification requirements, as stipulated in the programme and promotion requirements of that particular qualification, and, therefore, needs to obtain a certificate, he/she may register on condition that he/she has met the minimum percentage of the learning

areas/subjects, as stipulated in the Examinations and Assessment Guidelines.

- (b) In exceptional cases, candidates who are medically unfit and are consequently absent from one or more external examinations may write the supplementary examination, which will be regarded as part of the same sitting.
- (c) A candidate who provides documentary evidence that he/she qualifies for admission to a learnership, apprenticeship or higher education institution, but does not satisfy the requirements yet and, therefore, wishes to improve his/her performance in the final examination, may register for the supplementary examination.
- (d) Admission for a candidate to the supplementary examination in the case of death in the immediate family or other special reasons is at the discretion of the Department or accredited private assessment body.
- (e) In the case of subparagraphs (a) to (d) above, the ICASS and ISAT marks obtained during the year of study will be used.
- (f) Should an irregularity at the centre be investigated, provisional entry may be granted to the candidate(s) concerned, pending the outcome of the investigation
- (g) Should it be necessary to support the reason for admission to the supplementary examination with documentary evidence, the Department or accredited private assessment body will request the manager of the institution to recommend or not recommend the admission of the candidate concerned.

CHAPTER 4

PREPARATION FOR THE COLLEGE EXAMINATION

16. Management plan relating to examinations

- (1) Assessment bodies must establish a clear and detailed management plan that covers the entire examination cycle which will include the following:
 - (a) Objectives or targets to be achieved pertaining to the examination process;
 - (b) Steps and processes that will result in achieving the said targets;
 - (c) Appointment of responsible and accountable persons;
 - (d) Time frames;
 - (e) A monitoring process;
 - (f) A process to monitor, moderate and verify internal SBA/ICASS; and
 - (g) A process to identify, report and deal with irregularities.
- (2) Assessment bodies must develop a management plan in conjunction with key persons involved in the examination process.

17. Advanced examination planning

- (1) Preparation for the final examination by the Department or accredited private assessment body must commence no later than twelve (12) months prior to the examination, if possible.
- (2) Question papers must cover the curriculum adequately, as spelt out in the Learning Area/Subject Examinations and Assessment Guidelines, and the standard of the question papers must be acceptable to the quality councils.
- (3) The Department or an accredited private assessment body must determine the instructions and procedures to which the examiner or panel of examiners must adhere.

18. Examination cycle

- (1) The examination cycle must commence with the appointment of examiners and internal moderators to set and moderate the examination question papers for the scheduled examination and will conclude with certification.
- (2) The Department or an accredited private assessment body and quality councils will monitor the entire examination cycle in order to ensure that credible examinations are delivered.

19. Examination timetable

- (1) The Department must develop an examination timetable for the examination that will be written in the learning areas/subjects registered by the South African Qualification Authority (SAQA).
- (2) The examination must be conducted in a particular year according to the examination cycle of a particular qualification.
- (3) Private colleges and accredited private assessment bodies offering the national public examinations must strictly adhere to the timetable issued by the Department.

20. Appointing examiners and internal moderators

- (1) The Department or an accredited private assessment body must appoint lecturers or other learning area/subject experts as examiners in terms of Annexure B.
- (2) An assessment body must appoint a chief examiner or examiner and an internal moderator for a maximum short-term contractual period of three years with an option to extend/renew the contract for another term. Before the extension/renewal period, the Department must advertise the examiner/internal moderator positions.
- (3) The Department must remunerate examiners and internal moderators for performing examination-related duties and compensate them for travel and

subsistence expenses in accordance with the tariff determined by the Minister. Accredited private assessment bodies must determine their own tariffs for the compensation of its examination officials.

- (4) A person appointed as an examiner or internal moderator shall declare whether his/her son, daughter, brother, sister or next of kin will be sitting for the examination during his/her period of appointment. If this is the case, such to set an examiner or internal moderator will be relieved of the responsibility or moderate examination question papers for that particular period.
- (5) The DG or his/her representative of the Department or the Head of the independent assessment body must ensure that examiners or moderators do not participate in any activity that may compromise the confidentiality of the examination.
- (6) The examiner shall perform the following duties:
 - (a) Ensure that the examination question paper, SBA/ICASS/ISAT and corresponding marking guidelines are of the appropriate standard and quality;
 - (b) Ascertain that an examination question paper and the assessment tasks –
 - (i) conform to the Learning Area/Subject Examinations and Assessment Guidelines for the various learning areas/subjects in that particular qualification regarding the programme and promotion requirements;
 - (ii) provide adequately for differentiation; and
 - (iii) include questions addressing different cognitive levels.
 - (c) Liaise with the Chief Examiner; and
 - (d) Submit a report to the Chief Examiner.
- (7) The Chief Examiner or examiner will perform the following duties:
 - (a) Give advice, support and guidance to examiners.
 - (b) Moderate the examination question paper, assessment tasks and corresponding marking guidelines to ensure that they are of an appropriate standard and quality.
 - (c) Ascertain that a question paper and the assessment tasks –

- (i) conform to the Learning Area/Subject Examinations and Assessment Guidelines for the particular qualification regarding the programme and promotion requirements;
- (ii) provide adequately for differentiation; and
- (iii) include questions addressing different cognitive levels.

- (d) Recommend the necessary changes to the examination question paper, SBA, ISAT, practical and oral assessment task, and corresponding marking memorandum to the Department.
- (e) Approve and sign off the finally agreed upon examination question paper, ISAT task and corresponding marking guideline.
- (f) Liaise with the external moderator.
- (g) Submit a report to the Department.

(8) The internal moderator will perform the following duties:

- (a) Moderate the examination question paper, assessment tasks and corresponding marking guidelines to ensure that they are of an appropriate standard and quality.
- (b) Ascertain that an examination question paper and the assessment tasks –
 - (i) conform to the Learning Area/Subject Examinations and Assessment Guidelines for the various learning areas/subjects listed in the particular qualification regarding the programme and promotion requirements
 - (ii) provide adequately for differentiation
 - (iii) include questions addressing different cognitive levels
- (c) Recommend the necessary changes to the examination question paper, assessment tasks and corresponding marking guideline to the Department.
- (d) Approve and sign off the finally agreed upon question paper, assessment tasks and corresponding marking guideline.
- (e) Submit a report to the quality councils.
- (f) Chair the marking guideline standardisation discussions.

(9) The assessment body and a quality council must have a clear programme relating to monitoring the national examination that will cover all stages of the examination process.

21. Responsibilities of chief examiners, examiners and internal moderators

- (1) The assessment body must ensure that –
 - (a) examiners set SBA/ICASS/PAT oral assessment tasks and tools, as well as the examination question papers, with matching marking guidelines for all examination cycles and assessment processes, as well as an additional examination question paper that will serve as a back-up examination question paper.
 - (b) the actual and back-up examination question papers are set at the same time in order to ensure that the standards across all three examination question papers are comparable.
 - (c) examination question papers conform to the unit standards and syllabi, as spelt out in the Learning Area/Subject Examinations and Assessment Guidelines.
 - (d) an examiner or internal moderator complies with all instructions and deadlines issued by the assessment body and quality council.
- (2) Should a quality council reject an examination question paper or SBA/ICASS/PAT/oral assessment tasks, the assessment body may terminate the services of the internal moderator and/or the examiner responsible for the rejected question paper or SBA/ICASS/PAT/oral assessment tasks.
- (3) An internal moderator or examiner appointed to a national panel of the Department may not serve on the examination panel of any independent assessment body.
- (4) The assessment body must ensure that the internal moderators approve all examination question papers before they are submitted to the external moderator of the quality council.
- (5) Should a disagreement arise between the examiner and the moderator, the following procedure must be followed:
 - (a) Should a disagreement arise between the internal moderator and the examiner, –
 - (i) the assessment body must attempt to mediate between the examiner and the internal moderator; and

- (ii) if consensus cannot be reached, the assessment body must make the final determination.
 - (b) Should a disagreement arise between the internal moderator and the external moderator of the Quality Council, the CEO of a quality council must –
 - (i) mediate between the internal and external moderators; and
 - (ii) if consensus cannot be reached, the CEO of a quality council must make the final determination.
- 6) The assessment body must comply with the requirements of a quality council with regard to the external moderation of examination question papers and SBA/ICASS/PAT/oral assessment tasks.
- (7) The assessment body must provide examiners and internal moderators with guidelines for setting examination question papers or SBA/ICASS/PAT/oral assessment tasks, including –
 - (a) the duration of the examination question paper or SBA/ICASS/PAT/oral assessment tasks;
 - (b) the maximum number of marks;
 - (c) the number of examination question papers or SBA/ICASS/PAT/oral assessment tasks;
 - (d) the weighting of unit standards and taxonomies;
 - (e) the format of the examination question papers or SBA/ICASS/PAT/oral assessment tasks;
 - (f) the number of marks for a particular learning area/subject or sections of the examination question papers or SBA/ICASS/PAT/oral assessment tasks; and
 - (g) the checklist to complete after setting SBA/ICASS/PAT/oral assessment tasks or question papers.
 - (h) monitoring the conduct of the examinations and assessment.
- (8) Internal moderators must perform the following functions:
 - (a) Ensuring that the standard and quality of the examination question papers or SBA/ICASS/PAT/oral assessment tasks are appropriate and that correct and accessible language has been used.
 - (b) Ascertaining that an examination question paper –

- (i) conforms to the curriculum spelt out in the learning areas/subject examinations and assessment guidelines.
- (ii) provides adequately for differentiation.
- (iii) includes questions addressing different cognitive levels.
- (c) Recommending the necessary changes to the examination question papers.
- (d) Approving and signing off the examination question papers or SBA/ICASS/PAT/oral assessment tasks prior to printing.
- (e) Attending the marking standardisation meeting.
- (f) Approving and signing off the finally agreed-upon marking guidelines, following the marking guidelines discussion (standardisation) meeting.
- (g) Moderating/Verifying the marked examination answer scripts.
- (h) Liaising with external moderators.
- (i) Providing examiners with advice, support and guidance.
- (j) Completing an internal moderation report for each SBA/ICASS/PAT/oral assessment task or question paper that has been moderated; and
- (k) Submitting a report to the external moderator.
- (l) Monitoring the conduct of the examinations and assessment.

(9) The assessment body may appoint an internal moderator specifically to moderate examination answer scripts during the marking process. If the assessment body appoints an internal moderator, his/her functions may include the following:

- (a) Moderating marked examination answer scripts to ensure compliance with the marking guidelines;
- (b) Analysing students' responses to identify areas of weakness and areas of good performance; and
- (c) Drafting a composite report on the marking of examination answer scripts.

22. Processing examination questioners

- (1) The assessment body must ensure that clear structures and procedures are in place regarding the typing, editing, translation, formatting, adaptation and printing of examination question papers.

- (2) Examination question papers must be submitted timeously to the external moderator to allow for –
 - (a) thorough moderation;
 - (b) changes;
 - (c) adaptations; and
 - (d) the final duplication of the examination question papers.
- (3) Examination question papers must be ready for external moderation at least three (3) to six (6) months prior to the commencement of the external examination.
- (4) The assessment body must process the examination question papers for the public examination in terms of Annexure D and accredited private assessment bodies must comply with quality council requirements.

23. Printing, storing and distributing examination question papers

- (1) The assessment body must ensure strict security with regard to the printing, storage and distribution of examination question papers at all times. Assessment bodies using external printing facilities or agents must do a detailed audit of such facilities and sign a detailed contract and SDA in order to protect the integrity of all examinations under its jurisdiction.
- (2) Each assessment body must select the distribution mechanism best suited to the college/centre examinations under its jurisdiction.
- (3) The assessment body must adhere to the following principles at all times, irrespective of the mechanism adopted:
 - (a) The distribution chain must be as short as possible.
 - (b) The number of persons involved in the distribution process must be restricted to a minimum.
 - (c) The responsible officials must check the transfer of the examination question papers from one official to another carefully and sign upon receipt thereof.

- (d) Should any discrepancies be detected during the transfer process, the responsible official must report this immediately to the Head of the assessment body.
- (e) All persons involved in the distribution process must sign a contract of confidentiality.

(4) The assessment body must store and distribute question papers for the public examination in terms of Annexure F and accredited private assessment bodies must comply with quality council requirements.

CHAPTER 5

CONDUCTING THE EXAMINATION

24. Requirements for the registration of private examination centres

- (1) Before an accredited private assessment body or the state may register a private college as an examination centre, the college must be registered as a learning institution by the Department and must also be accredited by the relevant quality council.
- (2) A private college that has complied with the registration requirement set by the Department for registration as a college and accreditation by a quality council must apply to the relevant assessment body for registration as an examination centre under its own name.
- (3) The registration of private colleges as examination centres must also be determined by ascertaining whether the private college fulfilled the requirements of either a public or a private assessment body accredited by a quality council.
- (4) The assessment body must register examination centres that have complied with all the requirements in accordance with the criteria stipulated in *this policy*.

25. Establishing and registering examination centres

- (1) The assessment body must register examination centres in accordance with the availability of the following:
 - (a) A suitable venue to accommodate students, in other words, sufficient space and appropriate furniture to be used by students;
 - (b) A secure venue;
 - (c) Proper lighting and ventilation;
 - (d) Water and toilet facilities;
 - (e) Suitably qualified lecturing staff or members of the community who can be trained as invigilators;

- (f) A strongroom, safe or lockable room with burglar proofing for the safekeeping of examinations and assessment materials;
- (g) The capacity to assess students experiencing barriers to learning; and
- (h) The capacity to complete SBA/ICASS/PAT/oral assessment task requirements, practical assessment tasks and language oral assessment.

(2) An official from the assessment body must evaluate all examination centres to verify that the necessary facilities required to conduct the examination are available at the centre.

(3) If after such evaluation the Department or accredited private assessment body is not satisfied with the conditions at the centre, the Department or accredited private assessment body may refuse to grant it examination centre status or revoke an existing examination centre status of a college/centre. Such conditions may include, but are not limited to incidents of repeated/habitual and serious irregularities committed by students and/or officials associated with the college; the relocation of a centre without approval by the examination body; a serious breach of policies, rules and directives relating to the conduct of the examinations or any other acts that the Head of the examination body or his/her representative may deem suitable to take such action.

(4) The following institutions must apply to the relevant assessment body for registration as examination centres under their own names:

- (a) Private colleges; and
- (b) The DCS.

(5) The institutions contemplated in subsection (3) above must comply with these policies and the assessment body must apply the relevant monitoring and moderation procedures.

(6) If the assessment body has approved the centre, institution or venue as an examination centre, it must issue a centre number to that effect.

- (7) Centres must apply and register as examination centres not less than six(6) months prior to the commencement of the academic cycle in which the examination will take place.
- (8) The assessment body must ensure that strict security is in place with regard to the storage of examinations and assessment question papers and SBA/ICASS/PAT/oral assessment tasks at all times.

26. Agreement between the Department and a private college

- (1) All private institutions that intend to offer the public examination must enter into a contractual agreement with the Department (see Annexure U).
- (2) A pro forma contract between the Department and an independent college is attached as Annexure U.

27. Deregistering an examination centre

- (1) The assessment body must deregister an examination centre if the examination centre is relocated from the premises approved by the assessment body to other premises.
- (2) When an examination centre is relocated to a new premises, the following procedure must be followed (see Annexure U):
 - (a) The onus is on the owner or management of the examination centre to inform the Head of the assessment body timeously of the intention to relocate.
 - (b) The Head of the assessment body or his/her representative shall inform the owner or management of the examination centre in writing of the procedure the owner or management must follow.
 - (c) If the application for the registration of the examination centre at the new premises is unsuccessful, the Head of the assessment body or his/her representative must give notice to the owner or management of the centre of his/her intention to deregister the centre.
 - (d) The owner or management of the examination centre must respond to the notice given by the assessment body within 14 days from the date of issue and furnish reasons why the centre should not be deregistered.

- (e) The Head of the assessment body must consider such representation and make a final decision on whether or not the examination centre should be closed down.
- (f) The Head of the assessment body must convey this decision in writing to the owner or management of the examination centre.

(3) The assessment body must also deregister an examination centre if there is evidence that the integrity of the examination has been undermined at the centre.

- (a) The assessment body must deregister an examination centre if –
 - (i) examination question papers and SBA/ICASS/PAT/oral assessment tasks in the care of the centre are compromised.
 - (ii) examination question papers are opened prior to the examination time or date.
 - (iii) internal SBA/ICASS/PAT/oral assessment task marks are fabricated.
 - (iv) the centre allows imposters to write the examination.
 - (v) there is evidence of any other serious repeated acts of dishonesty committed by either students/officials associated with the college that warrants deregistration.
- (b) The assessment body must implement the following procedure if it finds evidence that irregular practices have occurred at an examination centre:
 - (i) Officials of the assessment body must investigate reported irregularities.
 - (ii) If clear evidence of an irregularity emerges from an investigation, the assessment body must institute disciplinary action.
 - (iii) If after taking disciplinary action and a college/centre has been issued with a final written warning, the Head of the assessment body must take steps to deregister the examination centre.
 - (iv) The assessment body must inform the owner or management of the examination centre and the relevant quality council in writing of the intention of the Head of the assessment body to

revoke the examination centre status of the college/centre due to the irregularities.

- (v) The owner or management of the examination centre must respond to the notice received from the assessment body within 14 days from the date of issue and must furnish reasons why the examination centre status should not be revoked.
- (vi) The Head of the assessment body must consider such representation before making a final decision whether or not to revoke the examination centre status.
- (vii) The decision of the assessment body to revoke the examination centre status must be communicated in writing to the owner or management of the examination centre.

(4) Maladministration

- (a) An assessment body may deregister an examination centre if maladministration at the centre results in any advantage or disadvantage to students, affects the integrity of the examination, or impacts negatively on the ability of the centre to render an examination service.
- (b) The assessment body must implement the following procedure if maladministration occurs at an examination centre:
 - (i) The owner or management of the relevant examination centre must be informed within a specified period in writing of the situation and must be given an opportunity within two (2) months to rectify the matter.
 - (ii) If maladministration at the centre continues, the assessment body must place the centre on probation for a period not exceeding one academic year.
 - (iii) If the owner or management of the examination centre once again demonstrates an inability to administer the examination process adequately during the probation period, the assessment body must deregister the centre and inform the relevant quality council of such deregistration at the end of that academic year.

(iv) If maladministration takes place during an examination, the assessment body must place the examination centre under the administration of the assessment body until further notice and the cost associated with the administration will be for the college/examination centre.

28. Appointment and duties of chief invigilators and invigilators

- (1) Assessment bodies must ensure that they appoint all chief invigilators and invigilators in writing and that they receive the appropriate training, as set out in Annexure H.
- (2) Everyone involved in conducting, administrating and managing the examination must sign the declaration of confidentiality form, as contemplated in Annexure H.
- (3) Chief invigilators must perform specific examination duties, as contemplated in Annexure H.
- (4) Each student must show proof of identity and produce a letter of admission/examination permit before entering the examination room, as contemplated in paragraph 9 of Annexure H.
- (5) Invigilators must ensure that each student produces his/her letter of admission, as well as proof of his/her identity upon admission to the examination room.
- (6) The following applies to a student who fails to produce the required documents, in other words, a letter of admission and proof of identity:
 - (a) The student will be allowed to sit for the examination, but will have to present such document(s) to the invigilator after the examination, as contemplated in Annexure H.
 - (b) Should the student fail to present the required documents, the normal procedure pertaining to irregularities must be followed, as contemplated in Annexure H.

- (7) Each student who has registered for the examination must sign an attendance register for each learning area/subject written, as contemplated in paragraph 7 of Annexure H.
- (8) The assessment body must deal with a student who does not present him/herself on time for an examination in terms of Annexure H.
- (9) Late arrival will **not** be permitted once the examination has commenced. Candidates must be seated 30 minutes before the commencement of the examination and the doors must be closed 15 minutes prior to the examination session to allow invigilators to read the rules and 10 minutes for reading time. Candidates who arrive 15 minutes before the start of the examination may be accommodated outside where the rules are read to them and may be permitted to enter at the **start** of the examination, in other words, at 09:00 or 13:00 for an afternoon session. If more sessions are needed, concessions could be considered.

29. Information to students

- (1) The Department or an accredited private assessment body must provide general examination instructions to students in writing at the commencement of the examination cycle and all students must sign to confirm that they received and accepted these instructions.
- (2) The chief invigilator and/or invigilator must ensure that the examination question papers and examination scripts are handled in terms of the requirements contemplated in Annexure H.
- (3) The Department or an accredited private assessment body must also provide students with clear written instructions regarding specific examination question papers, if necessary.
- (4) All examination question papers that are not in English must include an instruction page in English and in the language of the particular examination question paper.

- (5) The invigilators must allow a period of ten (10) minutes before the official commencement of the examination to enable candidates to read the examination question paper in addition to the time allocated for reading any instructions that may be necessary.
- (6) No candidate must be allowed to start writing during this initial reading period.
- (7) If candidates are required to answer only a selected number of questions from those included in an examination question paper and the candidate answers more than the required number of questions, only the first required number of questions must be marked. This stipulation applies provided that the instructions on the relevant examination question paper in this regard were explained clearly.
- (8) Invigilation during the public examination must be conducted in accordance with the requirements contemplated in Annexure H.
- (9) Invigilators may make concessions to students who experience barriers related to deafness, aphasia and dyslexia in terms of Annexure H.
- (10) Chief invigilators must be responsible for packaging the examination answer scripts and the completed marksheets, and public assessment bodies must adhere to this in terms of Annexure H. Accredited private assessment bodies will have similar procedures in place.
- (11) Chief invigilators must handle the return of examination answer scripts to the assessment body or any other collection point with the same care and security they used to handle the examination question papers (Annexure J).

30. Monitoring the national examination at public and private examination centres

- (1) The main function of monitoring must be to ensure that assessment is fair, valid and reliable, and complies with directives issued by the Department and the quality councils in terms of this policy and sections (17) and (18) of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001).

- (2) The assessment body is responsible for developing and implementing monitoring guidelines and implementing such a process.
- (3) All regions, public and private colleges must establish a structure to monitor the national examinations under the jurisdiction of the Department. Accredited private assessment bodies must establish similar structures if they offer public examinations.
- (4) The Department or an accredited private assessment body must determine the composition of monitoring teams.
- (5) Monitoring must cover all stages of the examination, commencing with the preparatory phase and concluding with the release of the results.
- (6) The monitoring team must visit examination centres while the examination is in progress and must report on, among others, the following:
 - (a) Security;
 - (b) General management of the examination;
 - (c) Invigilation;
 - (d) Condition of examination rooms;
 - (e) Identification of candidates;
 - (f) Seating of candidates;
 - (g) Ten (10) minutes' reading time;
 - (h) Return of examination answer scripts; and
 - (i) Any other aspect that is deemed necessary.
- (7) The monitoring team must also monitor the marking process, including the standardisation of marking guidelines discussion, and must also visit the marking centres to observe the marking process.
- (8) The Department or an accredited private assessment body must monitor the implementation of internal and external assessment practices at regional and college level.

31. Visits by monitoring teams to examination centres

Monitoring teams, such as those from the Department or accredited private assessment bodies, quality councils, colleges and regions must coordinate their visits

to ensure that monitoring does not overwhelm some centres while other centres are not monitored at all.

Examination centres that were flagged in the past as problematic compared to those with a good track record must receive more visits.

CHAPTER 6

RECORDING AND REPORTING ASSESSMENT FOR A PARTICULAR QUALIFICATION

32. Scale of achievement

- (1) When preparing an assessment task/question paper, an examiner/assessor must ensure that the task/question paper addresses all aspects related to the curriculum, especially the learning outcomes.
- (2) The Examinations and Assessment Guidelines for the various qualifications describe the levels of competence for each learning area/subject. These descriptions will assist lecturers in assessing candidates and placing them at the correct level. Lecturers/Examiners may work from mark allocation/percentages to rating codes, or from rating codes to percentages. However, the final mark on the official Department of Higher Education and Training marksheet must be reflected as an exact percentage.

CHAPTER 7

THE MARKING PROCESS

33. Appointment of marking personnel/officials

- (1) The Head of the assessment body or his/her representative must be responsible for appointing marking personnel/officials.
- (2) The Head of the assessment body or his/her representative must determine and approve the appointment of marking personnel/officials at public marking centres in terms of the criteria determined by the Minister and any other additional criteria.
- (3) The process of appointing marking personnel/officials must commence at least three (3) months prior to the commencement of the specific marking session to allow for the verification of markers' credentials and training for markers, should the latter be necessary.
- (4) The Department or the accredited private assessment body or private college, for example, the Deputy Principal Academic of the college and the employers of persons applying for the positions of markers must verify the information provided by applicants in writing.
- (5) Any person appointed as a marking personnel/official must provide a written declaration to the Head of the assessment body or his/her representative, stating whether he/she has an immediate relative sitting for a particular examination in his/her examination cycle. After providing such a declaration, the assessment body will allow the specific official to mark examination answer scripts, but will not allow him/her to mark the examination answer script of the college where he/she is employed.
- (6) An assessment body must select an additional marker if an appointed marker fails to report for duty. The Department or accredited private assessment body must ensure that there is a reserve list of markers selected in each learning area/subject.

- (7) The Department or an accredited private assessment body must appoint markers for each examination cycle.
- (8) The relevant Head of the assessment body or his/her representative must chair panels to recommend the appointment of markers.
- (9) The assessment body must issue circulars, directives and guidelines from time to time regarding the appointment of marking personnel and the marking process.

34. Establishing and managing marking centres

Each assessment body must have criteria pertaining to the establishment and management of marking centres.

35. Marking centres

- (1) Before selecting a marking venue, an assessment body must consider the following aspects:
 - (a) Marking space;
 - (b) Catering facilities;
 - (c) Overnight accommodation (if required);
 - (d) Security;
 - (e) A suitable script storage and control centre;
 - (f) ICT facilities;
 - (g) Water, electricity and other basic available facilities; and
 - (h) Parking space.
- (2) Should the number of officials exceed six hundred (600), the assessment body may adopt a decentralised approach to marking.
- (3) Marking may be decentralised in terms of geographic regions or in terms of groups of learning areas/subjects.
- (4) If an assessment body determines that a learning area/subject should be marked at more than one venue, it must establish special measures to ensure that a common standard of marking is applied.

(5) The control centre must form the heart of operations at the marking centre and may divide the control of marksheets and examination answer scripts at the control centre into three phases, namely:

(a) Phase 1

(i) This phase must entail an audit of all marksheets and their respective examination answer scripts at the marking centre.

(ii) The control centre must manually generate marksheets in a case where marksheets are missing.

(b) Phase 2

(i) Chief markers must sign a control list when the control centre issues examination answer scripts to them and again when they return the examination answer scripts to the control centre.

(ii) The control centre must check control lists to establish whether the chief markers have returned all the examination answer scripts.

(c) Phase 3

The control centre must –

(i) make copies of the completed marksheets that have been returned by the chief markers;

(ii) send the original marksheets for data capturing

(iii) scan all marksheets

36. Marking procedures

(1) The public or private assessment body must formulate marking procedures clearly, as contemplated in Annexure L.

(2) The assessment body may release the marking guidelines and examination question papers of a particular examination to interested parties at the end of three months after the examination was written and place them on the website of the Department.

- (3) Marking guideline standardisation meetings should take place before marking commences to ensure that the same standard of marking is maintained throughout the marking process.

- (4) Markers may commence marking in one learning area/subject or in selected learning areas/subjects while the examination is still in progress or may commence marking at the end of the examination.

CHAPTER 8

PROCESSING MARKS

37. Processing marks

The assessment bodies must establish or must have access to a fully fledged and compatible information technology system/unit.

38. Capturing marks by trained staff

- (1) Specially trained staff must capture the marks obtained by students, as reflected on the marksheets or on the examination answer scripts.
- (2) Trained staff must verify all the data by following the double capture method.

39. Standardisation

- (1) A quality council must be responsible for mark adjustments in conjunction with the assessment bodies.
- (2) A quality council must determine the data and evidence required for standardising results.
- (3) Assessment bodies must present recommendations regarding the standardisation of marks, together with clear motivations to a quality council for consideration.
- (4) A quality council must be responsible for standardising marks and its decision in this regard will be final in all cases.

40. Release of results and confidentiality

- (1) The Minister must decide on the date for the release of the results of the national examination.

- (2) The date contemplated in subsection (1) above must be subject to a quality council's approval of the results.
- (3) All parties involved in the release of the results of public and private colleges must comply with the directives regarding the release of examinations determined by the Department or accredited private assessment body.
- (4) The data of the examination results of public and private colleges whose students wrote the public examination will remain the property of the Department. These results data will be given solely for the purpose of informing students of their examination results.
- (5) Researchers, individuals and non-governmental organisations may receive information regarding examination results on approval of the DG of the Department.
 - (a) Each person or organisation who receives examination results data must –
 - (i) keep all information (written, electronic and oral) confidential.
 - (ii) not disclose, without the written consent of the Department, any information in whole or in part to any person.
 - (iv) use the examination results data solely for the purpose stated in the relevant agreement with the Department.
 - (v) comply with the provisions of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000) and the Protection of Personal Information Act, 2013 (Act No. 4 of 2013).
 - (b) All electronic examination results data provided to a third party must be destroyed after six weeks.
 - (c) The Department must monitor compliance.

41. Recording and reporting

- (1) The lecturers/officials who assess learning for promotion or certification (summative assessment) must record the two "components of assessment", in other words, the POE (SBA/ICASS/PAT/oral assessment tasks) and the examination (external assessment), and

each component must be allocated a weighting, as stipulated in the promotion and certification requirements of the particular qualification. The lecturers must record these two components separately and aggregate them to a percentage.

- (2) The lecturers/officials responsible for marking must record the marks of the individual components of the student portfolio, which must be checked by a different official to ensure that the totals of learning areas/subjects are correct.
- (3) Each student will have a record of learning.
- (4) These files will be maintained in a secure and safe location.
- (5) The Minister may release a comprehensive report after the release of the examination results.
- (6) The Department and/or the relevant quality council must issue students with a learning area/subject certificate on request in cases where they have not completely satisfied all the requirements for an examination. After a student has satisfied all the requirements for a particular qualification, the Department and/or relevant quality council must issue him/her with the relevant certificate.

CHAPTER 9

RE-MARKING AND RECHECKING EXAMINATION ANSWER SCRIPTS

42. Viewing, re-marking and rechecking examination answer scripts

- (1) The following must be applicable with regard to the re-marking and rechecking of examination answer scripts:
 - (a) A student may apply for the re-marking or rechecking of his/her examination answer scripts within fourteen (14) calendar days of the official release of the examination results.
 - (b) This will apply to all examination cycles.
 - (c) A student may obtain an application form or directives for the re-marking or rechecking of an examination script from any examination centre.
- (2) The Department or an accredited private assessment body must prescribe a non-refundable fee for re-marking and rechecking.
- (3) The Department or an accredited private assessment body must communicate the prescribed fee when the results are released.

43. Viewing examination answer scripts

- (1) Subject to the provisions of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000), and the Protection of Personal Information Act, 2013 (Act No. 4 of 2013), a student will be allowed to view his/her examination answer script.
- (2) Should a student not be satisfied with his/her results obtained in a particular learning area/subject, the Department will allow him/her to view the relevant examination answer script in order to satisfy him/herself that all answered questions have been marked and totals added up correctly .
- (3) The viewing of scripts must be done under the following conditions:
 - (a) The candidate may request in writing, providing clear reasons for the request to view an examination answer script once the results of the

re-marked papers have been released if the student is still not satisfied with the results.

- (b) The student must apply to view the examination answer script within seven (7) days of the release of the results of the re-marked papers and must provide clear reasons for this request.
- (c) The student may view the examination answer script in the presence of an examination official appointed by the Department or accredited private assessment body and he/she may not remove the examination answer script from the viewing room.
- (d) The examination official appointed by the Department or accredited private assessment body must not allow any other documents, except the student's examination answer, into the venue where the viewing is to take place. The examination official must not allow anyone to write on the examination answer script during the viewing process.
- (f) A student who wrote the public examination and viewed his/her examination script may apply to the Minister or his/her nominee for a final re-mark.
- (g) The decision of the Minister, his/her representative or a quality council must be final.
- (h) For externally marked subjects/learning areas, the viewing of scripts is conducted at the Department Head Office and for internally marked subjects/learning areas, at the examination centre where the candidate wrote the examination.

CHAPTER 10

IRREGULARITIES

44. Dealing with irregularities

- (1) The Minister must establish a NEAIC to maintain the credibility of an examination.
- (2) The Head of a region may establish a College Examinations and Assessment Irregularities Committee to investigate irregularities and to make recommendations to the HOD.
- (3) Regions must establish Centre/Campus Examinations and Assessment Irregularities Committees whose functions must be to support and coordinate the management of irregularities at campus/centre level.
- (4) Accredited private assessment bodies must establish appropriate structures to manage irregularities.
- (5) The various examination assessment and irregularities committees must take the following steps regarding a student who wrote the public examination and who has been suspected of committing an irregularity:
 - (a) The Examinations and Assessment Irregularities Committees must establish whether the irregularity was caused by the conduct of the relevant student or by that of another person.
 - (b) If the irregularity pertains to one of the examination question papers of a specific learning area/subject, the results of that learning area/subject as a whole must not be released; however, this will not affect the release of the results of other learning areas/subjects.
- (6) A student who attends an irregularity hearing may choose to be represented by a legal practitioner.
- (7) Should a student decide to be represented by a legal practitioner, the Department or accredited private assessment body must be informed of this intention ten (10) working days before the hearing to allow the Department or

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Printed by and obtainable from the Government Printer, Bosman Street, Private Bag X85, Pretoria, 0001
Contact Centre Tel: 012-748 6200. eMail: info.egazette@gpw.gov.za
Publications: Tel: (012) 748 6053, 748 6061, 748 6065



Government Gazette Staatskoerant

REPUBLIC OF SOUTH AFRICA
REPUBLIEK VAN SUID AFRIKA

Vol. 678

17 December 2021
Desember

No. 45649

PART 2 OF 3



N.B. The Government Printing Works will
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“Hard Copies” or “Electronic Files”
submitted for publication purposes

ISSN 1682-5845



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accredited private assessment body to ensure that it is appropriately represented at the hearing.

- (8) If the Department requires that an official represents him/herself at a disciplinary or an irregularity hearing, a union representative may attend such hearing as an observer.

45. Release of results under investigation

- (1) Assessment bodies will ensure that all irregularities are finalised before the release of the results, where possible.
- (2) If the nature of an irregularity is such that it will not be finalised before the results are released, the results of the relevant student(s) must be withheld, pending further investigation.
- (3) If an Examinations and Assessment Irregularities Committee finds a student guilty of an irregularity in one learning area/subject, it must withhold only the results of that learning area/subject.
- (4) Should an Examinations and Assessment Irregularities Committee find a student guilty of an irregularity, the relevant committee must have the irregularity recorded on the computer system and the committee must make such information available to all assessment bodies.

46. Details: Dealing with irregularities

See Annexure N for details on managing irregularities committed by candidates and officials in public and private colleges opting to write the public examination. Accredited private assessment bodies must establish appropriate procedures, as contemplated in Annexure N and aligned with quality council directives, to manage irregularities pertaining to the alleged irregular conduct, administration and management of the internal assessment and external examination components of the qualification.

CHAPTER 11

SECURITY AND CONFIDENTIALITY

47. Security and confidentiality

- (1) Assessment bodies must take every reasonable step to ensure the security and confidentiality of the following:
 - (a) Examination question papers;
 - (b) Examination answer books;
 - (c) Examination answer scripts;
 - (d) Mark sheets;
 - (e) Other assessment documents; and
 - (f) The IT system and database.
- (2) Assessment bodies must take effective security and confidentiality measures regarding the following areas of the examination process:
 - (a) Setting and moderating examination question papers;
 - (b) Printing examination question papers;
 - (c) Storing the final printed examination question papers, as well as the printed back-up examination question papers;
 - (d) Persons entering or exiting restricted examination administrative areas;
 - (e) The assessment bodies handing over examination question papers;
 - (f) Distributing examination question papers and transporting examination answer scripts to and from examination centres;
 - (g) Marking processes;
 - (h) Storing examination answer scripts under investigation; and
 - (i) Maintaining the IT system.
- (3) All officials involved in managing and administering the examination process must sign the security and confidentiality agreement relating to examination matters.
- (4) Employees involved in the examination and who have immediate relatives in that particular examination must disclose such information to the relevant assessment body before the particular examination cycle commences.

(5) The Head of the assessment body must make a decision with regard to the involvement of an official referred to in subsection (4) above in the examination for that particular cycle.

48. Outside agencies or institutions

It is the responsibility of the assessment body to decide whether to use an outside agency or institution in the examination process. They must take issues related to security, cost-effectiveness and capacity building into consideration before they decide to engage an outside agency or institution.

CHAPTER 12

ACCESS TO EXAMINATION AND CERTIFICATION INFORMATION

49. Access to examination information

- (1) The Minister will be the custodian of examination data and the DG or his/her representative will approve access to examination data by members of the public.
- (2) Assessment bodies must ensure that all examination material is archived properly to allow for the easy retrieval of such material for at least six (6) months after the relevant examination.
- (3) Assessment bodies must keep all examination answer scripts and other examination-related documentation for at least six (6) months from the date of the release of the relevant examination results if an irregularity is still pending for longer.
- (4) Public assessment bodies may shred examination answer scripts after this period of six (6) months unless litigation is still pending or if an investigation into examination irregularities has not been finalised.
- (5) Marksheets must be kept for at least 24 months from the release of the results.

50. Access to certification information

- (1) The assessment body must submit approved student records for certification to a quality council, subject to the directives issued by a quality council.
- (2) The assessment body must manage the certified certification records and the quality councils will submit the certification records to SAQA (NLRD).
- (3) The assessment bodies must ensure that backup copies of the historical certification records are available.

- (4) The assessment body must ensure stringent security measures when:
 - (a) queries are submitted;
 - (b) results are compiled; and
 - (c) results are verified.
- (5) The assessment body must establish secure methods, measures and procedures to ensure the safekeeping of examination records.

51. Accessibility of examination and certification information

Assessment bodies must ensure the filing of examination answer scripts according to the learning area/subject examination question papers and in centre order for the purposes of rechecking, re-marking, viewing or the resolution of queries.

CHAPTER 13

HISTORICAL RECORDS (ARCHIVING) AND DATA RETENTION

52. Historical certification records and data retention

- (1) Copies of historical certification records of students who wrote the public examination are national assets and are the responsibility of the Department.
- (2) In terms of the National Archives of South Africa Act, 1996 (Act No. 43 of 1996), the original documents of the assessment and certification process must form part of the national filing system.

53. Access to historical records

- (1) Access to historical records must form an integral part of the functions of any examination section.
- (2) Assessment bodies must provide a computer infrastructure to enable access to the centralised historical database.
- (3) Assessment bodies must use the historical records in case of queries, to compile results, and to prepare data for verification by SAQA/quality councils regarding the replacement of certificates.

CHAPTER 14

MINIMUM REQUIREMENTS FOR AN EXAMINATION COMPUTER SYSTEM, AND DOCUMENTS AND DOCUMENT CONTROL PERTAINING TO THE EXAMINATION SYSTEM

54. **Minimum requirements for an examination computer system**

- (1) The Department or an accredited private assessment body must establish, implement and apply the minimum requirements for a computer program to be used for the examination process.
- (2) Annexure T contains a guideline for establishing such minimum requirements.
- (3) The Department or the accredited private assessment body must develop, implement and apply user requirement specifications that are in line with quality council specifications in order to facilitate certification.
- (4) The Department or an accredited private assessment body must ensure that proper system documentation are developed and that they are updated during the maintenance, enhancement and support of the computer system.

55. **Documents and document control pertaining to the examination system**

- (1) The assessment bodies must be responsible for the documents and reports printed by the computer system relating to the examination.
- (2) The Head of the assessment body or his/her representatives must check all signatures and information on the documents printed by the computer system in terms of correctness.
- (3) The documentation of the computer system must be the property of the relevant assessment bodies and will be available to them.
- (4) The assessment bodies must use documentation information for reference purposes and to maintain and further develop the computer system.

CHAPTER 15

EXAMINATION BOARDS

56. Establishing an examination board

The following examination board may be established on a date determined by the Minister:

- (1) A National Examination Board to advise the Minister on all matters relating to national examinations and assessment.

CHAPTER 16

AMENDMENT OF THE NATIONAL POLICY ON THE CONDUCT OF ADULT EDUCATION AND TRAINING (GETC: ABET) LEVEL 4 EXAMINATIONS, NATED REPORT 190/191 AND NATIONAL CERTIFICATE (VOCATIONAL) SHORT TITLE AND COMMENCEMENT

57. Amendment of the Policy on the Conduct of Adult Education and Training (GETC: ABET) Level 4 Examination, Nated Report 190/191 and National Certificate (Vocational) [NC(V)]

On the date of the publication of this policy in the *Government Gazette*, all policies relating to the National Policy on the Conduct, Administration and Management of the Adult Education and Training (GETC:ABET) Level 4 Examination, Nated Report 190/1 and the National Certificate (Vocational) [NC(V)] will be repealed and substituted by this policy.

58. Short title and commencement

This policy will be called the Policy Pertaining to the Conduct, Administration and Management of the Examinations of Colleges Established, Declared or Registered in Terms of the Continuing Education and Training Act, 2006 (Act No. 16 of 2006) and will come into operation on publication in the *Government Gazette*.

ANNEXURE A**ADMINISTRATIVE ISSUES RELATING TO SITE-BASED ASSESSMENT
(SBA)/INTERNAL CONTINUOUS ASSESSMENT (ICASS), PRACTICAL ASSESSMENT
TASKS (PATS) AND LANGUAGE ORAL MARKS****1. PRESENTING SITE-BASED ASSESSMENT (SBA)/INTERNAL CONTINUOUS ASSESSMENT (ICASS)**

- (1) All students must have a SBA/ICASS/PAT/oral assessment task mark for each learning area/subject presented for the examination.
- (2) Annually, the Department must publish compulsory curriculum instructions for SBA/ICASS/PAT/oral assessment tasks for various part/full qualifications to be complied with by all colleges or accredited private assessment bodies offering the public examination.

2. INCOMPLETE RESULTS

- (1) The Department or an accredited private assessment body must regard a student's results as incomplete if he/she did not submit any assessment tasks of the SBA/ICASS/PAT/oral practical assessments without providing a valid reason, implying that the student did not submit any assessment tasks specified for the SBA/ICASS/PAT/oral practical assessment requirements. In this case, the Department or accredited private assessment body must indicate a code "444" on the marksheets.
- (2) The student will, therefore, not receive results in the relevant learning area/subject since he/she did not satisfy the requirements of the particular qualification or part-qualification and will, therefore, not qualify for a certificate or diploma. In this case, the marksheets will indicate code "444".
- (3) In this case, the student must repeat the learning area/subject in the subsequent examination, but not in the supplementary examination. Should a student fail to repeat the relevant learning area/subject in a subsequent examination, he/she will not qualify for a certificate until he/she meets the outstanding requirements for the qualification.

3. OUTSTANDING MARKS

- (1) The Department or an accredited private assessment body must regard a mark as outstanding if it did not establish a reason for the outstanding mark during the capturing process. The marksheet will indicate a code "777", meaning an outstanding mark. The Department or accredited private assessment body must finalise an outstanding mark as soon as possible and will replace the "777" code with either a mark, a "444" code (absent) or a "999" code.
- (2) If the student was absent at the examination based on valid reasons, the Department or accredited private assessment body must indicate a code "999". The student must submit the outstanding SBA/ICASS/PAT/oral assessment task marks to the assessment body within the stipulated three-month period and the results for the learning area/subject will be regarded as incomplete. In such an event, the student will not receive a result as he/she did not satisfy the requirements of the qualification. Should the student not submit the SBA/ICASS/PAT/oral assessment tasks within the stipulated period, the Department will change the code "777" to "444".

4. STATISTICAL MODERATION OF SITE-BASED/INTERNAL CONTINUOUS ASSESSMENT MARKS

- (1) The assessment bodies must moderate all SBA/ICASS/PAT/oral assessment task marks statistically, based on the norm determined by the quality councils. The quality councils will articulate this norm as a formula for the statistical moderation process. The assessment bodies must ensure that the computer system is programmed to process the marks in accordance with this formula. The final responsibility, however, rests with the quality councils to verify the accuracy of the statistical moderation process on the IT system.
- (2) The assessment bodies must remove those students' SBA/ICASS/PAT/oral assessment task marks from the moderation process that are outstanding, absent or have not been finalised when statistical moderation takes place. The assessment bodies must initially leave these students' examination

results out of the moderation process and must calculate the moderated marks at a later stage using information from the rest of the group.

ANNEXURE B

CRITERIA FOR THE APPOINTMENT OF EXAMINERS AND INTERNAL MODERATORS

The following minimum criteria will apply with regard to the selection and appointment of examiners (for setting and moderating examination question papers and accompany marking guidelines/memoranda) and internal moderators:

- (1) The Department or accredited private assessment body must include advertisements for the posts of examiners and internal moderators for the public examination in a departmental circular or means that suits the private assessment body.
- (2) The Department will appoint a selection panel for the examination and must allow lecturers who are members of the ERLC or applicable council observer status on such a panel.
- (3) The following minimum criteria must apply in respect of the selection and appointment of examiners and moderators:

The appointee must –

- (a) be in possession of at least a recognised three-year post-matric qualification which must include the relevant learning area/subject at second- or third-year level.
- (b) have extensive experience as a lecturer in the particular learning area/subject or in a related area/subject, and at least five (5) years' lecturing experience at the appropriate level.
- (c) have experience as a marker.

ANNEXURE C**EXAMINATION PANELS**

- (1) The Department or accredited private assessment body may recommend the appointment of two to four examiners where it deems it necessary to be done in order to set an examination question paper to maintain the appropriate standard for a specific learning area/subject, and to allow the inclusion of two to four experts' perspectives in the particular learning area/subject when examiners set the examination question paper.
- (2) A panel system will have the following advantages:
 - (a) It will provide for capacity building by including one or two persons lacking prior experience in setting examination question papers.
 - (b) A chief examiner will be appointed to a panel of examiners.
 - (c) The chief examiner will take the final responsibility for the quality and standard of the examination question paper.
- (3) Binding contracts must be signed between the examiners and the Department or the accredited private assessment body.

ANNEXURE D**PROCESSING EXAMINATION QUESTION PAPERS****1. TYPING EXAMINATION QUESTION PAPER**

- (1) A team of selected staff members, consisting of no more than four to five typists and supervised by a chief typist, shall type examination question papers in cases where question papers are not submitted in a typed form.
- (2) The typists shall type on their personal computers, shall not be linked to an external network and shall type all the examination question papers in a restricted area.
- (3) A senior staff member must supervise the typists typing the examination question papers. The typists must clear the hard disks and transfer the content on the hard disks to other relevant media, such as CDs. The senior staff member must then lock away the CDs daily.
- (4) The typists shall type examination question papers in terms of the security measures contemplated in this policy.

2. EDITING EXAMINATION QUESTION PAPERS

- (1) Language editors, who will be appointed specifically by the Department or accredited private assessment body for this purpose, shall edit the examination question papers.
- (2) Alternatively, a select group of learning area specialists shall perform this function, and complete and sign a contract of confidentiality.
- (3) The chief examiner/examiner and editors must be responsible for final editing, and, together with the internal moderator, they must sign it off, certifying that they checked the relevant examination question paper in every respect and that the examination question paper is ready to be printed.
- (4) Language editors shall edit examination question papers in accordance with the security measures contemplated in section 47 of this policy.

ANNEXURE E**PRINTING, PACKING AND PACKAGING EXAMINATION QUESTION PAPERS**

Should external agencies be used for printing, the assessment body must fully audit/investigate/evaluate the agency in question to ensure that strict security is in place and that high quality printing is guaranteed. A detailed contract and service-level agreement will be signed between the Department and the printing provider.

ANNEXURE F**DISTRIBUTING QUESTION PAPERS****1. DELIVERY OF QUESTION PAPERS AND RETRIEVAL OF SCRIPTS**

- (1) A DP model for the delivery of question papers and script retrieval for public college examinations must be followed.
- (2) Question papers will be delivered in two weekly consignments to the designated DPs established at public colleges **only**.
- (3) Identified and designated examination centre officials from public and private colleges, as well as DCS centres, must collect question papers daily for their centre(s) from the specified DP within ninety (90) minutes of the commencement of the first examination written at that particular examination centre.
- (4) Identified and designated examination centre officials must hand over all the question papers written at that particular examination centre on that day at that point.
- (5) Identified and designated examination centre officials must sign a Daily Handover Register for the daily handover of question papers.
- (6) A thorough verification of the identification and appointment documents of the identified and designated examination centre officials must be conducted at the DP prior to the handover of any question papers.
- (7) The question papers received from the DP must be transported securely, for example, in the boot of a sedan vehicle or inside the lockable canopy of a van.
- (8) Question papers must not be visible through the windows of a vehicle. The question paper package must be transported directly to the examination venue and locked in the strongroom until they are taken into the examination venue.
- (9) The examination centre officials entrusted with the collection of question papers must not take any detours to run errands en route to and from the examination centre.
- (10) Question papers secured in the strongroom of an examination centre must be the direct responsibility of the chief invigilator who must ensure that they are secure and that no unauthorised person has access to the strongroom while the examinations are being written.

- (11) The strongroom manager must maintain a register of all the question papers stored in the strongroom and if any question paper package is removed from the strongroom, the chief invigilator and the recipient of the question papers must sign for the package.
- (12) It is important that the strongroom manager maintain a paper trail regarding the movement of all question papers prior to and during the writing session.

2. ESTABLISHMENT OF DELIVERY POINTS

- (1) DPs must be approved and introduced at public colleges only.
- (2) DPs must cater for all qualifications, whether they are semester, trimester or year courses.
- (3) DPs must be assigned to either the central office or campus(es) of the college.
- (4) The geographical location, traffic congestion and rural/urban factors will determine the number of DPs per TVET College.
- (5) All private colleges and DCS centres must be linked to a distribution point at a public college.

3. DELIVERY MODEL

- (1) The current model will provide for dispatching only three/four consecutive examination dates at a time.
- (2) The courier must receive a maximum of three (3) days to deliver a consignment to all the DPs throughout the provinces.
- (3) Dedicated full-time college staff must take responsibility for the question papers at DPs.
- (4) All private colleges and other public campuses, as well as DCS centres, must be linked to DPs to collect their question papers daily during examinations (within 90 minutes prior to the commencement of the writing session).
- (5) All answer scripts must be returned to the DPs daily (within 60 minutes after the last session of the day has been completed).
- (6) The service provider shall ensure that question papers are on time when they deliver twice a week, meaning that they will deliver question papers for three/four consecutive days to DPs one day before the first of the three days' papers are written.

4. NON-DELIVERY OF QUESTION PAPERS

- (1) Should an examination centre that requires question papers not receive them in time for a subject(s) examination to be written, the examination centre manager must contact the responsible official at the CD: NEA immediately and directly. Examination centre managers must refer to the CD: NEA Directory to identify the official they should contact in this regard.
- (2) The assessment body must follow strict control measures before the release of a question paper to a centre that has not received the question paper(s) on the day of an examination, in other words, the assessment body must verify the Examinations IT System to determine whether candidates at the examination centre registered legitimately for the subject.
- (3) Once the assessment body confirms this, it must dispatch an electronic copy of the question paper to the examination centre.
- (4) The affected examination centres must then print the required number of question papers in accordance with the enrolment statistics for the subject in question.
- (5) The time allocation for writing the subject must be adjusted accordingly so that no candidate is disadvantaged due to the late commencement of writing the examination.
- (6) The chief invigilator must record such an incident and report it in the Daily Conduct Report and the Irregularity Register.
- (7) Should there be an insufficient number of question papers in the satchel for a subject, examination centres must print the additional copies required after the commencement of the examination session, in other words, the chief invigilator must first open the question papers in front of the candidates.
- (8) If necessary, the chief invigilator must allow additional time to make up for time missed to ensure that no candidate is disadvantaged due to the delay in starting the examination session.
- (9) The chief invigilator must record such incidents in the Daily Conduct Report and the Irregularity Register.

5. RELEASE OF MARKING GUIDELINES

- (1) All college examination centres on the mailing list must receive the marking guidelines for learning areas/subjects that are marked internally within 72 hours after the writing session of a question paper has elapsed.

- (2) For question papers written on a Friday, the marking guidelines must be released on the following Tuesday.
- (3) It must be the responsibility of the college examination centre to ensure that all markers receive the marking guidelines.
- (4) Queries regarding marking guidelines not received must be directed via the Deputy Principal: Academic or College Examination Officer, and not via individual examination officers at centre level to the responsible official at the CD: NEA Directory for assistance.
- (5) Should any centre commence with marking scripts without having received the officially approved national version of the marking guideline from the CD: NEA, the marking process must be declared an irregularity and due process must be followed.
- (6) The centre will then have to explain to the candidates why their results have not been released.

ANNEXURE G**ERRORS IN QUESTION PAPERS****1. ERRORS IN QUESTION PAPERS**

- (1) In all instances of errors being detected, either technical or conceptual, the examination centre must allow the candidates to continue with the examination.
- (2) A technical error may include instances of the incorrect numbering of the questions in a question paper, the omission of the numbering of questions, a minor spelling error that does not alter the meaning of a question, pages incorrectly numbered, et cetera.
- (3) A conceptual error deals with the content and context of the curriculum, where a question was phrased incorrectly and candidates are not able to work out the answer or where a question is based on an aspect that is not covered in the curriculum.
- (4) The Daily Conduct Report to be submitted to CD: NEA must indicate that there was an error in the question paper.
- (5) A separate detailed report on the error itself and a recommendation on how it should be managed during the marking process must be forwarded on the report template provided to the responsible official at the CD: NEA on the day the question paper is written.
- (6) A copy of the report must be submitted with the scripts to the marking centre to ensure that no candidate is disadvantaged.
- (7) At the start of an examination writing session, it is important that invigilators check whether all the relevant parts of a question paper has been provided.
- (8) Should a diagram, formula sheet, table or an annexure be missing and not be included in a question paper, the examinations officer/chief invigilator must contact the responsible official at the CD: NEA Directory for assistance.

- (9) Chief invigilators must attend to such requests within the first 15 minutes of the start of a writing session.
- (10) The CD: NEA experiences great difficulty in ensuring that errata sheets reach every examination centre throughout the country and even beyond the borders of the country.
- (11) The CD: NEA will, therefore, issue no errata sheets.
- (12) Any errors identified in the question paper will be addressed during the marking process in such a manner that no candidate will be disadvantaged.

2. ERRORS IN MARKING GUIDELINES

- (1) Should markers pick up an error in a marking guideline during the marking process, this error must be reported to the responsible official of the CD: NEA on the report template provided for this purpose and the marker must request approval to deviate from the marking guideline before he/she finalises marking the affected subject.
- (2) The request must indicate the affected question(s), the mark allocation and a recommendation on how markers should address the error in case the error affects the outcome of candidates' performance.
- (3) If necessary, the CD: NEA or accredited private assessment body must report the error to the quality council and request a concession to resolve the matter.
- (4) Regional marking guideline committees or panels may be established where marking takes place internally at the college for current and future internal examinations.

ANNEXURE H**APPOINTMENT AND DUTIES OF CHIEF INVIGILATORS AND INVIGILATORS****1. CHIEF INVIGILATORS AND DEPUTY CHIEF INVIGILATORS**

- (1) The Head of the assessment body or his/her representative must appoint the manager of a centre as the chief invigilator. However, the Head of the assessment body reserves the right to appoint any competent centre or office-based lecturer as the chief invigilator should the manager of the centre be deemed incapable of protecting the integrity of the external examination.
- (2) Should the chief invigilator be absent for the duration of the examination, he/she must delegate his/her duties in writing to his/her representative and inform the assessment body accordingly.
- (3) The chief invigilator must appoint lecturers in writing as invigilators before the start of the examination and the assessment body must be provided with a copy of the invigilation timetable.
- (4) The chief invigilator must have a thorough knowledge of the procedures, rules and policies pertaining to the examination.
- (5) The chief invigilator must train the invigilators before the start of the examinations.
- (6) If a manager has a child/children/close relative who has/have registered for a particular examination, the Head of the assessment body must not appoint him/her as chief invigilator. The principal must inform the Department or the Head of an accredited private assessment body in writing of the above fact and they must appoint the next most senior official at the institution as the chief invigilator.
- (7) The chief invigilator may delegate, in writing, some functions to the deputy chief invigilator on the day-to-day running of the examinations; however, the chief invigilator remains responsible for the entire examination process.

2. INVIGILATORS

- (1) The chief invigilator must appoint suitably qualified lecturers from the lecturing staff at examination centres as invigilators and may appoint external invigilators if it is necessary. The Head of the assessment body will give instructions to private centres to appoint invigilators.
- (2) The chief invigilator must appoint invigilators in writing before the examination commences. The chief invigilator will inform the relevant head office and regional or district offices of all appointments.
- (3) In addition to the chief invigilator, one invigilator per 30 students or part thereof must be appointed for every examination session, for example:

1 - 30 students:	1 invigilator
31 - 60 students:	2 invigilators
61 - 90 students:	3 invigilators
- (4) The chief invigilator must under no circumstances appoint lecturers to invigilate or even to relieve other invigilators when the learning area/subject at any level that these lecturers lecture, is written.
- (5) The chief invigilator must appoint relief invigilators for sessions of two hours or longer, but the relief period may only be for a maximum of twenty (20) minutes during the session.

3. BRIEFING CHIEF INVIGILATORS AND TRAINING INVIGILATORS

- (1) The assessment body must thoroughly brief all chief invigilators during a meeting with regard to the procedures, rules and policies pertaining to the examination.
- (2) The chief invigilator must fully train invigilators in invigilation and examination administration before they assume duty in the examination room. Evidence thereof should be recorded.

4. CONTRAVENTION OF ANY POLICY OR RULE BY AN OFFICIAL

- (1) All persons involved in the exit examinations must sign the declaration of confidentiality form.
- (2) Should any Head of an institution, chief invigilator, invigilator or other official contravene any of the above prohibitions, or contravene any policy or rule, the Department must declare such an act or omission an irregularity and must take any action permitted by law.
- (3) The Department must institute a departmental inquiry and must simultaneously suspend the suspect from any duty until an outcome has been reached. The institution must be held accountable for any breach of these prohibitions/policies/rules.

5. INVIGILATION

- (1) The duties of the manager of the centre or chief invigilator will be as follows:
 - (a) The manager of the centre or chief invigilator must be fully responsible and, therefore, accountable for the examination conducted at his/her examination centre and will be present at the examination centre for the entire duration of every examination session.
 - (b) The principal of the centre or chief invigilator's specific examination-related duties must include the following:
 - (i) Distributing the individual examination timetables/permits in good time to all the students registered at his/her examination centre;
 - (ii) Selecting and appointing invigilators;
 - (iii) Arranging an additional examination room in cases where centres have students for whom amanuensis were approved as concessions;
 - (iv) Drawing up invigilation and relief invigilation timetables and submitting these to the assessment body for approval;
 - (v) Ensuring that the examination rooms are prepared and are ready by supervising that –

- (aa) students do not sit two to a desk or table.
- (bb) students are seated at least 1 m apart.
- (cc) all learning area/subject matter, such as drawings, have been removed from the walls.
- (dd) chalkboards have been cleared of any writing, formulae or drawings.
- (ee) examination rooms are sufficiently ventilated.
- (ff) if the examination venue is sufficiently big to accommodate all the students, that students are allocated permanent seats for the duration of the examination.
- (vi) Ensuring, with the assistance of the invigilators, that no material and/or equipment not required for writing the examination are present in the examination room, including cell phones;
- (vii) Reading the instructions relating to the examination to students and informing them that they may forfeit their results should they contravene any of the instructions;
- (viii) Pointing out to students before they commence the examination session that they should read all the instructions carefully to ascertain whether they should answer all the questions or only a certain number of questions;
- (ix) Ensuring that students get ten (10) minutes to read each examination question paper during which they may not start answering any examination paper questions. This reading time is allowed over and above the time students will be allowed to read any other instructions that may be necessary;
- (x) Ascertaining, with the assistance of an invigilator, that students received the correct examination question paper before they open the examination question papers in the examination room with regard to the time and date specified on the examination timetable. In the case of a language examination question paper, students have to ascertain whether they received the correct language level examination question paper;
- (xi) Opening the examination question paper envelopes in front of the students and remaining in the examination room until the

examination question papers have been issued to the students;

- (xii) Visiting the examination room frequently during each session and ensuring that the invigilator maintains a high standard of invigilation;
- (xiii) Drawing up a seating plan, indicating the examination room with the desk arrangements and the examination numbers of students, and submitting a seating plan for each examination question paper students will be writing. Should the chief invigilator prefer to combine groups in one hall or room, he/she must reflect this on the seating plan.
- (xiv) Ensuring that unauthorised persons are not present in and around the examination room;
- (xv) Ensuring that he/she timeously advises all students of requisites for the examination question paper, such as rulers and drawing instruments students will have to use when they write examination papers in specific learning areas;
- (xvi) Ensuring that the invigilators complete the absent and present columns on the marksheets correctly;
- (xvii) Assisting with relief invigilation in centres;
- (xviii) Ensuring that no one except the student him/herself alters the examination number on the answer book and that the student initials next to these changes;
- (xix) Ensuring that invigilators batch and pack the examination answer scripts properly and according to the students' examination numbers at the end of each examination session, and that they include the marksheet pertaining to a specific batch of examination answer scripts with that batch;
- (xx) Sealing examination answer scripts in a special envelope provided for such purpose to prevent anyone tampering with them;
- (xxi) Taking responsibility for collecting the examination answer scripts and delivering the examination answer scripts to the regional, district or Head Office, as arranged by the regional, district or Head Office;
- (xxii) Ensuring that all equipment, including computers, printers and drawing boards that will be used by students are serviced

timeously and are in perfect working condition, and that they are available at the examination venue on the day of the examination (See Annexure R);

- (xxiii) Collecting, checking and signing all invigilation claim forms, if applicable; and
- (xxiv) Submitting, without delay, written reports on all suspected cases of irregularities to the assessment body.

(2) Specific duties of invigilators

- (a) Invigilators will be responsible for the admission of students to and their exit from the examination room. They must also ensure that –
 - (i) every student produces his/her admission letter/permit, as well as proof of identity.
 - (ii) students are seated at least thirty (30) minutes before the examination session commences.
 - (iii) students have ten (10) minutes' reading time per examination question paper.
 - (iv) no student will be allowed to enter the examination room after 09:00 for the morning session and after 13:00 for the afternoon session, but that they have the opportunity to write the examination at the next sitting.
 - (v) a student does not leave the examination room during the first hour of the examination session.
 - (vi) students who have registered for the examination, the invigilators concerned, and the chief invigilator or an authorised representative of the assessment body are the *only* people allowed to be present during an examination session.
 - (vii) a student may leave the examination room temporarily only in an emergency, and then only if the student is supervised. Should this occur, the centre must record it in a register.
 - (viii) he/she moves around the examination room constantly without disturbing the students.
 - (ix) he/she immediately contacts the chief invigilator should a student contravene the rules and policies of the examination.
 - (x) he/she checks whether a student's examination number, which appears on his/her timetable/permit, is written at the top of

each examination answer book, and at the top of each loose sheet of paper used by that student during the examination session.

(b) Instructions to students:

The invigilator must read the instructions to students during an information session before the examination commences and, if necessary, must read the instructions to students again at the start of each examination session (see Annexure I).

(c) An invigilator **shall not** –

- (i) allow students access to any textbook, diagram, summary or any other material that will assist them in answering a question.
- (ii) answer any question posed by a student which may result in an explanation of an examination question.
- (iii) provide a student with loose paper for "rough work" or to make any changes in an examination paper without the prior instruction or permission of the Department or act in a way that will disturb or distract a student.
- (iv) read over the student's shoulder or stand behind the student in such a way that will disturb or distract the student.
- (v) give a copy of the examination question paper to any person other than a student before the end of the examination.
- (vi) allow more than the stipulated time for answering each examination question paper, except in cases where students have been granted extra time, as indicated on their individual timetables/permits.
- (viii) read to students any examination question paper or part of an examination question paper or draw attention to any error he/she may observe in any of the examination question papers or mark allocation unless he/she has been instructed to do so on the errata sheet or by an examination official of the Department.
- (ix) by his/her conduct create any opportunity that will facilitate a student to contravene any examination instruction.

- (x) assist a student in any way to answer an examination question paper or allow another person to assist any student in any way whatsoever.
- (xi) communicate with the media, lecturers' organisations or any other unofficial personnel concerning the administration of the examination or about any problems with examination question papers, et cetera, and must raise these issues only with the CD: NEA at Head Office.

(d) The chief invigilator must also refer students to the last two pages of the examination timetable/permit containing the rules and policies for examinations.

6. INVIGILATION SESSION

- (1) Invigilators must ensure that students write their correct identity numbers/examination numbers on their examination answer scripts.
- (2) Invigilators must clear chalkboards of all writing and drawings, and must remove all drawings and maps from the walls in the examination room.
- (3) Invigilators must ensure that each session commences and terminates according to the times specified on the examination timetable.
- (4) One or more invigilators must be present in the examination room **at all times** while the students are writing the examination.
- (5) An invigilator must supervise students attentively and must not knit, read, mark or do any work that will hamper him/her in executing his/her duties as an invigilator, and under no circumstances may he/she use a cell phone or listen to an iPad.
- (6) Invigilators must constantly supervise the students during the entire examination session to preclude the possibility that students avail themselves of unauthorised assistance.

- (7) An invigilator must not sit down, but must move around the examination room without disturbing the students.
- (8) An invigilator must not assist a student in answering any examination question and may not explain any "unclear" part of the examination question paper to any student.
- (9) An invigilator must not invigilate a learning area/subject that he/she teaches at any level, except if it is a requirement of the particular learning area/subject, for example, computer- and technology-related learning area/subject.
- (10) Invigilators must not cause any disturbance.
- (11) Invigilators must not leave the examination room or leave students unattended.
- (12) Invigilators must not invigilate from outside the examination room by looking through a window.
- (13) Invigilators must not allow students to copy from each other, assist them or allow students to be assisted by anyone during the examination.
- (14) Invigilators must not give copies of examination question papers to anybody outside the examination room, nor may they allow anyone to take examination question papers out of the examination room before the end of the examination session and before students have left the examination room.
- (15) Invigilators must adhere to the special examination requirements of certain learning areas/subjects.

7. RELIEF INVIGILATION

- (1) All invigilators who invigilate during sessions that are longer than two hours must be relieved for a maximum of twenty (20) minutes.

- (2) The manager of the centre or the chief invigilator must act as relief invigilator for the first six (6) invigilators.
- (3) One (1) relief invigilator for each six (6) invigilators or part thereof must be appointed, for example:
 - 1 - 6 invigilators: Centre manager or the chief invigilator
 - 7 - 12 invigilators: Centre manager or the chief invigilator + one (1) relief invigilator

8. MONITORING INVIGILATORS

- (1) The Head of the Examination Body may appoint monitoring invigilators at private examination centres for the duration of the examination, in particular in cases where they are regarded as high-risk centres.
- (2) The monitoring invigilator must be remunerated for the duration of his/her deployment at a private centre even if he/she is not employed by the Department in accordance with the tariff determined by the Minister.
- (3) The monitoring invigilator must be responsible for –
 - (a) monitoring the invigilation at a private examination centre or any learning institution that has registered as an examination centre with the Department.
 - (b) monitoring the transport of examination papers and answer scripts to and from the nodal point.
 - (c) performing any other duty assigned to him/her by the Head of Examination.

9. IDENTIFICATION OF STUDENTS

- (1) Full-time students writing an examination at a centre **must** produce their **letter/permit of admission, as well as proof of their identity**, and their individual **examination timetable**. The chief invigilator must check the photograph and date of birth on each student's identity document and compare it with each student's physical appearance.
- (2) Dealing with students who cannot be identified:

(a) Heads of institutions and chief invigilators of centres or private examination centres or other venues must ensure that each student produces a valid identity document, for example, a South African identity document, a valid passport (South African or foreign) or a driver's licence.

(b) If a student has not yet received his/her official identity document from the Department of Home Affairs, the chief invigilator must implement the following procedure:

- (i) Request the student to submit an identity document-size colour photograph of him/herself to the chief invigilator;
- (ii) Ascertain that the person is identical to the person who has registered for the examination; and
- (iii) Attach the student's proof of application for an identity document.

(3) Identifying students during the examination by means of a temporary examination identity document form:

- (a) The temporary form will remain at the examination centre in the examination file. If it is not available, the examination centre will create such a file.
- (b) The chief invigilator must hand a temporary form to a student before each examination session commences.
- (c) The student must place/display the temporary examination identity document form on the left-hand corner of his/her desk.
- (d) The chief invigilator must collect the temporary document form forty-five (45) minutes before the end of each examination session.

(4) At the end of the examination session, –

- (a) the chief invigilator must declare an irregularity only if a student writes the examination **without** a valid identity document, for example, a South African identity document, a valid passport (South African or foreign), any other document with a photo affixed to it, for example, a driver's licence or the duly completed temporary examination identity document form.

(b) markers will mark the particular examination answer script in such a manner (identity number, date of birth) that they will be able to identify or trace it back to a particular student.

(5) Chief invigilators must **not allow** students who have not registered for a specific learning area/subject to write the examination. However, if a student **insists** on writing, the chief invigilator must allow the student to write in the interest of good order. The student must complete a pro forma affidavit and sign to the effect that if after an investigation it is revealed that the mistake is with the Department or accredited assessment body, his/her script will be marked and the results will be released. However, if the mistake is that of the student, his/her script will NOT be marked and the results will NOT be released. The chief invigilator must then implement the following procedure:

- (a) He/She must declare an irregularity in accordance with the procedures.
- (b) The Department or accredited private assessment body must not release the results of these students in accordance with national policy until the irregularity has been resolved.

10. ATTENDANCE REGISTER

- (1) A computer-generated attendance register for each examination centre must accompany the examination question papers and examination answer scripts collected from the distribution points. Each sheet must indicate the names and examination numbers of the students entered for the particular examination in numerical order. Each sheet must include a column indicating which students are present/absent and a column for each student's signature. The students must sign the attendance register personally and print their names in full as printing only the first letters of their first names and surnames, and putting their initials on the register will not be sufficient.
- (2) The invigilator must ensure that once the examination has commenced and all examination material have been issued to the students, no student may sign the attendance register and vacate the examination venue as this will constitute an irregularity. The invigilator may take the attendance register on a clipboard from student to student to sign while students are sitting in the room

or hall. The invigilator must under no circumstances allow students to pass the register to one another while the examination is in progress.

- (a) Each student present must sign the attendance register for a specific examination session and must tick (✓) the column marked with an asterisk (*).
- (b) The invigilator must indicate absentees by writing the letter "A" alongside the name and examination number of the absent student in the column marked with an asterisk (*).
- (c) The invigilator must return the attendance register with the students' examination answer scripts to the distribution point and must place each attendance register with the names of the students on top of the batch of examination answer scripts of these particular students listed on the attendance register with the wrapper around the examination answer scripts and the register of that particular batch.
- (d) The invigilator must indicate the number of examination answer scripts a student used during the specific examination session on the attendance register and the chief invigilator must verify and sign the attendance register.
- (e) Each student must also verify and sign the attendance register to indicate that he/she agrees with the number of examination answer scripts he/she handed in.
- (f) The list of absentees the chief invigilator will complete must correspond with the attendance register.
- (g) Invigilators must ensure that students sign at the correct space in the attendance register and that they indicate absentees correctly.
- (h) Should a student insist on writing a different examination question paper than the one for which he/she registered, the student must not sign the attendance register where his/her name appears as that particular student will not be writing the examination question paper for that particular learning area/subject. The invigilator must write "**IRR**" next to the name of the student in the attendance register and ask the student to sign an attendance register for irregularities, indicating the examination question paper he/she will actually be writing.

(3) The attendance register must contain the students' names and must, therefore, not be available to markers at the marking centres. Markers must

use the official marksheets at the marking centre, which must only reflect students' examination numbers. It is, therefore, imperative that all invigilators at examination centres correctly indicate "✓" or "A" at the examination centre when they receive the examination scripts.

11. ABSENT STUDENTS

- (1) The chief invigilator must keep an updated list of each student's contact telephone numbers in the examination room.
- (2) Students may supply reasons for their absence from an examination, supported by documentary evidence, for the following reasons only:
 - (a) Illness (a valid medical doctor's certificate will be required);
 - (b) Family bereavement (letter will be required); and/or
 - (c) Representing the country or a province in a sporting or cultural event (official letter will be required).
- (3) The student must hand in a medical doctor's certificate or letter to the chief invigilator within seven (7) days of the conduct of the examination. Any supporting documents the student will hand in must contain the student's examination number and his/her surname. The surname on any supporting documents must correspond with the student's registration details. **The student must ensure that he/she registers for the next examination session.**
- (4) The chief invigilator must implement the following procedures:
 - (a) Write the word "Absent" in the attendance register alongside the absent student's name.
 - (b) Fill in the absent student's particulars on the absentee form.
 - (c) Attach the medical certificate or the letter from the family or organisation **AND** a letter from the Head of the institution validating the student's absence.
 - (d) Keep and attach a copy of the medical certificate to the supplementary examination entry form.
 - (e) Send the documents to the regional/central office where an official will forward them to the Department or accredited assessment body.

12. EXAMINATION ANSWER SCRIPTS

- (1) Candidates must do all work, including rough work, on the examination answer script, answer book or papers provided. Invigilators may not give students additional examination answer scripts for rough work and must collect all used answer books, including spoiled answer books.
- (2) Students must pay strict attention 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 an examination question paper.
- (3) Invigilators must not issue a second answer book to a student before they have satisfied themselves that the first answer book is full, except where subsection (2) above is applicable. Invigilators must ensure that students do not receive more examination answer scripts than they require. Should a student use more than one (1) examination answer book, he/she must number every answer book to indicate the number of the answer book and the total number of examination answer scripts he/she hands in, for example, 1 of 1 (only one examination answer book handed in), 2 of 3 (second answer book out of a total of three [3] examination answer books handed in).
- (4) Students must under no circumstances write their names or the names of the institutions where they are enrolled anywhere on their examination answer scripts.
- (5) The chief invigilator must under no circumstances allow a student to remove either a used or an unused examination answer script from the examination room.

13. HANDLING EXAMINATION QUESTION PAPERS

- (1) The chief invigilator must, before the examination commences, draw all the students' attention to the following:
 - (a) The main instructions on the examination timetable and on the examination answer scripts;
 - (b) The fact that the Department or accredited private assessment body will not recognise examination answer scripts or any other answer

sheets students omit to hand in immediately upon conclusion of the examination session with regard to the examination question paper in question; and

(c) The number of questions students must answer.

(2) After distributing the examination question papers to the students, the invigilator must ask the students to go through the examination question paper with him/her, page by page, checking it against the certified copy, in order to ensure that the –

(a) number on each page is correct;

(b) name of the examination question paper is the same on each page; and

(c) frame/border around the printed matter is complete.

(3) Invigilators must check against a control list (marksheets) that every student has received the correct examination question paper for the learning area/subject for which the student entered. The invigilator must, therefore, not issue examination question papers simply by a show of hands.

(4) On no account must invigilators read any question or part of a question aloud to a student or draw attention to any error he/she may have observed in any of the examination questions unless an erratum is included in the examination question paper. Invigilators must not respond to a student's enquiries in a manner that can be regarded as an explanation of a particular question.

14. STUDENTS WITH SPECIAL CONCESSIONS

(1) The following concessions in respect of languages can be applied to students who experience barriers related to deafness, aphasia and dyslexia:

(a) Deaf, aphasic or dyslexic students may not offer any language but instead any other learning area(s)/subject(s) from the electives, provided they meet the minimum number of credits for certification.

(b) Students suffering from a mathematical disorder such as dyscalculia may be exempted from offering any form of Mathematics as a learning area/subject, but have to offer other learning areas/subjects instead, as described in the relevant learning programmes in order to satisfy the minimum promotional requirements.

- (2) Students who experience barriers related to deafness, aphasia and dyslexia may direct all applications for concessions to the Head of the assessment body when they enter Level 1 of the qualification or immediately after they have been diagnosed with a learning disorder.
- (3) Students must attach to all applications referred to above an evaluation conducted by the structures responsible for students with special educational needs, as well as by external, professionally registered experts in the relevant fields.
- (4) Chief invigilators must take cognisance of students who have been granted special concessions for the examinations in the following manner:
 - (a) The concessions granted to students must be clearly indicated at the bottom of the examination permit of a particular student, which may differ from the centre's request, for example, the approved concession will appear on the permit as follows: "Writing problem: Additional Time: 5 minutes per hour."
 - (b) Invigilators must not deviate from these instructions on the admission letter and may not use this as a guide for a student with a similar problem who did not receive a concession or who did not apply for a concession.
 - (c) The invigilator must complete and attach an examination form of the Department or accredited private assessment body to the student's answer book, together with a copy of the student's admission letter/permit, if a concession was granted to a student, excluding additional time (for example, language concessions for the deaf, aurally impaired, Braille papers, visually impaired, spelling and writing problems, alternative questions, and attention deficit problems).
- (5) Should students require sign language when they write an examination question paper, –
 - (a) the official sign language interpreter must obtain the examination question paper when the box containing the examination question papers is opened and must read through the documents to prepare him/herself to provide sign language for a student writing the examination question paper.

- (b) Transcription must take place immediately after the student has completed the examination question paper.
- (c) The student must be available after the examination to clarify any part of the written record.
- (d) The scribe must not be the learning area/subject lecturer or must not be related to the student.
- (e) The invigilator must attach the original script to the transcription and must submit both.
- (f) The scribe must not transcribe in the examination room. The examination centre will provide a separate, suitable room for this purpose.
- (g) The scribe and the student must each receive a copy of the examination question paper and the errata sheet, if applicable.

(6) Chief invigilators who may need clarification concerning special concessions or training on conducting special concessions for students should contact the coordinator of their Region/National Examinations Concessions Committee (R/NECC). Should it be necessary to assess a student in an alternative way owing to an injury sustained before or during the examination, the student must submit an application in this regard, accompanied by a medical report, to the Examination Concession Committee Coordinator.

15. INSTRUCTIONS TO INVIGILATORS ON PACKAGING EXAMINATION ANSWER SCRIPTS AFTER EACH SESSION

- (1) Invigilators must –
 - (a) check that those students who were present and who wrote the examination question paper have been marked present, and that those who were absent have been marked absent.
 - (b) arrange the examination answer scripts that belong to a specific marksheets in numerical order according to the examination numbers appearing on the marksheets, for example, if one hundred and fifty (150) students wrote the examination, there should be three (3) marksheets and three (3) piles of examination answer scripts.
 - (c) place the marksheets that belongs to a specific pile of examination answer scripts on top of that pile of examination answer scripts.

- (d) wrap the examination answer scripts and the mark sheets, and write the centre number, the learning area/subject and the number of examination answer scripts on the wrapper.
- (e) ensure that all the examination answer scripts are handed in and that each package containing examination answer scripts is accompanied by the relevant marksheet.
- (f) deliver the examination answer scripts to the assessment body or the official responsible for collecting the examination answer scripts. The chief invigilator or a designated official must return the examination answer scripts to the assessment body daily.

16. HANDLING MARKSHEETS

- (1) Invigilators on duty in the examination room must complete marksheets correctly and check the marksheets with the help of the chief invigilator. They must note the following with regard to the marksheets:
 - (a) At least one marksheet must accompany each learning area/subject written at a centre.
 - (b) Different marksheets must be provided for languages.
 - (c) If more students entered for the learning area/subject than appear on one marksheet, the invigilator must create more marksheets, each with its own unique number.
 - (d) Students' examination numbers must appear on the marksheets.
 - (e) Marksheets must accompany the correct set of examination answer scripts.
 - (f) Invigilators may "write" on the marksheets only by completing the "absent or present" columns.
 - (g) Invigilators must return all marksheets to the Department or accredited private assessment body via the model used, even if none of the students wrote that particular examination question paper.
 - (h) Under no circumstances shall any invigilator add any information to the marksheets.
 - (i) Invigilators must not delete or change information on a marksheets.
 - (j) If a marksheets was not included with the examination question papers, the manager of the centre or the chief invigilator must report it to the assessment body.

(k) If marksheets were not included with the examination question papers, invigilators must complete hand-written copies and submit them to the marking manager.

ANNEXURE I**INVIGILATOR'S INSTRUCTIONS TO STUDENTS**

1. The invigilator must announce the following: The examination will now be conducted in this room in the following learning areas/subjects: (Reading the actual learning areas/subjects, for example, Art and Culture, Technology, Engineering Science N5, et cetera, out loud). Any students who have not entered for writing these learning areas/subjects must now leave the examination room.
2. The invigilator must neither explain any examination question, nor may any student ask for an explanation.
3. The invigilator must instruct the students as follows: As soon as you have handed in your examination script, you will leave the examination room. You may not leave the examination room within the first hour from the start of the session. A student will only be allowed to leave the examination room under supervision in an emergency.
4. Carefully read and comply with the instructions on the front cover of your answer book, as well as the instructions on the question paper.
5. You may not assist another student or try to assist him/her to get help or communicate with anyone other than the invigilators. Direct any questions to the invigilator.
6. You may not create a disturbance in the examination room or behave in an improper or unseemly manner.
7. You may not disregard the instructions of the invigilator.
8. Unless a particular examination question paper stipulates otherwise, you may not have any book(s), marking guidelines, notes, maps, photos or other documents or papers (including unused paper), cell phones, electronic devices or other material in your possession that may help you in answering the examination questions other than those the invigilator provided to you and are allowed by the admission letter/permit in your possession while you are in the examination room. The invigilator

will not accept the excuse that you forgot that you had any of the above in your possession.

9. You may only use non-programmable calculators in answering the examination question paper, except where an examination question paper indicates in certain learning areas/subjects that the use of these calculators are prohibited.
10. If you do not obey these instructions, you may be suspended from future examinations and the Department may refuse to credit you for other examination papers you have written.
11. You must hand in all aids and examination answer books, as well as all answer sheets the invigilator issued to you, before you leave the examination room.
12. The invigilator must read any errata on a specific examination question paper to the student(s) concerned.
13. You will be allowed ten (10) minutes to read the examination question paper before the examination commences officially, and during this time, you may not start writing.

ANNEXURE J**RETURNING EXAMINATION ANSWER SCRIPTS**

1. An assessment body official must fetch examination answer scripts from the examination centre or the chief invigilator or his/her representative must deliver the examination answer scripts to the assessment body.
2. Officials must keep a register at all points where the transfer of examination answer scripts take place, and all officials involved in the transfer of examination answer scripts must sign this register which must be kept at the nodal point until the end of the examination and must thereafter be transferred to the assessment body.
3. Officials must under no circumstances keep examination answer scripts at an examination centre overnight.
4. Officials must also seal examination answer scripts in a special envelope provided for this purpose in order to prevent anybody tampering with the examination answer scripts.
5. When officials receive the examination answer scripts at the marking centre/assessment body, they must check the examination answer scripts against the relevant mark sheet before they transfer the examination answer scripts to the marking centre. The officials must also keep a record of all the examination answer scripts they have transferred to the marking centre, and the marking centre manager must sign a receipt for these examination answer scripts.
6. The Department recommends the implementation of a barcode tracking system, using hand-held scanners.

ANNEXURE K**APPOINTING MARKERS****EXCEPTIONAL CIRCUMSTANCES FOR THE APPOINTMENT OF EXAMINERS, MODERATORS AND MARKERS**

- (1) In respect of the setting of an examination question paper and the marking of scripts where no suitable lecturer can be recruited with the set minimum qualifications or experience, the DG or his/her nominee may approve the appointment of a suitable lecturer with other appropriate post-college qualifications or with less than the required experience. The final decision with regard to the appointment of examiners and internal moderators rests with the DG or his/her nominee.
- (2) The Department or accredited private assessment body must appoint markers by applying the following criteria:
 - (a) 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 this policy, include the following:
 - (i) a recognised three-year post-school/college qualification, which must include the learning area/subject in question at second- or third-year level or other appropriate post-matric qualifications; (National Diploma will not be accepted as an only post-matric qualification to mark college answer books);
 - (ii) appropriate lecturing experience, including lecturing experience at the appropriate level, in the learning area/subject in question;
 - (iii) language competency; and
 - (iv) in addition to the above criteria, preference should be given to serving lecturers who are presently lecturing the learning area/subject in question and in the employ of the institution.
 - (b) The provision relating to appointment under exceptional circumstances in respect of qualifications and experience also applies in respect of these appointments.
 - (c) The recommendation of markers for a specific examination question paper should be carried out by a panel comprising:

- (i) a chief marker, if possible;
- (ii) relevant departmental/college officials; and
- (iii) unions as observers.

ANNEXURE L**MARKING PROCEDURES**

1. Markers shall start marking at the end of an examination or after a learning area/subject has been written, whichever best suits the examination body.
2. The Department or accredited private assessment body must determine the marking procedure in terms of the different learning areas/subjects. Under **NO** circumstances may any marker mark examination answer scripts at home.
3. The Department or accredited private assessment body must submit detailed plans with regard to the marking procedure with special emphasis on the following:
 - (a) Flow of examination answer scripts through the marking teams;
 - (b) Mechanisms to control the flow of examination answer scripts;
 - (c) Moderating by senior markers; chief markers and internal moderators;
 - (d) Checking totals;
 - (e) The final mark will be rounded off if the first decimal is less than 5 and rounded up if the decimal is 5 and above, for example, a final mark of 70,3 will be rounded off to 70 and a final mark of 70.6 will be rounded up to 71;
 - (f) Completing mark sheets; and
 - (g) Dispatching completed examination answer scripts.
4. The chief markers and moderators must submit their reports to the examination body once the marking of a Learning area/subject has been concluded. These reports are used extensively during the standardisation process and to enhance the system as a whole.

ANNEXURE M**ADMISSION REQUIREMENTS FOR THE NATIONAL EXAMINATIONS****1. ADMISSION TO MAIN EXAMINATIONS**

Admission requirements will be applicable to all the qualifications offered by the Department and must be issued from time to time. Colleges will strictly adhere to the requirements in the relevant Learning Area/Subject Examinations and Assessment Guidelines.

Furthermore, a minimum class attendance of 80% except in the case of AET (GETC: ABET) L4, will be required for all full-time students. However, where the class attendance is, for example, 70%, the ICASS mark should be 10% higher than the subminimum for the particular subject. This will compensate for class attendance in order for them to qualify to sit for the external examination.

2. ADMISSION TO SUPPLEMENTARY EXAMINATIONS

- (1) The Department or accredited private assessment body must only conduct supplementary examinations for the qualifications stipulated in the programme and promotion requirements.
- (2) The supplementary examinations for an academic year must be written in the year following the previous final examinations.
- (3) The Learning Area/Subject Examinations and Assessment Guidelines for each qualification must stipulate the requirements for candidates to register and sit for the supplementary examinations.

ANNEXURE N**MANAGING IRREGULARITIES****1. STRUCTURES FOR THE MANAGEMENT OF IRREGULARITIES****(1) The NEAIC**

The NEAIC is established by the Minister to promote the integrity of the national examination and to oversee the management of all irregularities relating to the examinations and assessment of said examinations. Accredited private assessment bodies must establish similar structures. The NEAIC must support the examination centres to ensure that the credibility of the examination is maintained and must coordinate the management of irregularities at a national level to ensure that a consistent approach is implemented in managing all irregularities.

(a) Composition of the NEAIC

- (i) The DG must appoint the following persons to the NEAIC who have competencies and expertise in the educational system as a whole, examinations and assessment, education law, labour relations, and in the handling of disciplinary matters, as follows:
 - (aa) Four representatives from the Department, representing the following sections: National Examination and Assessment and Chief Directorate: Legal Services and Labour Relations; and
 - (bb) One official from each of the regions, nominated by the regional manager.
- (ii) The Minister must appoint the following additional members with observer status:
 - (aa) One representative from each of the quality councils;
 - (bb) One representative from SAQA; and
 - (cc) One representative from each of the educator unions recognised by the ELRC.

(iii) The DG must appoint the committee members, including the Chairperson, who may be independent.

(b) Jurisdiction of the NEAIC

(i) The NEAIC will have jurisdiction over any alleged examination irregularity relating to or occurring during the various stages of the examination and assessment process, without interfering with the line functions of the various directorates in the CD: NEA, including the following:

- (aa) The registration of candidates;
- (bb) The compilation of SBA/ICASS/PAT/oral assessment tasks;
- (cc) The monitoring and moderation of SBA/ICASS/PAT/oral assessment tasks;
- (dd) The setting, moderating and editing of examination question papers;
- (ee) The writing of the examination;
- (ff) The marking of examination answer scripts;
- (gg) The capturing of the marks;
- (hh) The release of the examination results; and
- (ii) The certification process.

(c) Functions of the NEAIC

(i) The NEAIC will be responsible for actively promoting the integrity of the national examination by ensuring that system security is maintained and inculcating morals and ethical values in students writing the examination and assessment.

(ii) The NEAIC must coordinate and support the Centre/Campus Examination and Assessment Irregularities Committees in their initiatives to promote the integrity of the national examination and in managing examination irregularities in their respective centres/campuses.

- (iii) The NEAIC must review and ratify recommendations by the College/Centre/Campus Examinations and Irregularities Committee, as reported relating to each of the examination and assessment irregularities.
- (iv) The NEAIC must be responsible for reporting to the DG and the quality councils on the credibility of the examination and any irregularities that occurred during the examination as a whole.
- (v) The NEAIC must also ensure that all regions/colleges/campuses/centres manage all examination irregularities in a consistent manner by taking responsibility for the following:
 - (aa) Supporting the examination centres in developing capacity relating to the identification, investigation and reporting of examination irregularities;
 - (bb) Supporting the examination regions/colleges/campuses/centres in establishing the appropriate systems and structures for the management of irregularities;
 - (cc) Providing time frames for finalising examination irregularities that occur during the different stages of the examination and assessment process in order to ensure that most examination irregularities, where possible, are finalised prior to the official release of the results;
 - (dd) Ensuring that all the Examinations and Assessment Irregularities Committees comply with the requirements relating to the submission of irregularity reports to the Department;
 - (ee) Evaluating the reports on irregularities received from the Examinations and Assessment Irregularities Committees/regions/colleges/campuses/centres to ensure that the irregularities are managed appropriately; and
 - (ff) Reviewing the sanctions to be imposed to ensure that sanctions are applied consistently.
- (vi) The NEAIC must investigate examination and assessment irregularities, as requested by the DG or Minister or his/her delegate.

(vii) The NEAIC retains the right to re-open an investigation/case if new or fresh evidence comes to the fore after the results have been released following the first investigation, retrieve the statement of results issued and report such a step to the relevant quality council.

(d) Declaration of interest

(i) A NEAIC member shall recuse him/herself in a case in which he/she has an interest.

(e) Transitional arrangement.

(i) The National Irregularity Committee (NIC) currently legally constituted will continue its functions under this policy until such a time that the NEAIC is duly established.

(2) Learning Centre/Campus Examination and Assessment Irregularities Committee

The learning centre/campus manager or his/her designee must establish the Learning Centre/Campus Examination and Assessment Irregularities Committee to promote the credibility of all SBA/ISACC, practical assessments, language oral assessment and internal examinations conducted at the learning centre/campus. Accredited private assessment bodies must establish similar structures at this level. This committee must take responsibility for the management of all internal examination and assessment irregularities identified at learning centre/campus level, and must ensure the implementation of a consistent approach in managing these irregularities.

(a) The Learning Centre/Campus Examination and Assessment Irregularities Committee must comprise the following persons, to be appointed by the learning centre/campus manager or his/her designee:

(i) The learning centre/campus manager must be appointed as the Chairperson of the Learning Centre/Campus Examination and

Assessment Irregularities Committee by the Deputy Principal (Academic) of the college;

- (ii) One person from the Learning Centre/Campus Management Team;
- (iii) One person from the lecturing/teaching staff who is not a member of the Learning Centre/Campus Management Team;
- (iv) Learning area/subject lecturers from another centre coopted on a needs basis, based on the nature of the irregularity being managed; and
- (v) One member of the College/Campus/Learning Centre Council.

(b) Jurisdiction of the Campus/Learning Centre Examination and Assessment Irregularities Committee

The Learning Centre/Campus Examination and Assessment Irregularities Committee must have jurisdiction over any alleged internal examination and SBA/ISACC irregularities relating to or occurring during the various stages of the assessment process, including the following:

- (i) Compilation of the SBA/ICASS/PAT/oral assessment task marks;
- (ii) Administration of the SBA/ICASS /PAT/oral assessment task marks;
- (iii) Monitoring and moderation of the SBA/ICASS/PAT/oral assessment tasks;
- (iv) Setting and moderation of internal examination question papers;
- (v) Writing of the internal examination;
- (vi) Marking and moderation of the internal examination answer scripts;
- (vii) Capturing of the marks; and
- (viii) Resulting processes.

(c) The functions of the Learning Centre/Campus Examination and Assessment Irregularities Committee

The Learning Centre/Campus Examination and Assessment Irregularities Committee must promote the integrity of all assessment and examinations conducted at the learning centres/campuses and will take responsibility for the management of all SBA/ICASS/PAT/oral assessment task and internal examination irregularities detected at the learning centre/campus by –

- (i) investigating all irregularities pertaining to SBA/ICASS/PAT/oral assessment tasks and internal examinations;

- (ii) supporting the lecturers in developing their capacity relating to the identification, investigation of SBA/ICASS/PAT/oral assessment tasks and internal examinations irregularities;
- (iii) establishing appropriate systems and structures for handling all SBA/ICASS/PAT/oral assessment tasks and internal examinations irregularities;
- (iv) conducting investigations into and hearings of all irregularities relating to SBA/ICASS/PAT/oral assessment tasks;
- (v) determining the appropriate sanctions to be imposed for all irregularities identified at the learning centre/campus; and
- (vi) submitting irregularity reports to the learning centre/campus manager regularly, as stipulated by the learning centre/campus manager.

(d) A member of the Learning Centre/Campus Examination and Assessment Irregularities Committee shall recuse him/herself from a case in which he/she has an interest to prevent a conflict of interest.

3. PRINCIPLES GOVERNING THE MANAGEMENT OF EXAMINATION IRREGULARITIES

- (1) The officials conducting investigations and hearings must adhere to the following principles when conducting investigations and hearings:
 - (a) All information relating to examination and assessment irregularities must be kept confidential and be used only for the purpose of investigations and hearings.
 - (b) All parties to the examination and assessment irregularities proceedings shall have the opportunity to be heard, to present evidence, to cross-examine and re-examine witnesses, and to be represented by a legal practitioner or any other person of their choice during a hearing.
 - (c) Examination and assessment irregularity proceedings must demonstrate substantive and procedural fairness regarding the lawful gathering of information for the purpose of hearings.
 - (d) Examination and assessment irregularity proceedings must be conducted in an open and transparent manner.
 - (e) Decisions must be taken based on the facts presented and tested in open and accessible hearings.

- (f) Decisions taken during the hearings should be lawful, reasonable and justifiable.
- (g) Examination and assessment irregularity hearings must be impartial and presiding officers shall act in good faith without malice.
- (h) Both parties to the hearings must have faith in the proceedings.
- (i) Examination and assessment irregularity proceedings must be concluded within the shortest time possible, taking into account the future prospects of the students and the effective management of the assessment process.

4. PROCEDURES IN RESPECT OF THE IDENTIFICATION OF IRREGULARITIES

- (1) Procedure in respect of irregularities identified during SBA/ICASS/PAT/oral assessments:
 - (a) The Learning Centre/Campus Examination and Assessment Irregularities Committee must deal with internal assessment irregularities involving students at the learning centre/campus or learning institution in accordance with the guidelines provided by the Department or accredited private assessment bodies.
 - (b) Any irregularity identified by a lecturer must be reported in writing to the learning centre/campus manager, and a detailed report outlining the nature and extent of the irregularity must be submitted to the learning centre/campus manager.
 - (c) All SBA/ICASS/PAT/oral irregularities relating to particular qualifications must be managed by the Learning Centre/Campus Examination and Assessment Irregularities Committee and a full report must be submitted to the NEAIC for final ratification.
 - (d) The learning centre/campus manager shall request the Chairperson of the Examination and Assessment Irregularities Committee to convene a meeting of the Examination and Assessment Irregularities Committee to finalise the procedure that will be followed in dealing with the relevant irregularity.
 - (e) The Learning Centre/Campus Examination and Assessment Irregularities Committee must oversee the investigation and, based on

the findings of the investigation, determine whether a hearing needs to be convened.

(f) Suspected SBA/ICASS/PAT/oral irregularities involving lecturers constitute acts of misconduct and must be dealt with in terms of the applicable law.

(g) Suspected SBA/ICASS/PAT/oral irregularities involving assessment officials employed in terms of the Public Service Act, 2007 (Act No. 30 of 2007) constitute acts of misconduct and must be dealt with in accordance with the relevant Public Service Regulations.

(2) Procedure in respect of irregularities identified during the planning and preparatory phase of the external examination:

(a) Any examination irregularity identified prior to the writing of the examination question paper must be reported to the National Head of Examination or his/her representative who must decide on the action to be taken.

(b) The following procedure must apply if the examination irregularity is of such a nature that it may result in unauthorised persons gaining access to the relevant question paper:

(i) The DG of the Department must be informed immediately.

(ii) The DG or such delegated official must decide on the action to be taken and who should take this action.

(c) All other irregularities must be reported to the National Head of Examination or his/her representative who, based on the report on the matter, must decide whether the NEAIC (on request) or the Learning Centre/Campus Examinations and Assessment Irregularities Committee must investigate the matter, depending on the severity of the alleged transgression.

(3) Procedure in respect of irregularities identified during the writing of the examination:

(a) The examining body must manage examination irregularities arising from misconduct or disregard for the policies or instructions issued during an examination, as follows:

(i) In all cases, the invigilator must bring the specific examination irregularity to the attention of the chief invigilator immediately.

- (ii) The chief invigilator must then offer the candidate suspected of committing an examination irregularity the opportunity to make a written representation in the presence of the invigilator.
- (iii) The invigilator must be given the opportunity to provide a report on his/her version of events.
- (iv) If a candidate causes a disturbance or disruption during the writing of the examination and refuses to cooperate, the chief invigilator must request the candidate suspected of committing an irregularity to leave the examination room.
- (v) The invigilator must remove the examination answer script from the candidate's possession and must make a note of the date and exact time the examination answer is confiscated. Should the candidate refuse to leave the examination room, the chief invigilator may call security or the South African Police Service (SAPS) for assistance to remove the suspected candidate.
- (vi) If the candidate agrees to cooperate, the chief invigilator must allow him/her to continue answering the examination paper, in which case the chief invigilator must provide a new answer script to the candidate, noting the relevant date and exact time of the issue pertaining to it.
- (vii) In the case of all irregularities, the chief invigilator must forward his/her report, together with a report from the invigilator who was on duty at the time the alleged irregularity was committed, as well as the candidate's representation and any other documentation/statement or exhibit in this respect to the Head of Examination and Assessment at the Department or accredited private assessment body.

(b) Should the invigilator identify an examination irregularity while the examination question paper is being written, the following procedure must be applied:

- (i) The invigilator must remove the suspected candidate's examination answer script and write the word "IRREGULARITY" on the front outside cover page, as well as the kind of alleged irregularity committed, and the date, time and place the alleged irregularity occurred.

- (ii) The invigilator must write the words "Examination answer script confiscated on..... (date) at..... (time) hours" in bold print on the outside front cover page.
- (iii) The invigilator must take possession of any unauthorised or incriminating material, such as unauthorised notes or other object(s) used directly or indirectly, or found in the possession of the candidate, which may have been used to commit the alleged irregularity. The candidate must accept responsibility for the implications attached to taking any unauthorised material into the examination room.
- (iv) The invigilator must attach such material to the confiscated examination answer script, which will become the property of the Department. Neither the suspected candidate, nor his/her parents, guardians or representative will have the right to demand the return of this material.
- (v) Afterwards, the invigilator must hand a new answer script to the suspected candidate and must also endorse this answer script with the words "NEW ANSWER SCRIPT", together with the date and time of the issue. The invigilator must also inform the suspected candidate that he/she should continue answering the examination paper where he/she stopped writing in the confiscated examination paper.
- (vi) The invigilator must inform the suspected candidate of the fact that although he/she will be allowed to continue with the examination, this neither condones his/her alleged contravention of the examination policies, nor does it declare him/her guilty. However, a written report must be submitted to the chief invigilator at the conclusion of the examination and this incident must be reported to the NEAIC.
- (vii) The invigilator must not allow the suspected candidate any additional time to compensate for time lost during the detection and processing of the examination irregularity.
- (viii) The invigilator must submit a full written report immediately after conclusion of the examination to the chief invigilator regarding the alleged irregularity.
- (ix) The chief invigilator must approach the candidate after conclusion of the examination about the alleged irregularity and

request him/her to provide a written declaration or response with regard to the alleged offence.

(x) Should the suspected candidate refuse to submit the required written declaration or to provide a response, the invigilator must confirm this refusal in writing, following which the candidate must sign the invigilator's written statement.

(xi) Should the candidate refuse to comply with subsection (3)(b)(ix), another invigilator, attached to the same examination centre, must provide a written statement confirming the candidate's refusal to provide a written declaration.

(xii) The chief invigilator must then send the relevant examination answer script, any incriminating material and all applicable statements for marking in the normal way, and subsequently forward them to the Head of Examinations. The examination centre will keep copies of all documents in the appropriate file.

(4) Procedure in respect of irregularities identified during the marking of examination scripts:

(a) Markers who identify alleged examination irregularities during the marking process must manage the irregularities as follows:

(i) Markers must mark examination answer scripts in which alleged examination irregularities are identified as usual. They will write the word "IRREGULARITY" in red ink on the front cover in the margin.

(ii) Afterwards, markers must hand in these examination answer scripts, together with the other examination answer scripts and completed marksheets for the attention of the senior marker, the deputy chief marker or the chief marker. The latter must enter the marks of the suspected candidate on the marksheets, clearly indicating "IRREGULAR".

(iii) If the senior/chief marker agrees with the marker's finding, he/she must clearly indicate the location of the examination irregularity on each examination answer script and hand the entire batch of examination answer scripts to the relevant deputy chief marker or chief marker.

(iv) If the senior marker disagrees with the findings of the marker, the senior marker must hand the examination answer script to

the deputy chief marker or to the chief marker for a second opinion. If the deputy chief marker or the chief marker concurs with the senior marker, he/she will return the examination answer script to the marker for normal processing.

- (v) If the deputy chief marker or the chief marker confirms the alleged examination irregularity, he/she must complete and forward the prescribed irregularity report, together with the evidence, to the college/marking centre manager. The college/marking centre manager must then refer the matter to the Head of Examination at the Department or accredited private assessment body.
- (b) If an administrative error or omission is identified during the marking process, it must be brought to the attention of the chief marker who must, in conjunction with the marking centre manager, agree on how this matter can best be managed.

(5) Procedure in respect of irregularities that occur during the capturing, processing, standardisation, release of the results and certification processes:

- (a) The relevant official must report all irregularities relating to the above processes immediately to the Head of Examination at the Department or accredited private assessment body.
 - (i) The relevant official must ensure that confidentiality and security of information are enforced at all times. Any breach in this regard will be considered an examination irregularity.
 - (ii) The DG of the Department or accredited private assessment body or any delegated official may immediately suspend an examination official, assessment official or a lecturer from undertaking examination- or assessment-related activities if he/she contravenes any of these policies. The matter will be dealt with in terms of the applicable legal prescripts.

5. PROCEDURES GOVERNING THE CONDUCT OF INVESTIGATIONS

(1) Purpose of an investigation

After an alleged irregularity has been identified, an investigation must be conducted to collect evidence to establish a *prima facie* case of examination or assessment irregularity.

(2) Investigation team

- (a) The Head of Examination and Assessment at the Department or an accredited private assessment body must appoint two or more persons to conduct the investigation of an alleged examination and assessment irregularity.
- (b) The Head of Examination and Assessment may request the assistance of a campus/college/learning centre official who is not in any of the examination or assessment units, or any other person with specialised skills relevant to the investigation.
- (c) The Head of Examination and Assessment must provide the investigation team with clear terms of reference and list the time frames by which the investigation must be completed.
- (d) The investigators may be called as witnesses during disciplinary hearings.
- (e) No member of the NEAIC or investigator may be involved in any examination irregularity investigation or may be allowed access to a hearing or documentation involving a relative or any other person in respect of whom impartiality may be compromised.

(3) Investigation process

The investigation team must follow the following procedure in respect of an investigation:

- (a) The investigation team may call on any official in the service of the Department or private college offering the public examination and may call on any candidate or candidates to appear before the investigation team, and may also question any candidate accused of an alleged irregularity.
- (b) The investigation team may also call on any person not in the immediate employ of the Department, but who falls under its jurisdiction, to appear before the investigation team, and they may also question any such person during the normal course of an investigation.

- (c) The investigation team must have access to any room or place at any centre registered with the Department as an examination centre, and may scrutinise or take possession of any document, article or any other evidence that may, in the opinion of the investigation team, facilitate the investigation.
- (d) In cases of serious irregularities of a criminal nature, the Department or accredited private assessment body will reserve the right to report such cases to the relevant state security agents with a view to a criminal investigation.
- (e) The investigation team must clearly document and minute all investigations, regardless of the level at which it takes place.
- (f) The investigation team must submit the findings of an investigation to the relevant official who will make a recommendation to the Head of Examination, who will then make a decision whether or not a hearing will take place.
- (g) Each investigation team must submit a detailed report to the Head of Examination within time frames determined by the Head of Examination. This report must, among other information, contain the following:
 - (i) Name(s) of the investigators;
 - (ii) Date of the investigation;
 - (iii) Procedural steps taken, including to alert the affected students about their rights during investigations, in other words, the right to remain silent;
 - (iv) Witness(es) interviewed;
 - (v) Material evidence, if relevant; and
 - (vi) Names of the witnesses to be called to a hearing.
- (h) If the evidence relating to the case is not adequate to support the relevant charge, the Head of Examination may request that a further investigation be conducted or recommend to the NEAIC that the case be withdrawn.
- (i) All the cases the NEAIC withdraws must be submitted to the Deputy DG or his/her nominee for final ratification.

(4) Determining whether a hearing is warranted after investigations have been conducted:

- (a) The Head of Examination must commission an investigation on behalf of the NEAIC to establish a *prima facie* case of an examination or assessment irregularity.
- (b) After the investigation, the Head of Examination must study the report presented by the investigation team and must determine whether the examination and assessment policies have been violated. A charge must, therefore, be formulated and a hearing must be convened.
- (c) It is the responsibility of the Chair of the NEAIC to manage the investigations on behalf of the Head of Examination and to make a recommendation to the Head of Examination on whether there is adequate evidence to formulate a charge and hence to proceed with a hearing.
- (d) In the case of SBA/ICASS/PAT/oral assessment, the manager of the learning centre/campus must oversee the management of the investigation and make a recommendation to the Head of Examination.

6. INVESTIGATIONS CONDUCTED BY THE DEPARTMENT OF HIGHER EDUCATION AND TRAINING

- (1) Circumstances that warrant the Department to conduct investigations into examination and assessment irregularities in examination centres, as contemplated in section 20(2) of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001) or any other applicable legislation.
 - (a) The Department must appoint an investigation team to conduct investigations into examination and assessment irregularities of a very serious nature, which are systemic and threaten to undermine the credibility of the examination system as a whole, including irregularities relating to the following:
 - (iii) Leakage of national question papers at examination centre level;
 - (iv) Cases where officials of the regions/colleges/campuses are to be investigated;
 - (v) Cases where there is a conflict of interest between the regions/colleges/campuses and the examination centre;

(vi) Irregularities that are of public interest.

(b) The following procedure must be followed when the investigation team appointed by the Department conducts these investigations:

- (i) The DG or any delegated official will decide to conduct an investigation when the irregularity is identified and becomes evident.
- (ii) The DG or his/her representative must send an official notification to the Head of the college/campus/centre, informing him/her of the irregularity that must be investigated.
- (iii) The investigation team appointed by the Department must conduct the investigation and must follow the investigation processes stipulated in these policies.
- (iv) The investigation team must present a report to the CD: NEA.
- (v) Afterwards, the CD: NEA or his/her representative must present the report to the NEAIC for final ratification.
- (vi) The report must then be presented to the DG and the quality councils for final approval.
- (vii) The NEAIC must manage any hearings to be conducted and the final report of the NEAIC must be presented to the Deputy Director-General.
- (viii) The NEAIC retains the right to re-open an investigation/case if fresh or new evidence comes to the fore after the release of the results following the first investigation and retrieve a statement of the results that have been issued. It also retains the right to re-open a case if it is detected that irregular practices occurred during a previous investigation. Such a step must be reported to the relevant quality council.

(c) Composition of the investigation team

The Department may use any one or a combination of the following groups of people to conduct an investigation:

- (i) Officials of the Department;
- (ii) Part-time officials appointed by the Department;
- (iii) A special investigation team constituted by the DG
- (iv) Experts from learning centres other than the one under investigation; and

- (v) Forensic experts.

7. IRREGULARITIES IDENTIFIED AT THE DEPARTMENT OF HIGHER EDUCATION AND TRAINING

In the case of irregularities identified at the Department, the DG shall establish an independent investigation team that will report to the NEAIC on its findings and recommendations.

8. PROCEDURES GOVERNING THE CONDUCT OF HEARINGS

- (1) Prior preparations

- (a) The assessment body must appoint the following persons to conduct a hearing:
 - (i) Presiding officer;
 - (ii) Evidence leader;
 - (iii) Recording officers;
 - (iv) Interpreter (where necessary); and
 - (v) Legal representative (if the candidate is represented by a lawyer).
- (b) The presiding officer must be a neutral person who is not a member of the investigation team and must be responsible for conducting the hearings, including the following:
 - (i) Explaining the rules and procedures to the parties;
 - (ii) Asking inquiry questions;
 - (ii) Ensuring that the hearing is procedurally and substantively fair;
 - (iv) Evaluating the value and relevance of all the evidence that is presented and make a recommendation to the NEAIC.
- (c) The Head of the investigation team can either be the evidence leader or any other person with an intimate knowledge of the collected evidence. His/her responsibilities must be to –

- (i) ensure that there is oral, documented or any other form of evidence to prove that the official(s), candidate(s) is/are implicated in the alleged irregularity.
- (ii) ensure that the evidence is consistent, corroborative, relevant, admissible and has been gathered in a manner consistent with the law.
- (iii) ensure that a charge sheet and all other documents are exchanged with the candidate or his/her representative at least five (5) days prior to the hearing.
- (iv) present the charge against the official/candidate at the hearing and lead evidence to prove the allegations.
- (v) examine and cross-examine the witnesses of the suspected official/candidate.

(d) The assessment body must deliver a written notification to the official/candidate involved in the alleged examination irregularity, or to the parent or guardian in the event of candidates being under the age of 18, as well as to the learning centre/campus manager of the institution.

(e) The assessment body must send a written notification by registered mail or deliver it by hand to the official/candidate, parent, guardian or any adult person who resides at the candidate's address.

(f) The person who receives the notification must acknowledge receipt thereof.

(g) The written notification must state clearly that the absence of a reply will not delay a hearing in respect of the suspected examination irregularity.

(h) If an official/candidate who is alleged to have committed an examination irregularity or his/her parent or guardian or a representative cannot be contacted, the centre manager of the relevant institution must be required to assist in contacting the official/candidate. If the manager of the relevant institution is unable to contact the official/candidate, the college must inform the Secretary of the NEAIC accordingly in writing.

(i) The assessment body must allow all officials/candidates suspected of committing an examination irregularity the opportunity to respond to the invitation to attend a hearing regarding the alleged irregularity.

within ten (10) working days of receipt of the notification of an irregularity investigation.

(j) If an official/candidate does not wish to attend a hearing, he/she has the option to admit guilt in the form of a declaration, which must be forwarded to the Secretary of the NEAIC within ten (10) working days of being notified of an irregularity investigation. The candidate may indicate that he/she is unable to attend the hearing and that he/she will accept the outcome of the hearing.

(2) The hearing

- (a) If a suspected candidate is under 18 years of age, he/she may be accompanied by his/her parent(s) or guardian(s), the learning centre/campus manager or any other representative.
- (b) Should the official/candidate or his/her parent(s) or guardian(s) choose to be represented by a legal practitioner at the hearing, the Chairperson of the NEAIC will allow this, but must be informed about it at least ten (10) working days prior to the scheduled hearing.
- (c) Audio recordings, as well as written transcripts, must be made of all the hearings, and the recordings and transcripts must be kept until the matter has been finalised.

(3) After the hearing

- (a) The presiding officer at the hearing must submit the findings of the hearing to a full sitting of the NEAIC.
- (b) The NEAIC must evaluate the report to ensure that the procedure followed the protocol prescribed in the policy and to ensure that the sanction imposed is commensurate with the offence.
- (c) The NEAIC must evaluate this report to ensure that it complies with the prescribed policies and that the sanction(s) is/are applied appropriately.
- (d) The NEAIC must present a comprehensive report on all irregularities to the DG or his/her representative and the quality council for final approval and ratification.
- (e) All the decisions by the DG and the quality council, and their consequent recommendations must be communicated in writing to the

CD: NEA who, in turn, must communicate in writing to the suspected official/candidate and the relevant centre or learning institution under investigation within thirty (30) working days of the completion of the hearing.

9. IRREGULARITIES, ACTIONS AND APPLICABLE SANCTIONS

(1) Sanctions

- (a) The relevant irregularities committee must impose the sanctions contemplated in these policies.
- (b) The NEAIC may impose mandatory sanctions that may include minimum periods of barring, where applicable, after finding the offender guilty of an irregularity. Mandatory minimum periods of sanctions must be stipulated primarily to ensure that irregularities are handled consistently across all regions/colleges/campuses/learning centres to combat and reduce the frequency of irregularities.
- (c) In certain cases, the NEAIC may be of the opinion that in the light of the specific circumstances of a particular case, it may be too harsh and unjust to impose one of the minimum periods of sanction. Should there be "substantial and compelling circumstances" that justify the imposition of a lesser punishment than the prescribed one in a particular case, the committees will not be obliged to impose the minimum period of sanction.

(2) Irregularities in respect of the examination

(a) Administrative errors and omissions (Technical irregularities)

No.	Irregularity	Action to be taken	Applicable sanctions
(i)	Failure to produce an identification document	<ul style="list-style-type: none"> • The candidate must be allowed to write the examination, but must produce an identification document within 24 hours or must provide an affidavit. • Should the candidate fail to produce the identification 	<ul style="list-style-type: none"> • The candidate's scripts of the learning area/subject already written must be marked, and the result must be released.

		<p>document or the affidavit within 24 hours, he/she must not be allowed to continue with the next examination session.</p> <ul style="list-style-type: none"> As from 2019, candidates will not be registered for an examination without an identification document. 	
(ii)	Failure of the invigilator to check identity documents	<ul style="list-style-type: none"> The chief invigilator must report this incident to the manager of the examination centre. The examination centre must report this to the Department Head Office. An investigation must ensue to establish a <i>prima facie</i> case. After the initial report, a detailed report on conclusion of the investigation must be submitted. The DG or his/her representative may immediately suspend the relevant examination official and prevent him/her from undertaking any examination-related activities. The Department must deal with this matter in terms of the applicable disciplinary measures and procedures prescribed by law. 	<ul style="list-style-type: none"> Will be determined after the conclusion of all processes
(iii)	Late delivery of examination question papers at an examination centre due to negligence	<ul style="list-style-type: none"> The Head of Examination will issue a final written warning. 	<ul style="list-style-type: none"> None

(iv)	Incorrect examination number or no examination number	<ul style="list-style-type: none"> Use all available means to establish the correct examination number and verify this number with the learning centre/campus or the candidate concerned. 	<ul style="list-style-type: none"> None
(v)	The examination number does not appear on the marksheets	<ul style="list-style-type: none"> Use all available means to correct the problem, ensure that the number is refreshed, and that a new marksheets is generated. 	<ul style="list-style-type: none"> None
(vi)	An examination answer script has been wilfully torn or damaged	<ul style="list-style-type: none"> The invigilator must bring the specific examination irregularity to the attention of the chief invigilator immediately. The chief invigilator must offer the candidate suspected of an irregularity the opportunity to make a written representation in the presence of the invigilator. If the candidate agrees to cooperate, the chief invigilator must allow the candidate to continue with the written examination. 	<ul style="list-style-type: none"> Results must be declared null and void
(vii)	An examination answer script is found among examination answer scripts from either another examination centre or for a different learning area/subject	<ul style="list-style-type: none"> The script must be packed and redirected to the appropriate examination centre. 	<ul style="list-style-type: none"> None
(viii)	The examination is conducted at an	<ul style="list-style-type: none"> The script(s) must be batched and submitted to the marking 	<ul style="list-style-type: none"> None

	examination centre other than the examination centre where the candidate is registered	centre and must be batched appropriately.	
(ix)	Late arrival at the examination centre	<ul style="list-style-type: none"> The invigilator must NOT allow a candidate into the examination room if he/she arrives after 09:00 for the morning session and after 13:00 for the afternoon session. 	<ul style="list-style-type: none"> The invigilator must ask the candidate to complete <u>Annexure U</u> of the guideline document and explain to the candidate that he/she will have the opportunity to write the next examination sitting
(x)	Examination answer script missing or lost	<ul style="list-style-type: none"> The invigilator must exhaust all possible steps to locate the examination answer script and conduct an investigation. The invigilator must submit a report in this regard to the Department and they must apply to the relevant quality council requesting to apply a lost script principle/formula. An examination answer script lost due to the negligence of an official constitutes an act of misconduct and must be dealt with in terms of the applicable legal prescripts. 	<ul style="list-style-type: none"> None
(xi)	Writing on an incorrect level or the wrong learning area/subject	<ul style="list-style-type: none"> If the action was unintentional, the result of the candidate's mark must be converted, as indicated in the guidelines of 	<ul style="list-style-type: none"> If the action was intentional or deliberate, the candidate's results

		<p>the quality council.</p> <ul style="list-style-type: none"> • If the action was due to the negligence of an official, this constitutes an act of misconduct and must be dealt with in terms of the applicable law or other appropriate measures. 	must be declared null and void.
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(b) Behavioural offences or wilful disobedience with regard to policies or instructions

No.	Irregularity	Action to be taken	Applicable sanctions
(i)	<ul style="list-style-type: none"> • Creating a disturbance, intimidating others or behaving in an improper or unseemly manner despite warning • Disorderly conduct • Disregard for the arrangements or reasonable instructions of the invigilator despite warning • Disregard for examination rules and policies despite a warning 	<ul style="list-style-type: none"> • The invigilator must warn the candidate and if he/she persists with the behaviour or action, the candidate must be removed from the examination centre. • The candidate must forfeit the opportunity to write or to continue writing the specific examination question paper. • The invigilator must make a note on the answer script of the date and exact time of the irregularity. • If the candidate agrees to cooperate, the invigilator must allow him/her to continue writing the examination. 	<ul style="list-style-type: none"> • If the candidate has commenced writing the examination, the marks attained must be declared null and void.

(c) Acts of fraud and/or dishonesty

No.	Irregularity	Action to be taken	Applicable sanctions
(i)	<ul style="list-style-type: none"> • Presentation of a fraudulent identification document or an imposter • An examination question paper written by another person or a substitute candidate • The intentional use of another candidate's examination number 	<ul style="list-style-type: none"> • Do not allow the candidate to write the examination. • Institute a full investigation. • This constitutes a criminal act and the Head of Examination or his/her representative will refer it to the SAPS within 24 hours. 	<ul style="list-style-type: none"> • Results must be declared null and void. • Candidate must be barred from writing the examination for three (3) years from the date the irregularity is confirmed.
(ii)	<ul style="list-style-type: none"> • Failure to present an identification document 	<ul style="list-style-type: none"> • The invigilator must allow the candidate to write the examination, but the candidate must produce the identification document within 24 hours or provide an affidavit. • Should the candidate fail to produce the identification document or the affidavit within 24 hours, he/she must not be allowed to continue with the next examination session. 	<ul style="list-style-type: none"> • The scripts of the learning area/subject already written must be marked and the results will not be released until the candidate submits his/her ID or an affidavit.
(iii)	<ul style="list-style-type: none"> • Bribery or attempted bribery 	<ul style="list-style-type: none"> • Institute a full investigation. • This constitutes a criminal act and must be referred to the SAPS. The Head of Examination or his/her 	<ul style="list-style-type: none"> • Results must be declared null and void. • Candidate must be barred from writing

		representative will report this to the SAPS within 24 hours.	the examination for three (3) years from the date the irregularity was confirmed.
(iv)	<ul style="list-style-type: none"> Access to a leaked examination question paper or parts thereof, actively or passively in whatever form 	<ul style="list-style-type: none"> Institute a full investigation to ascertain the source of the leakage, the spread and who are involved. The SAPS will be included in the investigation process, as well as other investigation experts, including forensic companies. The Head of Examination or his/her representative will report to the SAPS within 24 hours. A candidate who receives any information regarding the question paper unsolicited or passively and in whatever form, must report this to the relevant authorities, failing which the candidate may be incriminated. 	<ul style="list-style-type: none"> Results declared null and void Candidate must be barred from writing the examination for three (3) years from the date the irregularity is confirmed.
(v)	<ul style="list-style-type: none"> Possession of unauthorised examination material or electronic device(s) The use of or possession of a cell phone, programmable calculator or any other 	<ul style="list-style-type: none"> Confiscate the candidate's examination answer script and any unauthorised or incriminating material, such as notes or any other object used directly or indirectly or found in the possession of the candidate that may have been used to commit an irregularity. Write the word "IRREGULARITY", the kind of irregularity, the date and time 	<ul style="list-style-type: none"> Results declared null and void Candidate must be barred from writing the examination for three (3) years from the day the irregularity is confirmed.

	<p>electronic device that may assist the candidate while writing the examination, except where the examination instructions specify otherwise</p> <ul style="list-style-type: none"> • Possession of notes or any other unauthorised material that may in any way assist in answering questions related to the learning area/subject matter • Copying from notes, a textbook or any other unauthorised material • Copying from fellow candidates • Attempting to 	<p>the alleged irregularity occurred on the outside front cover page, as well as indicating the place up to where the candidate has completed the question paper on the inside of the answer book at the time the incident has taken place.</p> <ul style="list-style-type: none"> • Allow the candidate to continue writing the examination. • Do not allow any additional time to compensate for time lost in detecting and processing the irregularity. • At the end of the examination after collecting the scripts, attach the unauthorised or incriminating material to the script containing the irregularity. • Send the script and any incriminating material for marking in the normal way. • Keep a copy. • Submit a full report regarding the irregularity. • Criminal charges may be instituted. 	
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	<p>obtain assistance from or being assisted by another candidate or any individual</p> <ul style="list-style-type: none">• Assisting or attempting to assist another candidate• Receiving assistance from any other source• Any other type of conduct or possession that may render improper assistance or an unfair advantage to the candidate, thereby prejudicing other candidates• Any other action in contravention of the relevant legislation• The non-disclosure of		
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	or refusal to hand over a cell phone or any other material		
(vi)	<ul style="list-style-type: none"> The examination answer script handed in differs from the one issued by the invigilator One candidate submits two examination answer scripts 	<ul style="list-style-type: none"> Conduct an investigation to verify the authenticity or source of the different script. 	<ul style="list-style-type: none"> If it is not the candidate's fault, the answer script must be marked and the results of the candidate released. If the act constitutes dishonesty, – <ul style="list-style-type: none"> results must be declared null and void. the candidate must be barred from writing the examination for three (3) years from the date the irregularity is confirmed.
(vii)	<ul style="list-style-type: none"> Different sets of handwriting are identified in an examination answer script 	<ul style="list-style-type: none"> Conduct an investigation into the anomaly. 	<ul style="list-style-type: none"> If the act was unintentional, the candidate's results must be released. If the act was intentional, results must be declared null and void, and the candidate must be barred from writing the examination for a minimum of no

			barring and a maximum of three (3) years from the date the irregularity is confirmed.
(viii)	<ul style="list-style-type: none"> • Crib notes are discovered at the marking venue • There are no crib notes, but clear evidence of copying • Evidence of possible assistance by an invigilator • Indications that the candidate has been allowed to write the examination as an “open-book” examination, although this was not included in the instructions to the invigilator • Answers identical or too similar to the memorandum 	<ul style="list-style-type: none"> • The marker must immediately report this to the senior marker, the deputy chief marker or the chief marker who will refer the matter to the Department. • Mark the script as usual. • Write the word, “IRREGULARITY”, in red ink on the front cover of the script in the margin. • Enter the marks of the suspected candidate on the marksheet and write “IRREGULAR” on the marksheets. • An investigation must ensue. • The DG or his/her representative may suspend the invigilator immediately from any examination responsibility. • The invigilator must be dealt with in terms of the applicable law or any other appropriate measures. 	<ul style="list-style-type: none"> • The results must be declared null and void • The candidate must be barred from writing the examination for a minimum of one (1) year and a maximum of three (3) years from the date the irregularity is confirmed.
(ix)	An answer script	<ul style="list-style-type: none"> • Mark the script as irregular and 	<ul style="list-style-type: none"> • Should the

	or any part thereof is removed from the examination room and submitted later	<p>submit it for marking in a normal way.</p> <ul style="list-style-type: none"> • Institute an investigation. 	<p>investigation reveal negligence on the part of the candidate, –</p> <ul style="list-style-type: none"> ○ the results must be declared null and void. ○ should the fault be due to the negligence of an official, this constitutes an act of misconduct and must be dealt with in terms of the applicable law or other appropriate measures, for example, the official may be suspended from examination-related work.
(x)	An examination is conducted outside the examination room or examination centre without prior authorisation	<ul style="list-style-type: none"> • Mark the answer script/s as "IRREGULAR". • Institute an investigation. 	<ul style="list-style-type: none"> • If permission was granted without authorisation by the Head of Examination, this constitutes an act of misconduct and must be dealt with in terms of the applicable law and the official may be suspended from examination-related

			<p>work.</p> <ul style="list-style-type: none"> • If there was a sinister motive, – <ul style="list-style-type: none"> ○ the results must be declared null and void ○ the candidate must be barred for a minimum of no barring and a maximum of three (3) years from the date the irregularity is confirmed from writing the examination
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(3) Irregularities involving students during SBA/ICASS/PAT/oral assessment
(Should be dealt with at learning centre/departmental level, depending on the seriousness of the irregularity.)

No.	Irregularity	Action to be taken	Applicable sanctions
(i)	Failure to abide by any or all of the minimum requirements in respect of the compilation of a mark for internal assessment in a learning area/subject with valid reason	<ul style="list-style-type: none"> • Allow the candidate the opportunity to redo the task within a maximum of three months. • If the above is not practical, the mark for that particular component of the internal assessment mark will not be taken into consideration. 	• None
(ii)	Refusing to abide by any or	<ul style="list-style-type: none"> • Record a “444” mark when compiling the marks for the 	• The candidate will receive an

	all of the minimum requirements in respect of the compilation of a mark for internal assessment in a learning area/subject with no valid reason	particular component or for internal assessment as a whole	“incomplete” result for that particular learning area/subject.
(iii)	<ul style="list-style-type: none"> Presenting work that is not the candidate's original work, for example, copying verbatim from another source; an assignment completed by another student, parent or purchased; reproduction of an assignment or project from another student; work that was previously presented and for which credits were received; the whole or part 	<ul style="list-style-type: none"> Do not take the mark for that particular component of the internal assessment mark into account. This may also constitute an act of dishonesty. 	<ul style="list-style-type: none"> The candidate's results must be declared null and void. The candidate must be barred from writing the examination for one (1) year from the date the irregularity is confirmed.

	<p>of a portfolio that is not the student's own, but that of another student from the same or another centre.</p> <ul style="list-style-type: none"> • A candidate who resorts to any dishonest act to mislead the lecturer in terms of the authenticity/originality of the portfolio presented. • Making a false statement in respect of the authenticity of a particular component of the mark for SBA/ICASS/PAT/oral assessment. 		
(iv)	<p>A candidate who, in respect of a component of a mark for SBA/ICASS/PAT/oral that is completed under controlled</p>	<ul style="list-style-type: none"> • Subject the student to the learning centre/campus disciplinary process. 	<ul style="list-style-type: none"> • Determined by the disciplinary code and procedures of the learning centre/campus. However, if it was confirmed that the candidate had an

	<p>conditions, creates a disturbance or intimidates others or behaves in an improper or unseemly manner despite a warning; is drunk or behaves in a disorderly manner; disregards the arrangements or reasonable instructions of the lecturer despite a warning; continues to disregard assessment policies despite warning.</p>		<p>unfair advantage, the learner must receive "0" marks for that component.</p>
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(4) Irregularities involving lecturers and other assessment officials during SBA/ICASS/PAT/oral

*(Must be dealt with in terms of the applicable disciplinary measures and procedure prescribed by law after the NEAIC has investigated and established a *prima facie* case. The NEAIC must refer all cases involving irregularities by officials to the HOD or his/her representative.)*

No.	Irregularity	Action to be taken	Applicable sanctions
(i)	• Wilfully and	• Immediately suspend the	• The mark for that

	<p>intentionally, without a valid reason, fail to satisfy the requirements or exclude one or more assessment tasks from the compilation of the final assessment marks.</p> <ul style="list-style-type: none"> • Alters, in other words, either decreases or increases the marks of candidates without the approval of the internal moderator or Head of the institution. • Provides assistance wilfully to a student which affords such a student an unfair advantage in comparison with other students. • Collaborates with a candidate who presents the whole or part of the portfolio that is not the candidate's work. 	<p>services of a suspected defaulting official with regard to invigilation, marking, monitoring or moderation.</p> <ul style="list-style-type: none"> • Immediately suspend the services of a suspected defaulting official in respect of any or all related assessment processes. • In the event of private learning centres or learning institutions deregistered as examination centres with the Department of Higher Education and Training, the Chief Director of the region or his/her representative may insist on the application of the relevant clauses of the service contract entered into with the particular examination centre. 	<p>particular component of the internal assessment mark must not be taken into account.</p> <ul style="list-style-type: none"> • Results must be considered incomplete.
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	<ul style="list-style-type: none"> • Misrepresents or fraudulently compiles SBA/ICASS/PAT/or al marks to candidates without any authentic source indicating how marks were generated 		
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(5) Examination irregularities involving examination officials or lecturers still studying

No.	Irregularity	Action to be taken	Applicable sanctions
(i)	<ul style="list-style-type: none"> • An examination official fails to declare that his/her child and/or close relative will sit for an examination that particular year or examination cycle • An invigilator fails to check identity documents • An official contravenes legislation regarding the conduct of the examination to give candidates an unfair advantage/ disadvantage in the examination • An official fails to adhere to the criteria 	<ul style="list-style-type: none"> • Suspend an examination official from undertaking any examination-related activities. • Investigate and establish a <i>prima facie</i> case. • Deal with the matter in terms of the applicable disciplinary measures and procedures prescribed by law. • Refer the case to the HOD or his/her representative. 	<ul style="list-style-type: none"> • To be determined by the outcome of the disciplinary process

	<p>and the prescribed process for the appointment of markers, senior markers, chief markers, examination assistants and other persons involved in examination-related work</p> <ul style="list-style-type: none">• An appointed marker makes a false statement in his/her application• A marker does not adhere to prescribed policy and requirements for marking• A marker misbehaves at a marking venue or at the place of accommodation for markers• Any action by an official who indicates the intent to misplace or destroy the examination answer scripts of a candidate or candidates• Removal of examination answer		
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	<p>scripts from the marking centre</p> <ul style="list-style-type: none"> • Awarding marks to candidates which cannot be justified by the evidence on the examination answer script or the marking guideline/ memorandum • Manipulation of the marks to unfairly advantage or disadvantage a candidate or candidates • Any other act that contravenes the policies • Any attempt to assist a candidate which may result in an unfair advantage 		
(ii)	<ul style="list-style-type: none"> • Access to a leaked examination question paper or part thereof in whatever form • College officials writing examinations or who are registered at their place of employment (college) to sit for the examinations 	<ul style="list-style-type: none"> • Institute a full investigation to ascertain the source of the leakage and the spread. • Involve the SAPS and other investigation experts in the investigation process. • The DG or his/her representative may suspend such official from any examination-related activities and deal with the matter in terms of the applicable disciplinary measures and 	<ul style="list-style-type: none"> • Scripts will not be marked and results will not be released • Warning letter to be given to the chief invigilator of the centre

		<p>procedures prescribed by law.</p> <ul style="list-style-type: none"> College officials may not register at their place of employment (college) at all. 	
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(6) Systemic irregularities

No.	Irregularity	Action to be taken	Applicable sanctions
(i)	<ul style="list-style-type: none"> Negligence Indolence Failure to verify and ensure the accuracy of the examination data provided Failure to abide by the relevant legislation or policies Unauthorised release of sensitive/confidential information Misuse of authority for private gain or reward Unauthorised access to examination data or learning area/subject credits Failure to verify information accurately on certificates and qualifications Providing examination data to any institution or individual, without the approval of the DG or his/her representative 	<ul style="list-style-type: none"> Suspend the examination official from undertaking any examination-related activities. Investigate and establish a <i>prima facie</i> case. Deal with the matter in terms of the applicable disciplinary measures and procedures prescribed by law. Refer the case to the CD: NEA. 	<ul style="list-style-type: none"> To be determined by the outcome of the disciplinary process

10. APPEALS

- (1) A candidate has the right to appeal to the DG of the Department or accredited private assessment body against the findings and sanctions imposed by the NEAIC who acted on behalf of the DG or principal/manager of the college/campus/centre within fourteen (14) working days of receiving the written pronouncement of the sanction.
- (2) All appeals must be in writing and must include reasons supporting the appeal.
- (3) The appeal will be concluded within a reasonable time frame.
- (4) The DG may refer the appeals to a committee that may be constituted as follows:
 - (a) CD: NEA (Chairperson);
 - (b) Director: Examinations and Monitoring;
 - (c) Director: Resulting and Certifications;
 - (d) Director: Marking and Instrument Development;
 - (e) Legal Representative;
 - (f) Co-op any expert on an ad-hoc basis; and
 - (g) Union members as observers.
- (5) Accredited private assessment bodies must establish similar structures.

11. REPORTING IRREGULARITIES

Reporting examination irregularities consists of two components. The first component relates to reporting the irregularity from the venue of identification to the relevant officials at the assessment body. The second component relates to reporting the irregularity to the external role players by the Head of the assessment body.

- (1) Internal reporting

Officials must report all alleged irregularities immediately to the next level of responsibility in the assessment process who, in turn, will report irregularities to the Chairperson of the NEAIC and the CD: NEA or the accredited private assessment body. The officials may report alleged irregularities verbally, but must submit a written report subsequently within 12 hours.

(2) External reporting

- (a) All assessment bodies who offer the public examinations must report examination irregularities to the DG or his/her representative within 48 hours of the identification of such irregularities. These bodies may report examination irregularities telephonically, but must submit a written report subsequently within 48 hours.
- (b) The DG or his/her representative must provide the format of the report.
- (c) The DG or his/her representative must report all examination irregularities to the relevant quality council in the prescribed format.

ANNEXURE O**REQUIREMENTS FOR OFFERING THE MUSIC PROGRAMMES OF ACCREDITED EXAMINATION BODIES**

- 1. A learner at a public or private college may offer one of the following external music programmes as an additional subject, to obtain a particular qualification:
 - a) ABRSM;
 - b) TCL; or
 - c) UNISA.
- 2. Accredited assessment bodies may offer external music programmes listed in paragraph 1 in terms of the conditions contemplated in the relevant section pertaining to the programme and promotion requirements of that particular qualification.

ANNEXURE P**APPROVAL PROCESS FOR SUBJECTS OFFERED BY OTHER EXAMINATION BODIES**

1. Candidates at public and private colleges may offer a maximum of one subject developed by an assessment body other than the Department and recommended by the Quality Council to the Minister for approval in addition to the required compulsory subjects for a particular qualification.
2. All requests regarding the offering of additional subjects to a particular qualification must be directed to the Department to determine whether it will consider the inclusion of the subject in the qualification.
3. Additional subjects to be considered by the Department for inclusion in a particular qualification will be accompanied by the following documents:
 - (a) A Curriculum and Assessment Policy Statement;
 - (b) In the case of additional languages, the appropriate English language-level documents, namely, Home, First Additional and Second Additional Language level to be used as a template.
4. An assessment body approved by the Minister and accredited by quality councils must undertake to develop the additional subject request, as well as the conduct of the examination thereof.
5. The Minister may not give institutions a guarantee that he/she will approve the developed documents submitted to the Department. The applicant will do all development at his/her own risk, and the applicant will bear any costs incurred.
6. The applicant must submit all relevant documents referred to in subsection (3) above no later than April of the year prior to the planned implementation of the subject.
7. Once the Department is satisfied that all the above requirements have been met, the Department will send the subject or programme to the relevant quality council for evaluation, which will make a recommendation to the Minister.

8. Subjects approved by the Minister and offered as part of a qualification will be implemented for the first time in Level 1 in the month of January following the year of approval.
9. Assessment bodies and colleges that wish to enrol learners for additional subjects to a qualification developed and assessed by an assessment body should contact the Head of the relevant assessment body for details about the enrolment and assessment procedure for the additional subject.
10. The Department may request assessment bodies accredited by the quality councils and approved by the Minister to assist in examining the approved additional subject offered by a candidate as part of his/her minimum subject package.

ANNEXURE Q**EXAMINATIONS WRITTEN OUTSIDE THE BORDERS OF SOUTH AFRICA**

The Department may offer examinations outside the borders of South Africa at the request of a foreign country. Such a request must be handled by the relevant Ministries of the RSA and the foreign country or countries. An MOU must be entered into between the RSA and such country. Among other requirements, the examination in other countries must be quality assured by the relevant quality council in the RSA. Such institutions/centres must be accredited by the quality council and must be registered by the Department.

- (1) The following criteria must apply when centres lodge requests to be assessed in the national public examination outside the borders of the country:
 - (a) The Department will only consider candidates who are registered for a particular qualification on the NQF in the RSA and who are entitled to be examined outside the borders of the country.
 - (b) The candidates must comply with all the requirements of the SBA/ICASS/ISAT/PAT and oral assessments.
- (2) The Department must only consider applications in this regard if the relevant –
 - (a) candidate is registered for the appropriate qualification.
 - (b) centre submitted a motivation in writing, requesting permission to be examined at an approved venue in accordance with the prescribed schedule.
- (3) Examination centres outside the borders of the RSA must be South African diplomatic missions or centres approved by the relevant accredited assessment body.
- (4) The following criteria must be used to select a centre:
 - (a) A suitable room must be available to conduct the examination.
 - (b) Sufficient light and ventilation must be available to conduct the examination.
 - (c) A vault or safe must be available for the safekeeping of the question papers and assessment material.
 - (d) Suitable furniture, for example, a chair and table, must be provided for the candidate(s) and the invigilator.

- (5) Invigilation must be conducted in accordance with the policies stipulated in this document.
- (6) It will be the responsibility of the Department to supply the examination question papers and all material needed, for example, two answer scripts per question paper, wrapper, attendance register, marksheets, individual timetable, and additional needs such as graph paper, typing paper, et cetera, either by diplomatic bag outside the RSA or by courier services.
- (7) Adherence to the South African standard time requirements:
 - (a) Centres must conform to the South African standard time requirements for the respective question papers.
 - (b) Should this not be practicable in terms of vast time zone differences, a quarantine period commencing at the time of the question paper will apply. The centres must meet any additional costs in this regard.
- (8) The centres will be responsible for all expenses, for example:
 - (a) Packaging and postage;
 - (b) Invigilators for invigilating;
 - (c) Renting the venue, if applicable;
 - (d) Any other incidental costs;
 - (e) The quality councils will recover costs incurred to quality assure the examinations.
- (9) All centres conducting examinations outside the borders of the RSA must be required to sign a Service Contract with the Department, as contemplated in Annexure U.

ANNEXURE R**PRACTICAL EXAMINATION IN COMPUTER- AND TECHNOLOGY-RELATED SUBJECTS**

1. Colleges must visit computer laboratories accompanied by IT support staff to ensure that the infrastructure is compliant with the Practical Examination Guideline Document six (6) weeks prior to the start of the final examination.
2. The security measures in the related subjects/learning areas comprise three phases, namely computer laboratory certification, invigilation during the examination sitting, and verification of CDs/DVDs.
3. Colleges must inform local authorities about the examination timetable at least six (6) weeks prior to the start of the examination to ensure that no load-shedding will be applicable or colleges must have standby generators available.
4. Colleges must take the following measures during the computer laboratory certification process:
 - (1) All centres offering computer- and technology-related subjects must complete a specified checklist certified by the principal of the centre/campus and must submit the checklist to the assessment body two (2) days prior to the examination.
 - (2) All centres/campuses must ensure that one day prior to the examination, the specific centre/campus and/or network will be off limits to all students.
 - (3) All centres/campuses must inspect electronic equipment in respect of the relevant examinations prior to the examinations to ensure, for example, that the electricity cables and wall connections are in good working order to prevent a possible power failure caused by defective electrical apparatus. Each computer room should preferably be on its own circuit breaker as strenuous load, for example, due to air conditioning, may cause problems.
 - (4) All centres/campuses must check hardware and software to ensure that they are in a good working condition, that computers/networks are free of viruses and that antivirus software is updated at least one day before the examination.

- (5) All centres must use and certify only approved hardware configurations and versions of software, as specified by the Practical Examination Guidelines, and must only use legal copies of software.
- (6) The relevant lecturer must ensure that all computers are “clean” and that no program or documents, other than those required by said examination, hidden files and/or examples of any kind are stored or are accessible on the hard disks or the network.
- (7) All centres must deactivate emails and/or messaging systems during the examination.
- (8) All centres must ensure that security measures are in place to prevent students from accessing any other computers, folders and/or documents, other than those required by said examination. In the case of peer-to-peer networks or where students store information on local hard drives, all centres must switch off all network communication devices, including wireless and wired network connectors, such as switches and routers. All centres must ensure that there are dividers between computer work stations. No student must have the opportunity to see other students' work.
- (9) Invigilators must use passwords, familiar only to them, as a security measure during the examination session.
- (10) If centres conduct an examination in two sessions, the technical support person/lecturer must ensure that all the computers are clean before the second session starts by emptying the recycle bin and ensuring that the students from the two sessions do not make contact.
- (11) An examination question paper may require certain work to be printed. Centres will, therefore, ensure that –
 - (a) printers are installed.
 - (b) printers print clearly.
 - (c) new cartridges are used, if possible.
 - (d) the assessment body is responsible for supplying sufficient suitable paper for printers.
- (12) All centres must ensure that the following settings for each computer are correct and in keeping with South African requirements, namely –
 - (a) date and time; and
 - (b) South African regional settings.
- (13) With regard to compact disks or related storage media, –
 - (a) the assessment body must supply each examination centre with at least three (3) CDs/DVDs or related storage media (one for backup)

per marksheets sent to the centre on which the students' work will be saved.

(b) the centre must submit one (backup) CD/DVD containing the students' saved answers immediately after the students have written the examination to the relevant assessment body and two (2) duplicate backup CDs/DVDs will be kept at the centre.

(14) As peer-to-peer networks do not provide the same level of security as server-based networks, all centres must discourage the use of peer-to-peer networks and must disconnect the network cables for the duration of the examination and use the computers as stand-alone machines.

(15) Should a centre use network facilities to conduct practical examinations, the centre must take the following steps to prevent students from copying files:

- (a) The centre must create separate folders for each student on the appropriate network drive and must label the folder with the student's examination number.
- (b) The centre must copy the data files required by each student into each folder or onto a suitable saving device.
- (c) The centre must ensure that it is not possible for the student to access any other data folders on the network.
- (d) The centre must create a separate user ID and password for each student, link these to a specific folder, and test the file redirection setup to ensure that files do not point to one folder.
- (e) The centre must ensure that the user ID and password differ from those used by students during the normal course of practical work.
- (f) The centre must preferably generate access codes randomly, for example, user ID: AxCyfDT, Password: ShwOfT.
- (g) The centre must deactivate electronic messaging systems between work stations during the examination to ensure that students are not be able to send messages or files from one work station to another.

(16) As some networks are able to keep an access log to folders, the centre must deactivate this facility during the examination and maintain this until the examination is completed in case any queries concerning irregularities arise.

(17) The centre must ensure that at least two (2) additional computers and one (1) additional printer are available as backup.

(18) An experienced lecturer must be present during all practical sessions to provide the necessary technical assistance in case computer problems arise.

This lecturer must NOT be part of the invigilation team, must not work on a computer during the writing session and will provide technical assistance only.

(19) **Invigilation**

- (a) A minimum of two lecturers must be present as invigilators in a computer centre during the examinations in computer- and technology-related subjects/learning areas.
- (b) Additional invigilators must be present in accordance with Table 1 below.

Table 1

Number of candidates	Computer- and technology-related lecturers	Invigilators	End-of-session assistance	Total number of invigilators during the end of the session
Less than 10	1	1	1	3
10 – 25	1	2	2	5
26 – 40	1	3	3	7
More than 40	2	4	4	10

(20) **Document retrieval**

- (a) One week before the examination commences, the centre must receive a disk or related storage media containing the documents (data files/folders) for retrieval on the day of the examination.
- (b) The responsible lecturer must make a backup copy of the storage media immediately and determine whether he/she is able to access the files. Thereafter, the responsible lecturer must place the original and the backup storage media in safekeeping with the manager of the centre, and must report any problem experienced with accessing the files immediately to the assessment body.
- (c) The responsible lecturer must save this information on the network or on the hard drives of individual computers, or prepare an individual disk for each student one day prior to the examination. Thereafter all examination centres must be off limits to students, other students and lecturers on that particular day.

- (d) The responsible lecturer must carefully prepare each folder a day before the examination session.
- (e) The lecturer must ensure that each student has an electronic folder clearly marked with the relevant student's examination number and the centre number.
- (f) The responsible lecturer must ensure that under no circumstances do any students have access to the examination data (folders/files) prior to the examination.

(21) The chief invigilator must supervise all security processes.

(22) The centre must receive permission to run a maximum of two consecutive sessions for computer/practical examinations per day and must take the necessary precautions to prevent any communication between the students in the two groups.

(23) The centre must not allow any cell phones, manuals and/or electronic documents in the examination centre unless the Department and the accredited private assessment body specify otherwise.

(24) Students may use the help function on computers.

(25) The centre must put up dividers if students have visible access to adjacent computers.

5. Procedure during the examination session:

- (1) Invigilators must ensure that no student copies from another student and that everyone strictly adheres to all supervisory requirements.
- (2) The additional assistant who must assist at the end of the session (last 30 minutes of the session) will help with printing (if required) and verifying that students' files are written to CDs/DVDs and are saved correctly, and must ensure that all students' files/folders saved on the CDs/DVDs can be accessed afterwards. If stand-alone computers are used, invigilators must use flash drives to retrieve all students' work from the individual workstations and

must ensure that no student edits or keys in work after the examination time has elapsed.

- (3) Students must save their work at regular intervals, for example, every 10 minutes, and they must set up autosave recovery options to every five (5) minutes.
6. Should a power failure occur while students are writing the examination, students must follow the following procedure:
 - (1) Students must remain in the computer room until the power failure has been repaired or until two (2) hours have elapsed.
 - (2) Students must not communicate with each other while waiting for the power failure to be repaired.
 - (3) The centre must allow additional examination time for time lost during a power failure.
 - (4) The centre must reschedule the examination if the power supply is not restored after two (2) hours.
 - (5) The centre must inform the Department or the accredited private assessment body of any power failure immediately.
 - (6) Should a power failure occur, the college must inform the local authorities immediately and must also ascertain, if possible, how long the power failure is expected to last.
 - (7) The centre must collect the disks containing the work the students have completed and must submit these disks to the assessment body.
 - (8) Should an examination be cancelled due to a power failure, the students must write the backup examination question paper on another date.
 - (9) Should two examination sessions be scheduled during an examination, namely in the morning and in the afternoon, the above procedure must apply to both sessions.
7. Should a computer breakdown occur during the examination, students must follow the following procedure:
 - (1) The invigilator must move students to backup equipment immediately and the invigilator must provide appropriate additional time to the affected students,

for example, if a student has not saved his/her work, the invigilator must provide a maximum of 10 minutes' additional time.

- (2) The invigilator must not allow any additional time for work lost and not saved correctly.
- (3) Students must complete the examination question paper within the set time.
- (4) Invigilators must only allow students to print, save their work to a CD/DVD and test the CDs/DVDs after the set examination time has elapsed.
- (5) Printouts:
 - (a) Invigilators must take the necessary precautionary measures to ensure that students' files have been written to a CD/storage media and can be opened correctly.
 - (b) Students must hand any printouts required by the examination question paper to the invigilator.
 - (c) In certain instances, students may print their work to show evidence of work done in the case of software failure and must then submit the printed work with a letter explaining what happened.
 - (d) The invigilator must not allow any printouts to leave the examination room.

8. Should two examination sittings take place on one day, the following procedure must be followed:

- (1) The responsible lecturer must divide the students into two groups.
- (2) The first group must complete the examination during the first sitting and the second group must complete the examination during the second sitting.
- (3) The students in the second group must meet at least one hour before the end of the first sitting. The invigilator must supervise these students and escort them to the computer room before the second sitting commences and after all the students in the first group have left the computer room.
- (4) The invigilator must not allow any student to leave the examination room before the end of that particular examination session.
- (5) The invigilator must not allow any contact between the two groups during either of the two sessions.

9. Students' responsibilities

- (1) Each student must fill in his/her examination number, the examination centre number and the workstation number, and must complete the information sheet and/or folder accompanying the examination question paper.
- (2) Students must further indicate the software packages they used to complete the examination question paper.
- (3) Each student must ensure that he/she has saved his/her work and that this is available on the disk/storage media/folder provided by the assessment body.
- (4) Students must submit these disks or storage media, together with the printouts (if applicable), to the examination section of the assessment body.
- (5) After completing the examination, students must make sure that each file is stored in his/her examination folder and that each file opens from the storage media.
- (6) Should two groups of students use the same computer and printer, the first group of students shall close all their files on the computer and remove all printouts before that computer and/or printer can be used by the next group of students.

10. After the practical examination session, the following procedure must be followed:

- (1) The responsible lecturer must make two (2) backup or duplicate copies of students' work on relevant storage media. One disk must be sent to the marking centre and two (2) disks will be kept at the campus/CLC.
- (2) After each CD/DVD has been written, the invigilator/lecturer must ensure that all folders/files can be accessed and opened.
- (3) The lecturer must handle the required printouts and disks as follows:
 - (a) Check that each printout has the student's examination number inserted as a header.
 - (b) Check that a student's printouts are in the correct order, if applicable, and that a candidate only submits one printout per question.
 - (c) Place the student's information sheet, printouts and disk in a specially designed examination folder (standardised format) (not applicable if all the students' folders are written to one CD/DVD).
 - (d) Clearly indicate the examination number and the centre number on all media submitted to the assessment body.
 - (e) Arrange all folders numerically and place them in a marked box/bag.

(f) Ensure that disks or storage media reach the marking centre intact as answers to questions will be marked from the disks or storage media.

11. The assessment body must verify that all files/folders on the CDs/DVDs are complete and accessible **before** marking commences.

ANNEXURE S**REMUNERATION FOR EXAMINATION-RELATED WORK**

1. Officials who have been appointed to perform examination-related work shall be paid tariffs as determined by the Minister or the accredited private assessment body.
2. Payment may be for work done or for the duration of the question paper in terms of setting, moderating, translating, marking, re-marking, practical and oral examinations, and invigilating.
3. The Department or accredited private assessment body must determine other allowances, where applicable.
4. Officials shall only be remunerated for work related to external examinations and not for internally marked scripts.
5. Public servants may be paid overtime when they perform examination-related work after hours/on public holidays/Saturday and Sundays in terms of the relevant legislation. The Department must determine a norm for the payment of work done after hours or for overtime worked in order to avoid abuse.
6. The Department must implement control mechanisms to deal with the claims process to avoid inflated claims, double claims or fraud.
7. Any official who engages in or attempts to engage in any fraudulent activities with regard to the claiming process shall immediately be suspended from examination-related work by the DG or his/her representative and must be disciplined in accordance with the applicable procedures in terms of the relevant legislation.

ANNEXURE T**MINIMUM REQUIREMENTS FOR A COMPUTER SYSTEM**

The following are the minimum requirements for an examination computer system:

1. Capacity to browse information on files: This will enable the user to browse through information available on all data files, for example, to study the names of students registered at a specific centre in order to find a specific student's information.
2. Registering entries: The computer system must be able to register students' entries per examination by means of approved offline systems or directly within the online environment, and fully validate students in accordance with the rules and regulations of the Department.
3. Generating marksheets: The computer system must be able to generate marksheets, as well as capturing and controlling marksheets. Furthermore, the computer must be able to print marksheets with barcodes to control the flow of marksheets at strategic points.
4. Processing examination results: The computer system must be able to process all results in accordance with the rules and regulations of the Department or accredited private assessment bodies and quality councils.
5. Standardising marks: The computer system must use a process to adjust the marks by using qualitative and quantitative data and reports, as set out in the directives of the quality councils.
6. Learning area/subject information: The computer system must carry forward all learning areas/subjects and examination question paper information from the previous examination and, if required, will introduce changes. The information regarding learning areas/subjects will have a direct influence on the validation of students' entries, students' promotion, as well as on conversion, examination packing material, timetables, admission letters, et cetera.

7. Irregularities: Students found guilty of committing irregularities must be suspended individually or per examination centre. This subsystem must control the correspondence with regard to any investigations into these irregularities.
8. Examination centres: The computer system must register all examination centres and allocate examination centres to a region and college according to their respective provinces/regions.
9. Students' documentation history: The computer system must process students who enter on a continuous basis (repeaters) and apply for certification along with their historical information for possible combination certification.
10. Issue of documents and associated matters: The computer system must handle enquiries with regard to all system documents issued or controlled by the Department or accredited private assessment bodies.
11. Preliminary number of student entries: The computer system must enable management to use documentation to gauge the number of student entries per centre for planning and budgeting purposes, and to assess stationery requirements.
12. Re-marking and rechecking: The computer system must suspend the marks of a student who applies for the re-marking or rechecking of his/her examination answer script until re-marking or rechecking has taken place.
13. Packaging stationery/examination question papers: The computer system must generate reports to assist with the packaging and distribution of examination question papers and examination stationery supplied by the Department or accredited private assessment bodies.
14. Statistics: The computer system must enable officials to extract all statistics pertaining to pass and failure rates, entry irregularities, et cetera, per province, per region or at national level, and must make the statistics available for media releases or for their use by learning area/subject specialists, planners and management.
15. Timetable: The computer system must maintain the dates, times and duration of each examination question paper for student admission letters/permits, the payment of examiners, et cetera.

16. System parameters and system index maintenance: The system administrator must maintain standard/generic information used.
17. Examination marking claims: The Department or accredited private assessment body must manage the control and payment of examiners for bulk marking sessions.

ANNEXURE U**PRO FORMA SERVICE CONTRACT ENTERED INTO BY**

AND BETWEEN THE DEPARTMENT OF HIGHER EDUCATION AND TRAINING AND A
PRIVATE COLLEGE (RESIDENTIAL AND CORRESPONDENCE) IN RESPECT OF
REGISTRATION AS AN EXAMINATION CENTRE
FOR EXAMINATIONS CONDUCTED, ADMINISTERED AND MANAGED IN TERMS OF
THE CET ACT, 2006 (ACT NO. 16 OF 2006)
FOR
YEAR

This will only be valid for the year of examination (inclusive of the supplementary examination).

(PRIVATE COLLEGE)

1. The conclusion of this contract confirms that the private centre has met the following minimum preliminary requirements for registration as an examination centre:
 - (1) Sufficient space and appropriate furniture for the seating of the candidates;
 - (2) Adequate general security;
 - (3) A lock-up facility for the storage of examination material;
 - (4) Clearance certificate in terms of the applicable municipal by-laws from local fire and health services;
 - (5) Providing proper lighting and ventilation;
 - (6) Access to sufficient water and acceptable and adequate toilet/ablution facilities;
 - (7) Suitably qualified teaching staff in sufficient numbers to be trained and used as invigilators; and
 - (8) Clear evidence of the ability to meet any and all costs relating to electricity, water, taxes and/or rental for the premises for the duration of the examination.
2. The DG or his/her delegate retains the right to re-evaluate the private centre at any time in respect of any or all of the above-mentioned criteria.
3. The Department of Higher Education and Training (hereinafter referred to as the Department) retains the right to monitor the conduct of the national examination and related assessment processes at the private centre at any time without forewarning. This includes the right to appoint a monitoring invigilator or any other official duly

appointed by the Department to perform any such examination and assessment related functions at the assessment centre for the duration of the examination.

4. In concluding this service contract, the private centre commits itself to abide unquestionably by all policies and regulations as well as cost involved in respect of the conduct, administration and management of the examination and related assessment processes, as well as the procedures contained in the applicable national policy and regulations.
5. Should developments at the private centre adversely affect the interests of candidates or the integrity of the examination or related assessment processes in the opinion of the DG and as a result of a preliminary investigation, the Department reserves and retains the right to take control of the conduct, administration and management of the examination centre with immediate effect, and will hold the managers or owners of the private centre accountable for all related costs the Department may incur in this respect.
6. The Department may deregister a private centre as an examination centre should the centre fail to abide by any of the policy and regulations or other reasonable requests in respect of the conduct, administration and management of the examination and related examination processes, as well as the procedures contained in the national policy and regulations.
7. All examination centres are required to operate on premises the DG or his/her delegate has approved for this purpose. Should an examination centre relocate, the relevant region will inspect the new premises again to evaluate it as an examination centre.
8. No examination centre may consider relocation within or less than sixty (60) days before the commencement of the examination.
9. Should the relocation of a private centre be unavoidable due to external factors (for example, a natural disaster), the relevant private centre must strictly abide by the following procedure:
 - (1) The DG or his/her delegate must be informed of the enforced relocation in writing immediately.

- (2) Candidates and their parents or guardians must be informed.
- (3) The private centre must be obliged to ensure that proper notices are affixed 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.
- (4) The relevant region must ensure that such information is published in the printed/electronic media by the manager/owner of such centre.

10. The following procedure must be followed when a centre relocates to a new premises:

- (1) Should any centre relocate to a new premises, the centre's registration as an examination centre must lapse immediately and the centre must be forced to seek registration at the new premises from the Department.
- (2) In exceptional circumstances, and provided the centre has an unblemished record with regard to irregularities and administration, the DG or his/her delegate may allow the centre to continue operating for the current final exit examination year only, during which time the centre must apply for, and be granted examination centre status in respect of the new premises. Should the Department refuse such permission or not grant permission for any other reason, the registration of the particular centre shall lapse forthwith.
- (3) Should this process run over the year-end, no new candidates may be registered until a decision has been taken on the registration of the centre.
- (4) The onus must be on the Head of the institution (centre manager/principal) to inform the DG timeously of the institution's intention to relocate.
- (5) The DG or his/her delegate shall inform the chief invigilator in writing of the course that must be followed.
- (6) If the application for registration of the centre is unsuccessful, the DG or his/her delegate must inform the Head of the institution (centre manager/principal) that the registration of the centre has elapsed.
- (7) The Head of the institution shall have the right to respond to the decision and furnish reasons why the centre should not be deregistered.

(8) The DG or his/her delegate must consider such representation before making a final decision. This decision must be conveyed in writing to the Head of the institution and the decision will be final.

11. Reasons for the deregistration of an examination centre:

- (1) An examination centre must be deregistered in the event of –
 - (a) any misrepresentation of information in the application for examination status discovered after approval of the application.
 - (b) undermining the integrity of the examinations or related assessment processes.
 - (c) intentionally or unintentionally permitting any act(s) which undermine the credibility of examinations to occur. Examples of such acts are permitting 'ghost writers' or of collusion between invigilators and candidates or violating any other requirement stipulated in policy.

12. The procedure to be followed in respect of irregular practices at the examination centres:

- (1) The NEAIC must investigate all suspected irregularities.
- (2) If clear evidence emerges from investigations by the NEAIC, disciplinary actions must be instituted and steps taken to deregister the examination centre.
- (3) The Head of the institution/centre managers will be informed, in writing, of the intention of the DG or his/her delegate to deregister the examination centre due to incidents of irregularities.
- (4) The institution/centre managers must be asked to furnish a motivation why the centre should not be deregistered.

13. Conclusion

In the event of the private examination centre being deregistered as an examination centre for whatever reason, the Department must follow the processes specified in the Promotion of Administrative Justice Act, 2000 (Act No. 3 of 2000).

DEPARTMENT OF HIGHER EDUCATION AND TRAINING:

INITIALS AND SURNAME	CAPACITY	DATE
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WITNESS I _____

WITNESS II _____

OWNER(S) OF PRIVATECOLLEGE:

INITIALS AND SURNAME	CAPACITY	DATE
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WITNESS I _____

WITNESS II _____

MANAGEMENT OF PRIVATE COLLEGE (IF DIFFERENT FROM OWNER(S)):

INITIALS AND SURNAME	CAPACITY	DATE
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WITNESS I _____

WITNESS II _____

STAMP

