

**UNIVERSITY OF CAPE TOWN**



# **EXAMINATIONS POLICY MANUAL**

*Updated 18 January 2017*

## **EXAMINATIONS PROCEDURES MANUAL**

The University has formal examinations in May/June, and in October/November, at such other times as the Senate decides, and in January (supplementary and deferred examinations).

### **1. Types of examinations**

Examinations are held in all courses to assess the work done by students. These may take the form of written final examinations (online or paper-based examination) under invigilation conditions (summative assessment), class tests, and other forms of assessment (formative assessment): All tests that contribute to the final result in the course are defined as examinations for the purpose of this procedures manual. As used in this document final examination describes the single (summative assessment) examination for each course that is scheduled to be held during the June and November examination periods (or at such other times as Senate decides).

#### **1.1 June and November examination periods**

Invigilated examinations are held in May/June and October/November and at such other times as Senate decides. No coursework (essays, assignments, other than W, H and Z tests) may be scheduled in the examination period or the preceding consolidation period. (See 1.7 and 10.2)

No more than one final examination in an undergraduate course is allowed in any examination period without special agreement of Senate.

(Where a course allows students to select optional modules, each module will be examined. This may mean that more than two examinations will be required for the course; but it may not be done in such a way that any one student has to sit more than one examination for the course. If this necessitates a course having to use more than one timetable slots, it may be only done with the permission of the Timetable Committee).

#### **1.2 Third-Term examination periods**

Final examinations for third-term courses (winter term and summer term) are normally held immediately after the completion of the course in July and December (some summer term courses only finish in January, and the examinations are held then). No supplementary examinations are granted on third term courses. A deferred examination may be granted in terms of the rules on deferred examinations for third-term examinations.

#### **1.3 Location of Examinations (PC06/2014)**

Examinations are held on campus, but may be held at locations elsewhere for students taking distance or block release offerings. In all locations examinations are to be conducted under the conditions specified by Senate to ensure their integrity and security. (See also 10.10.)

#### **1.4 Deferred examinations**

A deferred examination is a further final examination opportunity granted on medical, compassionate, religious or political grounds. Deferred examinations are normally held in January, but may also be scheduled at another time arranged by the department. Applications for deferred examinations are considered by the Deferred Examinations Committee in terms of the general university rules for degrees, diplomas and certificates.

No supplementary examination will be granted on a deferred examination.

#### **1.5 Supplementary examinations**

A supplementary examination is a further examination granted on academic grounds to a student who has failed the course. In courses where supplementary examinations are allowed, supplementary examinations are granted on behalf of Senate at the discretion of the Faculty Examinations Committee, within the eligibility rules of the Faculty and after considering the recommendation of the academic department concerned. The FEC decides on the awarding of a supplementary examination on recommendation of the department.

Supplementary examinations are normally held in January, but may be scheduled at other times. (See 5.1)

A supplementary examination cannot be deferred. If, for any reason, a student is not present to take a supplementary examination, he or she forfeits the opportunity and the original fail marks stands. (See 8.5)

#### **1.6 Take Home examinations**

Examinations which include a component outside of invigilated conditions (e.g. a case study is handed out the day before which the students then bring to the examination venue where they receive the requirements and sit the written component of the examination) are permitted where a faculty has decided on a sound practice and the examination has received faculty endorsement.

#### **1.7 Examination without Attendance (EWA)**

Senate may allow a student who is repeating a course to take the examinations in the course without re-attendance at classes, under special circumstances. In such cases, Senate will specify which (if any) of the course requirements the student will be required to complete, in addition to the examination(s). No supplementary or deferred examination is granted on an EWA.

#### **1.8 Class tests, essays and other forms of assessment as examinations (PC294)**

The Examinations Officer may schedule June class tests for W and H suffix courses in the June examination period. No course work other than tests for W and H suffix courses may be scheduled in the June examination period or the preceding consolidation period.

Class tests may serve two purposes: formative and summative. First, a class test may be used simply as part of the teaching and learning process, where the marks do not, and are not intended to contribute to the result for the course.

Second, a class test may, in addition to its part in the teaching and learning process, be used as a part of the formal final assessment, in such cases the marks obtained in the class test will contribute to the result of the course, in such proportion as may be determined by Senate.

The above apply equally to essays and other forms of assessment.

June examinations (as opposed to class tests) may be scheduled during the June examination period for courses that run over the whole year i.e. H and W suffix courses).

### **1.9 Online examinations**

The setup and configuration of online examinations must be done in consultation with CILT, ICTS and faculty IT staff in advance. See Appendix F for guidelines on the submission of electronic examinations.

The same rigor applied to paper based invigilation rules must be followed to ensure the integrity of online tests. See Appendix A.

Due diligence must be applied in considering possible risks and technical measures to prevent cheating. See Appendix E for risks to be considered.

## **2. Administration of Examinations**

### **2.1 Preservation of confidentiality and security in typing and copying of formal examination or class test examination papers.**

The Head of Department is responsible for preserving confidentiality and security in formal examination or class test examination papers prepared in his or her department; the Deputy Registrar is responsible for maintaining security and confidentiality in the Examinations Office when copying of formal examination papers is done there, and when question papers are dispatched from the Examinations Office.

Senate (PC09/2014) makes provision for the HoD to appoint a person to act in specified ways to ensure the security of examinations written off-campus. See appendix J for Guidelines for security arrangements for off-campus examinations.

The Examinations Office is not responsible for the security or copying of class tests.

The Head of Department is responsible for compiling the examination papers, and the Head of Department or the Deputy Registrar, as the case may be, is accountable for copying them, storing them, and dispatching them to examination venues. This includes:

- 2.1.1 Security in the compiling and dispatching of draft formal examination or class test examination papers to external examiners. The use of email is acceptable provided that the document is password-protected and the password is sent separately. If the document is not password-protected, this must immediately be reported to the Head of Department or Examinations Officer, who will investigate and decide whether there has been a breach that compromises security. The departmental administrator who sets up the password must circulate the password to affected Examiners in a separate communication.
- 2.1.2 Once the paper has been approved, the HOD must keep a paper trail related to the formal examination or class test examination papers for auditing and quality assurance purposes. Refer to Appendix G for the checklist completed for all formal examination papers printed by the Examinations Office. HODs may wish to use a similar checklist for papers printed in departments.
- 2.1.3 Ensuring that copies of formal examination or class test examination papers are securely locked away at all times, and that no persons have unauthorized access to them. Duplicate keys must be under the sole control of the Head of Department. Care must be taken to ensure that the type of lock used will provide security. Ordinary cupboard and filing cabinet locks are unacceptable.

(Heads of Departments should contact the Deputy Registrar if in doubt about adequate physical security arrangements. Heads of Departments should pay particular attention to the security of examination questions stored electronically: for example, these should not be stored in a form to which others may obtain access.)

- 2.1.4 Ensuring that the copying of formal examination or class test examination papers does not happen off campus, nor is contracted out to third parties. Only departmental machines, the Examinations Office or the University's copy services may be used. If the latter, the paper may not be left with the copy services.
- 2.1.5 Ensuring that the number of persons engaged in the typing and/or duplicating of formal examination or class test examination papers is the absolute minimum. A minimum of two people is required for the printing of formal examination or class test examination papers to ensure that a second count of printed papers takes place. If papers are printed by the University's copy service, a representative of the department must be present for the duration of the printing. Students and student tutors may not assist with the printing of formal examination or class test examination papers. All staff present must sign a register indicating their attendance.
- 2.1.6 Supervising the process of copying formal examination or class test examination papers at all times. Care must be taken that all copies of formal examination or class test examination papers (including master and spoilt copies, whether intermediate draft or final) are removed from the copier, and securely locked away until they are destroyed (a register and reconciliation of the number of

copies made is necessary. Refer to appendix H for a copy of the register used in the Examinations Office). In cases where a printer has a memory, ensuring that the main file is deleted from the printer memory.

- 2.1.7 Ensuring that spoilt or surplus formal examination or class test examination papers (including master and spoilt copies, whether intermediate draft or final) are suitably destroyed, e.g. by shredding or incineration.
- 2.1.8 Ensuring that relatives of, or persons with any close personal relationships with students writing examinations are not involved in the compiling, typing and/or copying of examination papers.
- 2.1.9 In the case where a department printing its own formal examination papers does not have secure storage facilities, the papers must be delivered to the Examinations Office for storage immediately after printing. All papers must be delivered at least 48 hours prior to the relevant formal examination, and be packed in the format requested by the Examinations Office.
- 2.1.10 A copy of all formal examination question papers must be sent to the Library with the exception of Multiple Choice Questions (MCQs) or as approved by the Dean or nominee. Departments are responsible for uploading a PDF version their exam papers to the tab on Vula called "Electronic Exam Papers". A hardcopy of all exam papers printed by the Examinations Office staff will be sent to Archives.

## **2.2 Identification at Examinations (PC 437, 7/91)**

Students are required to present their student registration cards at all University examinations.

*(Rule G20.13, Examinations Rules)*

- 2.2.1 If a student fails to present his or her student registration card at an exam written on campus and cannot be identified by a departmental representative, he or she will be required to produce it his or her student registration card within 5 working days to the relevant department. If the student fails to do so, his/her results for that examination in the subject involved will be cancelled. The warning of this penalty will be printed on the EO01 form (Failure to produce a student card) which he or she is required to complete in the examination room.)
- 2.2.2 If a student fails to present his or her student registration card for an examination written off campus, he or she will be required to produce satisfactory alternative identification (identity document, passport, driver's license) to the chief invigilator, complete the standard documentation for the record, and be photographed by the chief invigilator.

The chief invigilator must submit a scanned copy of the alternative identification offered and the photograph taken at the examination to the Head of Department or nominee within 24 hours of the examination.

The Head of Department or nominee will match the scanned alternative identification and photograph to the certified identification held on system for that student to authenticate the writer.

- 2.2.3 A student whose examination result is cancelled because he or she has failed to present his or her registration card in terms of 5.2.2.1 may apply for the reinstatement of his or her result by application in writing to the Registrar by no later than the 28 February next (in the case of an examination held in the second half of the previous year) or 31 July next (in the case of the examination held in the first half of the year). Such application must be accompanied by the prescribed fee (non-refundable) for each course involved. The result will be reinstated if he or she can show to the satisfaction of the Registrar (or officer designated by the Registrar) that he or she is the person who wrote the examination in question. Where a finalist does not apply for the reinstatement of his or her results by the beginning of the last week of November he or she will not be considered for graduation at the year-end.

### **2.3 Presence of departmental staff at Examinations (Senate 11/6/68)**

The course convener or an authorized representative able to deal with substantive issues relating to the paper **must be available to attend** each venue where the paper is being written (including the extra time venue) when papers from his or her department are handed out, and must collect or make adequate arrangements for the collection of scripts from all venues after the examination.

The course convener or authorized representative should **at least be on call** telephonically throughout the duration of the examination. His or her contact details must be listed on the Examinations website along with all invigilators' details.

### **2.4 Additional time for reading question papers (PC288, PC433)**

As there are advantages in having consistency in examination procedures, examinations involving extra time for reading should not normally be held at the same time and venue as examinations which do not include this allowance.

- 2.4.1 This extra time must be clearly shown on the question paper and recorded on the Examinations website as part of the duration of the paper.
- 2.4.2 The Examinations Officer must be informed prior to the preparation of the timetable so that the full length of the examination may be shown on the timetable.
- 2.4.3 If it is necessary to hold such examinations at the same time and venue as examinations which do not have this allowance, all such examinations must start simultaneously so that those candidates who have not received extra time

will leave the hall before those who have.

## **2.5 Electronic devices: Use at Examinations (PC406)**

The nature and use of programmable electronic devices is to be decided by the course convener and/or examiner and indicated on the cover of the examination paper. Students are to be advised of this in advance.

The unauthorized taking of stored information in a device into an examination is a dishonest practice in respect of which disciplinary action will be taken.

All examiners must ensure that there is no breach of integrity through the use of any device during the examinations.

## **2.6 Formula sheets and other printed material**

Formula sheets and other printed material may be used in an examination if allowed by the examiner. If printed material or formula sheets are allowed, the cover page of the examination question paper must specify clearly what may be used.

If formula sheets are to be used, it is advisable that these are issued to the students in the examination venue. Where students are allowed to bring formula sheets into the examination:

- Students must have been given a clear indication in advance of what may be included on a formula sheet.
- All formula sheets are to be handed in with the answer script.
- Dictionaries are not allowed unless the examiner has indicated otherwise.

During an examination candidates are prohibited from having on their persons any electronic device other than what has been specifically allowed.

## **2.7 Dishonesty at examinations**

(See also Rule G20.11 & G20.12 of the rules for examinations Handbook 3 General Rules and Policies).

Departments that consider it probable that dishonesty has occurred in any form of examination must submit a report on students involved to the Vice-Chancellor for action in accordance with the rules on disciplinary jurisdiction and procedures.

Note: A class test and any other form of assessment contributing to a final result is an examination for the purpose of this rule.

## **2.8 Examinations written in languages other than English**

A candidate in a language and literature department may be required to answer in the language of the subject. A candidate for any other examination must answer in English.

## **2.9 The Retention of Examination Scripts (PC4/89)**

The Head of Department must keep examination scripts until 1 April for all examinations/class tests (including deferred and supplementary examinations) taken in respect of the previous academic year. The decision to keep scripts beyond this date rests with the Head of Department. All class tests are handed back to the student unless they are to be retained for the external examiner. (See rule G24.3 of General Rules handbook.)

## **2.10 Student Access to Examination Scripts**

Where work is examined under invigilated conditions, the script will be retained by the department concerned until 1 April of the following year and will not be returned to the student. All class tests are handed back to the student unless they are to be retained for the external examiner. A student may, by 30 September for first semester examinations whose results have been formally confirmed by the Faculty Examinations Committee (FEC), or by 31 March of the following year for second semester examinations or first semester examinations whose results were only confirmed by the FEC in December

- a) Apply to the department for a copy of the scripts(s) which must be made available on payment of the prescribed fee; and/or
- b) Apply to the department to be allowed to see his or her script.

The purpose of such access is to create a learning opportunity. It is not the purpose to negotiate the mark allocated.

## **2.11 Extra time in examinations**

Senate recognises that a student with a learning or physical disability may require extra time. Senate will consider, in its absolute discretion, applications from students for extra time in examinations and may grant extra time to a student who has a learning or physical disability. (An examination for the purpose of this rule includes class tests that contribute to the final result in a course.)

## **2.12 Misreading of the time-table (GB31/10/77, PC11/88)**

Misreading of the timetable will not be condoned or accepted as grounds for a deferred examination. (*See rule G20.9 in General Rules Book.*) Where appropriate, a department may recommend an examination without attendance (EWA) to the FEC.

### **3. Examination Invigilation**

#### **3.1 Rules for invigilation**

The rules regarding invigilation are as follows: (PC 9/2006, PC1/2007 and PC12/2009)

3.1.1 The Examinations Officer will advise the departments of the number of invigilators needed for each examination and venue (see 3.1.5). The nomination of invigilation sessions is done by the HoD or nominee (the responsible person in the department).

In the case of examinations written off campus, the HoD may appoint invigilators who are employees at another university, or of a third party provider.

The Examinations Officer must be informed of the names of all invigilators and the chief invigilator for each examination and venue by the set date.

3.1.2 Every member of the academic staff shall be required to undertake invigilation duties as specified by his or her Head of Departments, the head having ultimate accountability for the examination. Full time members of staff should be required to invigilate examinations only in the courses for which they teach. No remuneration is paid for the fulfilment of these duties.

3.1.3 Remaining invigilation tasks may be assigned to staff outside of their job descriptions, tutors and other part time staff and must be remunerated at a fair rate. These payments will be made from faculty funds.

3.1.4 Invigilators are to be provided for each session as per the following guidelines: Two invigilators for the first fifty students and one additional invigilator for every additional fifty students (or part thereof). At least one male and one female invigilator must be present in each venue. This ratio should be used as a guideline for providing invigilators for class tests.

3.1.5 The Chief invigilators or an appointed nominee is responsible for the collection of the exam papers from the Examinations Office before each exam session. If there is a lockable safe in the department the Chief invigilator or nominee is allowed to collect the exam papers for the entire exam period.

#### **3.2 Instructions to chief invigilators (See appendix A)**

3.2.1 'Instructions to Chief Invigilators' are revised and approved by the Examinations and Assessment Committee from time to time, and will be issued to the HoD before each diet of examinations. The HoD is to ensure that all chiefs and other invigilators receive the instructions in advance. The chief invigilators are responsible for ensuring that other invigilators at that session and students are aware of and observe the rules that govern student and invigilator behaviour during examinations. The HoD is to arrange for appropriate training when needed.

- 3.2.2 Chief invigilators are required to report any irregularity to the Vice-Chancellor or nominee in writing immediately after the session.

## **4 Examiners**

### **4.1 Appointment of external examiners**

All courses in all examinations (summer term, winter term, class tests, deferred and supplementary) must be externally examined.

External examiners must be approved in advance by the Faculty Board acting on authority delegated by Senate.

An external examiner is appointed for each course, or where appropriate, group of courses. It is desirable that an external examiner of a course in the regular examination also serves as external examiner for the summer term, winter term, supplementary and deferred examinations of that course. It is desirable that in courses where oral re-examination happens, the external examiners form part of the panel that hears the oral examination. It is desirable that the external examiners be present on campus for discussion with the internal examiners and HoD where this is possible.

An external examiner should be appointed for a period of no more than five consecutive years, but may be reappointed after a break.

An external examiner is ordinarily somebody who is external to the University and has no current or recent affiliation to the University. In rare cases where it can be shown that no suitably qualified person external to the University can be found to examine a particular course, Senate may approve the appointment of an examiner external to the department concerned as an external examiner. Such a person may not have taught the students to be examined.

### **4.2 Examiners' names on Questions Papers (PC433)**

A Head of Department may decide whether or not to publish internal and/or external examiners' names on his or her department's examination questions papers. It is expected that external examiners give consent before their names are published.

### **4.3 Instructions to External examiners (PC4/89, PC5/92)**

Instructions to external examiners are approved by the Faculty Board, and issued to all external examiners by the Faculty Office. See *Appendix 5B* (Generic Instructions to external examiners). Faculty instructions must be based on the Senate-approved memorandum for external examiners.

#### **4.4 Reports on departments by external examiners (PC2/88)**

All external examiners are required, as part of their function, to present a confidential report on the quality of the curriculum of the department, as far as they can judge from the estimations of the undergraduate, honours and postgraduate students in the department. These mandatory, confidential reports are to be sent to the HOD in the first instance, who forwards them, with a brief commentary, to the Dean or his or her nominee, and who reviews and sends a summary report to the responsible Executive Officer.

Reports are also required for courses in course-work masters' programmes.

This procedure serves to keep Deans and Executive Officers informed annually of departmental functions and allow remedial action, if necessary, before serious and perhaps permanent damage is done to students in training and the department as a whole. It is a Quality Assurance procedure.

#### **4.5 Payment of external examiners (PC2/88)**

An external examiner is paid a fee if he or she is external to the University. A member of the University staff is not paid a fee for acting as an external examiner.

To receive payment, the external examiner must have been duly approved and appointed by the Faculty Board acting on authority delegated by Senate, and must have submitted the claim form as described in the payment process.

#### **4.6 Availability of names of examiners of PhD theses and masters dissertations**

The names and full reports of examiners are given to successful candidates for the degree of doctor of philosophy. The Doctoral Degrees Board Office informs potential examiners of this policy when inviting them to accept appointment, and asks them whether they would object to this practice.

#### **4.7 Examination papers delivered to a third party**

Where a set of examination papers is sent by courier or other means to an external examiner, the department must record all marks beforehand.

### **5 Supplementary and Deferred Examinations**

The General Rules G23 and G27 on deferred and supplementary examinations are to be published on the notice boards, with the examination timetable (PC 386).

#### **5.1 Times of examinations (PC 410)**

5.1.1 All supplementary examinations for year and second semester courses are held during January or, where this is not a suitable time, at such other time as may be decided by Senate. Supplementary examinations for first semester courses may be held in the second semester, January or in the November examinations session

where this can be accommodated.

- 5.1.2 Deferred examinations are normally held in January with the supplementary examinations. Alternatively, Senate may allow a deferred examination to be held at some other date.
- 5.1.3 Where a department arranges a supplementary or deferred examination outside of the January examination period, the department must notify the students of the date, time and venue of the exam at least 2 weeks prior to the actual exam. A shorter notice period agreed upon by the department and student/s will be allowed provided that the student/s is made aware of the right to at least two weeks' notice of the exam. The student must be notified in writing and the date, time and venue must be communicated to the Examinations Office for posting on the exams website.

## **5.2 Form of examinations (and calculation of results) for Deferred and Supplementary (PC408)**

The form of a deferred examination is to be the same as the form of the original examination to which it relates, but if a department should propose to alter the form of the examination in exceptional circumstances (e.g. from written to oral), such proposal will be subject to the prior agreement of the Faculty Board and all the candidates concerned.

The form of a supplementary examination is decided by Senate and may be the same form as the original examination to which it relates. In deciding the result of a course for which a candidate took a supplementary examination the original result as well as the class work which did not form part of the examination may be taken into account in accordance with 5.2.1. The result will be entered on system as a percentage and be accessible to the FEC and faculty advisors, but the student's transcript will show the result as an unclassified pass (UP SE) (PC01/2008).

### **5.2.1 Calculating the result of a supplementary examination (PC1/2007)**

The results for students who are granted supplementary examinations can be calculated in one of the following ways depending on the form of the examination. How results are to be calculated must be decided by the Faculty Board on recommendation of the Department, and conveyed to the students. In all cases, the actual mark attained will be recorded and available on system, and can be printed on the CRS and the student's registration form, although the results on system for a pass in a supplementary examination will always show on the student's transcript as UP SE (Unclassified pass, supplementary examination). The contribution to the GPA will be 50%.

- As "sudden death"

The final mark is based only on the outcome of the supplementary examination and no coursework is included in the calculation.

- As a composite which includes the coursework

The supplementary mark replaces the examination mark while retaining the proportion that coursework and the examination contribute to the final mark.

- As a composite which includes coursework and the original (failed) examination result

The original and supplementary examinations are averaged to establish 'the examination' mark, and this is then combined with the coursework to determine the final mark.

In cases where the supplementary examination examined only a particular section of the work covered by the original examination, the supplementary examination may be used to substitute for the failed section in the examination. (This could be used where the student passed overall, but failed to get a sub-minimum on a section.)

#### 5.2.2 Capturing of supplementary and deferred examination results.

All supplementary and deferred results must be sent to the Examinations Office for capturing.

### 5.3 The use of external examiners for deferred and supplementary examinations (PC 376)

- 5.3.1 Deferred and supplementary examinations will be externally examined in the same manner as all other final examinations. It is desirable that the external examiners for regular examination of a particular course should also be the external examiner for the deferred and supplementary examination in that course. Where this is not possible, a second external examiner who is available at the required times, must be found for the deferred and supplementary examinations (*see 4.1*).

### 5.4 Applications for deferred examinations

The rules for deferred examinations are set out in the General Rules for Degrees, Diplomas and Certificates. (See also Section 5.10.1, Examination timetable construction: Hierarchy of principles, for policy on students with examination clashes).

In all applications for deferred examinations in courses where no DP requirement is set, the opinion of the department, particularly concerning the student's academic record, is requested and taken into consideration. In courses where a DP requirement is set, the student's DP status will stand as an indication of the student's academic record and the department will not be asked to give a further indication of the student's standing. A student wishing to apply for a deferred examination must complete the application form and submit it, together with any substantiating documents, to the Student Records Office no later than seven days after the scheduled examination.

### **5.5 Provisions relating to deferred examinations for student leaders (Senate 4/83, PC6/88)**

- a) The Deferred Examinations committee, sitting with the Executive Office responsible for student affairs present, may grant a deferred examination in special circumstances where the student has been involved in official *bona fide* activities related to the administration of student affairs or the University generally.
- b) In considering an application for deferment in such cases the Committee shall satisfy itself that the student's contribution has been substantial. Senate envisages that few students, perhaps no more than two or three each year, will be allowed such a deferment of examinations.

Eligibility for receiving a concession is not confined to particular SRC office bearers.

### **5.6 Dispatch of information about deferred examination to students**

To ensure that the student is advised in time, information is sent by email to the address provided by the student on the deferred examinations application form.

Students must be given notice of a deferred or supplementary exam two weeks in advance.

*Note: Where departments arrange the supplementary and deferred examination dates, it is recommended that they follow the practice, used in the Examinations office, of publishing the date on a website (Vula) and informing the students by email.*

### **5.7 Deferred and supplementary examinations**

There is no deferment of a supplementary examination or an EWA examination.

There is no supplementary examination granted on a deferred examination, or on an EWA.

#### **General Policy**

A candidate should not have more than two opportunities of sitting an examination in the same series. A series is defined as a normal examination and the deferred/supplementary examination that follows. A deferred or supplementary examination is itself the second opportunity of sitting the examination. No candidate may be granted a supplementary examination based on the result obtained in this second opportunity (be it a deferred or a supplementary examination).

No department may refuse a student a deferred examination if this has been granted by the Deferred Examinations Committee. Supplementary examinations are not offered for summer or winter term courses.

Where a candidate is granted a supplementary examination, the Course Results Schedule records both the result of the second-opportunity examination, and the fact of its

being a second opportunity result. If the result is a pass, this will be shown as UP (Unclassified pass), and the actual percentage obtained will not be reflected on the transcript but will be retained by the Registrar's Office as a matter of record). (PC 1/2007)

Where a candidate is granted a deferred examination, the Course Results Schedule will show only the final result, and not the fact that it was taken as a deferred opportunity.

## **6 Due Performance (DP) Procedures (Senate 8/9/70, PC 422, PC 431)**

*(See also Rule GB 9)*

- 6.1 The conditions for the award of a DP (Duly performed) certificate for a course shall be approved by the relevant Faculty Board.

The conditions governing the award of DP certificates shall be published in the Faculty Handbook and course outline issued at the start of the course. If the DP conditions need to be changed for any reason after the start of the course and the dean allows this, all students must be informed in writing of the change, and sign acknowledging the written notification of the change.

- 6.2 Departments must publish on their departmental or electronic notice boards/Vula on or before the last teaching day of the semester or year a list of those who have been refused or granted DP certificates or both, whichever is more practicable.
- 6.3 Departments are responsible for ensuring that only registered students participate in and submit work for assessment in a course. No work submitted by an unregistered student may be marked or returned.

## **7 Examination marking requirements**

### **7.1 Anonymous marking (PC1/04)**

Scripts of final written examinations taken under invigilated conditions are to be marked anonymously, on the basis that the method to be used may be determined at faculty level to be approved by Senate.

### **7.2 Accountability for final results (PC10/2016)**

The course convenor is accountable for the final results and must ensure that appropriate steps are taken to validate the accuracy of all uploaded results.

### **7.3 Publication of Examination requirements (Senate 9/70)**

Departmental requirements for examinations, e.g. sub minima for certain specified papers must be approved by the Faculty Board and Senate and published in the Faculty Handbook and the course outline issued at the start of the course.

#### **7.4 Class work contributing to the final mark (PC 5/2003)**

The composition of elements of the final mark is decided by the Faculty Boards on authority delegated by Senate. Where groupwork contributes to the final mark, this needs to be made explicit.

For undergraduate courses where a faculty has not determined otherwise, at least 50% of the final result must be derived from the formal invigilated examination. Where class work and other forms of assessment are to contribute more than 50%, or another percentage set by the faculty, of the result, explicit permission must be obtained from the Faculty Board for that course, and at least 50% of the examinable work must be available to the external examiner.

#### **7.5 Marks for Examination Questions**

Where a question is divided into smaller parts, marks must be clearly allocated to each subdivision. (PC433)

#### **7.6 Proportion of work to be externally examined (PC 5/2003)**

At least 50% of the work that constitutes the final mark is to be externally examined. Where the invigilated examination constitutes less than 50% of the final mark, coursework must be retained and submitted to the external examiner.

### **8 Publication of examination results**

#### **8.1 Official publication of results**

The only results published and entered on a student's record are:

- a) The result for the course approved by the Faculty Board or Examinations Committee, and
- b) The result for the course approved by the Faculty Board or Examinations Committee following a deferred or supplementary examination.

#### **8.2 Approval of examination results and award degrees, diplomas and certificates (PC2/87, PC9/88, PC4/92)**

Faculty Examinations Committees

Senate may appoint one or more Faculty Examinations Committees in each faculty and will delegate power to those Faculty Examinations Committees to:

- Decide examination results
- Award degrees (other than the PhD and all other doctorates) diplomas and certificates within the terms of Senate approved rules
- Decide whether, or not, to refuse readmission to a student who fails to satisfy

the minimum requirements for readmission

- Re-admit students who have not met the minimum requirements for readmission,
- Assign a progression status to all students,
- Award supplementary examinations

Each Faculty Board proposes to Senate the composition of its Faculty Examinations Committee(s). (This could be the full faculty board or a smaller committee).

Faculty Examinations Committees are required to report the names of qualifiers to the June and December meeting of the Senate Executive Committee. Deans and the Chair of the DDB are required to report to this meeting any:

- Outstanding results subject to a Senate concession
- Potential qualifiers not approved by the Faculty Examinations Committees
- Proposals for concessions

The Senate Executive Committee has power delegated to it by Senate to

- Confirm examination results
- Award degrees, diplomas and certificates
- Grant concessions
- Finalise the lists of qualifiers for admission to degrees, diplomas and certificates at the June and December ceremonies.

Any proposed result, not subject to a Senate concession, which is not reported to the Faculty Examinations Committee is to be reported to the Dean. A Dean has power delegated to him or her to:

- a) Approve results, not subject to Senate concessions, received after the Faculty Examinations Committee meeting;
- b) Award degrees (other than the PhD and other doctorates) diplomas and certificates, where results are received; after the June and December meeting of the SEC; after the January supplementary and deferred examinations; during the year when the Faculty Examinations Committee is not scheduled to meet. Degrees, diplomas and certificates so awarded must be noted for information in the Dean's Circular, and / or reported at the next meeting of the FEC.
- c) Refer any such proposed result to a full meeting of his or her Faculty Examinations Committee.

### **8.3 Changes to provisional results (PC5/91)**

A result is provisional until confirmed by the Faculty Examinations Committee, the SEC, the DDB, or the Dean as the case may be.

The authority confirming a provisional result may change the result

- a) If a clerical error has been detected
- b) If an examiner's error has been detected
- c) If the external examiner proposes a change
- d) If the department proposes a change
- e) If a member of the Faculty Examinations Committee, after considering the student's performance in other courses proposes a change.

#### 8.4 Change to final results

A result is final once confirmed by the Faculty Examinations Committee, the DDB, the SEC or the Dean as the case may be.

The Dean may change a final result if:

- a) A clerical error has been detected; or
- b) An examiner's error has been detected,

but must report any such changes in the Dean's Circular.

Any correction to student result must be submitted to the Examinations Office for capturing. This must be accompanied by a signed "Change of result" form.

#### 8.5 Classification of Results

Results are classified and published as follows in all courses for bachelor and honours degrees and for diplomas and certificates:

75% to 100%	First Class
70 - 74%	Second Class (Division One)
60 – 69%	Second Class (Division Two)
50 – 59%	Third Class
Under 50%	Fail

Where a percentage result is not obtained, a student's status may be reflected as:

DPR	Duly performed certificate refused (not permitted to write the exam)
AB	Absent from the course or examination
INC	Incomplete: course not completed
DE	Permitted to write a deferred exam in this course
OS	Result not yet available
GIP	Course still in progress, result expected in a subsequent year
ATT	Course attended
PA	Pass
UP	Unclassified Pass
SP	Pass result obtained via a supplementary examination
SF	Supplementary examination failed
ASF	Failed, absent from supplementary examination
UF SM	Unclassified fail, sub minimum not met.

NOTE: DPR, AB and INC are fail results.

## **8.6 Form of publication of examination results (Senate 18/8/87)**

Until and including 1987, examination percentage marks were not disclosed to students. Academic transcripts issued to students do not include percentage marks obtained prior to 1988, but only classified results.

For all examinations:

- 8.6.1 Examiners are to record on the examiner's report forms percentages only, or results such as AB and DPR, (where appropriate, intervals of, say 5% may be used);
- 8.6.2 Percentages are published as the final result except in the case of supplementary results which are recorded as a percentage only if the examination is failed. The result of a passed supplementary examination is recorded as an unclassified pass (UP), and a mark of 50% is used for the purpose of calculating the GPA. (PC 1/2007)
- 8.6.3 Classification into grades (First class, Second class [Division one], Second class [Division Two] and Third class) is automatic.

## **8.7 Publication of results of essays, assignments etc (PC445)**

It is practice to divulge to students the marks given for all forms of assessment, whether or not such work contributes to the final result for the course.

## **8.8 Publication of results for examinations and class tests of year courses written in the first semester (PC412, PC 415, PC5/91)**

The provisional results of mid-year formal examinations are to be submitted and uploaded by departments by the date stipulated in the University calendar. The results of class tests for year-long courses that count towards the year mark written in the first semester are to be published on departmental notice boards as soon as possible, but not later than the date on which examination results for first semester courses are to be uploaded.

## **8.9 Publication of Provisional Examination Results**

The decision whether or not to publish provisional results on departmental notice boards at the end of the first or second terms rests with the Head of Department. (PC235) Where this is done the publication of provisional results includes the provisional percentage mark. (PC9/88)

Where done, the publication of provisional results is for students' information only. Provisional results must not be published until the results have been confirmed by the external examiner.

Provisional examination results are accessible to students via the self-service login from the time that they are posted by the departmental marks processors. Student access to the self-service login may be suspended for a limited period by the Deputy Registrar: Academic Administration in consultation with the Director: Student System Support to ensure system availability for departmental and faculty users.

#### **8.10 Range of results in undergraduate courses (PC9/88)**

To counter the long-standing and continuing reluctance on the part of many to use the whole marks-range (of between 0 – 100), both at the bottom and the top ends, Examiners are asked to make use of the full marks-range when examining.

#### **8.11 Access to class test scripts/assignments (PC5/91)**

A class test is a form of assessment, whether counting towards the final result or not, which is scheduled by the department during the teaching term.

Departments must allow students to see corrected class test/assignments scripts to:

- a) Provide feedback to students on their performance before they are next examined on the same work
- b) Give them the opportunity to detect errors in both marking and transcription, which could occur.

### **9 Examination timetable and the length and pattern of the academic year (Senate 27/6/89, PC4/92, PC 9/2008)**

The following principles govern the scheduling of the academic year, and the construction of an academic timetable.

- 9.1 There are to be at least sixty teaching days in every term, followed by a period of consolidation (five calendar days) and examination (between eleven to fifteen week days). Examinations will be scheduled from Monday to Friday (Senate April 2013) (see 9.4.)
- 9.2 The academic year begins as determined by Senate on a Friday in February (first meeting of classes) and the first teaching day is the following Monday.
- 9.3 University holidays and public holidays falling during term do not count as teaching days. No recognition is given to religious holidays that are not also University holidays or public holidays. Senate has decided that three periods, Jewish New Year – 2 Days, and the Day of Atonement and Eid) are to be listed in the University Calendar so that Heads of Departments may make appropriate arrangements should they so desire (*Senate 12/9/67*).
- 9.4 Senate has decided (April 2013) to schedule examinations on Monday to Friday during the June and October/November examination periods in order to relieve the clustering of undergraduate examinations. There will be three sessions from Monday to Thursday

and two sessions on a Friday.

- 9.5 Deans may allow international semester study abroad students to write supplementary or deferred examinations at their home institutions.

Note: To be read in conjunction with General Rule G20.10

## 10 Production of the examination timetable

The Examinations Officer works within the following guidelines in drawing up the examination timetables:

### 10.1 Examination timetable construction: Hierarchy of principles

- a) The first consideration must be that any student must be able to take his or her examinations in the ordinary period for those examinations [unless a reason, independent of the timetable, e.g. medical, compassionate, religious or political, giving rise to a deferment, or unless he or she is an EWA (examination without attendance) candidate, or unless the examination is a supplementary one].

A student may be required to write up to two examinations on one calendar day. These may be in consecutive sessions. (It is allowable to write three examinations in a 24 hour period.) A student should not be required to write three papers on one calendar day.

- b) The second consideration must be that the examinations in May/June and in October/November must be scheduled within the periods set by the Senate. No undergraduate examination may be scheduled on a consolidation day. (PC 2008)

Three examinations sessions will be scheduled for Monday to Thursday and two sessions on a Friday. Four hour papers must be scheduled to allow adequate time to set up the venue for the start of the next session.

- c) The third consideration must be that the clashes (other than an EWA) should be avoided by using the agreed software package and data about student enrolment from the student system.

Where a clash occurs as a result of a student registering late (that is, after the publication of the provisional or final examination timetable) the department which allowed the student to register late will be responsible for making suitable arrangements to accommodate the student.

Those departments which allow a candidate to take two, sequential courses in the same year/semester must take responsibility for any consequential examination timetable clash: i.e. such a department will have to set a second paper for the examination session. So that no candidate is ever required to write three examinations on one day, and so that no candidate (other than an EWA candidate) is ever required to take his or her ordinary examinations at the time for deferred

examinations, any unavoidable “triple clash” (a timetable clash involving a single candidate having three examinations on the same day) must be resolved by requiring the department concerned to set a different paper in one of the courses concerned for the candidate(s), to be written during that examination session on a suitable day. (PC 6/91)

d) The fourth consideration must be that (as per PC12/2009):

- Examinations in courses with large enrolments with multiple choice questions must be scheduled late in the diet;
- During the November examinations, all courses in excess of 300 enrolments in the Faculty of Humanities should be scheduled during the first week of examinations to allow re-evaluation to take place before the due date for submission of results.

### **10.2 Students registered for two courses in the same lecture period**

Students wishing to take two courses lectured in the same lecture period may do so only after obtaining written permission from the Dean, countersigned by one of the Heads of Departments concerned indicating his or her willingness to set a further question paper.

### **10.3 Faculty or departmental timetables**

Except in the case of the Graduate School of Business (GSB), undergraduate faculty or departmental timetables must follow the main timetable and examination periods. The GSB sets its own examination periods.

### **10.4 Examination arrangements for new courses**

When approval of a new course is sought from a faculty board, the lecturing periods and the examination arrangements (e.g. number of papers) must also be considered.

### **10.5 Examination in courses requiring more time for marking or re-examinations**

Where more time is needed for marking, or to allow for the scheduling of a re-examination of selected students before the uploading of the results, the department must ask the Examinations Officer to schedule the examination concerned as early as possible in the period. The department’s request will be considered with all similar requests, and accommodated where possible.

### **10.6 SACM: Examination in October/November (PC8/90)**

Practical music and dance examinations are set by the SACM.

### **10.7 Final date for deferred and supplementary examinations (PC11/89)**

All deferred and supplementary examinations must be scheduled so that they can be marked and externally examined by the date set in the calendar for the uploading of results.

### **10.8 Dates by which timetable is to be published (PC11/89, PC6/91)**

Timetables are to be published as follows:

#### **June examinations**

2 <sup>nd</sup> week in March	First provisional timetable published
1 <sup>st</sup> week in April	Second provisional timetable published
1 <sup>st</sup> week in May	Final timetable published

#### **October/November examinations**

2 <sup>nd</sup> week in August	First provisional timetable published
Last week in August	Second provisional timetable published
3 <sup>rd</sup> week in September	Final timetable published

#### **Supplementary/deferred examinations**

In the week following Dec Graduation	provisional timetable published
In the first week of the calendar year	final timetable published

### **10.9 Authority to make changes to the final timetables**

The Examinations Officer is authorized to change the dates of postgraduate course examinations on the final timetable on the recommendation of the Head of Department.

Changes to the final timetable affecting undergraduate courses may be made only by the Examinations Officer, after consultation with the Chair of the Timetable Committee, the Head of Department and with the support of all students concerned. A change can only be made if it does not cause any further clashes.

The Examinations Office shall report any such change to the faculty manager(s) concerned.

### **10.10 Venues for Examinations and Class Tests: Sitting examinations at centres other than Cape Town**

10.10.1 Except by the permission of the Senate all examinations must be written at the University. Senate has authorised:

- (a) Faculties to schedule examinations outside of Cape Town in the case of:
  - (i) distance-mode courses;

- (ii) block-release mode course where a significant proportion of a class is ordinarily resident elsewhere; and
- (iii) blended-mode courses.

10.10.2 Examinations for students taking distance or block release offerings may be written at locations off campus. In all locations examinations are to be conducted under the conditions specified by Senate to ensure their integrity (PC09/2014).

10.10.3 The venue capacity used for teaching should not be used for the above exam/class tests. The following should act as a guide for venue seating arrangements during class test and exams:

- A flat-floor venue – reduce the venue capacity used for teaching by half to allow sufficient space between students as well as sufficient walking space for the invigilator between the desks.
- A raked/semi raked venue – a student to sit at every second desk using all rows and in the cases where the walking space between the rows is not sufficient, every second row will be kept open to allow the invigilator easier access to the students. This also allows the student easy access to leave the venue without disturbing any other student.

#### **10.11 Scheduling of class tests and their inclusion in the mid-year examination time-table (PC 5/91)**

For undergraduate courses June examinations or **class tests** counting towards the course work mark may be scheduled as part of the June Examination period timetable for year courses (H or W suffixes). A department which wants to schedule such a June examination during this period arranges with the Examinations Officer for it to be included in the timetable. No class test **assessment**, other than those class tests which are included in the official timetable, may be held in the June examination period.

No class test or other form of assessment may be held in the days set aside for consolidation.

## APPENDIX A

### UNIVERSITY OF CAPE TOWN

#### INSTRUCTIONS TO CHIEF INVIGILATORS (Senate Revision September 1991, E&AC edited 2009)

#### THE INSTRUCTIONS BELOW MUST BE FOLLOWED STRICTLY

##### 1. PROCEDURE BEFORE THE EXAMINATIONS BEGIN

- 1.1 The chief invigilator must be present 30 minutes before the published start time of the examination to take delivery of scripts, except for the Sport Centers and Jameson Hall, where the chief invigilator must be present one hour before the published time of the exam.

All assistant invigilators must be present between 20 and 40 minutes before the published start time of the examination (the time period to be advised by the Examinations Office depending on circumstances). The chief invigilator should use 10-15 min to hold a caucus meeting with all assistant invigilators before the students enters the venue. The chief invigilator should ensure that all assistant invigilators are familiar with these instructions, briefed on procedure and the roles of the assistant invigilators in that specific session (e.g. where there are multiple papers being written, how the papers will be handed out and collected). The chief should ensure that all invigilators know what is expected of them before the session starts.

- 1.2 The candidates are permitted to enter 15 minutes before an examination is due to begin.
- 1.3 The chief invigilator must ensure (1) that attendance slips and the required number of printed answer books have been laid on tables; (2) that entrance cards are shuffled and ready and (3) that tables are numbered as required before students enter.
- 1.4 The chief invigilator must ensure that an area INSIDE the examination venue is used for candidates to place unauthorised material, it being understood that the University accepts no responsibility for the safe keeping of such items.
- 1.5 The remaining invigilators must see that brief-cases, handbags, cell phones, books, notes or any other materials not authorised by the chief invigilator are placed in the designated area and that each candidate sits at the table allotted to him or her, unless the chief invigilator considers that there is good reason for moving the candidate. No student may have a cell phone on his / her person, or desk.
- 1.6 In the unlikely event that the venue cannot accommodate all the students who have presented themselves for the examination, the chief invigilator should consult the building supervisor or phone the Examinations Office. Arrangements will be made for the students to be taken to another venue. Chief invigilators should not ask the building supervisors to provide extra desks and chairs.

## **2. PROCEDURE AT THE START OF THE EXAMINATION**

- 2.1 Examinations must start promptly at the published time. The following announcements must be made by the chief invigilator:
1. ANY BOOKS, NOTES, BAGS OR OTHER MATERIAL NOT AUTHORISED FOR USE IN THIS EXAMINATION MUST BE HANDED TO ONE OF THE INVIGILATORS.
  2. NO STUDENT IN THIS VENUE SHALL HAVE ON HIS OR HER PERSON OR DESK ANY DEVICE CAPABLE OF THE STORAGE, RETRIEVAL, TRANSMISSION, OR RECEPTION OF DATA INCLUDING (BUT NOT LIMITED TO) CELLPHONES, SMARTPHONES, CALCULATORS, TABLETS, LAPTOPS, MP3 PLAYERS, IPODS, AND WATCHES.
  3. EXCEPTIONS FOR CLASSES OF DEVICE, E.G., NON-PROGRAMMABLE CALCULATORS, OR ALLOWED DEVICES, E.G., THE TI-83 PLUS CALCULATOR, MAY BE GRANTED BY COURSE CONVENERS.
  4. A DEVICE SPECIFIED IN (1) THAT IS BROUGHT INTO AN EXAMINATION VENUE MUST BE PLACED IN A BAG THAT IS NOT ON THE STUDENT'S DESK AND MUST BE SWITCHED OFF.
  5. UCT RESERVES THE RIGHT TO USE METAL DETECTORS AND ELECTRONIC SCANNERS (E.G. CELLPHONE DETECTORS) TO ENSURE THE INTEGRITY OF ITS EXAMINATION PROCESSES.
  6. IF THERE ARE ANY STUDENTS PRESENT WITH EXTRA TIME CONCESSIONS, YOU ARE TO WRITE IN THE EXTRA TIME VENUE – ARTS 118. PLEASE MAKE YOUR WAY TO ARTS 118 IMMEDIATELY AS EXTRA TIME CAN NOT BE ACCOMMODATED IN THE MAIN VENUE.
  7. YOU MAY NOT LEAVE DURING THE FIRST SIXTY OR THE LAST TWENTY MINUTES OF THE EXAMINATION. PLEASE NOTE THAT YOU WILL NOT BE ALLOWED TO LEAVE THE VENUE TO GO TO THE TOILET WITHIN THE FIRST HOUR OF THE EXAMINATION.
  8. LEAVE QUESTION PAPERS FACE DOWNWARDS UNTIL PERMISSION IS GIVEN FOR THE EXAMINATION TO BEGIN.
  9. PLEASE FILL IN THE ATTENDANCE SLIP ON YOUR TABLE. LEAVE YOUR UCT REGISTRATION CARD AND ENTRANCE CARD NEXT TO IT.
  10. PLEASE NOW READ THE INSTRUCTIONS ON THE ATTENDANCE SLIP.

- 2.2 Hand out question papers face downwards only **after** the students have entered and settled. Where multiple papers are written, call upon candidates in each course concerned to stand, and use all the available invigilators and departmental representatives to hand out the same paper at the same time. When it has been established that every candidate has a copy of the correct paper, announce the starting time and duration of each examination.
- 2.3 Where applicable, give instructions on the use of answer books according to the specific requirements of each examination.
- 2.4 Where a department has not been requested to supply an invigilator, a departmental representative should be available for as long as necessary then leave a contact phone number and be on call to answer any queries. If no representative is present and queries cannot be resolved, please contact the Examinations Officer at Ext 3692/4.
- 2.5 Each entrance to the venue should be monitored to receive late-comers and direct them to their tables after the distribution of papers. No late-comers may be admitted to the venue after an hour has elapsed. No extra time may be given to late-comers.

### **3. PROCEDURE DURING THE EXAMINATION**

- 3.1 Collect any unused answer books and attendance slips from unoccupied desks.
- 3.2 After the first ten minutes collect all attendance slips and at the same time check that each candidate is in possession of a current registration card. Check the attendance slip against card and face.  
  
Any candidate without a current registration card who cannot be verified by any of the invigilators or by a departmental representative should be given a pink form to complete (i.e. in the student's own handwriting). The bottom half of the form must be retained by the candidate for presentation to the relevant department, and the top half sent to the department responsible for the examination. These slips must be retained in the department, who should check the handwriting of the student presenting the ID card. This must match the writing on the pink slip.
- 3.3 Collect entrance cards and check against desk numbers. Unless there is good reason, insist that numbers match. Do a headcount. Move students if necessary. Leave entrance cards on the chief invigilator's desk.
- 3.4 Issue further answer books as required by candidates.
- 3.5 Invigilators must be active in their invigilation and check frequently by walking around the hall. Look out for irregularities e.g. unauthorised answer books, or other materials/notes at a candidate's feet, attempts to communicate, etc. Students may be required to remove or reverse peak caps as the wearing of a peak cap makes it difficult for the invigilator to see where the wearer is looking.

**If any irregularity is discovered or suspected, the work already attempted by the candidate must be collected immediately, together with any evidence. The candidate may continue in a fresh answer book. No extra time may be granted. The chief invigilator must send a written report together with all relevant evidence on the incident, to the Legal Services and Secretariat Department as soon as the examination session has ended.**

3.6 From the collected attendance slips, check the attendance lists. The names of those present should be ticked off, and absentees clearly designated. The chief invigilator should add the name of any candidate not on the attendance list and initial the addition.

3.7 A student is not allowed to leave an examination venue and return to continue writing. Allowance is made to enable students to use the toilets and for Muslim students to perform their daily prayers as follows:

A student who requests to use the toilet must be escorted by an invigilator. Students may not leave the venue during the first hour. Not more than one student is allowed to leave the venue at a time. The invigilator who escorts the student to the toilet should indicate which toilet stall should be used, and check that the stall is clear of hidden notes etc. A register (provided) of all students who leave and re-enter the venue must be kept for each course written. Note the student's name, number, the name of the accompanying invigilator, the stall used and the time. *The register for the relevant course must be handed to the department representative together with the scripts at the end of the session.*

For Muslim students daily prayers may be performed silently and individually, thus not causing any disturbance at all. Students will be monitored by an invigilator for the duration of the prayer and are not granted any extra time.

3.8 Give a time warning at 30 minutes before the end to announce that candidates may not leave the venue in the last 20 minutes of the examination. Announce the start of the last 20 minutes, after which nobody may leave. This rule must be strictly enforced.

3.9 Give a time warning at 5 minutes before the end of the session.

#### **4. PROCEDURE AT THE END OF EXAMINATIONS**

4.1 At the end of the examination, candidates must be told:

**PLEASE STOP WRITING AND CLOSE YOUR BOOKS. REMAIN SEATED**  
Invigilators must see that this instruction is carried out promptly.

4.2 Ask candidates to check that they have correctly completed the covers of their answer books.

**Students MUST fill in their student numbers in the space provided on the cover of the answer book. Invigilators should not accept scripts that do not have the student number filled in. The total number of books submitted must be indicated on the cover.**

- 4.3 Scripts must be collected by invigilators before the students are given permission to leave the venue.

This task should not be delegated to anyone who is not an invigilator. Where a student hands in more than one book, ensure that the number of books tally with the number indicated on the cover of the first book.

- 4.4 Either of the two methods of collecting scripts described below is acceptable:

- (a) Each row is allotted to an invigilator who collects the scripts as he/she walks down the row, not passing any student without collecting his/her script/s. If more than one paper is being written in the same venue, the papers are sorted out after the students have left.
- (b) Scripts for each paper are collected separately in turn, students indicating the papers they have written by raising their hands as the name of the paper is read out. Invigilators go up and down the rows, not passing any students with raised hands without collecting their scripts.

It is not acceptable to collect books at the door.

- 4.5 Announce:

ANYONE WHOSE SCRIPT HAS NOT BEEN COLLECTED PLEASE RAISE YOUR HAND and see that the books are collected. Remind candidates that they may not remove answer books from the venue.

- 4.6 The total number of answer books (or sets of) must be checked and reconciled with the attendance list totals.

- 4.7 At the end of the examination, departmental representatives will return to the examination venue to collect and sign for the answer books for their examination. The register of those who left the venue must accompany the scripts and be given to the departmental representative. Any uncollected answer books will be collected by the Supercare staff on duty in the venue.

- 4.8 The chief invigilator must complete the session report provided. This must be returned to the Examinations Office for follow up. Irregularities must be reported to Legal Services and Secretariat (see 3.5) and illness to the Deferred Examinations Officer (see 5.3).

- 4.9 Attendance lists of invigilators and students, attendance slips, session report and any other communication for the Examinations Officer must be put into the envelope provided and details of the course code, date and venue must be completed on the outside. Please forward the envelope(s) directly to the Examinations Office, (Room 5.07, Level 5, Masingene Building, Middle Campus) via internal mail.

4.10 Along with the delivery of the papers to the exam venue, an empty box clearly marked with the course code, venue, date and time of the exam is delivered to the venue. This box must be marked "scrap".

- At the end of the exam, after all answer books have been collected, the invigilators are required to gather up ALL remaining answer books and any other paper or materials from the desks in the venue and place these in the box. The chief invigilator signs a declaration on the box confirming that ALL materials issued to students have been gathered from the desks, and that there is no remaining material in the examination venue.
- This box is then taken by the invigilator to the course administrator's office where it is stored until the end of the window period for students to view exam scripts. The box is opened only where there is a query and there appears to be a missing answer book.

## 5. **CASES OF ILLNESS**

5.1 A candidate who has to leave the examination venue for medical reasons must be instructed to go directly to the office of the Student Wellness Service, unless the nature of the illness makes this impossible. If this facility is closed, the student must be advised to visit his/her family doctor

5.2 The student must also be advised to visit the Deferred Examinations department in the Student Records Office, within seven days of the examinations. See rules governing deferred examinations in General Rules for Degrees and Student Rules Handbook 3, pages 13-14.

5.3 A written report from the chief invigilator must be submitted to the Deferred Examinations Officer, Student Records Office, Level 4, Masingene Building, Middle Campus; stating the name of the student, student number, course code and date of the examination paper, as well as the circumstances under which the student left without completing the examination.

## 6. **EMERGENCY CONTACT NUMBERS**

6.1 In the event of a bomb scare or other emergency you must contact Campus Control, Ext. 2222 and act on their instructions.

6.2 Other queries should be addressed to the Examinations Officer, Ext. 3694 or 3692.

**[Reviewed by *Examinations and Assessment Committee*, 26 August 2015]**

## **Guideline agenda for invigilators' caucus about 20 minutes before students enter examination room**

The purpose of this meeting is for the chief invigilator to inform the team of invigilators of:

- **The procedures and rules generally, and**
  - **The arrangements to execute them in the session concerned**
1. Take register of invigilators in attendance through mutual introductions to enable cooperation.
  2. Explain rules regarding students' right to leave (not before an hour; not in last twenty minutes), and explain toilet arrangements (see 11 below).
  3. Delegate particular invigilator/s to handle entrance card distribution at door.
  4. Explain procedure to be followed for distribution of question papers (depends on number of courses being examined in the venue), and explicitly require **all** invigilators (but not departmental reps not invigilating) to participate (other than person at entrance door) and to place the papers face down.
  5. If more than one examination is being written in a venue, finalise arrangements for that.
  6. Explain procedure to be followed once examination has begun:
    - 6.1. Gather answer books and attendance slips from unoccupied places
    - 6.2. **Systematically** collect entrance cards and attendance slips (row by row to avoid later problems with reconciling slip numbers with headcount numbers) – so allocate individuals particular rows and keep each row's cards and slips separate to reconcile with row headcounts
    - 6.3. Check that all students have student ID cards and require that ID photos are compared with face of person writing when entrance cards and attendance slips are collected – provide pink forms to those without IDs, and *wait to collect top section*. (This will go to the department)
    - 6.4. Allocate individual invigilators rows other than those whence they collected slips to undertake headcount (or else chief to do headcount, recorded by row).
  7. Remind all invigilators of the requirement to move around the room and to be vigilant throughout examination (no reading; chatting; tea to be taken serially).
  8. Explain fully the rules and processes to be followed re evidence of irregularities during examination (3.5 in "Instructions to Chief Invigilators"), and insist on those rules and processes being followed to the letter.
  9. Appoint one man and one woman to be responsible (after a full hour only – no toilet absences before that) for completing a toilet register and require those two invigilators consistently to ensure that no more than one student of either gender is in the toilet at any one time. Those two need to be advised specifically about rules as per 3.7 in "Instructions to Chief Invigilators". If more than one course is being examined, a register needs to be kept for each course as the register(s) must be returned to the department.

10. Explain procedure for reconciling headcounts with attendance slips and for using attendance slips to mark attendance register; and specify who will be responsible for those tasks. Emphasise that during that time, others must be additionally vigilant.
11. Explain procedure to be followed at the end of the examination:
  - 11.1. Note that completed answer books should be gathered **systematically** row by row, and allocate invigilators particular rows for collection. The same procedure should apply even when more than one course is being examined (and again exclude departmental reps not invigilating).
  - 11.2. Require invigilators to ensure that students have numbered each answer book used and indicated precisely how many have been used; also to check that each student submits same number of books as recorded – to avoid claims later that an answer was in ‘the other book’.
  - 11.3. Require invigilators to collect unused answer books and ensure students do not leave the venue with them.
  - 11.4. Once students have left the venue: count all scripts and ensure that their total tallies with the total of students recorded as having sat the examination.
  - 11.5. If necessary, divide scripts into different examinations that have been written.
12. Discuss any other issues that are anticipated might arise – including how to handle answer books from students who leave the venue early (in the period after an hour but before the final twenty minutes).
13. Stress that all invigilators are accountable to the chief invigilator for their conduct during the session, and that chief invigilators, who are accountable to their respective Head of Department, are also required to report invigilator misconduct (or non-attendance) of invigilators from other Departments to their respective Heads of Department.



## APPENDIX C

### UNIVERSITY OF CAPE TOWN

#### A GUIDE FOR EXAMINERS

This memorandum is a guide for internal and external examiners, and for heads of departments. It sets out our approach to examinations and assessment, and details the different roles of the internal examiner, the external examiner, the Head of Department and the Faculty Examinations Committee in the examination process.

#### INTRODUCTION

1. Most results are a combination of in-course assessment and marks obtained in one or more written papers at the end of the course. We publish results as percentages and classify them as follows:

75 - 100%	First Class
70 – 74%	Second Class (Division one)
60 – 69%	Second Class (Division two)
50 – 59%	Third Class
Under 50%	Fail

We ask Examiners to use the full range of marks (0 to 100) and avoid the tendency to give a mark of 75% to really first class work (which might merit a mark in the 90s) or a mark in the 40s to a candidate whose work deserves less.

DPR	Duly performed certificate refused (not permitted to write the examination)	AB	Absent from examination
DE	Permitted to write a deferred examination in this course		
GIP	Course still in progress, result expected in a subsequent year		
ATT	Course attended		
PA	Pass		
UP	Unclassified pass		
OS	Result not yet available		
SP	Pass result obtained via a supplementary examination		
SF	Supplementary examination		
ASF	Failed, absent from supplementary examination		

2. The rule of combination of marks for each component of the assessment is determined in advance for each course, and published to students in the handbook and course outline.
3. Internal and external examiners have responsibilities for all parts of the examination.
4. Internal and external examiners must try to ensure fairness.
5. Internal and external examiners must avoid conflicts of interest, and should not accept appointment where a conflict will arise.

## **RESPONSIBILITIES OF HEADS OF DEPARTMENTS.**

6. The Head of Department is responsible for the integrity and standard of each course his or her department offers; and must exercise this responsibility in the context of the programme(s) the course serves.
7. In regard to examinations, the Head of Department must
  - (a) ensure that the examination is fair;
  - (b) appoint the internal examiner and ensure he/she carries out his/her role (the internal examiner will usually be the course convenor);
  - (c) after consultation with the internal examiner, make a recommendation to the Faculty Board for the appointment of the external examiner for the course and ensure he/she carries out his/her role;
  - (d) ensure that all examinations are scheduled in the university timetable;
  - (e) ensure that all the Department's results are valid, that all mark sheets have been completed, independently checked and signed-off by the head, the internal examiner, and the external examiner before submission via the records office, to the Faculty Examinations Committee (FEC);
  - (f) convene a departmental meeting, prior to the FEC meeting, to consider borderline cases and where applicable proposals for supplementary examinations; and
  - (g) present the recommendations of the Examiners to the FEC, with such information as may be needed (e.g. class records).

## **RESPONSIBILITIES OF THE INTERNAL EXAMINER**

8. The internal examiner is responsible for designing the overall assessment of the course, for setting the draft question paper(s), and providing a marking guide (and where applicable, sample solutions). The plan must include any sub-minima for sections of the course. The overall assessment must relate to the course objectives. The internal examiner is responsible for ensuring that all the work of each candidate is examined, for the validity, accuracy and completeness of the marking and addition of marks, as well as the validity, accuracy and completeness of the in-course- assessment record.
9. The internal examiner must
  - (a) give to the external examiner the course outline and objectives, details of the way the course is taught and is to be assessed, and the draft question paper(s) (and, where applicable, the sample solutions) and marking guide in good time;
  - (b) finalise the examination paper, taking account of the views of the external examiner, checking and certifying the final copy for reproduction;
  - (c) plan the marking of the scripts

- (d) be at the examination(s) for at least the first 30 minutes and deal with any questions that arise;
- (e) collect the scripts from the chief invigilator at the end of examination(s), check them and sign for them;
- (f) secure the scripts, and organise marking without delay;
- (g) send the marked scripts, copies of the mark sheets, examination question paper(s) (and sample solutions where appropriate) to the external examiner, specifically referring the external examiner to each borderline case, and any unusual or special features;
- (h) agree the recommended examination result, and recommended overall course result, with the external examiner; enter the overall course result for each student; and submit the recommended final results signed by internal and external examiners, to the Head of Department; and where there is no agreement, report the differences.

## **THE ROLE OF THE EXTERNAL EXAMINER**

- 10 The external examiner is part of our quality assurance process. He or she is asked to ensure that the overall assessment is appropriate to the course objectives; that it tests the students; and that the question paper(s) meet(s) the outcomes. He or she must also ensure that the marking integrity; and the examination is fair; and has been fairly conducted
11. To do this, the external examiner must
- (a) ensure that the question paper(s) is/are fair, representative and an adequate test of the course; and that the overall design of the assessment for the course fair; doing so he or she must consider:
    - The length of the paper(s)/assignment(s)
    - The clarity of the questions: are they unambiguous?
    - The balance of the paper(s)
  - (b) return the draft question paper(s), marking guide and sample answers, with comments and recommendations, to the internal examiner in good time, in a secure way (e.g. by signature- on-delivery post, in person, or by courier);
  - (c) mark the scripts (or a valid sample agreed with the internal examiner, including the top and the bottom students and borderline cases, the sample being large enough to give confidence in the process) (see 16 below);
  - (d) having given special attention to all borderline and special cases and having been given the results of in-course assessment, make recommendations for the results for the examination, and the course; discuss these with the internal examiner in order to reach consensus (if possible); to report to the Head of Department any serious divergence between the marks awarded by the internal and external Examiners;

- (e) to sign off the recommended results, return all scripts, and submit his/her claim for expenses to the Head of Department;
- (f) to complete his/her report on the examination and the course and submit this to the Head of Department.

## **ORAL EXAMINATIONS, FURTHER TESTING, SUPPLEMENTARY AND DEFERRED EXAMINATIONS**

12 The Examiners may:

- (a) give any candidate an oral examination; or
- (b) give any candidate a further written test;

in order to reach a recommendation. This will usually only be necessary in borderline cases. In Humanities faculty, students whose final mark falls between 46% and 49% might be re-examined prior to the exam scripts being considered by the external examiner. This option should only be available to students who have completed all the required course work. The form of the re-examination is determined by the departments.

- 13 Supplementary examinations are offered by the FEC only, and only where faculty rules allow this. They are offered to students who have failed, but who, in the view of the FEC, need to do more work before presenting themselves for fresh examination but do not need to repeat the course before doing so. The form of supplementary examination is at the discretion of the department, and may be tailored to test the weaknesses of a student.
- 14 Deferred examinations are examinations deferred to a later date because the student had good grounds (usually medical grounds) for not presenting himself or herself for examination on the set date(s). They are awarded by a special committee of Senate.

## **THE ROLE OF THE FACULTY EXAMINATIONS COMMITTEE (FEC)**

- 15 The FEC meets to consider the recommendations of the Examiners. It acts for Senate. It receives proposals from departments and programme committees. It must:
- (a) finalise results;
  - (b) in doing so, look at each student's performance across courses (and may grant condoned passes);
  - (c) decided whether or not to allow students who have not yet met published readmission requirements to return to the University, and decided each student's promotion status (whether a student qualifies, may continue, may not continue, etc);
  - (d) decide whether to award supplementary examinations, and
  - (e) decide who qualifies for degrees, diplomas or certificates.

## **MARKING A SAMPLE**

- 16 We have no fixed rule for this, but rather a general rule that the external examiner should mark and scrutinise not less than 1 in 8 (in a class of up to 100); and not less than 1 in 15 (in a class of up to 500); and not less than 1 in 25 (in a class of more than 500). The scrutiny should include a check that each question has been marked, that marks have been added up correctly, and that mark allocation has been consistent and fair. If an error is detected, the external examiner should insist on the rechecking of all scripts.

## APPENDIX D

### EXAMINATION WITHOUT ATTENDANCE GUIDELINES

#### GB 10

A student who fails a course (in a bachelor's degree) must re-attend the course before he or she is again admitted to the examination: provided that Senate may permit a student to take the examination without re-attendance, under special circumstances and on the recommendation of the Head of Department concerned, on condition there is no clash on the examination timetables.

The record must show the student failed the course, and repeated it as an EWA. How the result is determined may vary – see G16.2.

An EWA would need support from the HoD (inter alia to ensure that the course has not changed since the student took it previously).

An EWA should not be widely used, or used as an alternative to repeating the course in the ordinary way, but it may be appropriate in a limited number of special circumstances. The course must have been failed previously (c below is the exception where 'failed' refers to failing to attain the required 60% threshold). Rule GB10 applies to courses in a bachelor's degree.

The special circumstances could include, but are not limited to:

- (a) The sole remaining course (previously failed) needed to graduate. This may be to avoid financial hardship resulting from returning (including staying in residence) and not being employed for an additional year (in the case of an international student the cost of repeating a sole remaining course is particularly high as the international levy applies - regardless of the load taken). Where a (local or international) student has obtained work and the department believes that there is a reasonable chance of passing without re-attending, this could be an option, particularly in courses where no supplementary examination is offered.
- (b) Where a department offers neither re-examination (i.e. before the uploading of the results) nor a supp, and there is evidence from the course work that the student did well in the course but 'crashed' in the examination, an EWA could be considered to allow the student to complete a pre-requisite course by EWA in January, and thus not unduly delay continuing (better time to graduation). Similarly, it could be offered to those genuine cases where a student misreads the timetable and is thus given a result of AB (no deferred examination is allowed in such a case). Such an AB result may, for example in a core EBE course, mean a strong student is prevented from proceeding to the next year level. Here the HOD (or convener) would need to be sure that it is a strong student who genuinely misread the timetable. An AB will be entered for the examination missed, and a separate enrolment and result for an EWA version will show on the transcript.
- (c) Entrance EWA

In the case of Commerce, students seeking to pass with 60% take an entrance examination without attendance in January for a course passed in November with between 50-59%. This is a pass, but is not sufficient to proceed to the next level in the CA stream. Clearly the EWA must be used only in special circumstances, and the HOD and Dean need to ensure that the necessary judgment and discretion is used.

## **APPENDIX E**

### **RISKS TO BE CONSIDERED FOR ONLINE EXAMINATIONS:**

#### **Before examinations**

- Inappropriate technology choices / lack of awareness of risks.
- Incorrect setup of online examinations (e.g. to reveal answers)
- Disclosure of examination questions (e.g. an individual's PC being compromised by spyware / malware / phishing, network security being compromised by password disclosure, or material being placed in an insecure online location)

#### **During examinations**

- Access to supporting content (e.g. on Vula, on the PC, on the Internet)
- Communication with others (e.g. Chat, SMS, IM) from PC or mobile phone
- Leaking examination password (allowing examination to be taken online outside the examination venue)
- Recording the examination questions for subsequent "underground" circulation (cut & paste to desktop / flash drive / online location)

#### **Security factors to consider for online examinations**

- Designing the examination appropriately to minimize scope for cheating. Randomized questions and answers (each student has a different set of questions, answers presented in a random order).
- Password restrictions for each examination (what you know).
- IP-based restrictions for each examination (where you are).
- Restrictions on the Windows desktop and browser in the lab during the test (e.g. no ability to run other programs).
- Restrictions on the network configuration for the lab during the test (e.g. no external Internet access).
- Time pressure.
- Analysis of results.
- Detailed activity log on Vula (later doing a forensic auditing if required).

## APPENDIX F

### *Guidelines for the submission of electronic examinations*

The setup and configuration of online and electronic examinations must be done in consultation with CET, ICTS or faculty IT staff in advance. Extra-time candidates should be accommodated in the same venue(s) as the other candidates taking the examination.

Online exams should preferably take place during office hours but where required after hours, a technician must be present to assist with any technical queries and/or problems that are reported.

1. *NO submissions*: The examiner has to ensure that there are mechanisms in place so that candidates can check whether their submissions have gone through before they leave the venue. With such a mechanism in place, it is thus each candidate's responsibility to check that his/her submission has indeed gone through before he/she leaves the exam venue. At the end of the examination, when the exam venue has been cleared of all the candidates, no more submissions will be permissible and any candidate who has not made a submission will be awarded a mark of zero for that exam.
2. *EMPTY submissions*: The convener must create sufficient opportunities for candidates to practice during class to address this concern. It is the responsibility of each candidate to complete any such practice submission(s). The understanding is that successful completion of the practice submission(s) will in turn lead to successful completion of the actual examination submission, provided that the same steps are followed. Failure to complete the practice submission(s) may lead to insufficient submission skills. Among other things, this may result in empty submissions, in which a submitted folder contains no files. Any candidate with an empty submission will be awarded a mark of zero for that submission.
3. *WRONG submissions*: It is the candidate's responsibility to ensure that his/her submitted files are the correct ones. This especially applies to open book exams in which candidates are allowed access to his/her Network drives during the exam. Any candidate who submitted the wrong file will be awarded a mark of zero for that submission.
4. *INCOMPLETE submission*: Computer difficulties during the exam must be reported immediately to the chief invigilator, and handled at his or her discretion and resolved in a manner that does not prejudice the student.
5. *Using file names* other than those specified in the examination instructions may lead to a loss of marks. Similarly, submitting the examination in a way other than that specified may lead to a loss of marks. Such cases will be dealt with at the discretion of the examiner. The examination submission instructions should specify clearly any penalties that may be applied in any such cases.

**APPENDIX G**

**PLEASE RETURN COMPLETED COPY TO DEPARTMENT WITH EACH PAPER SUBMITTED FOR PRINTING**

COURSE CODE: \_\_\_\_\_  
 DURATION OF EXAM (Including reading time, if applicable): \_\_\_\_\_  
 (Please check against timetable for discrepancies)  
 TOTAL PAGES IN PAPER: \_\_\_\_\_  
 TOTAL MARKS ALLOCATED IN PAPER: \_\_\_\_\_  
 NUMBER OF SECTIONS IN PAPER: \_\_\_\_\_

Please tick (✓) the relevant box below:

		YES	N/A
1	Have you clearly indicated the course code on the cover page?		
2	Have you checked that all pages are attached?		
3	Do the total marks add up to the total listed above?		
4	Are all sections clearly indicated?		
5	Are all instructions clearly indicated?		
6			

6a	Are there any formula sheets or additional documents attached to this paper?		
b	Are the students allowed to bring any additional notes, formula sheets etc. into the exam?		
c	Is this an open book exam?		
d	Are the students allowed to use a calculator?		
e	Are the graphics added to this paper clear?		

7	If you have answered yes to any of question 7 a-e, is it indicated on the cover page?		
---	---	--	--

8	If there are two papers for this course, have you ensured that this paper consist of the relevant content?		
---	--	--	--

9	If there are two papers for this course, have you ensured that the content and cover of the paper match?		
---	--	--	--

C  
 ourse Convener Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

**FOR DEPARTMENT/EXAMINATIONS OFFICE STAFF ONLY**

First Count Quality check done by: \_\_\_\_\_

Second Count Quality check done by: \_\_\_\_\_



## **APPENDIX I**

### **INSTRUCTIONS TO CHIEF INVIGILATORS FOR ONLINE EXAMINATIONS**

- 1.1 The chief invigilator must be present at least 30 minutes before the published start time of the examination to ensure that all computers are in working order and that the pre-loaded examination is working.
- 1.2 At the start of the examination candidates should be told:  
  
DO NOT ENTER THE PASSWORD UNTIL INSTRUCTED.
- 1.3 If any irregularity is discovered or suspected, the work already attempted by the candidate must be saved immediately, together with any evidence. The student must submit and restart the test, to continue where it was interrupted.
- 1.4 At the end of the examination, candidates must be told:  
  
SUBMIT YOUR ONLINE EXAM AND REMAIN SEATED/LEAVE THE VENUE (Chief to announce whichever comment is applicable).
- 1.5 Discuss any issues related to online examinations - include specific instructions on how to deal with technical difficulties.