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To: Deputy Directors-General, Chief Directors, Directors (Head Office and district offices), Deputy Directors, Chief Education Specialists, Heads: Curriculum Support, Circuit Managers, Heads: Management and Governance, Deputy Chief Education Specialists, Subject Advisers and Heads of institutions which prepare learners for the National Senior Certificate, Adult Education and Training Level 4 and Senior Certificate examinations

Subject: Monitoring and risk management for the National Senior Certificate, Adult Education and Training Level 4 and Senior Certificate examinations from October 2019 to July 2020

1. The quality assurance, proper management and effective administration of examinations are essential at all levels and all institutions to ensure the integrity and credibility of examination results. This includes unannounced visits to examination centres as well as principals/centre managers accepting accountability for all examinations conducted at their schools.
2. **Monitoring of the National Senior Certificate (NSC), Adult Education and Training (AET) Level 4 and Senior Certificate (SC) examinations**
 - 2.1 Representatives from the following four bodies will monitor the examination processes at examination centres:
 - (a) The Western Cape Education Department (WCED)
 - (b) The Council for Quality Assurance in General and Further Education and Training (Umalusi)
 - (c) The Department of Basic Education (DBE)
 - (d) The Department of Higher Education and Training (DHET)
 - 2.2 Monitors from Umalusi, the DBE and DHET have been specifically appointed for this purpose and will not necessarily be accompanied by WCED officials when visiting examination centres.

- 2.3 All monitors from the WCED, Umalusi, DBE and DHET will be in possession of identification documents and letters of appointment as monitors and will check **all** examination procedures, for example the removal of question papers from the safe/strongroom, the safekeeping and storage of examination papers in the safe/strongroom, the actual writing of examinations in the examination venues and the invigilation process.
- 2.4 The monitors have been asked to report to the office of the head of the institution when they arrive and again when they leave. Heads of institutions are requested to sign the monitoring instrument and to ensure that the monitor signs the Register for Monitors.
- 2.5 The monitoring instrument (**Annexure A: Western Cape Education Department Monitoring Instrument 2019**) will be used by WCED officials for monitoring the writing of examinations.

3. Risk management for the NSC, AET Level 4 and SC examinations

- 3.1 While it is not expected that the writing of any of the examinations will be disrupted, it is essential that a comprehensive risk management plan be developed by each institution in order to deal with any disruption that might affect the management and conduct of these examinations.
- 3.2 In the event of an evacuation, the circuit manager or district director must be notified of the incident immediately. The circuit manager or another designated official from the district office will endeavour to visit the school immediately to verify the procedures followed by the school. The designated official from the district office must monitor the situation closely from the time that he or she arrives at the school.
- 3.3 Failure to carry out the evacuation according to the set procedures will compromise the credibility of the examination and may result in alternative arrangements being made, such as the rescheduling of the examination at a later date.
- 3.4 Principals/centre managers must inform candidates of the institution's contingency plan for evacuation (**Annexure B: Contingency plan to deal with emergencies**) and of the serious consequences if such an evacuation is not carried out in terms of policy.
- 3.5 In the unlikely event of a national or provincial examination having to be rewritten, the WCED will inform all principals/centre managers immediately after the decision has been made.

- 3.6 Principals/centre managers may use the accompanying checklist (**Annexure C: Risk Management Checklist for the National Senior Certificate, Adult Education and Training Level 4 and Senior Certificate examinations**) as a guideline to assist them in identifying potential risks to the effective conduct of the examinations and to develop their risk management plan accordingly.

4. Risk management of irregularities

- 4.1 The following irregularities occurred during the writing phase of the November 2018 NSC examinations:

Type of irregularity	Number of cases reported
Cellphone	09
Unauthorised material	06
Answer script incorrectly batched	09
Candidate left the examination venue with an answer script	03
Copying	01

- 4.2 The two administrative irregularities (incorrect batching and candidates leaving with their answer scripts) relates to the manner in which answer scripts are collected from candidates. **It is essential that the correct procedures for collecting and batching answer scripts are adhered to at all times.**
- 4.3 It is vital that invigilators are on duty at the door(s) when candidates leave the examination venue to ensure that candidates do not leave the examination venue with their answer script.
- 4.4 Principals/centre managers must acquaint themselves with the contents of *Assessment Management Minute 0013/2017*, dated 24 August 2017, which provided guidelines to minimise assessment irregularities during national examinations.
5. Should there be any doubt about the identity of the person who reports for monitoring the examination, any disruption in the examinations process or the opening of an incorrect question paper, the principal/centre manager must **immediately** report it to one of the following WCED officials:

Mr J Parbhoo, Chief Education Specialist, at 021 467 2572 or via

Jaywant.Parbhoo@westerncape.gov.za

Mr HJ Swart, Director: Assessment Management, at 021 467 2057

Mr B Loriston, Director: Examination Administration, at 021 467 2945

Ms T Singh, Chief Director: Assessment and Examinations, at 021 467 2541

6. The WCED wishes principals/centre managers well with the management of the coming examinations.

SIGNED: PAD BEETS

DEPUTY DIRECTOR-GENERAL: CURRICULUM AND ASSESSMENT MANAGEMENT

DATE: 2019-10-23



WESTERN CAPE EDUCATION DEPARTMENT MONITORING INSTRUMENT 2019 NOV – 2020 JUN

NAME OF EXAMINATION:

NATIONAL SENIOR CERTIFICATE (NOV 2019)

NATIONAL SENIOR CERTIFICATE and SENIOR CERTIFICATE (JUN 2020)

Tick (✓) appropriate box

Two empty rectangular boxes for tick marks.

Monitoring instrument section with three rows for Monitor (1), (2), and (3). Each row includes fields for Name, Date, Subject(s) Monitored, Arrival Time, Departure Time, and Number of Candidates.

CENTRE NAME: _____ CENTRE NUMBER: _____

PHYSICAL ADDRESS OF CENTRE: _____

PRINCIPAL/CENTRE MANAGER: _____

CELL PHONE NUMBER: _____ TELEPHONE NUMBER: _____

INVIGILATORS AT FIRST (1 st) MONITORING SESSION			
INVIGILATORS (INITIAL, SURNAME)	EDUCATOR (EDU)/ COMMUNITY MEMBER (CMM)	INVIGILATORS (INITIAL, SURNAME)	EDUCATOR (EDU)/ COMMUNITY MEMBER (CMM)

INVIGILATORS AT SECOND (2 nd) MONITORING SESSION			
INVIGILATORS (INITIAL, SURNAME)	EDUCATOR (EDU)/ COMMUNITY MEMBER (CMM)	INVIGILATORS (INITIAL, SURNAME)	EDUCATOR (EDU)/ COMMUNITY MEMBER (CMM)

INVIGILATORS AT THIRD (3 rd) MONITORING SESSION			
INVIGILATORS (INITIAL, SURNAME)	EDUCATOR (EDU)/ COMMUNITY MEMBER (CMM)	INVIGILATORS (INITIAL, SURNAME)	EDUCATOR (EDU)/ COMMUNITY MEMBER (CMM)

	AREAS OF OBSERVATION		REMARKS (TICK ✓ appropriate box)		
A:	INVIGILATORS				
1.	The Chief Invigilator is a permanent member of the staff of the school.		YES		NO
2.	The Chief Invigilator has been appointed in writing. (Letter)		YES		NO
3.	The Principal/Chief Invigilator attended the official training session by WCED. (Certificate)		YES		NO
4.	The authority of Chief Invigilator is delegated to: (name, surname and designation)	_____			N/A
5.	Sufficient number of invigilators appointed. (50:50 ratio – not June)		YES		NO
6.	Invigilators received cascaded training. (Request register of the training and minutes of the meeting.)		YES		NO
7.	Teachers don't invigilate the subjects that they teach. (Proof)		YES		NO
8.	Invigilators can be identified.		YES		NO
9.	Relief invigilators are on standby.		YES		NO
10.	Invigilators' letters of appointment on file.		YES		NO
B:	SECURITY MEASURES				
11.	Safe/secure environment		YES		NO
	24 hour security guards		YES		NO
	Security gates		YES		NO
	Functional surveillance cameras		YES		NO
	Alarm systems		YES		NO
	Alarm system with armed response		YES		NO
	Fire extinguishers (updated)		YES		NO
	Evacuation plan		YES		NO
	Access cards/visitor registers		YES		NO
	Biometric system		YES		NO
12.	Measures in place to deal with social protests		YES		NO
C:	SAFE/STRONGROOM FACILITIES AND STORAGE				
13.	The following staff members have access to the question papers and answer books:	Staff name and surname: 1. _____ 2. _____	Designation: 1. _____ 2. _____		
14.	A copy of the examination timetable is clearly visible in the safe/strongroom.		YES		NO
15.	The removal of question paper register is available and up to date.		YES		NO

16.	Duplicate keys available and stored at the district office. (If NO, specify where it is kept.)	_____	YES		NO
17.	A copy of the policy on the school safe/strongroom and handling of safe/strongroom key is displayed in the safe/strongroom.		YES		NO
18.	Safe/strongroom is emptied of all old examination material from previous examinations (At 1 st monitoring visit).		YES		NO
19.	All answer books and examination stationery are stored in the safe/strongroom.		YES		NO
No. 20–25 – Smartlock (SL) system					
20.	The principal's cellphone is in working order and on his/her person to receive SMSs from WCED.		YES		NO
21.	A legible copy of the Standard Operating Plan is displayed in the safe/strongroom.		YES		NO
22.	The Smart Glam Key is switched on and fully charged.		YES		NO
23.	Principal has downloaded sessions onto the Smart Glam Key (sessions will display on the key).		YES		NO
24.	The black canvas bags are removed from the brown boxes and sessions are packed in chronological order according to the examination dates and sessions.		YES		NO
25.	Electronic red seal unlocked successfully.		YES		NO
D:	QUESTION PAPERS AND ANSWER BOOKS				
26.	All question papers received per consignment for the week.		YES		NO
27.	All question papers were sealed upon receipt. Copy of the examination question paper packing list available.		YES		NO
28.	Stationery box received with sufficient materials.		YES		NO
29.	Sufficient number of question papers received – information on the labels.		YES		NO
30.	Answer book register kept up to date.		YES		NO
E:	WRITING VENUE				
31.	The following is available and correctly drawn up: Comment if needed:	Invigilation timetable	YES		NO
		Seating plan	YES		NO
		Training manual for examination	YES		NO
32.	Location of the writing venue is clearly indicated.		YES		NO
33.	Environment is conducive to the writing of the examination. Comment if needed:	Ventilation	YES		NO
		Noise level acceptable	YES		NO
		Light/Electricity	YES		NO
		Cleanliness	YES		NO
		Ablution facility	YES		NO

34.	Start and finish times clearly displayed.		YES		NO
35.	Clock/time indication available to display the time.		YES		NO
36.	All materials removed that could assist candidates.		YES		NO
37.	Measures in place to ensure candidates have no access to each other's work. Comment if needed:	Acceptable spacing between desks	YES		NO
		No sharing of desks	YES		NO
		Where candidates share desks a divider is placed between them	YES		N/A
38.	WCED examination posters displayed in the examination venue(s).		YES		NO
F:	BEFORE THE COMMENCEMENT OF THE EXAM				
39.	Invigilators are present prior to the start of the examination.		YES		NO
40.	Invigilators assigned to all examination venues – ratio 1:30.		YES		NO
41.	Candidates arrived on time.		YES		NO
42.	Admission letters and ID documents of all candidates checked.		YES		NO
43.	Candidates without ID documents instructed to submit it within 24 hours to the school.	N/A	YES		NO
44.	Number of candidates without ID documents.		_____ candidates		
45.	Number of candidates without admission letters.		_____ candidates		
46.	Candidates without admission letters: Comment if needed:	Candidate allowed to write	YES		NO
		Chief Invigilator contacted WCED	YES		NO
		Chief Invigilator explained outcome to candidate	YES		NO
47.	Number of candidates with accommodations/concessions.		_____ candidates		
48.	Number of candidates needing a separate venue due to accommodations/concessions.		_____ candidates		
49.	Invigilators are allocated to these separate venues, apart from the reader/scribe of the candidate.	N/A	YES		NO
50.	Readers/Scribes are trained (proof of certificate)	N/A	YES		NO
51.	All candidates with accommodations/concessions have a letter from the WCED.	N/A	YES		NO
52.	Candidates with additional time as accommodations/concessions can be identified with different coloured stickers indicating the amount of extra time allowed.	N/A	YES		NO
53.	Number of candidates absent for the examination.		_____ with valid reason _____ no reason provided yet		
54.	Chief Invigilator gave instruction that no cellphones or any other electronic/technology devices are permitted in the examination room.		YES		NO
55.	All candidates seated according to the seating plan.		YES		NO

56.	Examination rules on the conduct of the examination read to candidates prior to the commencement of the examination.		YES		NO
57.	Invigilators check that candidates fill in the required information on the cover page of their answer scripts.		YES		NO

58.	Two candidates selected to ensure that the correct question papers are in the room.		YES		NO	
59.	The two candidates signed the register.		YES		NO	
60.	Invigilators verified that question papers issued to them are the correct question papers.		YES		NO	
61.	Candidates instructed to verify that they are writing the correct paper.		YES		NO	
62.	Candidates instructed to check the number of pages and text on each page of the question paper.		YES		NO	
63.	Errata provided (where applicable).		N/A		YES	NO
64.	Candidates given ten minutes reading time (no writing allowed).		YES		NO	
65.	ID documents, admission letters and accommodation letters displayed on the desks.		YES		NO	
66.	The examination started on time.		YES		NO	
	If "NO", candidates were given the full examination time.		N/A		YES	NO

G: DURING THE EXAMINATION						
67.	The Chief Invigilator is engaged in the examination.		YES		NO	
68.	Calculators are checked to ensure that they are not programmable.		N/A		YES	NO
69.	Number of candidates who arrived late (within the first hour).	_____ candidates				
70.	Procedure followed when candidates arrived late (within the first hour).	Allowed the candidate to write		YES	NO	
	Comment if needed:	Provided the rules to candidate		YES	NO	
	*Not applicable if no 69 is 'nil'	Ensured candidate has no unauthorised material and/or cellphones		YES	NO	
71.	Number of candidates who arrived late (after the first hour). * If a candidate arrives after the first hour of the examination, the candidate is not permitted to write the examination.	_____ candidates				
72.	Procedure if a candidate temporarily leaves the examination room. Comment if needed:	An invigilator accompanies candidate.		YES	NO	
73.		Candidate remains seated and waits for the invigilator.		YES	NO	

	Procedure if a candidate completes the examination before the scheduled time. Comment if needed:	The invigilator takes in the script and question paper.		YES		NO
		The candidate signs the register at his/her desk after handing in his/her script and question paper.		YES		NO

74.	Procedure followed if an irregularity is detected. Comment if needed:	Chief Invigilator is called.		YES		NO
		Candidate's script is confiscated correctly and time written on script.		YES		NO
		Candidate issued with new script and question paper to continue exam.		YES		NO
		Chief invigilator completes irregularity form and process.		YES		NO
75.	Five minutes time indication before the end of the examination given to candidates.		YES		NO	
76.	Candidates at this school remained for the full duration of the question paper.		YES		NO	
H: END OF THE EXAMINATION AND HANDLING OF SCRIPTS						
78.	Answer scripts collected from all candidates at their desks.		YES		NO	
79.	All candidates sign the script control register at their desks after handing in their answer scripts.		YES		NO	
80.	All answer scripts counted and recorded.		YES		NO	
81.	Answer scripts and spoilt answer books correctly batched and packaged in the green plastic bag.		YES		NO	
82.	Unused answer books packaged in the red plastic bag.		YES		NO	
83.	Answer book register completed.		YES		NO	
No. 84–88 – Smartlock (SL) system						
84.	Batched and packaged answer scripts are immediately taken to the safe/strongroom.		YES		NO	
85.	Final batched answer scripts placed in the same black canvas bag.		YES		NO	
86.	The hasp is firmly placed over the loop and the seal is locked within an hour after the examination session. (Time for accommodations/concessions is allowed.)		YES		NO	
87.	The black canvas bag is packed in the grey plastic bag and is sealed.		YES		NO	
88.	Distribution labels and waybills pasted on the outer grey plastic bag and NOT the black canvas bag.		YES		NO	

89.	The Senior Invigilator (Private invigilator) completed the online monitoring report.		YES		NO
90.	All irregularities/incidents reported to the Circuit Manager, Directorate: Assessment Management and District Assessment Coordinators.		YES		NO

1ST MONITOR

OTHER COMMENTS:

SIGNATURE OF PRINCIPAL/CENTRE MANAGER _____

DATE _____

SIGNATURE OF MONITORING OFFICIAL (1) _____

DATE _____

2ND MONITOR

OTHER COMMENTS:

SIGNATURE OF PRINCIPAL/CENTRE MANAGER _____

DATE _____

SIGNATURE OF MONITORING OFFICIAL (2) _____

DATE _____

3RD MONITOR

OTHER COMMENTS:

SIGNATURE OF PRINCIPAL/CENTRE MANAGER _____

DATE _____

SIGNATURE OF MONITORING OFFICIAL (3) _____

DATE _____

NB: THE ORIGINAL OF THIS DOCUMENT MUST BE KEPT BY THE SCHOOL IN THEIR INVIGILATION FILE AND A COPY MUST BE MADE AND GIVEN TO THE MONITOR



Contingency plan to deal with emergencies

1. As the types of emergencies vary, the Western Cape Education Department (WCED) has developed the following procedure aimed at providing for situations where there is a need to minimise the effect of an evacuation caused by an emergency. It is essential that all institutions that prepare candidates for examinations follow the same basic procedure.
2. In the event of an emergency occurring **before candidates commence with the writing** of the examination, they must not enter the examination venue(s) before being instructed to do so. They must, however, be isolated from other groups or learners and kept under strict supervision.
3. If an emergency occurs **while candidates are writing**, and should it prove to be absolutely necessary to evacuate the examination room, the candidates must be instructed as follows:
 - 3.1 That they will be given the rest of the designated time to complete the examination upon their return to the examination room(s), i.e. the total time allocated for the paper, less the amount of time they had been writing prior to the evacuation.
 - 3.2 To leave all books and/or examination material closed on their desks.
 - 3.3 To evacuate one room at a time, under the constant supervision of the invigilator(s) and chief invigilator and under the overall control of the principal/centre manager. Additional teachers (not those whose subjects are being written) may be asked to assist in the supervision of the candidates.
 - 3.4 Not to communicate with one another in any way.
 - 3.5 Not to have any books, papers, etc. in their possession.
 - 3.6 Not to have cellphones in their possession.
 - 3.7 To sit in silence in a suitable place on the grounds of the institution, spaced apart to prevent any communication.
 - 3.8 To return in silence to the examination room(s) when given permission to do so and to carry on writing where they left off.
4. The principal/centre manager, chief invigilator and other invigilators must be in charge of the candidates at all times. Each invigilator must be responsible for his or her group of candidates.



**Risk Management Checklist for the National Senior Certificate, Adult Education and Training
Level 4 and Senior Certificate examinations**

Principals/centre managers may use this checklist as a guideline to identify potential risks to effective examination conduct and to develop risk management plans accordingly.

	Principal/centre manager checklist at an institution writing the abovementioned examinations	Tick appropriate column (✓)	
		Yes	No
1.	Are the principal/centre manager, chief invigilator and invigilators trained to ensure the proper administration and management of the entire examination process?		
2.	Has the invigilation timetable been developed to include a 50:50 ratio of community invigilators to full-time employed teacher invigilators per session?		
3.	Is the safe/strongroom prepared for the receipt of question papers?		
4.	Does the school keep a spare key to its safe/strongroom at the district office?		
5.	Does the school have a double locking system for the storage of examination material?		
6.	If the school does not keep its question papers on the school premises, is there a security plan for the daily transport of question papers from the safe/strongroom to the examination venue?		
7.	Is the procedure for the removal of each question paper from the safe/strongroom and the opening of the correct question paper understood and adhered to?		
8.	Does the risk management plan prescribe how the school will deal with unruly candidate behaviour?		
9.	Have candidates been informed of the evacuation procedure in the event of an emergency on the day of the examination?		
10.	Does the school have a policy and arrangements in place for the collection of cellphones from candidates prior to them entering the examination venue?		
11.	Is there a plan to ensure that candidates are issued with their barcoded examination number stickers and the correct question papers?		
12.	Is there a system to identify the invigilator who issued the sticker and the question paper to each candidate?		
13.	Does the chief invigilator, as well as the senior and assistant invigilators, know how to handle all types of irregularities?		
14.	Are all the invigilators aware of the procedures with regard to the collecting, batching, dispatching and returning of scripts to Head Office?		
15.	Does the school have a management plan for the control of answer books?		
16.	Have all the candidates been briefed on the rules of the examination before the commencement of the examination?		
17.	Does the risk management plan indicate how the school will deal with a potentially dangerous situation during the writing of an examination, e.g. a gang fight on the school grounds or any other sort of disturbance?		
18.	Is an alternative writing venue arranged should there be protests close to the school which will prevent the candidates from writing at their venue?		