Quality Assurance of the 2015 National Senior Certificate (NSC) Examinations and Assessment of the Department of Basic Education (DBE)

UMALUSI

Council for Quality Assurance in
General and Further Education and Training

QUALITY ASSURANCE OF THE 2015 NATIONAL SENIOR CERTIFICATE (NSC) EXAMINATIONS AND ASSESSMENT OF THE DEPARTMENT OF BASIC EDUCATION (DBE)

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Table of Contents

Executive Summary

The 2015 Grade 12 class was the second cohort to write the National Senior Certificate examination under the auspices of the Curriculum and Assessment Policy Statement (CAPS). As mandated by the General and Further Education Quality Assurance Act (Act No. 58 of 2001, as amended in 2008), Umalusi conducted quality assurance processes on all assessment practices for all registered and accredited assessment bodies, including the Department of Basic Education (DBE) and its provincial departments of education (PDEs), for this exit-point qualification registered in its sub-framework.

This report provides the findings of the following quality assurance processes:
- Moderation of question papers (Chapter 1)
- Moderation and verification of school-based assessment (SBA) (Chapter 2)
- Monitor the state of readiness to conduct the NSC (Chapter 3)
- Monitoring and audit of the selection and appointment of markers (Chapter 4)
- Monitoring of the writing of the 2015 NSC examinations (Chapter 5)
- Standardisation of marking guidelines (Chapter 6)
- Monitoring of marking (Chapter 7)
- Verification of marking (Chapter 8)
- Standardisation and resulting (Chapter 9)
- Status of certification (Chapter 10)

This report provides the findings, as generated through the verification of the quality assurance processes stated above, that will enable members of the Umalusi Council to decide whether Umalusi should accept and ratify the results of the NSC examinations or not.

The moderation of question papers focused on both the November 2015 and March 2016 examinations. For the November 2015 examinations, Umalusi moderated a total of 134 question papers, including two back-up papers for Information Technology (IT) and Computer Application Technology (CAT). A total of 128 question papers were moderated in preparation for the 2016 National Senior Certificate (NSC) supplementary examinations. The total number of question papers moderated for the November 2015 and March 2016 NSC examinations represents 59 subjects.

For the purpose of this report, a presentation on the moderation of the November 2015 question papers is given. At first moderation, only 12% of the total number of question papers was approved, with most of the question papers being approved at the second moderation (66%). The percentage of question papers approved at the third, fourth and fifth moderation is 19%, 2% and 1% respectively. Each of the 11 South African official languages are examined at three levels, namely, Home Language (HL), First Additional Language (FAL) and Second Additional Language (SAL). Thus, a total of 88 question papers are set for every examination sitting covering all the official languages.

The marking guidelines for the question papers are developed and moderated simultaneously with the question papers to ensure that there is a high degree of correlation or alignment, and that all questions are answerable. Marking guideline discussion meetings are held for each question paper before marking commences to standardise marking across the provinces. Generally, the following quality assurance processes, that is, the moderation of question papers and marking guidelines; and

the standardisation of marking guidelines through the discussion meetings were successful.

As has been found over the years, non-compliance with the first, fourth and sixth criteria (technical criteria; text selection, types and quality of questions; and marking guidelines) was the main reason for most of the question papers not being approved at first external moderation.

The SBA undertaken in the various provinces of the country was the next aspect to be subjected to scrutiny and moderation by Umalusi's external moderators. Umalusi also sampled subjects with a practical component for the 2015 academic year. The results have shown that many discrepancies in the implementation of Practical Assessment Tasks (PATs) exist across provinces. There would thus seem to be a definite need for intensive monitoring of the PATs implementation process and to verify the results achieved by learners in these assessment activities.

Although there is a noticeable improvement in the administration of SBA, verifying the reliability of the learners' results in these tasks still remains a challenge. Moreover, the use of previous end-of-year Grade 12 question papers for the SBA component is evident in many educators' files. This is regarded as problematic because learners have easy access to these question papers and their marking guidelines since they are in the public domain (DBE website). In addition, some of the SBA tasks are poorly developed and fail to cover the cognitive levels adequately, as prescribed by the CAPS. There is thus a dire need to develop educators in the setting of quality assessment tasks for use as SBA tools to ensure the reliability of learner results.

Internal moderation of the SBA is still an area of great concern as it is either not done or done poorly in most schools. In instances where some evidence of internal moderation is available, tick lists are used which lack deeper analysis of the assessment tasks in terms of cognitive level distribution. Shadow marking with regard to post moderation of assessment tasks is still evident. Training to capacitate educators in the area of internal moderation of assessment is recommended.

Umalusi also monitored the marker selection processes across the provinces. There was a great need for novice markers to be appointed for the November 2015 examinations in many subjects, especially languages, since over 60 000 learners had been progressed to Grade 12, leading to a big increase in learner numbers in the various subjects compared to previous years. All the provinces followed the Personnel Administrative Measures (PAM) criteria, with some provinces adding criteria to enhance the process. However, this process was poorly managed in Limpopo where the initial meeting in which the criteria are agreed upon was not well communicated to Umalusi. The selection and appointment of markers in this province was also riddled with discrepancies, with experienced and qualified educators sometimes not being appointed and inexperienced markers being appointed at senior positions. The criteria used were also not clear on the documentation that markers were required to submit when applying. In addition, the province did not evaluate markers' efficiency when appointing them nor was a database kept for reference when making appointments in coming years. In some provinces, the pass rate in the subject taught or school overall pass rate was used to enhance the selection criteria. Provinces where the selection and appointment of markers was seen to have been conducted fairly well are Western Cape, Gauteng, Mpumalanga and Free State. Mpumalanga has a good practice in place whereby applicants who meet the requirements

but who are not appointed that year are kept on a database to be used in subsequent years.

Training of markers in all provinces was found to have been conducted effectively. Dummy scripts were used in the training of markers in all subjects as required by the DBE. The tolerance ranges established per subject per paper during the marking guideline discussions were used during training of the deputy chief markers, senior markers and markers by the chief markers and the internal moderators. The DBE used these tolerance ranges to authorise the appointment of senior marking personnel during the marking guideline discussions.

Umalusi conducted on-site verification of marking in the 2015 NSC examinations on a number of subjects including gateway subjects. The on-site verification of marking was conducted in the following subjects: Accounting, Afrikaans FAL, Afrikaans HL, Agricultural Sciences, Business Studies, Economics, English FAL, English HL, Geography, History, Life Sciences, Mathematical Literacy, Mathematics, Physical Sciences, Computer Applications Technology, IsiNdebele HL, IsiXhosa HL, IsiZulu HL, Sepedi HL, Sesotho HL, Setswana HL, Siswati HL, Tshivenda HL and Xitsonga HL. The on-site verification of marking of Dance Studies and Music was conducted at a centralised national marking venue in Pretoria.

External moderators for all the subjects cited above were deployed in all nine provinces to conduct the verification of marking. They were expected to spend three days on each paper. Thus, with content subjects, where two question papers are written, a moderator would spend six days in a particular province. This innovation reduced some of the logistical challenges experienced in the past and effectively increased the time spent by moderators on conducting the verification of marking. Furthermore, a critical benefit of this model was the fact that external moderators' findings from the marking verification process could be used by chief markers in their regular discussions with markers to improve the quality of marking. In general, the verification of marking reports indicated that there was stricter adherence to the marking guidelines across subjects and that no changes were made to the marking guidelines except in the case of Mathematical Literacy and Sesotho Home Language, where KwaZulu-Natal and Gauteng respectively were found to have made some unauthorised additions.

In the main, the quality assurance reports received by Umalusi on the various quality assurance processes conducted in the 2015 NSC examinations indicate that the examinations were conducted in a credible manner with a few incidences of concern that need to be attended to.

Acronyms

AB	Assessment Body
CAPS	Curriculum and Assessment Policy Statements
CAT	Common assessment task / Computer Application Technology
DBE	Department of Basic Education
EA	Examination Assistant
EM	External Moderator
ELP	Evidence of Learner Performance
FAL	First Additional Language
HL	Home Language
HOQ(s)	Higher Order Question(s)
ID	Identity Document
IM	Internal Moderator
LoLT	Language of Learning and Teaching
LO(s)	Learning Outcome(s)
LOQ(s)	Lower Order Question(s)
MEC	Member of the Executive Council
Memo.	Memorandum
Mod.	Moderation
MOQ(s)	Middle Order Question(s)
NCS	National Curriculum Statement
NSC	National Senior Certificate
PAM	Personnel Administrative Measures
PDEs	Provincial Departments of Education
P1, P2, P3	Paper 1, Paper 2, Paper 3
PAT	Practical Assessment Task
PET	Physical Education Task
Q(s)	Question(s)
QI(s)	Quality Indicator(s)
QP	Question Paper
SAGs	Subject Assessment Guidelines
Umalusi	Council for Quality Assurance in General and Further Education and Training

List of tables and figures

Chapter 1

Moderation of Question Papers

1.1   INTRODUCTION AND PURPOSE

Umalusi is mandated to ensure that the National Senior Certificate (NSC) examinations conducted each year are fair, valid and reliable. To perform this function, Umalusi is required to ensure that the quality, or standards, of all the assessment practices associated with the NSC examinations are maintained. The Umalusi moderation of the examination question papers and their marking guidelines, one of the NSC assessment practices, is conducted to ensure that examination question papers and the accompanying marking guidelines comply with the Curriculum and Assessment Policy Statement (CAPS).

This chapter reports on the moderation of the examination question papers and their marking guidelines for the 2015 NSC examinations administered by the Department of Basic Education (DBE). This section outlines the subjects moderated and the instrument used by the Umalusi external moderators (EMs) to determine the quality of the examination question papers submitted by the DBE for approval. The findings of the analyses of EMs' reports on the question paper moderation are summarised, and the chapter concludes by highlighting areas of good practice, areas of concern and recommendations for future moderation processes.

1.2   SCOPE AND APPROACH

All DBE question papers and the accompanying marking guidelines were submitted to Umalusi for moderation between March and August 2015. A total of 262 question papers and their marking guidelines were moderated – 134 for the November 2015 examinations (including back up papers for Computer Application Technology and Information Technology as contingency measure in the case of technical problems during the administration of the examination) and 128 for the 2016 supplementary examinations (excluding supplementary question papers for Engineering Graphics and Design Practical P2 and Visual Arts P2).

The moderation was conducted using the 2015 Umalusi Instrument for the Moderation of Question Papers (Table 1.1). This instrument consists of 12 criteria for moderating both the question paper and the marking guideline, and each criterion is divided into a variable number of quality indicators (QIs).

Table 1.1 Umalusi Instrument for the Moderation of Question Papers

Part A Moderation of question paper	Part B Moderation of memorandum/marking guideline	Part C Overall impression and remarks
1. Technical criteria (14) 2. Internal moderation (4) 3. Content coverage (5) 4. Text selection, types and quality of questions (22) 5. Cognitive skills (5) 6. Language bias (8) 7. Predictability (3)	8. Development (3) 9. Conformity with question paper (3) 10. Accuracy and reliability of memo/marking guideline (12)	11. General impression (6) 12. General remarks

When question papers and their marking guidelines are subjected to the Umalusi instrument, both are expected to be perfect or near perfect, following moderation within the DBE structures. A question paper that does not comply sufficiently with the criteria for approval by Umalusi will need to be moderated more than once. In this report only the first moderation reports were analysed to ascertain the levels of compliance, or lack thereof, according to the Umalusi instrument. It is important to note that all the concerns detected during the first moderation need to be satisfactorily addressed during subsequent moderations to secure final approval.

1.3   SUMMARY OF FINDINGS

The findings summarised below show the number of moderations required for approval, the overall compliance, and the levels of compliance per criterion of the question papers and their marking guidelines at the first moderation.

Compliance per Moderation Level

At first moderation, 12% of the total number of question papers were approved. Most of the question papers, for both November 2015 and March 2016, were approved at second moderation (66% and 69% respectively). The percentage of question papers approved at third, fourth and fifth moderation is 19%, 2% and 1% respectively for both examination sessions. Question papers which required four or five moderations were November 2016 – Business Studies and isiXhosa FAL P1, P2 & P3; and 2016 supplementary – isiXhosa FAL P1 & P3 and Sesotho FAL P3.

Table 1.2 Comparison of percentage of question papers moderated at different levels in 2014/2015 and 2015/2016

Number of moderations	2014/2015		2015/2016	
	November	Supplementary	November	Supplementary
One	13%	14%	12%	9%
Two	67%	64%	66%	69%
Three	15%	17%	19%	19%
Four	3%	3%	2%	2%
Five	2%	2%	1%	1%

Compliance per paper

The question paper moderation reports are analysed to assess the levels of overall compliance in the DBE examination papers and their marking guidelines. The overall compliance levels are calculated by combining compliance on all the criteria considered (Fig. 1.1).

Most of the question papers for both the November 2015 and 2016 supplementary examinations were more than 80% compliant at the first moderation when all Umalusi moderation criteria are considered. Papers with less than 70% overall compliance included isiXhosa HL P3 and IsiXhosa FAL P2 (November 2015) and Consumer Studies (supplementary 2016).

Compliance per Criterion

Despite the relatively high levels of overall compliance, the levels of compliance according to the different criteria varied considerably.
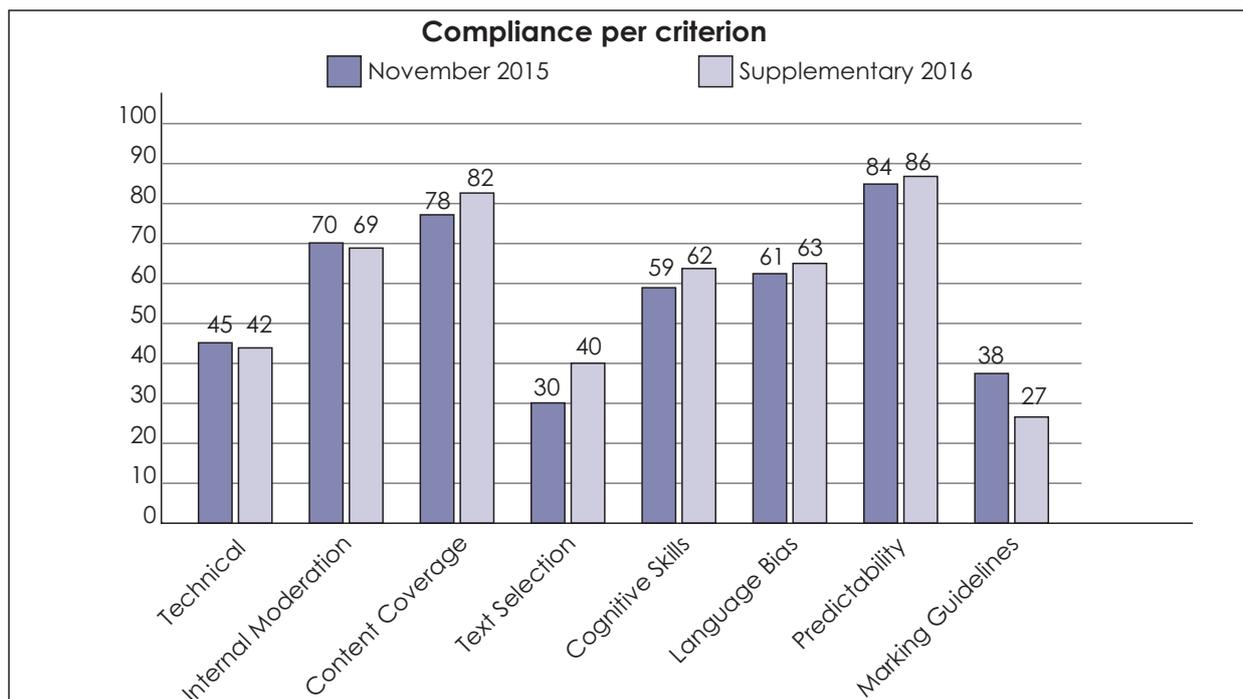
Figure 1.1 The percentage of compliant question papers and marking guidelines at the first moderation according to different criteria

Compliance with respect to content coverage and predictability was highest in both the November 2015 and the 2016 supplementary examinations, and lowest for the technical aspects and text selection of the questions papers and the quality of the marking guidelines. Some examples of non-compliance are illustrated for each of the criteria below.

Question Paper and Marking Guideline Moderation Criteria

The comments about the criteria which follow are based on the first moderation – these had been addressed and were compliant at the final moderation.

Technical Criteria

The technical criterion had the third lowest degree of compliance. Some technical problems identified at the first moderation of the November 2015 examinations were the following: unclear instructions (Agricultural Management Practices, Afrikaans HL P3); unclear diagrams (Agricultural Management Practices); incomplete analysis grids (Computer Applications Technology P2); confusing format, incorrect numbering of questions (Music P1); incorrect headers (Physical Science P1); and layout that was cluttered and not reader-friendly (Religion Studies P1, Tourism).

Internal Moderation

Question papers from both examination sessions were approximately 69% compliant with regard to internal moderation. Some problems identified at the first moderation of the November 2015 NSC examination question papers were the following: recommendations of internal moderator not considered by examiners (Agricultural Management Practices) and limited input from internal moderator (English HL P2, isiXhosa HL P2).

Content Coverage

The question papers from both examination sessions were approximately 80% compliant with regard to content coverage. The high level of compliance might be attributed to the design of the CAPS, which explicates the specific content to be examined and the weightings of different components of the content.

Some of the problems identified during the first moderation of the November 2015 examination question papers were as follows: limited content coverage (Consumer Studies); content not balanced (IsiXhosa FAL P2).

Text Selection

The level of compliance on text selection was less than 40% for both November 2015 NSC and the March 2016 supplementary examinations. The areas of non- adherence to the criteria identified during the first moderation of the November 2015 examinations question papers were vague questions (Dance Studies); ambiguous and confusing instructions (Music P1); and confusing and cumbersome text (Tourism).

Cognitive Skills

During the external moderation process, 60% of question papers for both the November 2015 and March 2016 examinations complied with the application of cognitive skills criterion at first submission. The findings in the question papers that did not comply with this criterion included the following: insufficient higher-order skills (Agricultural Management Practices); inaccurate analysis grids (Consumer Studies); inaccurate distribution of cognitive skills as per CAPS requirements (Afrikaans HL P1); and analysis of cognitive skills per question (IsiXhosa FAL P2).

Language Bias

Question papers from both examination sessions were approximately 60% compliant with regard to language bias. Some problems identified at the first moderation of the November 2015 examinations were grammatical errors (Agricultural Technology and Computer Applications Technology); inappropriate context (Civil Technology); gender bias (Consumer Studies, Afrikaans HL P1); and incorrect language usage (Tourism).

Predictability

Question papers from both examination sessions were more than 80% compliant with regard to predictability. Some papers showed evidence of innovation and new kinds of questions (e.g. November 2015 Accounting, Life Sciences P2). Some of the problems identified at the first moderation of the November 2015 examinations were the repetition of questions from previous years' papers (Consumer Studies); some questions that could be easily spotted or predicted (e.g. English HL P1 & P2, Sesotho HL P1). Some reasons for predictability included the recycling of questions from previous NSC examinations and DBE exemplars; and the rigid DBE assessment framework for official home languages, which does not allow for the selection of innovative texts in some questions.

Marking Guidelines

Compliance with the marking guidelines criterion seemed to be very low with less than 40% during the first moderation of the November 2015 and March 2016 examination question papers. The non-compliance with this criterion observed in the November 2015 papers included typos (Accounting); lack of correlation between the marking guidelines and the question paper (Agricultural Management Practices); incomplete and inaccurate marking guideline (Consumer Studies); inaccurate and not marker-friendly (English HL P3); and format and scale of drawings (Civil Technology).

1.4   AREAS OF GOOD PRACTICE

The following areas of good practice were noted:
- The EMs commended the DBE examiners and internal moderators on the achievement of acceptable standards in the setting of the November 2015 examinations for the following question papers: Design Theory P1, Design Practical P2, Dramatic Arts, Electrical Technology, Engineering Graphics and Design P1 & P2, Mechanical Technology, Visual Arts P1 & P2, English FAL P3, English SAL P2, IsiNdebele HL P3, IsiNdebele FAL P2, IsiNdebele FAL P3, IsiNdebele SAL P1, IsiNdebele SAL P2

IsiZulu FAL P3, isiZulu SAL P1 and P2, Setswana FAL P2 & 3 and Xitsonga FAL P3.

1.5   AREAS OF CONCERN

The following areas of concerns were identified during the moderation of the DBE November 2015 and the March 2016 NSC question papers:
- There were a number of question papers which required more than three external moderations: November 2015 – isiXhosa FAL P1, P2, P3; and 2016 supplementary – isiXhosa FAL P1, P3; Sesotho FAL P3.
- High levels of non-compliance were found in technical aspects (November 2015 – 45%, 2016 supplementary – 42%), text selection (November 2015 – 30%, 2016 supplementary – 40%), and marking guidelines (November 2015 – 38%, 2016 supplementary – 27%) at the first moderation.
- The failure by both examiners and internal moderators to address recurrent non-compliance, which led to some papers requiring more than two moderations (November 2015 – 21%, 2016 supplementary – 22%).
- Some examiners experienced problems with the interpretation, analysis and distribution of cognitive levels in accordance with the CAPS requirements, in the following subjects: Agricultural Management Practices P1 and P2; Consumer Studies, Afrikaans HL P1 and IsiXhosa FAL P2.

1.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

The following directives are given to improve the setting of the NSC examinations and to reduce the number of external moderations:
- The DBE should address the conduct of some examiners and internal moderators whose papers failed repeatedly to adhere to the requirements for compliance, leading to these papers requiring more than three external moderations.
- The DBE should retrain examiners and internal moderators in the art of setting question papers, especially with respect to the technical details, text selection and the development of marking guidelines - the three criteria which had the lowest levels of compliance at the first moderation.
- The retraining of examiners and internal moderators by the DBE should focus on developing strategies for setting and interpreting higher-order questions consistently, as well as balancing the distribution of the cognitive levels of question papers.

1.7   CONCLUSION

This chapter of the report summarised the major findings of the analysis of the question paper moderation reports for the November 2015 and March 2016 examinations. Generally, the EMs reported satisfaction with the question papers that were finally approved, and this is commendable. This section of the report has also highlighted directives for compliance which the DBE will need to address before the next moderation cycle to ensure that the majority of the question papers are approved at the first level of moderation.

Chapter 2

Moderation of School-Based Assessment

2.1   INTRODUCTION AND PURPOSE

The School-Based Assessment (SBA) mark counts 25% of the final NSC subject mark[1] and, as such, Umalusi is responsible for determining the quality (appropriateness of the standard) of samples of the work used to generate this SBA mark and the accuracy of the mark (valid, fair and reliable) allocated by the schools and endorsed by each province and the DBE (internal moderation).

This year, 2015, is the eighth year of the National Senior Certificate (NSC) and its associated SBA requirements. It is also the second year in which the Curriculum Assessment Policy Statement (CAPS) version of the National Curriculum Statement (NCS) was examined at the NSC level.

The focus of this chapter is to summarise the findings of the Umalusi external moderators' (EMs) verification of samples of teachers' and learners' SBA portfolios; to identify areas of both good practice and concern, as well as to provide directives for improvement.

2.2   SCOPE AND APPROACH

Each year Umalusi monitors the implementation of the DBE moderation processes through a robust and rigorous moderation and verification process that is conducted on the teachers' files and learners' portfolios in selected subjects.

In 2015, Umalusi moderated SBA during two sessions, July/August and October. The 23 subjects selected included gateway and subjects with a practical component, as illustrated in Table 2.1 below. Umalusi's role includes, among other things, the verification of the DBE SBA moderation processes; therefore, samples from the DBE moderated subjects were made available for the July/August session. In addition, in the October session Umalusi sampled subjects with a practical assessment component which did not form part of the DBE moderation. Umalusi samples consisted of teachers' files accompanied by evidence of learner performance (ELP) from each of the schools selected. At each SBA moderation session, teachers' files and ELP were randomly sampled from various schools across districts. Table 2.1 below lists the subjects' verified during the July/August and the October moderation sessions.

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[1] Except for the Life Orientation final mark

Table 2.1: Subjects verified in July/August and October

Subjects verified in July/August	Subjects verified in October
Accounting	History
Agricultural Technology	Hospitality Studies
Business Studies	Information Technology
Civil Technology	Life Sciences
Consumer Studies	Life Orientation
Design	Mathematical Literacy
Dramatic Arts	Mathematics
Economics	Mechanical Technology
Engineering Graphic and Design	Music
Electrical Technology	Physical Sciences
English FAL	Tourism
Geography	

Moderation Instrument

The moderation instrument for the SBA consists of three parts, as depicted in Table 2.2. Part A, which consists of seven criteria, focuses on the moderation of the teachers' files; Part B, with three criteria, is used to record the moderation of the ELP, and Part C consists of three criteria that summarise the findings.

Table 2.2: Umalusi Instrument for the moderation of SBA

Part A Moderation of teacher portfolios	Part B Moderation of learner portfolios	Part C Summaries
1. Technical criteria 2. Content coverage 3. Quality of tasks 4. Cognitive demand 5. Quality of marking tools 6. Adherence to policy 7. Internal moderation 8. Overall impression	9. Learners' performance 10. Quality of marking 11. Internal moderation	12. Areas of good practice 13. Areas of concern 14. Recommendations

The combined findings of the moderation of SBA for all of the subjects moderated are then combined into one consolidated report. The findings of the analyses of 103 consolidated reports (59 from July/August, 44 from October) are summarised in section 3 below.

2.3   SUMMARY OF FINDINGS

This section summarises the combined findings of the consolidated reports described in the previous section. It is extremely important to note that no consistent patterns or trends within/between subjects, districts or provinces emerged from these analyses. It is speculated that this is because no one common philosophical approach to SBA is promoted/practised across the country. Only two reports highlighted overall excellence in the SBA practices in the sample of subjects moderated – these were Free State (Physical Sciences) and Western Cape (Accounting).

A summary of the findings is presented below according to criteria 1 to 11, listed in Table 2.2 above.

Educator Portfolios

Technical Criteria

Generally, the overall presentation and organisation of files was good across the subjects. In a few subjects, some tasks were omitted, and carelessness and untidiness were observed. Issues included disorganised files (e.g. Life Sciences, Physical Sciences), undated tasks (e.g. Engineering Graphics and Design), mark and time allocation (e.g. Geography, Life Sciences, and Physical Sciences), the unsatisfactory standards of some tests and examinations (e.g. Life Sciences, Mathematics, Mathematical Literacy) and errors in mark sheets (e.g. Economics, Music, Life Sciences). Few learner portfolios contained declarations of authenticity.

Content Coverage

While most of the subjects fully complied with content coverage as prescribed, there were components of the content in some subjects which were only partially compliant with the CAPS. A common problem observed was the failure to address content as required by CAPS. For example, tasks, especially tests in the June and preliminary examination papers were recycled – cut-and-paste jobs in most subjects (e.g. Engineering Graphic and Design, Electrical Technology, Economics, History, Hospitality Studies, Economics, Life Sciences, Geography, Life Sciences, Mathematical Literacy, Mechanical Technology, Music, Physical Sciences).

Quality of Tasks

More than half of the subjects that were moderated, only partially met or did not meet the requirements of this criterion. In those cases where there was only partial compliance, the quality of tasks was compromised because the tasks were poorly constructed. For example, the design of questions made it difficult to generate reliable marking guidelines (Agricultural Technology, Engineering Graphics and Design, Electrical Technology, Life Sciences). Substandard tasks (e.g. Life Orientation), the use of information or sources taken directly from textbooks or recycled tasks (e.g. Life Sciences, Geography) and language errors and tasks that were too easy (e.g. Life Sciences, Physical Sciences) further compromised the standard of tasks. Some questions were found to be weak in terms of language (e.g. Information Technology) and others made use of socially inappropriate examples and language (Life Sciences). Poor use of rubrics to mark tasks was noted (e.g. Accounting, Physical

Sciences).

The external moderators for some subjects raised concerns that the lack of a common/uniform understanding of the nuances of what comprised different types of tasks compromises their quality. Examples of these task types are practical work (e.g. Life Sciences, Physical Sciences), research (e.g., Geography, Life Orientation, Life Sciences), Practical Assessment Tasks (PAT) (e.g. Consumer Studies, Dramatic Studies, Hospitality Studies) and the Physical Education Task (PET) (Life Orientation). Other challenges to the quality of PATs which were raised were the availability of supplies and equipment (Consumer Studies, Hospitality Studies) and tools (Agricultural Technology).

Cognitive Demand
While in some schools the levels of cognitive demand for some tasks were satisfied, only three subjects showed consistent complete compliance with regard to this criterion across all schools moderated by Umalusi, namely, Engineering Graphics and Design, Electrical Technology, and Information Technology. Almost 50% of all tasks included in the teachers' portfolios were not accompanied by cognitive demand analysis grids – this probably contributed to the lack of compliance with this criterion in many subjects.

Marking Tools
Several schools struggled with the formulation of the marking guidelines, including mark allocation and distribution (e.g. Agricultural Technology, Life Orientation), which resulted in inaccurate marking.

Adherence to Policy
While this criterion was adhered to by many schools, many EMs expressed the concern that too many teachers are not conversant with the CAPS requirements for their subjects, and bemoaned the absence of subject/school/provincial SBA requirements from teachers' portfolios.

Internal Moderation
The compliance levels for this criterion were lower than for the other criteria. The reasons given for this Include: in many cases it was difficult to discern the level of moderation; lack of moderation reports in teachers' files; shadow marking; lack of pre-moderation of tasks before they are administered; and a lack of feedback to teachers and/or learners.

Moderation Learner Portfolios

Learners' Performance
Owing to the nature of the samples of schools and learners it was impossible to comment on the learners' performance in general in each subject. The ELP in the samples moderated displayed a range of work from very good (e.g. Music) to poor (e.g. Mathematics). A number of EMs commented that too few students showed evidence of having done corrections to marked tasks in their portfolios – doing corrections should be encouraged so that students learn from their mistakes.

Quality of Marking

Some but not all marking was of an acceptable standard and marking guidelines were followed by most schools. In some instances, students were advantaged/disadvantaged by incorrect marking guidelines, and inconsistent marking between schools. Too few educators provided learners with constructive feedback.

Internal Moderation

The quality of the internal moderation of learners' work was not rated highly by the EMs. Internal moderation across the moderation levels consisted mostly of a signature and shadow marking on learners' work.

2.4   AREAS OF GOOD PRACTICE

Good practices were recognised in almost all the criteria in the DBE SBA. The following are highlighted:

- Many teachers' files and ELP were well presented, neat, dated, organised and indexed – this made moderation relatively easy.
- There was evidence of internal moderation at some level in many portfolios.
- The idea of common tasks is important for capacity building and promoting the equivalence of tasks between schools – provided such tasks are pre-moderated and administered under the same conditions.

2.5   AREAS OF CONCERN

The quality and standard of some tasks was compromised by;

- the lack of pre-moderation of tasks before they were administered – this compromised the validity of a number of these tasks as tools for assessment.
- the lack of formative feedback from teachers to learners when they mark work, and at different levels of internal moderation to both teachers and learners.
- the crucial timing of common tasks – they need to be written on the same day as a window of time is not enough to ensure fairness to all students.
- the use of textbooks, recycled DBE question papers and exemplars without adjustment – this could result in assessment tasks which are not original and are more likely to be predictable and could lead to learners not being assessed fairly or reliably. Such practices also stifle the professional development of teachers, especially with regard to content and assessment knowledge.
- teachers who are not au fait with the specific requirements of the appropriate CAPS, or the nuances of different types of tasks.
- a lack of analysis grids in teachers' portfolios indicating the spread and balance of content and cognitive skills required by each task.
- the lack of internal moderation at all levels of the assessment system and/or the lack of evidence of moderation to verify the chain and consequences of moderation – the formative nature of SBA is being lost in the way it is practised.

2.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

The following recommendations/directives for compliance are made:
- The DBE should revisit the formative nature of SBA. Internal moderation should be seen as more than simply endorsing the educators' decisions; that is, it should also serve a formative function for educators at all levels of moderation.
- The DBE should consider developing a generic/standardised framework for developing and internally moderating SBA practices; this would make it easier for different levels of moderation to "speak" to each other.
- The first internal moderation, including the choice of task, should be done for each task before it is administered to learners – this includes the common tasks set by the DBE, provinces or districts. In the absence of subject advisors, cluster moderation should be encouraged.
- Analysis of tasks according to topics, cognitive demand and skills assessed should be done when setting/using each task – this includes common tasks set by the DBE, provinces or districts.
- Analysis of content covered and the cognitive demands of tasks should be included in teachers' files for every SBA task.
- The comparability of tasks between schools/districts needs to be considered, particularly with regard to what constitutes a particular type of task, the length of tasks and longer writing pieces, and the mark-to-time ratio.
- The use of recycled tasks should be discouraged through internal moderation processes.
- Most of the Umalusi EM reports are very detailed and provide constructive guidance on how to improve SBA practices; it is therefore important that these reports are filtered back to the schools concerned, as a form of professional development.

2.7   CONCLUSION

This section has highlighted the findings of the moderation of a selection of DBE teachers' files and evidence of learners' performance across a range of subjects. It was found that, on the whole, compliance with DBE SBA practices is variable, which compromises the comparability of SBA marks. Some SBA practices were found to be of an excellent standard, while others were not as good. Schools where problems were identified need to be supported and monitored so that their SBA practices improve. The quality of the SBA tasks can be improved if the DBE takes cognisance of the above recommendations.

Chapter 3

Monitoring the State of Readiness

3.1 INTRODUCTION AND PURPOSE

Section 17 of the General Further Education and Training Quality Act 58, 2001 (as amended in 2008), mandates Umalusi to approve the publication of the results if all quality assurance standards have been adhered to by the respective assessment bodies. This implies that assessment bodies should at all times protect and uphold the integrity of all their assessment processes, including the examinations. One of the quality assurance processes adopted by Umalusi to ensure the integrity of the assessment of qualifications on its sub-framework is by monitoring the state of readiness for the conduct, administration and management of the writing and marking phases of the examinations.

Prior to the examinations of qualifications on its sub-framework being written, Umalusi embarks on a state of readiness (SOR) process to assess the assessment bodies' level of preparedness to administer such examinations. The Department of Basic Education (DBE), through its nine provincial departments of education (PDEs), was monitored by Umalusi to verify its level of readiness to administer the 2015 November/December National Senior Certificate (NSC) examination. Monitoring is intended to ensure that the examinations are free from irregularities that might jeopardise the integrity of the NSC.

3.2 SCOPE AND APPROACH

In order to verify the maintenance of standards and adherence to applicable policies and regulations, all nine PDEs were monitored to establish their level of readiness to administer the 2015 October/November NSC examinations. In this regard, Umalusi together with the DBE collaboratively monitored three PDEs, while Umalusi conducted independent verification in six PDEs. Furthermore, Umalusi monitored a sample of 76 District Offices and 127 public and private examination centres nationally. Debriefing meetings were held with each PDE to provide a preliminary report on Umalusi findings. The monitoring visits focused on critical areas that would give an indication of the PDEs' readiness to administer examinations. These critical areas included the following;
* appropriate policy development and implementation
* availability and utilisation of suitable systems, processes and procedures
* management plans for assessment, moderation and monitoring
* appointment and training of relevant personnel
* adequacy of resources, and
* safety and security of examination material.

3.3 SUMMARY OF FINDINGS

Strategic Management Issues
Inadequate staff capacity and a high number of vacant posts were identified in some PDEs and District Offices. The worst affected PDEs include KwaZulu-Natal, Limpopo, Eastern Cape and Free

State. These PDEs operate on the 2006 organogram even though the mandate has expanded to include the management and administration of General Education and Training Certificate (GETC) examinations, Senior Certificate (SC) examinations, Annual National Assessments (ANAs), and common tests. All districts officials except in the Western Cape reported working overtime on average five hours per day during the examination period.

Related to the HR capacity is a shortage of basic resources such as vehicles, fax machines, photocopying machines, internet facilities and scanners. All PDEs indicated having just enough finances to cover the administration of the 2015 NSC examinations. However, this led to some constraints such as limited monitoring and delayed payment of overtime. The infrastructure of some of the District Offices is dilapidated and needs urgent renovation.

Management Plan for the Conduct and Administration of the Examinations
All PDEs presented detailed management plans for conducting, managing and administering the 2015 October/November NSC examinations and these plans catered for the 2016 NSC supplementary examination as well. The management plans are monitored through mandatory reporting to relevant meetings by responsible personnel. The plans highlighted all the processes for conducting, managing and administering the said examinations with accompanying timelines. Umalusi verified completed processes such as the registration of examination centres and candidates, and marker selection in other PDEs.

Registration of Candidates and Examination Centres
Registration of part-time and full-time candidates was completed by all PDEs. There was a drastic increase in the number of candidates enrolled for the 2015 NSC as compared to 2014. This might be attributed to the number of learners who progressed from Grade 11 to 12 as per the DBE promotion policy. The increase in the enrolment for History, Mathematical Literacy and Tourism was evident and this is linked to the high number of subject changes noted in Grade 12 from (Mathematics to Mathematical Literacy; Physical Science to History, Tourism and Geography).

There was also a high number of immigrant candidates with unverified status and this has implications for resulting processes. Approximately 801 688 candidates (674 232 full time and 127 456 part time) were registered for the NSC by the DBE. Assessment bodies had also completed the approval of candidates requiring concessions and the registration of foreign candidates. Some of the challenges experienced by PDEs in the registration of candidates include unavailability of proper documents (identity documents), subject changes (from Home Language to First Additional Language, Mathematics to Mathematical Literacy), spelling errors and tight timelines for the registration of candidates.

Moderation of School-Based Assessment
Umalusi provided feedback to all PDEs on the 2014 site-based external moderation of the SBA. The feedback highlighted the following areas:
• A high standard of internal moderation was observed in some subjects.

- Well-developed and effective application of the rubric was evident in the marking of the assignment tasks.
- There was good adherence of content coverage in most subjects.
- Alternative responses were incorporated to facilitate and accommodate a variety of learners' responses or options.

However, there is a need for practical lessons to be controlled and managed, and for the moderation of Practical Assessment Tasks (PATs). These tasks were seen to be dominated by lower-cognitive demand questions with an inadequate number of higher-order questions being assessed and there is some evidence of questions being cut-and-paste from previous question papers.

Printing, Packaging and Distribution of Examination Material
At the time of monitoring, printing of examination material was in progress in most PDEs, with the exception of the Eastern Cape PDE, where the service provider for the printing of examination material had not yet been contracted. Five PDEs were printing in-house, whilst the other four were outsourcing the printing of examination material. State-of-the-art printing and packing facilities and high levels of security were observed especially in KwaZulu-Natal PDE.

Adequate storage and distribution facilities with appropriate security arrangements were in place in most PDEs, except in Limpopo PDE. At the Sambandou and Tshilamba nodal points (both in Limpopo PDE) the storage facilities for examination materials were found to pose safety and security risks to the examination material. The same can be said for King Williams Town District Office in Eastern Cape PDE where the strong room was too small to accommodate the envisaged examination material. The strong room facility at Maluti District Office in Eastern Cape PDE is situated far from the District Office building, hence the security of examination material could not be guaranteed.

It is worth mentioning that for the Western Cape PDE, examination material will be sent directly from the PDE to the examination centres via courier service. In all other PDEs, it was indicated that vehicles delivering examination material would be escorted from the printing area to the District Offices/nodal points by privately contracted security companies and the South African Police Service. Supporting examination material, such as answer sheets, wrappers and plastic security bags, were statistically sufficient though still to be delivered by the PDEs in certain instances.

Safety and Security of Examination Material
At all centres monitored, examination material would be stored in safes located in the offices of the chief invigilator. Security was found to be adequate with examination centres having a combination of alarm systems, surveillance cameras, 24-hour security guards and burglar bars on all doors and windows. The Western Cape PDE has a pilot project in place where a smart electronic locking system will be used in a sample of question papers. After the writing of examinations, answer scripts will be sealed into secure plastic bags provided by PDEs and either collected by departmental officials or delivered by the chief invigilator to the nodal point. Proper templates were available for the control and recording of answer scripts at all levels.

Appointment and Training of Invigilators and Monitors

Chief invigilators were appointed and trained in Gauteng, Limpopo, Free State and Mpumalanga PDEs. In the other provinces appointment and training was underway. Invigilators were to be appointed and trained by chief invigilators. Four PDEs (Gauteng, Free State, Western Cape and North West) would be using private invigilators where necessary, especially at private centres. Training of district monitors was underway at the time of monitoring and was scheduled to be completed in all districts before the start of the examinations. Of the 76 districts monitored by Umalusi, 33 had not finalised their respective monitoring plans.

Examination Centres

The DBE through the nine PDEs had registered approximately 6 849 full-time and part-time examination centres. Audit of these examination centres was completed only in Gauteng PDE, whilst in the other PDEs the process was still unfolding. It was observed that four centres in Gauteng did not have proper storage facilities for examination material and, furthermore, new schools housed in mobile units did not have strong rooms.

The PDEs have put in place systems for managing independent examination centres efficiently. Based on their audit reports and 2014 irregularity reports, PDEs have categorised their examination centres into high, medium or low risk centres as follows:

- High risk centres – those centres which have previous cases of group copying and repeated cases of irregularities.
- Medium risks centres – centres with cases of minor administrative irregularities.
- Low risk centres – examination centres without previous cases of irregularities.

Resident monitors were to be placed at medium risk centres and new centres, whilst roving monitors were to visit low risk centres on a random basis. Facilities to be used as examination centres for the writing of the 2015 NSC examinations include classrooms, school halls and computer centres. Upon inspection, monitors observed that examination rooms at the centres visited, including furniture, were suitable and adequate to accommodate the number of registered candidates for the examinations. It was also noticed that water supply, electricity and ablution facilities did not present a challenge at any of the centres. Examination centres with inadequate computer resources for CAT and IT examinations had made arrangements with neighbouring computer resourced facilities to accommodate the extra candidates. In order to mitigate the effects of a power failure, examination centres reported having their own or hired generators.

Management of Irregularities

The Regulations on the Conduct, Administration and Management of the National Senior Certificate provides the PDEs with guidelines on the management of irregularities. The policy provides an overview of the types of irregularity, how each should be handled, sanctions for each irregularity and the role and responsibilities of committees that should be established at different levels to deal with irregularities. All PDEs had a functional Provincial Examination Irregularities Committee (PEIC), although the establishment of District Assessment Irregularity Committees (DAICs) was not

consistentin all PDEs. There was evidence of the functionality of DAICs had only been established in Limpopo, Mpumalanga, Northern Cape and Western Cape.

It was evident that the School Assessment and Irregularities Committees (SAICs) had not been established in the majority of examination centres in any of the nine PDEs. At only 71 of the 127 examination centres monitored was evidence provided for the establishment of a SAIC. Various methods are envisaged by the PDEs to curb irregularities, including the establishment of common examination venues, and the placing of external resident monitors, chief invigilators and invigilators.

Selection of Markers and Marking Centres
Umalusi observed the marker selection process in six PDEs and conducted an audit of appointed markers in the eight of the nine provinces. More focus was placed on the appointment of internal moderators (IMs) and chief markers (CMs); however, deputy chief markers (DCMs), senior markers (SMs) and markers were sampled per subject. The appointment process for markers had been completed in most provinces with some delays in Limpopo PDE. Generally, there was a shortage of markers in certain subjects like History, Mathematics Literacy, Life Sciences and Home Languages. In addition, the Western Cape had conducted competency tests in the 11 gateway subjects and for non-competency test subjects a pass percentage of 70% was required.

The selection criteria for KwaZulu-Natal and Limpopo PDEs did not take cognisance of the marker's pass percentage for the subject and evaluation scores and were silent on the appointment of school principals as marking personnel. There was general compliance with the selection criteria in most provinces except in Limpopo, where the application form disregarded the qualifications of teachers. Generally, there were varying percentages of novice markers appointed due to the increase in candidate enrolment and hence the increased need. PDEs were in the process of finalising the selection of venues to serve as marking centres. However, the criteria for this selection were available in all PDEs. Venues were selected that offer adequate security measures and provide adequate and necessary infrastructure and facilities,

3.4   AREAS OF GOOD PRACTICE

The following areas of good practice were observed during the state of readiness assessment process:
- PDEs have detailed management plans in place for the conduct, management and administration of the 2015 NSC November examinations, which are strictly monitored.
- The registration of both candidates and examination centres, as well as related processes, had been completed.
- The categorisation by PDEs of examination centres into high, medium and low risk and the arrangements made for the monitoring the examinations at those centres is to be commended.
- The piloting of an electronic locking system for examination material in Western Cape is an innovative move.

3.5   AREAS OF CONCERN

The following issues that have the ability to threaten the credibility of the conduct of the 2015 NSC examinations were identified;

- The staff shortages experienced in PDEs and at some of the District Offices in relation to the expanding mandate.
- The non-appointment of the service provider to print examination material in the Eastern Cape and Free State PDEs.
- The inadequate number of government vehicles for monitoring purposes and the transporting of examination material in the Eastern Cape and Free State PDE.
- The inadequate security measures taken with regard to the examination material at the printing facility of the State Information Technology Agency (SITA) Free State PDE, Limpopo PDE, including Sambandou and Tshinane Circuit Offices, Maluti and King Williams Town District Offices.
- Non-adherence to PDE selection criteria for the appointment of markers in Limpopo and Kwa-Zulu Natal PDE.

3.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

- All PDEs should review their structures to align them with the expanding mandate and furthermore fill all vacancies in the assessment and examination directorates.
- The Eastern Cape PDE should appoint a service provider for the printing of examination material for the 2015 NSC examination.
- The PDE must make vehicles available for the monitoring of examinations in the Eastern Cape and Free State.
- Security measures must be upgraded at the printing facility of the SITA Free State, and the Limpopo PDE including Sambandou and Tshinane Circuit Offices, as well as Maluti and King Williams Town District Offices.
- Limpopo PDE should ensure that it adheres to its own requirements for the appointment of markers.

3.7   CONCLUSION

PDEs generally had prepared and implemented systems and processes to ensure the efficient conduct, management and administration of the 2015 October/November NSC examinations. Follow-up visits to Limpopo, Free State, KwaZulu-Natal and Eastern Cape became an inevitability given the risks that were identified. It can therefore be recommended that the DBE intensify the monitoring of these provinces in order to mitigate the possible unintended consequences of this situation. For its part, Umalusi also intended to intensify its monitoring where it deemed it necessary to do so.

Chapter 4

Monitoring of Writing

4.1 INTRODUCTION AND PURPOSE

The Department of Basic Education (DBE) through the nine provincial departments of education (PDEs) conducted the writing of the National Senior Certificate (NSC) examinations during October and November 2015. During the same period, Umalusi visited a sample of examination centres to establish whether the examination was conducted in compliance with the prescripts governing it or not. Therefore, this chapter is based on data obtained by Umalusi monitors, through observations, interviews and the perusal of appropriate documentation, on the management of examinations.

Section 18 of the GENFETQA Act states that assessment bodies must put adequate measures in place to combat irregularities by ensuring the credibility and integrity of the assessment. The fundamental purpose of monitoring was therefore to establish whether the overall integrity and credibility of the examination had been compromised in any way. Thus, this report provides insight into the conduct of the NSC examinations in the entire country.

4.2 SCOPE AND APPROACH

The conduct of writing of the 2015 NSC examination was monitored at a sample of examination centres across the nine PDEs, as illustrated in Table 4.1 below. Umalusi prioritised monitoring visits to those examination centres that had experienced irregularities in the past and where major subjects were being written. Subjects with high enrolments were also prioritised although the smaller subjects with limited numbers were also covered.

Alleged question paper leakages in Vhembe District of the Limpopo PDE necessitated the rewriting of the Life Sciences Papers 1 and 2. The preliminary report on the investigation listed the names of the schools implicated. It therefore became incumbent on Umalusi to monitor the rewriting of these papers, which were written on 4 and 8 December 2015 respectively. The eight schools implicated in the leakage of were accordingly monitored for both sessions.

Table 4.1: Number of examination centres monitored per province

Province	No. of examination centres monitored
Eastern Cape	36
Free State	14
Gauteng	41
KwaZulu-Natal	64
Limpopo	52 + (17[1] rewrite of Life Sciences P1 & P2)
Mpumalanga	24
Northern Cape	9
North West	12
Western Cape	23
TOTAL	**275 + (17) = 292**

[1] Additional centres monitored during the rewrite of the Life Sciences in Vhembe District

4.3   SUMMARY OF FINDINGS

The findings relating to the examination centres monitored by Umalusi during the November and December 2015 NSC examinations, as well as those for the rewrite of the Life Sciences papers in Vhembe District, are discussed below based on the eight criteria for monitoring:

Delivery and Storage of Examination Material
In almost all examination centres the collection and delivery of examination material from nodal points was done daily by the district officials. In six cases, chief invigilators delegated this responsibility to teachers but this arrangement was formalised through appointment letters at two centres only. In the Western Cape, examination material was delivered by Skynet couriers once a week directly to the examination centres.

The November 2015 examination material and the December 2015 Papers 1 and 2 for the rewrite of Life Sciences were received in sealed plastic bags, checked, signed off and kept safely in lockable strong rooms, safes or cabinets by the principals/chief invigilators/administrative officers/clerks. The designated officials were also responsible for the safekeeping of keys for the facilities. There was an acceptable level of security at most centres in the form of burglar bars, working alarms and, in a few cases, surveillance cameras. However, some anomalies were observed at a few centres during the monitoring: use of storage facilities for other purposes, and unlockable cabinets, cupboards and storerooms posed security risks for the storage of examination materials.

The Invigilators and their Training
Interestingly, in a large majority of examination centres, the chief invigilators were either the school principal or the deputy principal. Generally, schools used teachers as invigilators, and almost all invigilators did not teach the subjects they invigilated. In most cases, chief invigilators and invigilators were properly and officially appointed, and had received proper training – evidence of the training was produced. The chief invigilators had been trained by district officials and they, in turn, had trained their invigilators.

Most of the trained invigilators had received certificates and copies of these were available in the examination files. However, the training of a few invigilators could not be verified owing to the absence of evidence that such training had occurred. Some invigilators were trained after the examination had already started. However, most examination centres complied with this criterion.

Preparations for Writing and the Examination Venues
Most examination centres displayed directions to the examination venues, and had signs on the doors of the venues, although this was not the case in far too many centres. In almost all centres, ventilation and lighting inside the venues were good, centres were clean and there was no disturbing noise close by. There was also nothing in the centres that could assist candidates with their examination. At a few centres there were no attendance registers for invigilators or relief invigilators.

In most centres[3], the candidates were required to produce their IDs[2] and admission letters for verification before entering the examination venues. This procedure was not followed at a significant number of centres, however. At a few centres, candidates produced their IDs and admission letters while writing the examination. Candidates were seated according to the seating plans that were displayed at the entrances to examination centres and copies of these plans were available in the examination files. Almost all centres had adequate seating space and suitable desks for all candidates. Most examination venues had clocks visible to all candidates, Special concessions granted to candidates were adhered to.

Before the commencement of the examination, all candidates were reminded that cell phones were not allowed inside the examination venues. Common areas of non-compliance with the examination regulations were observed in either of the following cases in some examination centres: some invigilators and candidates arrived late, no signs directing people to the examination centres, invigilators without name tags, absence of relief invigilators, absence of invigilators' attendance registers, centres not clean, no seating plans, identity documents (IDs) and permits not checked when candidates were admitted to the examination venues, poor ventilation and lighting, and calculators not checked.

Time Management

In general, invigilators and candidates arrived at the scheduled time and, as a result, candidates were admitted to the examination centres thirty minutes before the examination started. In a few cases where candidates arrived late, they attributed this to transport problems. Fifteen minutes before the examination started answer books and question papers were distributed, examination rules were read out and the technical accuracy of the question papers was checked with candidates. In general, candidates were given ten minutes reading time and the examination started and ended at the scheduled times.

The following incidents of non-compliance were found at a few centres: invigilators and candidates arriving late, a question paper arriving late, examination rules not read out to candidates, question papers not checked for technical accuracy, candidates given less or more than 10 minutes reading time, candidates not given reading time and examination starting late.

Checking the Immediate Environment

At many centres the invigilators checked the immediate environment, including the toilets, for any examination material that might advantage candidates unfairly during the examination. This was not done at many others. At many centres toilets were not in good condition and one centre did not have toilets.

Activities during Writing

The examination started on time at almost all centres, and the invigilators were vigilant and attentive and walked around quietly. At the majority of centres, candidates completed the attendance registers after the commencement of the examination while the invigilators were checking the

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[2] Compulsory for part-time candidates
[3] Compulsory for full-time candidates

accuracy of the candidates' information on the cover page of the answer books. At a few centres, the attendance registers were completed after candidates had finished writing, when scripts were collected from them.

In general, candidates who finished writing before the last 15 minutes of the examination raised their hands and invigilators collected their scripts, and thereafter they were allowed to leave. At a few centres candidates who finished early took their scripts to the invigilators or left them on their desks. In general, candidates who went to the toilets during the examination were escorted by invigilators of their own gender, except in a few cases where they were not escorted by invigilators of their own gender, or where they were not escorted al all owing to a lack of relief invigilators. At almost all centres, no candidates left during the first hour of the examination, candidates were given five minutes warning of the end of the examination, and no candidate was allowed to leave during the last 15 minutes of the examination. The few incidents of errata found were dealt with correctly.

The following non-compliance incidents were found: At one centre an unregistered candidate was found and a report was written about his case, at another a candidate who was writing CAT P1 was unable to save his work in the computer, and after addressing the problem a report was written about the case. In other cases, candidates were allowed to leave during the last 15 minutes of the session, at three centres candidates were allowed to go to the toilets unescorted and in seven centres candidates left answer books on their desks.

Packaging and Transmission of Answer Scripts

The examination venues were mainly used to count and pack the candidates' answer scripts. In a few cases, packaging was done in the chief invigilator's office or a room designated for this purpose. The packaging of scripts was done by chief invigilators and invigilators. The scripts were counted and packed using the sequence in the mark sheet, and checking that they corresponded with the candidates marked present on the mark sheet. Thereafter, scripts were tied together and placed in sealable plastic containers, and the dispatch forms were completed.

After packaging, depending on the prevailing circumstances, scripts were transported to the District Offices by the chief invigilators, district officials or people assigned to this task. Generally, when there were two examination sessions, the first batch of scripts was locked in a safe, cabinet, cupboard, storeroom or strong room and dispatched to the District Office with the second batch at the end of the second session. Everyone who fetched the scripts from the centres checked them and signed for them, and the same procedure applied at the District Offices when scripts were delivered. At most centres, the chief invigilators completed daily situational reports after the end of the examination. However, this was not done at some centres and the reason provided for not doing so was that the chief invigilators completed situational reports only when there were incidents. Not completing a daily situational reports was the main non-compliance incident found for this criterion.

Monitoring by the Assessment Body

The DBE monitors visited many schools prior to the writing of the examination between October and

November 2015. The issues raised by the monitors, as stated in their reports, included: time management, invigilators to ensure that the centre number appeared on the board and that starting and finishing times were displayed on the board in the examination centre, and absence of appointment letters for invigilators. Unfortunately, at some centres the monitors left no reports.

In some provinces, notably Limpopo, monitoring by the assessment body has improved significantly compared to previous years. This is one criterion that does not often receive adequate attention although it is known that serious monitoring by the assessment body can greatly assist in minimising irregularities. Non-compliance in this case entails not leaving monitoring reports at the centres that were monitored.

Irregularities

Irregularities that were identified by Umalusi monitors in the nine provinces are indicated below. Some of the incidents were prevented from being actualised, and others were of such a nature that they did not have an adverse effect on the credibility of the examination.

Free State
- Minor technical irregularities were reported implicating one or two candidates.

Eastern Cape
- The examination did not start as scheduled at two centres. At one centre, the Information Technology examination started one hour before the official starting time, and at another centre it started 15 minutes late.
- Candidates went to the toilet unaccompanied by invigilators at one centre.
- Fourteen centres did not have relief invigilators.

KwaZulu-Natal
- Unregistered candidates were found at one centre.
- A textbook on the subject being written was found lying in the toilet used by candidates.
- The principal left question papers in the boot of the car after collecting them from the nodal point.

Gauteng
- A few examination centres had no relief invigilators.
- Candidates went to the toilet unaccompanied by invigilators.

Apart from the irregularities identified by Umalusi monitors, the nine PDEs submitted daily reports on the conduct of the NSC examination to Umalusi. Some of those reports indicated irregularities which included the following:
- Paper leakages in Limpopo that spread to Gauteng and Mpumalanga.
- Alleged prior access to the question paper in Limpopo, Mpumalanga, Gauteng and Free State.
- Unregistered candidates in five PDEs with highest frequency experienced in Gauteng and Limpopo.

- Candidates writing subjects at incorrect levels especially in the languages in seven PDEs province.
- Computer-related irregularities prevalent in all PDEs except for Gauteng and KwaZulu-Natal.
- Unauthorised electronic devices found in examination rooms in all PDEs except KwaZulu-Natal .
- Crib notes prevalent in all PDEs.
- All the serious irregularities are being investigated by the respective PEICs and the NEIC, whilst the majority of administrative irregularities were dealt with at PEIC level.

4.4   AREAS OF GOOD PRACTICE

The following areas of good practice were noted by the monitors:
- A marked improvement in the running and managing of the examinations was noted.
- Many invigilators were properly trained and executed their responsibilities very well. They performed their work diligently and professionally.
- At one centre invigilators wore name tags bearing a photo.
- Many centres writing CAT and IT had made contingency plans to mitigate the effect of power cuts.
- At some centres each candidate's timetable and copy of ID – including a photo – were pasted on his/her desk in the examination venue.

4.5   AREAS OF CONCERN

The following areas of concern, found across the provinces, were noted by the monitors:
- Centres with large numbers of candidates often failed to complete all mandatory activities in time before the start of the examination.
- Some centres did not have attendance registers for invigilators or their invigilators did not sign attendance registers, (Phondle, Keledi, Thuto-Thebe, New Millenium College, John Bisseker, Qhasana, Funda, Umzukvukile, Nowawe, B ka T, Jim Mvabaza, St Thomas for the Deaf, Breidbach, Lingelihle, Umtiza, Sovuka Sikhanye, Dale, Masibonisane, Cambridge, Hudson Park, Port Rex, and Stirling).
- Atmost centres monitored centres, the immediate environment, including the toilets, was not checked for material that could be of assistance to the candidates, (Sasamala, The Beacon, Iphondle, Moriting wa Thuto, Phofung, Hanyani Thomo, Gija Ngove, Hlomela, Maphusha, Masiza, Nkateko, Charles Mothonsi, Rivhubye, Ntsonkotha, Zweliyandila, Funda, East London High, Kingsridge Jim Mvabaza, St Thomas for the Deaf, Maria Louw, Lingelihle, Dale, Kwa-Komani, Sovuka Sikhanye, Port Rex, Qeens College, B ka T).
- At a few centres the examination did not start as scheduled, (Moletsane, Leap Science and Maths and Dale).
- At some centres the examination rules were not read out to candidates, candidates were not given 10 minutes reading time, calculators were not checked and/or the technical accuracy of the question papers was not checked, (Phagameng High, Meetse Tshehla, Sinthumule, Punt, Zola Randfontein, Setumo Khiba, Huguenot, Ntsonkotha, Funda, Maria Louw, Gonubie, Lingelethu, Breidbach, Nowawe, Hoho, B ka T, Pinagare, Khumbula, Mkhutshwa, New Millenium College, Central Islamic, St Anna, Zakheni, Dirang-ka- Natla).

- At a few centres, candidates were allowed to leave during the last 15 minutes of the examination (Imizamo, Hans Kekana and Breidbach).
- At a few centres candidates were allowed to leave their scripts on their desks (Setumo Khiba, Lingelethu, Xolani, Bongolethu, Jim Mvabaza, St Thomas for the Deaf and Masibone).

4.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

In the light of the identified incidents of non-compliance with the regulations governing the conduct of the NSC examinations, the following directives are suggested:
- The Department of Basic Education must ensure that examination regulations are enforced in all schools, and that compliance with them is monitored.
- Examination centres with too many candidates should admit candidates to the examination venues 45 minutes before the start of the examination. This will enable them to perform all pre-examination administrative duties in good time, and the examination will be able to start as scheduled.
- All invigilators must have appointment letters, should wear name tags and every examination session must have adequate relief invigilators.
- Before each examination invigilators should check the immediate environment, including the toilets, for material that could be of assistance to the candidates.
- Invigilators must read examination rules to candidates, check question papers for technical errors with the candidates and give candidates 10 minutes reading time during which no writing or scribbling should be tolerated.
- All candidates who leave the examination room during writing must be accompanied by invigilators, and it is advisable to keep a record of such candidates.
- The scripts of candidates who finish writing earlier must be collected from their seats/desks while they are still seated.

4.7   CONCLUSION

Evidence presented in this report suggests that a few incidents of negligence and non-compliance, of varying magnitude, were found at some centres. However, none of the incidents would have compromised the overall integrity, credibility or fairness of the examination.

Chapter 5

Monitoring of Marking

5.1   INTRODUCTION AND PURPOSE

The findings of this chapter are based on the marking of candidates' scripts during the October/November 2015 National Senior Certificate (NSC) examination conducted by the Department of Basic Education (DBE). Data included in this report was obtained by means of observation, as well as interviews held with relevant examination officials at the marking centres. Umalusi, as a quality council, has an obligation to ensure that the conduct, administration and management of the marking processes applied in the examinations are credible.

The purpose of this section therefore is to report on the integrity of the marking process applied in the November 2015 NSC examinations. The report gives a brief account of the plans for marking, the state of the marking centres, the security at the marking centres, training of marking personnel, marking procedure, monitoring of marking, handling of irregularities, as well as quality assurance procedures and reports on different provinces. This chapter will further record the areas of concern and the areas for improvement, as well as directives for compliance and improvement.

5.2   SCOPE AND APPROACH

The marking of the November 2015 NSC examination was conducted at various marking centres across the nine provinces. Umalusi monitors and staff visited 79 marking centres between 19 November and 9 December 2015 in all nine provinces. Table 5.1 below gives the number of marking centres monitored in each province by Umalusi monitors.

Table 5.1: Marking centres monitored by Umalusi

Province	No. of marking centres
Eastern Cape	9
Free State	9
Gauteng	9
KwaZulu-Natal	18
Limpopo	12
Mpumalanga	12
North West	7
Northern Cape	1
Western Cape	2
TOTAL	**79**

Umalusi monitors and staff who visited the marking centres on selected days were required to complete a monitoring instrument. This instrument was designed to record observations of practices, the findings with regard to verifying documents and the verbal responses of the marking centre managers (MCMs) to questions relating to the administration of the marking process. These findings

are summarised in the following section.

5.3   SUMMARY OF FINDINGS

The findings of the way in which the provincial marking centres were managed in relation to Umalusi monitoring criteria are summarised in Table 5.2 below. The table reflects good compliance with the eight criteria for the conduct and management of the marking phase of the NSC examinations. Further details on each criterion are presented in the sections that follow. The shortcomings observed at the marking centres are summarised below.

Table 5.2: Level of compliance with criteria

CRITERIA	Met all the criteria	Met most of the criteria	Met few/none of the criteria	Total
Planning for marking	75	4	0	79
Marking centre	77	2	0	79
Security	64	15	0	79
Training of marking personnel	55	24	0	79
Marking procedure	78	1	0	79
Monitoring of marking	76	3	0	79
Handling of irregularities	68	11	0	79
Quality assurance procedures	79	0	0	79
Reports	72	7	0	79

Planning for Marking

All marking centres were provided with marking plans by their respective provincial departments of education (PDEs) and these plans were implemented. All marking centres, except for two in Gauteng and two in KwaZulu-Natal, had daily operational plans available. Other provinces, like Gauteng, had two staggered marking sessions in November and December 2015, respectively. The second session of marking started almost at the same time as the other provinces according to their respective management plans.

Senior marking staff (marking centre managers/venue managers, their deputies, chief markers and internal moderators) arrived at the marking centres at least two days prior to the commencement of marking. During that time, they received and verified the answer scripts, planned the training and carried out other administration-related matters. Examination assistants (EAs) also arrived during this period. Hoërskool Waterkloof in Gauteng was used as a national marking venue for the subjects with low enrolments. All centres were able to start the marking session as planned by the respective PDEs. All but one of the marking centres monitored had a list of all personnel expected at the marking centre. Marking guidelines were delivered to the marking centres along with the answer scripts but in separate boxes.

Marking Centres

The PDEs used educational institutions as marking venues, as well as two community centres in Limpopo. Classrooms were generally used as marking rooms whilst halls were used for the control of scripts. The number of classrooms used varied from marking centre to marking centre depending on the number of subjects and markers appointed. Script control rooms were found to be big enough and could accommodate all the marked and unmarked scripts. In most cases, school halls were used for this purpose.

The operating times for marking centres varied between 07:00 and 22:00 from province to province. All centres had communication facilities available in the form of mobile units and fixed line units were provided by the hosting institution where possible. Ablution facilities were in good condition. Only one centre in Eastern Cape experienced water challenges. Furniture used at all marking centres was adequate and appropriate for marking.

Accommodation was provided for markers in all provinces except Gauteng. In Free State it was limited to markers living further than 70 kilometres from the marking centre. In Gauteng, accommodation was limited to the national marking centre, as the markers there were from different provinces. At one marking centre in Limpopo the rooms were overcrowded.

Security

All marking centres monitored had security personnel available who operated around the clock for the duration of the marking. Furthermore, access to these marking centres was controlled by positive identification and visitors were directed or escorted by security personnel to the MCM. Monitors reported not being made to sign in at the gate and/or their vehicles not being searched on entry to marking centres except in Northern Cape, North West and Western Cape. All marking centres monitored had security features such as an alarm system, surveillance cameras and burglar bars.

The security of scripts at all marking centres was managed by script control managers. Scripts were physically verified and scanned in and out for verification and accountability purposes. Movement of scripts within the marking venue was monitored by control sheets and accompanied by security, except at one centre in Limpopo. The system by which scripts were transported to the marking centres differed from province to province, but all provinces used closed vehicles and were escorted by members of the South African Police Service, metro police and/or security companies. In Mpumalanga, transporting vehicles were also fitted with tracking devices.

Training of Marking Personnel

Training of the MCMs and deputy centre managers (DCMs) was done by all the PDEs, while the chief markers (CMs) and internal moderators (IMs) received their training from the DBE. Markers were trained at the marking centres by the CMs and the IMs prior to the marking. The EAs at the marking venue were trained by the DCMs. Evidence of marking personnel training was not available at two marking centres in Limpopo.

The training lasted for one to two days depending on the position of the appointment. Only Western Cape, Mpumalanga and Northern Cape provinces administered competency test for markers. In all other provinces, any test administered to the markers was limited to dummy marking which was done during the training and no formal competency test was administered. In Eastern Cape, Western Cape and North West markers had to bring their own prepared memorandum to the memorandum discussion meeting.

Marking Procedures

All marking personnel signed the attendance register on arrival in the morning and when leaving in the evening. The registers were controlled by CMs and DCMs at different levels. The possibility of markers marking their own school scripts was controlled and verified by the senior markers (SMs) and CMs when issuing the scripts. Markers also had to sign a declaration on the matter, stating their centre number. This could not be guaranteed in Free State as the directive was limited to announcements made to the markers.

A question-by-question marking approach was followed in general for all subjects at all marking centres monitored. Markers were not allowed to make any change(s) to the approved memorandum but were allowed to discuss any possible/alternative answer with the SM. Where candidates answered more than the required questions in optional questions or answered the same question twice, only the first answer was considered for marking.

The correctness of mark allocation was verified by the markers who did the additions and control, and was also verified by the EAs. There was adequate supervision of marking for all subjects by the immediate senior; for example, markers were supervised by the SMs. Differences in mark allocation detected by the IM were discussed with the marker concerned and the SM, and when needed the script or the whole batch was remarked and the marker retrained.

Monitoring of Marking

In all provinces, the marking process was monitored by the SMs and DCMs. Each official moderated a minimum of 10% of the scripts. At the provincial marking centres, the respective CMs and IMs controlled the marking of each subject. The immediate senior of a marker completed an evaluation form on the marker's performance. In all provinces, these evaluation forms are considered when appointing markers in the future.

Under-performing markers were supported, retrained or allocated other responsibilities. They were also closely monitored by the immediate SM. Concerns were raised in KwaZulu-Natal that markers had been reappointed despite having received a negative report in the past.

Handling of Irregularities

During the training session markers were trained to spot any irregularities. Any suspected irregularity was to be brought to the attention of the immediate senior, verified and reported to the CM. On completing the necessary documentation, the chief marker would then hand over the script(s) to the

marking centre manager. The MCM would, in turn, involve the irregularity committee. In Eastern Cape, Western Cape, Limpopo and KwaZulu-Natal irregularity committees were formed at marking centre level, while in other provinces irregularity committees operated at the provincial level. The irregularity officer visiting or stationed at the centre will record the suspected irregularities in the irregularity register.

Most of the irregularities reported from various marking centres at the time of monitoring were of a technical nature, such as the wrong language level. In Free State, one candidate had two answer scripts for the same paper, five candidates were caught with cell phones containing information on the subject written and one script had two different handwritings in the same script. In Northern Cape and Mpumalanga, candidates were reported to have had crib notes. All matters were reported to the respective irregularity committee.

Quality Assurance Procedures

All marking centres had systems in place to ensure the quality of marking and the controlling of candidates' scripts. Markers and SMs checked the marking and the capturing of marks at different levels. The allocation of marks per question and the transfer of marks to the mark sheet were also verified by the EAs for each script.

All marking centres confirmed that any lost mark sheet would be physically verified and could be reprinted from the examination system if needed. In Western Cape, mark sheets were used for control purposes only and marks were captured directly from the candidate's answer book. Marks were captured at central venues determined by PDEs.

Reports

The CMs and IMs completed qualitative reports about marking and general performance and these were submitted to the PDEs and DBE through the MCMs. The markers do not write reports except in Western Cape, but contribute to the reports that have to be prepared by the CM and IM. These reports were written on a template to ensure minimum standards. In some subjects the report was prepared by the IM only. At two marking centres in North West, the report was prepared by subject analysts with the assistance of all the other marking personnel.

These reports are used by the DBE and the PDEs to report on the quality of examination performance, to train educators at the beginning of the following year and for curriculum development. There was evidence of the marking process having been monitored by the DBE and the PDEs at the marking centres in all nine provinces. In KwaZulu-Natal, the CMs raised a concern that the reports produced were not being used optimally by the PDE, as the concerns noted in previous reports have not been addressed.

5.4   AREAS OF GOOD PRACTICE

Effective control systems were in place at all the marking centres in all provinces and the provincially

standardised plans were available and had been implemented.

- Conditions at the marking centres across the nine provinces were conducive to marking in terms of infrastructure and resources.
- There was a high level of security at marking centres and effective control systems were in place, thus ensuring that all candidate scripts were accounted for.
- Arrangements for the management of irregularities at marking centres were effective.

5.5   AREAS OF CONCERN

A number of areas of concern were noted and need to be addressed. A summary of these concerns is given below:

- A list of marking centre personnel was not available at one marking centre (Phandulwazi H/S: Eastern Cape).
- One marking centre had limited parking facilities (Rand Girls H/S: Gauteng) and water supply was lacking at some marking venues (Adelaide Gymnasium H/S: Eastern Cape).
- Inadequate number of EAs, which led to a backlog in the verification of scripts process. (Rand Girls H/S and Edenglen H/S: Gauteng).
- At one marking centre, the marking room was overcrowded (Adelaide Gymnasium H/S: Eastern Cape).
- At a few marking centres, visitors' vehicles were not searched by security guards.
- No script movement control system was in place at one marking centre (Kuschke Agricultural H/S: Limpopo).

5.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

- Every marking centre should have a list of marking personnel that indicates their roles; in addition, the number of personnel appointed should be adequate for the task.
- The selection of marking venues should be strengthened to ensure that marking centres provide sufficient parking space and marking rooms. In cases where accommodation is provided this should also be adequate.
- Standard security measures should be established and these should be implemented at all marking centres to ensure the safety of the marking personnel and the examination material.

5.7   CONCLUSION

Despite a few technical challenges, as noted above, the marking process and the quality control of this process were excellent. Moreover, the challenges encountered were not found to have any limiting effect on the credibility and reliability of the marking process. Therefore, the marking process and the outcome thereof of November/December 2015 NSC Examination in all nine provinces can be approved as legitimate, professional and reliable.

Chapter 6

Selection, Appointment and Training of Markers

6.1 INTRODUCTION AND PURPOSE

Umalusi is mandated to ensure that the National Senior Certificate (NSC) examinations conducted each year are fair, valid and reliable. To perform this function, Umalusi is required to ensure that the quality, or standard, of all the assessment practices associated with the NSC examinations is maintained. Evidence gathered over the years suggests that inconsistency in the marking of NSC scripts decreases the fairness and reliability of marks awarded to candidates, and therefore threatens the validity of the examinations. Therefore, the selection of competent markers has become imperative for the Department of Basic Education (DBE), and to Umalusi, to ensure that the quality of the marking of the NSC examinations is improved.

The appointment of NSC markers is governed by the Employment of Educators Act, specifically the Personnel Administrative Measures (PAM). A revised version taking into account the developments of the past few years has been negotiated in the Education Labour Relations Council, but has still not been promulgated. Over the years, the provincial departments of education (PDEs) that administer the marking of the NSC examinations have each modified/added to the PAM requirements according to their own needs. Therefore, Umalusi staff from the Quality Assurance of Assessment (QAA) Schools Sub-Unit visited the various provinces to investigate the practices currently associated with the selection, appointment and training of markers in each province.

The purpose of the Umalusi project was threefold. Firstly, to monitor the process of marker selection practices in all provinces to ensure consistency in the application of the Personnel Administrative Measures (PAM) document across the PDEs; secondly, to audit/verify the quality of markers appointed; and thirdly, to monitor the training of markers.

This chapter reports on the selection, appointment and training of markers for the 2015 NSC examinations of the DBE. The first part outlines the subjects investigated in the three stages of this study. The findings of the Umalusi investigators are summarised, and this is followed by highlighting the areas of good practice and areas of concern as well as recommendations for the future selection of NSC markers.

6.2 SCOPE AND APPROACH

Umalusi staff visited the various PDEs during the course of the project. The methods employed by each PDE to select markers were scrutinised, in particular with respect to compliance with PAM and the peculiarities of each province (Part A). However, Limpopo PDE changed the date of their marker selection meeting without notice, and this province was therefore not included in this part of the project. It was not possible to audit the appointment of all the markers for all subjects in every province so markers for a subset of all the NSC subjects were sampled (Part B), and the training of markers study was conducted on a different subset of all the NSC subjects (Part C). The training of markers in

Gauteng PDE and Free State PDE was not monitored.

Table 6.1: Subjects monitored during the selection, appointment and training of markers

Part A Selection of markers	Part B Appointment of markers	Part C Training of markers
All subjects except Dance Studies	Accounting Business Studies Agricultural Sciences Dramatic Arts Economics Engineering Graphics & Design Geography History Information Technology Life Sciences Physical Sciences Mathematical Literacy Mathematics English HL, FAL isiZulu HL IsiXhosa H Sepedi HL	Business Studies Economics Geography History Life Sciences Physical Sciences Mathematical Literacy Visual Arts Afrikaans FAL English HL, FAL IsiXhosa isiZulu Sepedi HL, FAL, SAL Setswana Tshivenda HL, FAL, SAL Xitsonga HL, FAL, SAL

6.3   SUMMARY OF FINDINGS

The first part of this project (Part A) found that all PDEs purported to use PAM criteria for the selection of their markers, together with their own PDE requirements, namely: individual/school performance in the subject concerned; and evaluation of marking; remarking of scripts information. In North West, evidence of professional development was required and in the Western Cape, competency tests were conducted in some subjects.

The second part of this project (Part B) found, by scrutinising samples of markers, that in practice a range of different interpretations of the PAM or the PDE criteria exist. For this reason, the findings (Parts A, B and C) below will be discussed province by province, together with the specific elements of good practice identified.

Eastern Cape

Detailed criteria for the section of markers were provided. However, criteria concerning markers' qualifications and previous experience appeared to be inconsistently applied, especially when distinguishing between different levels of markers. In addition, a shortage of markers in some subjects (isiXhosa and English FAL) necessitated a deviation from the stated criteria.

Multiple different pass rates for the same school and the same subject were observed between markers – a 50% pass rate is required per school, not per teacher.   Principals and educators with a history of examination irregularities were not eligible for appointment.

All applications were required to be accompanied by a photograph of the applicant and, on registration at the marking centre, markers were required to submit a handwritten marking guideline for their specific examination which was used to allocate questions to markers.

Training of markers was considered to be of a good standard, but the number of dummy scripts varied between subjects.

Free State
The first level for verifying aspirant markers' qualifications and suitability takes place at school level, and the principal endorses applicants who satisfy the PAM and PDE requirements.   Nine PDE committees then select the markers for each subject from a list that summarises their details. Although applicants other than chief markers and internal moderators have to submit academic transcripts, not all new applicants did, and these were also not made available to the panel. School performance and Information from the remarking of scripts in previous NSC examinations was used in different ways in different subjects, and evaluation forms compiled at the end of 2014 were used in the selection process. Despite this, an underperforming deputy chief marker was appointed in Physical Sciences.

There was evidence of a succession plan in place – a variable proportion of novice markers was included in the selection.

A shortage of markers in some areas, for example English HL and FAL and Physical Science, necessitated the relaxing of the appointment criteria. Despite this, Free State had highly qualified markers, which included principals and legal foreigners and, wherever possible, districts were proportionally represented. The training of markers was not observed in this province.

Gauteng
Verifying the qualifications and suitability of applicants according to the PAM and PDE requirements was done by the school principal and endorsed by a district panel. The chief marker made the final selections – different subjects apply different criteria. There was evidence of adherence to the qualifying criteria of qualifications, pass rate and experience, expect in Physical Sciences and English FAL, where there was a shortage of markers. Appointments included deputy principals and foreign nationals and race, gender and district representivity criteria were observed where applicants were found to be suitable.

There was evidence of a succession plan in place – a variable proportion of novice markers was included in the selection, especially where there was a shortage of markers. Some high performing 2014 markers were promoted to senior markers this year.

The Gauteng PDE processes for selecting and appointing markers are considered to be an example of good practice. The training of markers was not monitored in this province.

KwaZulu-Natal

Generally, there were some deviations from the PAM requirements observed in the selection and appointment of markers, as there were some anomalies in appointments with respect to the PDE's stated requirements. For example, incomplete applications, especially with respect to academic qualifications were accepted; experience sometimes took precedence over qualifications; and Grade 10 and 11 teachers who were not Grade 12 teachers were appointed. In addition, unqualified markers were appointed for isiZulu HL and Mathematics because of a shortage of applicants. Lastly, pass rate was not always verified or used.

The training of markers was used to allocate markers to different questions and was characterised by vibrant discussions. A general consensus was that the isiZulu HL P1 was too rigid and vague in places – this situation was monitored as the marking session progressed. During marking, one of the Agricultural Sciences P1 markers was found to have very poor subject knowledge, and he did not attend the marker training – the matter was referred to the internal moderator.

Limpopo

The Umalusi monitors were unable to attend the Limpopo marker selection meeting because the date was changed without informing Umalusi. Provincial officials verified all applications to ensure that all applicants taught the subject in Grade 12. It would be helpful to have a school committee check the validity of applications before submission. The chief marker together with PDE and union representatives made the appointments. Pass rate, evaluation of marking and remarking were not considered when appointing markers. Chief markers are appointed for three years, irrespective of their performance. In subjects like Sepedi HL and English FAL, where the number of candidates has increased, Grade 11 teachers for these subjects were appointed. Foreign markers did not require SAQA accreditation, just a work permit.

The inconsistencies observed in the appointment of markers were reported to the Senior Officials in the PDE including the Member of the Executive Council (MEC) of Education in Limpopo. Umalusi conducted a follow up visit to verify if the PDE has corrected the anomalies observed which were partially addressed except in cases where there was a shortage of markers novice markers were appointed.

In Limpopo, the importance of marker evaluation at the end of the marking session was reiterated throughout marker training. The ratio of 1 senior marker to 7 markers was higher than the national recommended ratio of 1:5, and this is cause for concern, as was the shortage of Sepedi markers. There were insufficient training days given the number of new markers and non-Grade 12 markers.

Mpumalanga

The Mpumalanga PDE has a set of the records of applicants which is updated and verified each year. In this PDE, remarking evidence and the evaluation forms of the previous year play an important role in the appointment of markers. Applicants not appointed are placed on a reserve list if they meet the necessary criteria. The internal moderators and chief markers are appointed annually based on performance. No principals are appointed.

Not all senior marking officials' records were verified. The Life Sciences P1 internal moderator and deputy chief marker, and the deputy chief marker for Mathematics did not satisfy the criteria for appointment. However, the PDE justified their appointment based on the province's succession plans. The succession plan also makes provision for a proportion of novice markers among the appointments.

In Mpumalanga, the deputy chief markers and the senior markers write a placement test based on the examination they will be marking to determine their suitability to mark specific questions. The number of dummy scripts used for training differed between subjects. This PDE has some highly qualified and experienced senior marking officials.

Northern Cape

Generally, this province was found to have a clearly stated plan for the appointment of its markers. However, not all marker applications contained verifiable academic records and foreigners were not required to provide proof of SAQA accreditation. Part of the selection process involved a ranking system conducted by the internal moderator and chief marker in terms of which applicants for each subject were ranked according to their eligibility as markers. The same criteria were used across subjects.

In addition to the PAM requirements, the Northern Cape PDE made use of the pass rate criterion, but did not always apply it consistently. For example some applicants appointed to senior marking position in Mathematics had had pass rates as low as 25% in 2014. There were instances of mismatches where information on applications did not match electronic lists. Principals are excluded from appointment as markers in this province.

In subjects with marker shortages, especially languages like Afrikaans HL, plans were made to recruit markers from the Free State.

The rewards of being well prepared for the training of their markers and the involvement of the Northern Cape executive management during the marker training sessions were evident in the rigorous discussions and engagement of all markers, irrespective of their level of appointment. Both national and provincial dummy scripts were used in training.

North West

A PDE panel, composed of senior officials not limited to subject advisors, was tasked with selecting the

markers. North West PDE maintains a database of markers and requires academic transcripts of new applicants which are verified by the PDE. All markers are audited by the PDE before being approved by the superintendent general. In addition to the PAM requirements, pass rate and remarking of scripts information, North West PDE required evidence of professional development and permission from the applicant's school. In the future, evaluation of marking will be included as a selection criterion.

A proportion of novice markers were included in the appointments. The presence of analytical moderators as part of the marking teams is welcome. Generally, the spread of markers was representative of race, gender, district and language groups,

North West PDE had plans in place to address the potential shortage of markers in subjects (e.g. History, English HL and FAL, and Setswana) with increased numbers of candidates.

Some applications were found to be incomplete, for example the academic transcripts, and the use of pass rate as a criterion for marker selection was not applied consistently.

The training of markers was done thoroughly. However, the fact that Afrikaans FAL P1 training did not encompass the required 15 hours and a number of appointed markers did not report for duty at the marking centre is a matter of concern.

Western Cape
In the Western Cape, a committee consisting of examination and assessment specialists and union representatives was involved in the appointment of markers. In addition to the PAM requirements, pass rate, remarking of scripts information and the evaluation of marking, the Western Cape PDE requires its applicants in some subjects (Accounting, Business Studies, Consumer Studies, Economics, English HL, Geography, History, Life Sciences, Mathematics, Mathematical Literacy and Physical Sciences) to write a competency test. This year the pass rate in this competency test was increased from 60% to 70%. A shortage of applicants was experienced in some subjects (Afrikaans FAL P1, P2 & P3, Afrikaans HL P1, P2 & P3, Economics P1 & P2, English FAL P1, P2 & P3, Geography P1, History P1 & P2, Mathematical Literacy P2 and Physical Sciences P2). Principals were excluded from applying. Markers are appointed on a three-year cycle subject to successful evaluation at the end of each year.

No evidence was found as to how race, gender, representativity and novice status were used as criteria for selection, or how pass rate influenced the appointment of senior markers. A concern was raised that some applicants labelled as high risk were recommended for appointment.

The marker training was characterised by vibrant discussions and the marking of dummy scripts was used to allocate markers to particular questions. One of the questions in History P1 was found to present a challenge to markers.

6.4   AREAS OF GOOD PRACTICE

The following areas of good practice were noted in the selection, appointment and training of markers:
- The determination of tolerance ranges for questions at DBE marking guideline meetings facilitated the training of markers and the reliability of marking.
- The explicit and transparent requirements for markers in some provinces
- The inclusion of school pass rates and the evaluation of marking in previous years as criteria for selection and appointment of markers
- The use of competency tests in the Western Cape PDE
- The use of placement tests in Mpumalanga to appoint senior marking personnel.
- The recognition by North West PDE of professional development as a criterion
- Some PDEs use schools to verify and endorse applications before submission
- In some PDEs, databases of markers and their credentials are created and maintained from year to year
- The inclusion of novice markers as a succession strategy in some PDEs
- The sharing of markers between Northern Cape and Free State in subjects where a shortage of markers exists.

6.5   AREAS OF CONCERN

In some PDEs the quality and standard with regard to the selection, appointment and training of markers was compromised by the following:
- Appointment of Grade 10 and 11 teachers as markers in some subjects in KZN and Limpopo.
- A lack of explicit, transparent and consistent requirements for the appointment of markers and different levels of markers in all provinces.
- No explicit policy about the appointment of principals as markers. School pass rates and the evaluation of marking in previous years are not consistently used by all PDEs.
- Some markers did not arrive for marking or did not attend marker training.
- A lack of explicit visible succession strategies in some PDEs.
- No clear strategy for the appointment, mentoring and supervision of novice and unqualified markers.
- Incomplete applications, especially the omission of academic transcripts.
- Inconsistent verification of applications.

6.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

The following recommendations are made to the DBE in order to improve the selection, appointment and training of markers, and therefore the reliability and validity of the marking:
- Explicit, transparent criteria should be developed that can be consistently applied by all provinces.
- Consideration should be given to a centralised database of markers, and the sharing of marking

between provinces where necessary.
- Clear succession strategies should include the mentorship of potential/new markers, preferably by professional development throughout the year rather than during the marking sessions.
- Markers who do not attend marker training sessions should not be allowed to mark.

6.7   CONCLUSIONS

This chapter of the report summarised the major findings of a project to investigate how markers were selected, appointed and trained in all provinces. Areas of concern were noted in some provinces and were used in formulating directives to the DBE for the improvement and standardisation of the selection, appointment and training of markers in all PDEs so as to ensure the reliability and validity of NSC marking.

Chapter 7

Marking Guidelines Discussion Meetings

7.1   INTRODUCTION AND PURPOSE

Umalusi is mandated to ensure that the National Senior Certificate (NSC) examinations conducted each year are fair, valid and reliable. To perform this function, Umalusi is required to ensure that the quality, or standards, of all the assessment practices associated with the NSC examinations is maintained. Inconsistency in the marking of NSC scripts decreases the fairness and reliability of marks awarded to candidates, and threatens the validity of the examinations. Therefore, the training of competent markers has become imperative for the Department of Basic Education (DBE), as well as Umalusi, which is required to ensure the quality of marking of the NSC examinations.

The marking guidelines discussion meetings for the 2015 DBE NSC examinations took place in October and November 2015 in preparation for the marking of candidates' scripts. Representatives of the PDEs, internal moderators (IMs) and chief markers (CMs), members of the DBE panel of examiners and the Umalusi external moderators (EMs) were represented at these meetings. There was an expectation that all present would have consulted educators about the question paper, and that PDE representatives would each have marked a sample of scripts in preparation for the marking guidelines discussion meetings.

The purpose of the marking guidelines discussion meetings was
- to achieve a common understanding of the final marking guidelines (MG) – essential because marking of most questions papers is decentralised
- to refine the original marking guidelines based on rigorous discussion
- to produce final marking guidelines through consensus and without compromising the cognitive levels of questions or the integrity of the subject
- to determine acceptable tolerance ranges (10% is the internationally accepted variation) for the marking of question papers
- to train the provincial representatives on the use of the final marking guidelines by allowing them the opportunity to mark, and discuss the marking of, a sample of dummy scripts. These provincial representatives were then tasked with training the markers within their provinces.

At the end of each marking guidelines discussion, it was expected that the negotiated final marking guidelines would be approved by the DBE IMs and the Umalusi EMs. The final marking guidelines were then expected to be used without any changes in the provinces.

7.2   SCOPE AND APPROACH

Marking guidelines discussion meetings were held for 120 question papers written during the October/November NSC session, including the two Life Sciences question papers written in the Vhembe District, Limpopo, which were written in early December because question papers were leaked during November 2015. These meetings were not conducted for Design P2, Visual Arts P2,

English SAL P1 & P2, Sepedi SAL P1 & P2, SiSwati SAL P1 & P2, Tshivenda SAL P1 & P2 and Xitsonga SAL P1 & P2 because of an overlap in examiners, moderators and PDE representatives between the HL, FAL and SAL papers in these languages.

The Umalusi marking guidelines discussion meeting instrument consists of three parts (Table 7.1). Part A (four criteria) is concerned with the preparation of delegates at the marking guideline discussions, Part B (one criterion) is concerned with the processes and procedures followed during the marking guidelines discussion meetings, and Part C addresses the training for marking. Part C includes six quality indicators for training, and six quality indicators for the quality of the final marking guideline.

Table 7.1 Umalusi marking guidelines discussion meeting instrument

Part A Pre-marking guidelines meeting preparation	Part B Processes and procedures	Part C Training at marking guidelines meeting
1. Pre-marking guidelines meeting discussion (1)ª 2. Preparation by IMs and CMs (3)	3. Processes and procedures (14)	4. Training at marking guidelines meeting (3) 5. Quality of the final marking guidelines (1)

ª Number of criteria

7.3   SUMMARY OF FINDINGS

This section reports on an analysis of the Umalusi external moderators' reports on the marking guideline discussion meetings. These reports were based on the criteria listed in Table 7.1. These criteria were considered important in determining the levels of compliance at marking guideline discussion meetings with respect to attendance, refinement of the marking guidelines and the training of markers in the use of the marking guidelines, as well as in making overall judgements about the quality of training and of the final marking guidelines produced.

To facilitate discussion this section consists of four parts. The first part addresses the attendance and participation of delegates, and the logistics and organisation of the meetings. The second part reports on participants' engagement with the question paper and marking guidelines during the meetings. Here, reducing the complex descriptions of these criteria to short descriptive labels would result in loss of meaning, and so a summary of the findings is given. The third section addresses the original marking guidelines and changes made to produce the final marking guidelines, together with judgements made about the overall quality of the training conducted and the quality of the final marking guidelines. The findings of the qualitative, open-ended criteria, the way in which the meetings were conducted and the role of the Umalusi EMs are briefly discussed individually at the end of this section.

Pre-Marking Guidelines Discussion Meetings

In previous years, Umalusi EMs were able to meet with the DBE IMs and members of the examination panels before the marking guidelines discussion meetings to prepare an updated version of each set of marking guidelines for discussion in the marking guidelines discussion meetings which followed. This year, owing to financial constraints, Umalusi EMs only arrived at these meetings on the morning of each meeting, sometimes after the meeting had started. Therefore, no pre-marking guideline discussion meetings took place with the EMs being present. However, the DBE IMs and the examination panels did meet to modify the original version of the marking guidelines for wider discussion in the marking guidelines meetings held later.

Attendance at Marking Guidelines Discussion Meetings

Attendance at marking guideline discussion meetings was good as all the invited marking officials from the PDEs in all subjects turned up for the meetings. Thus the DBE examination panel and IMs per subject attended the meetings. Provinces that outsourced the marking of certain subjects, for example, Hospitality Studies, Mechanical Technology and Visual Arts P1 in the case of Northern Cape, did not have to attend these meeting. In this case, Free State marking officials in the subjects mentioned attended the marking guideline discussion since they did the marking. Small enrolment subjects such as Dance Studies, Music, Agricultural Technology and Agricultural Management Practices were marked centrally and the senior marking officials were sent to the central venue in Pretoria where the marking guideline discussions were also held.

Preparation of Provincial Representatives for the Marking Guidelines Discussion Meetings

Not all the PDE representatives (16%) who arrived at their marking guidelines discussion meetings had prepared their possible marking guidelines, for example Electrical Technology. Dance Studies received no scripts to refine the draft marking guidelines. In addition, despite sufficient time, Consumer Studies IMs and CMs were not prepared. In the languages, because of the overlap of personnel between the different levels of languages, some were not prepared for all their marking guidelines discussion meetings.

Marking of Scripts Prior to the Marking Guidelines Discussion Meetings

The marking guideline discussions were generally successful. Over 75% of the PDE representatives engaged in the pre-marking of scripts and contributed effectively to the refinement of the marking guidelines. Each PDE was required to send two representatives (CM and IM) to each marking guidelines discussion meetings, and each was required to mark at least 20 scripts prior to the meeting.

Participation during the Marking Guidelines Discussion Meeting

It is encouraging to note that all those who attended the meetings contributed meaningfully to refining the marking guidelines and identifying possible marking problems and solutions.

Provision of Training Sessions during the Marking Guidelines Discussion Meeting and the Provision of Scripts for Marking

Provision was made by the DBE for training sessions during the marking guideline discussions meetings.

This training involved the marking of the dummy scripts. This process was also used to establish the tolerance range that would be acceptable during the actual marking.

Training for the marking of Life Sciences for learners in the Vhembe District in Limpopo was conducted in Tzaneen after the paper had been rewritten.

Participants' Engagement with the Question Papers and Marking Guidelines

High levels (97%) of participant engagement in discussions on the question paper and refinement of the marking guidelines were noted (Table 7.3). A slightly lower level of compliance was noted in an analysis of the nature and frequency of common marking errors. Here, the Umalusi EM for Agricultural Sciences P2 noted that provincial IMs and CMs were not able to identify common marking problems.

Table 7.2 Engagement with the question paper and marking guidelines

Description of criteria	Proportion of MGs (%)
Questions and their corresponding responses were analysed in detail to show the nature and frequency of potential common marking errors that could be made during initial marking.	87
Rigorous discussion clarified possible answers and increased the markers' ability to mark interpretive questions, e.g. essays.	97
Rigorous discussion elicited alternative responses, particularly to questions which required analysis and synthesis.	97

Participation during the Marking Guidelines Discussion Meeting

It is encouraging to note that, despite a lack of preparation prior to the marking guidelines discussion meetings, all those who attended the meetings contributed meaningfully to refining the marking guidelines and identifying possible marking problems and solutions.

Organisational and Logistical Arrangements during the Marking Guidelines Discussion Meeting

Organisational and logistical issues were experienced in a few (6%) of the meetings. Problems encountered included venues that were too small; lack of chairs; lack of projectors; and lack of printing facilities at every venue.

Provision of Training Sessions during the Marking Guidelines Discussion Meeting and the Provision of Scripts for Marking

Although the DBE made provision for training sessions, training did not take place at all of the meetings because there were no PDE representatives present, or the PDEs present did not provide scripts to be dummy marked in training (e.g. isiXhosa SAL P1; IsiZulu SAL P1 & P2; Xitsonga FAL P1, P2 & P3). Training for marking of Life Sciences Vhembe District, Limpopo arranged and conducted at the venue in Tzaneen, Limpopo Province.

Parity of Question Papers and Marking Guidelines

Almost 70% of the Umalusi EMs showed that the questions papers written in the PDEs and the draft marking guidelines provided for discussion at the marking guidelines discussion meetings were the same as the final versions that they had previously approved. The remaining Umalusi moderators said that while they thought these versions were the same they could not be sure because the DBE had not provided the approved versions, so no comparisons could be made.

Changes made to the Marking Guidelines

As a result of the marking guidelines discussion meetings, approximately 90% of the marking guidelines were changed in some way. Most of these changes involved corrections, additions, rephrasing and clarifications for marking.

Disproportionality of Answers, Impact on Cognitive Levels, Motivation for Changes and Approval of Changes

Changes made to the marking guidelines should not alter the cognitive demand of an examination because doing so would challenge its validity. Introducing many more or a disproportionate number of alternative answers changes and sometimes threatens the accuracy and integrity of the subject, which in turn threatens the validity of the examinations. Therefore, it should come as no surprise that there was 100% compliance in the three criteria concerned with these issues.

Umalusi EMs are entrusted with ensuring the validity of the final marking guidelines used to mark candidates' scripts; hence the 100% approval of changes made to produce the final marking guidelines.

Overall Quality of Training conducted and the Final Marking Guidelines

Umalusi EMs made judgements about the overall quality of the training conducted during the marking guidelines discussion meetings and the quality of the final marking guidelines produced.

Most Umalusi EMs considered the criterion for the quality of training that took place in the marking guidelines discussion meetings and the final marking guidelines produced to have been met (97% and 98%, respectively).

Processes for Discussing the Marking Guidelines

Although the amount of time allocated to the marking guidelines discussion meetings varied (between a few hours and two days) between subjects, the processes of discussion were similar in most meetings, with the DBE IMs managing and chairing the meetings. In many subjects, the IMs were assisted by members of their examination panels in leading the discussions on the individual questions.

Each meeting consisted of two parts: first, the original marking guidelines were interrogated and amended in the light of discussion; and second, the representatives from the PDEs were trained by marking dummy scripts, using the modified marking guidelines. The discussion of the marked dummy

scripts that followed resulted in final adjustments being made to the marking guidelines, and in tolerance ranges being established for each subject.

During the first part of the meetings, representatives from the DBE Examinations Directorate gave a plenary address to all participants in which they explained the importance, and the responsibilities, of each person entrusted with ensuring that the NSC examinations were fair, valid and reliable.

At the end of each meeting, the marking guidelines were signed off by the EM. The final Umalusi approved marking guidelines were then distributed to the PDEs by the DBE.

Role of the Umalusi External Moderators
Each Umalusi moderator was tasked with ensuring the fairness, reliability and validity of the final marking guidelines for his or her subject, and approving the final marking guidelines that were used to mark candidates' scripts in the PDEs. In order to do this, at the marking guidelines discussion meetings the EMs undertook the generic roles of observer, discussant, mediator, referee, conciliator, negotiator, evaluator, judge, technical advisor and assessment specialist, where appropriate. Importantly, as the designated content specialist(s), each moderator upheld the integrity of his or her subject.

7.4   AREAS OF GOOD PRACTICE

The following areas of good practice were noted:
- The high level of participation in discussions by those who attended the meetings, and their involvement in developing the final marking guidelines
- The establishment of tolerance ranges

7.5.   AREAS OF CONCERN

Areas concern were noted by Umalusi EMs, some more than others. A summary of their concerns follows:
- A lack of access to the signed, approved question papers and marking guidelines which were signed off before the examinations were written.
- Not all participants were prepared when they came to the meeting; the reasons given were a lack of textbooks and relevant documents for consultation; self-developed marking guidelines and pre-marking of scripts.
- Insufficient time for preparation between the writing of some papers and the marking guidelines meetings.
- It was not always clear which provinces should have been present at marking guidelines discussions, especially in the languages.
- Often meetings involving the same personnel were scheduled to run concurrently.
- Provinces which offered certain subjects but outsourced their marking were not present.
- The time for training was considered to be too short for some papers.

- The DBE plenary address was too long and took time away from discussing the marking guidelines.
- Concerns about the quality of the question papers: especially the print quality of diagrams and the Afrikaans translations of English versions of the paper.

7.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

In order to achieve compliance and improve the marking guidelines discussions, the DBE should see to the following:
- All provinces that offer a subject should be represented, irrespective of whether the scripts are marked in their province or not.
- There is a need to ensure that all CMs and IMs come to meetings having marked a sample of scripts.
- There needs to be sufficient time allowed between the writing of a paper and the marking guidelines discussion related to it.
- An attempt should be made not to appoint the same people to different papers.

7.7   CONCLUSIONS

Generally, high levels of compliance were noted during this year's marking guidelines discussion meetings. This is an improvement on previous years, which should contribute positively to the fairness and reliability of the marking of candidates' scripts and, ultimately, to the validity of the NSC examinations.

Chapter 8

Verification of Marking

8.1 INTRODUCTION AND PURPOSE

In 2015, the verification of marking was conducted during the first two weeks of December at various marking centres across the country.

The purpose of verifying the marking was
- to determine whether the approved marking guidelines were adhered to and consistently applied
- to establish that, if changes were made to the marking guidelines, due process was followed
- to determine that mark allocation and calculations were accurate and consistent
- to ascertain that internal moderation was conducted during marking
- to confirm that marking was fair, reliable and valid.

This chapter presents the findings of the analysis of the Umalusi external moderators' reports on the verification process and the levels of compliance in selected subjects.

8.2 SCOPE AND APPROACH

Verification of marking was conducted in 18 subjects comprising a total of 30 question papers (Table 8.1). Four subjects, Accounting, Business Studies, English FAL and Mathematics, were verified in all nine provinces. Dance Studies and Music were centrally marked and verified. Two different sets of Life Sciences question papers were written in the Vhembe District, Limpopo, because the first question paper was leaked, and verification of marking was done for both sets.

As part of the verification process, external moderators were expected to moderate a sample of scripts at each of the marking centres they visited. The number of scripts sampled ranged from 80 to 616 scripts per subject, depending on the number of moderators and the time each moderator spent at the marking centre concerned.

Table 8.1 List of subjects verified and number of provinces monitored

NSC Subjects	
1. Accounting (9)ᵃ	10. Geography P1 & P2 (6)
2. Afrikaans FAL P1 & P2 (9)	11. History P1 & P2 (5)
3. Agricultural Sciences P1 & P2 (3)	12. Life Sciences P1 & P2 (5) including
4. Business Studies (9)	Vhembe District, Limpopo
5. Computer Applications Technology P1 & P2 (5)	13. Mathematical Literacy P1 & P2 (4)
6. Dramatic Arts (5)	14. Mathematics P1 & P2 (9)
7. Economics P1 & P2 (5)	15. Physical Sciences P1 & P2 (7)
8. English HL P1 & P2 (5)	
9. English FAL P1 & P2 (9)	**Centralised marking**
	16. Dance Studies
	17. Music P1 & P2

ᵃ Number of provinces monitored

Monitoring of marking was done using the Umalusi verification of marking Instrument (Table 8.2). This instrument consists of three parts, each of which comprises a variable number of criteria (1 to 6, Table 8.2), which are used by external moderators to judge whether the marking is fair, reliable and valid (Criterion 7, Table 8.2), Provision is also made for external moderators to report on candidates' performance (Criterion 8, Table 8.2).

Table 8.2 Umalusi verification of marking instrument

| Part A
Adherence to marking guidelines | Part B
Quality and standard of marking | Part C
Candidates performance |
|---|---|---|
| 1. Adherence to marking guidelines
2. Changes made to marking guidelines at marking centre
3. If changes were made to marking guidelines, due process was followed | 4. Consistency in the allocation of marks
5. Addition of marks is correct
6. Internal moderation of marks
7. Marking is fair, reliable and valid | 8. Candidates' performance |

8.3   SUMMARY OF FINDINGS

This section summarises the findings of the verification of marking conducted. While, external moderators' reports contained specific statistical details of candidates' performance these will not be reported here for two reasons. Firstly, the highly variable sample size between different subjects and, secondly, the lack of empirical evidence of the extent to which samples were representative of all scripts in each subject make it difficult to make absolute conclusions and comparisons. However, external moderators considered this information when they made judgements about the fairness, reliability and validity of marking. All subjects recorded a range of scripts from low achieving candidates to higher achieving candidates.

A comparison is made between candidates' performance in the two sets of Life Sciences question papers written in Limpopo.

External moderators' responses to criteria 1 to 8 are summarised in Figure 8.1. All criteria, except for changes to marking guidelines (MGs) and changes made according to due process, refer to the quality of marking, and the number of papers considered to be compliant with these criteria is shown. In some instances, the quality of marking in a subject was not consistent across all provinces visited. Therefore, each criterion is discussed separately and the inconsistencies in specific question paper are noted where appropriate.
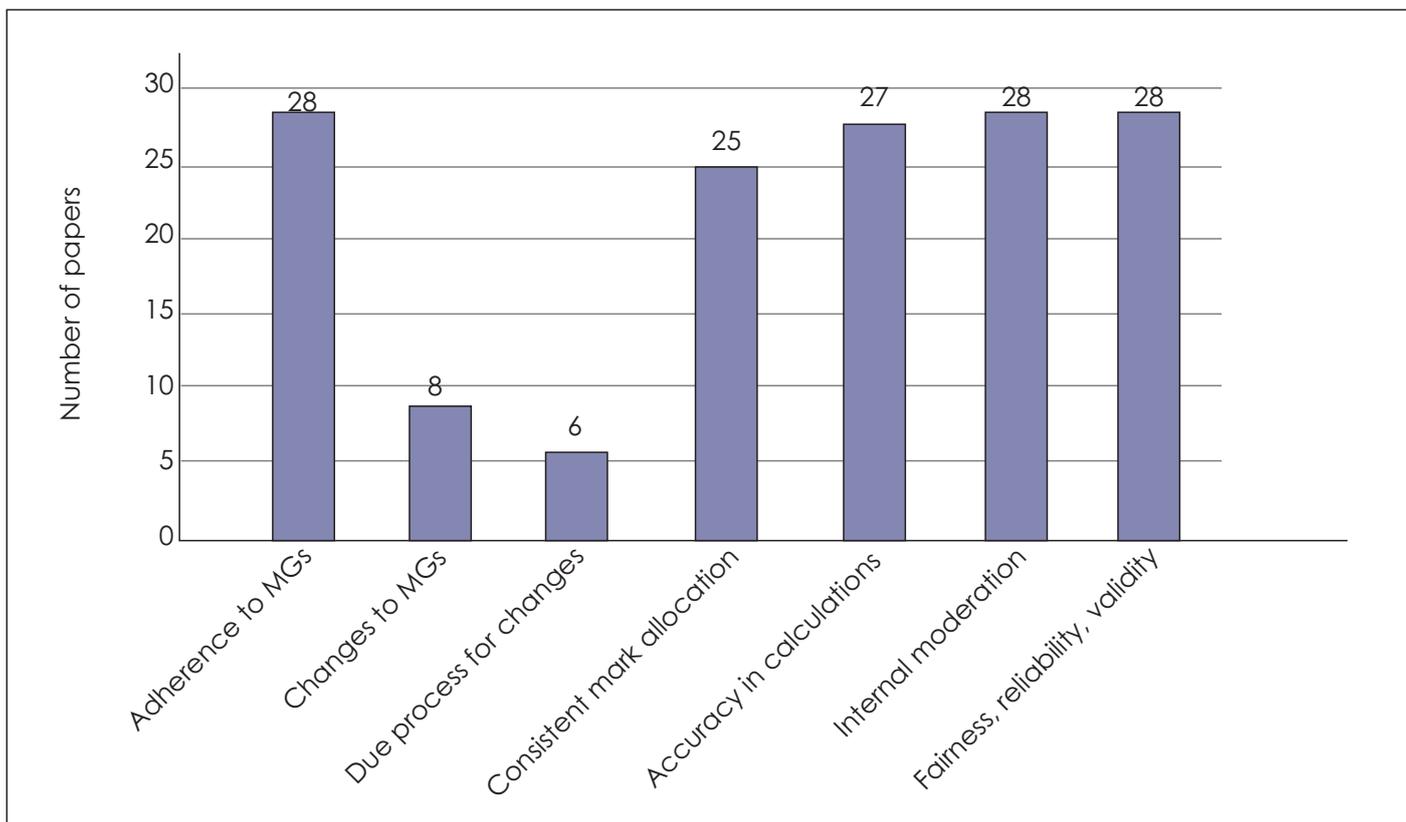
Figure 8.1 Variation in the number of question papers satisfying the criteria

Adherence to Memo

Marking in 28 out of 30 question papers was considered to have adhered to the respective marking guidelines. Both Papers 1 and 2 for Mathematical Literacy were not compliant for the reasons stated below. Examples of other question papers that recorded localised violations of this criterion but not enough to compromise question paper marking are listed as well:

Mathematical Literacy P1 & P2 – Markers failed to assess opinion/ justification type questions correctly – they did not read and interpret candidates' answers thoroughly.

Economics – In Eastern Cape and Gauteng, some markers had to be retrained and novice markers had to be redeployed to mark questions requiring lower-order responses. In Limpopo, there were no proficient Afrikaans markers for Paper 1.

English FAL P2 – Markers in some provinces were not sufficiently familiar with all the genres.

Changes made to Marking Guidelines at Marking Centres

Changes were made to the marking guidelines of eight question papers: Accounting, Computer Application Technology P1 & P2, Geography P2, Life Sciences P1 & P2; and Mathematical Literacy P1 & P2.

Sesotho HL - Gauteng IM reported having obtained permission from provincial Assessment Director to make additions. However, no proper channels were followed when these changes were effected.

Approval of Changes made to Marking Guidelines at Marking Centres

Of the eight marking guidelines that were amended at marking centres, six followed due process. That is, changes were made with the approval of the Umalusi external moderators concerned, and these changes were then conveyed to all the PDEs. In Mathematical Literacy P1 & P2, KwaZulu-Natal

made unwarranted changes to the memo without following proper protocol.

Consistency in Mark Allocation

In all but five question papers, marks were allocated correctly within the tolerance range set for each subject. In Accounting, English FAL P2, Mathematical Literacy P1 & P2 and Mathematics P1 inaccuracies in mark allocation were observed.

Accounting – A six-mark question was incorrectly marked in most cases across the provinces. This was generally verified as consistent across all the scripts and across all the provinces with the exception of Eastern Cape, KwaZulu-Natal, Northern Cape and Western Cape.

English FAL P2 – General inconsistencies in the marking of the popular genres were found. In KwaZulu-Natal markers found the marking of open-ended questions a challenge, particularly when the candidates' responses differed from what appeared in the marking guidelines but was nonetheless correct. In the Northern Cape, there were instances where candidates wrote the full answer but they were not awarded full marks for their answers.

Mathematical Literacy P1 & P2 – A 5% difference in national marks was observed – this was well above the acceptable 3% each for P1 & P2.

Mathematics P1 – The concept of consistent accuracy was not used effectively and/or correctly by many novice markers, adversely affecting performance in provinces such as Limpopo and Northern Cape, where there were too many novice markers.

Additional comments on other subjects about the consistent allocation of marks:

Afrikaans FAL P1 & P2 – Not all markers were able to assess candidates whose language proficiency was equal to home language proficiency. Language proficiency of markers might mean that they sometimes failed to appreciate advanced language nuances.

Business Studies – Not all markers were able to assess candidates whose language proficiency was equal to home language proficiency. Language proficiency of markers might mean that they sometimes failed to appreciate advanced language nuances.

Addition and Calculation of Marks

Twenty-seven of the 30 question papers were considered to be compliant, with concerns noted in some subjects. English FAL P2 and Mathematical Literacy P1 & P2 were considered non-compliant.

English FAL P2 – In Eastern Cape and KwaZulu-Natal markers transferred the marks incorrectly to the cover of the scripts.

Mathematical Literacy P1 and P2 – The addition and calculation of marks was confounded by the huge percentage of corrections made to candidates' marks.

Dramatic Arts – In North West, although the transfer of marks and calculations in scripts were accurate, scripts arrived at the centre much later in the week and therefore the marking and calculation process was fast tracked. This could have compromised the standard of the process.

Evidence of Internal Moderation

All question papers except for Mathematical Literacy P1 & P2 showed evidence of internal moderation. However, concerns about internal moderation were raised in two other question papers.

Agricultural Sciences P1 – There was no evidence of feedback to markers and there was

disagreement about what was a representative sample to be moderated in a batch.

Life Sciences P1 & P2 – In KwaZulu-Natal higher level moderators (DCM, CM and IM) were generally only moderating the markers' work and not the CM's work.

Marking is Fair, Reliable and Valid

Mathematical Literacy P1 & P2 were the two papers where marking was considered not to be fair, reliable and valid owing to the huge percentage of corrections made to candidates' marks during the verification process.

Accounting – The Afrikaans scripts were incorrectly marked in the Eastern Cape.

Computer Applications Technology P1 (Practical) – It would seem that problems were experienced with the marking of the practical scripts for blind candidates, because the software used by blind candidates differs across the country. "Blind" scripts are batched with "normal" scripts and do not always show that the scripts are from an examination centre with blind candidates.

In KwaZulu-Natal, marking of this paper was done on standalone computers using the CDs from the schools rather than on networked computers as is done in all the other provinces. The external moderator who verified the marking in KwaZulu-Natal reported that this practice might have disadvantaged candidates in this province because CDs are more easily damaged.

Comparison of Performance in Life Sciences (Limpopo and Vhembe District)

In Limpopo, a second set of the Life Sciences question papers was written in Vhembe District because of examination leaks. A comparison of candidates' performance in these two sets of examinations is shown in Figure 8.2.

In Paper 1 candidates' average performance in Vhembe was approximately 3% less than in the larger Limpopo sample. In Paper 2, average performance of the Vhembe candidates was approximately 1% lower than in the larger Limpopo sample.
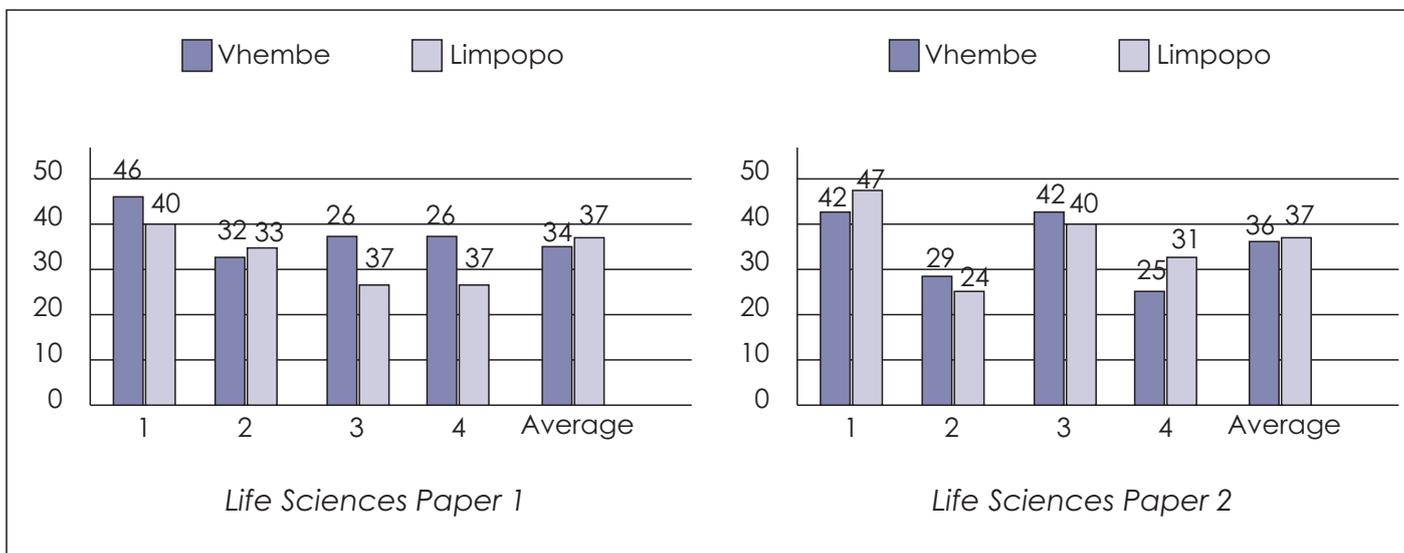

Figure 8.2 A comparison of candidates' performance in Life Sciences, Limpopo

8.4   AREAS OF GOOD PRACTICE

The following areas of good practice were noted:
* The training of internal moderators and chief markers during the marking guidelines meetings, and in turn their training of markers at the marking centres, has improved marking in most subjects.
* The determination of a marking tolerance range for each question in a question paper has made marking more reliable.
* The consistent use of different coloured pens by different levels of markers and moderators has improved moderation at all levels.
* Many inconsistencies in marking were detected during the PDEs internal moderation processes.

8.5   AREAS OF CONCERN

The following areas of concern were noted:
* The marking of Dance Studies and Music is hampered by a lack of nationally approved textbooks, and the Music Examination Guidelines are out of date.
* Approval for changes made to marking guidelines at marking centres frequently takes too long and either delays marking or approval is received after the marking process has been completed. This problem is compounded because some PDEs might have completed their marking by the time that approval is conferred because marking is staggered,
* The number of novice and inexperienced markers in some subjects is a matter of concern.
* Problems were experienced in most aspects of Mathematical Literacy marking. This is a particular concern because some of these concerns were reported in 2014.

8.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

* Only competent people who are knowledgeable, qualified and experienced in their subject should be appointed as markers.
* Only experienced markers of proven ability and relevant experience should be appointed to the next level in the marking hierarchy; that is, senior marker/chief marker/internal moderator.
* Professional development of novice and inexperienced markers should be conducted during the course of the year, not just during marking at the end of the year.
* The marking of Mathematical Literacy needs to be addressed urgently, particularly the issue of why problems flagged last year have recurred this year.

8.7   CONCLUSION

Generally, in 2015 improved training sessions and the introduction of a tolerance range for each question paper had a positive impact on the fairness, reliability and quality of marking, and thus on the validity of the NSC examinations. The appointment of unqualified and inexperienced markers remains a concern.

Chapter 9

Standardisation and Resulting

9.1   INTRODUCTION AND PURPOSE

Standardisation is a statistical moderation process used to mitigate the effects on performance of factors other than learners' ability and knowledge. The standardisation of examination results is necessary in order to reduce the variability of marks from year to year. The sources of variability may occur due to the standard of question papers and the quality of marking. Thus, standardisation ensures that a relatively constant product is delivered to the market.

According to section 17A(4) of the GENFETQA, 2001 (as amended in 2008), the Umalusi Council may adjust raw marks during the standardisation process. During this process, qualitative inputs from external moderators, internal moderators and post examination analysis reports, as well as the principles of standardisation, are taken into consideration to carry out the statistical moderation process.

Standardisation involves various processes that are intended to ensure that the procedure is carried out accurately. These include the verification of subject structures and electronic data booklets, development norms, and the approval of adjustments.

9.2   SCOPE AND APPROACH

The Department of Basic Education (DBE) presented a total of 117 subjects for statistical moderation for the November 2015 National Senior Certificate (NSC) examinations. Umalusi verified the capturing of marks in all nine provincial education departments (PDEs), namely, Gauteng, Limpopo, Western Cape, Northern Cape, Eastern Cape, North West, KwaZulu-Natal, Free State and Mpumalanga.

9.3   SUMMARY OF FINDINGS

Development of Historical Averages
The subject structures were verified and approved, and the historical averages were verified and approved without moderations. A five-year historical average was calculated where applicable with the exception of Mathematical Literacy where 2014/11 was identified as an outlier.

Capturing of Marks
In the provinces monitored, the capturing of marks and the marking process were verified at the marking centres. The system administrators gave a description of the capturing process, and a sample of mark sheets were verified. Subsequently, a description of the security systems for the examination materials was provided and verified. The absence of a management plan in most of the provinces monitored is a concern.

 In the Eastern Cape, it was discovered that the same person was used to do both the capturing and

the verification instead of using different people. The management of mark sheets in Eastern Cape was very poor, for example one could not distinguish between verified and captured mark sheets. The data capturing rooms were also checked to see which were appropriate for the purpose. In addition, the captured marks were verified against the mark sheets, and the alignment between the two was evidenced. The guidelines for the capturing process were also provided but no evidence of training or training manuals was available.

It was also noted that the examination capturing centres did not have the guidelines or procedural documents for the authentication of mark sheets, the appointment and training of capturers and the management of capturing centres. Thus, the capturing centre complied mostly with the procedures but it is recommended that these procedures should be documented.

Electronic Data Sets and Standardisation Booklets
The electronic data sets were verified before the final standardisation booklets were printed. The following data sets were verified and approved after several moderations: the statistics distribution, raw mark distribution and the graphs per subject, paying particular attention to different colours and raw mark adjustments. The pairs analysis and the percentage distribution per subject were also verified and approved.

Pre-standardisation and Standardisation
The external moderators' report, the historical average, the pairs analysis and the internal moderators' reports, as well as the standardisation principles, were used in determining the adjustments per subject. The DBE interventions were also taken into consideration in ascertaining the adjustments.

Standardisation Decisions
The decisions for the November 2015 NSC examination were informed by the historical average, the pairs analysis and the internal and external moderators' reports as outlined below:

Table 9.1: List of the standardisation decisions for the NSC

Description	Total
Number of instructional offerings presented	59
Raw marks	29
Adjusted (mainly upwards)	30
Adjusted (mainly downwards)	none
Number of instructional offerings standardised:	**59**

Post-standardisation
The assessment body was required to submit the adjusted data sets as per the agreed standardisation decisions. These were verified after a few moderations, and adjustments were approved after the rectification of the differences.

9.4   AREAS OF GOOD PRACTICE

The following areas of good practice are noted;
- The DBE submitted all the qualitative input reports as required.
- All the provinces monitored had appointed an adequate number of data capturers.
- The use of computerised boxes and script control to monitor mark sheets in the Western Cape is highly commendable.
- The flow chart giving the flow of the mark sheets in Gauteng is highly commendable.

9.5   AREAS OF CONCERN

The following areas of concern are brought to the attention of the DBE;
- In all the PDEs monitored, capturing centres did not have procedural documents pertaining to the authenticity of mark sheets and the capturing of marks, except for Mpumalanga which had guidelines for the management of mark capturing,
- The use of one person as both the verifier and the capturer in the Eastern Cape is a concern.

9.6   DIRECTIVES FOR COMPLIANCE AND IMPROVEMENT

- The DBE should implement a comprehensive intervention programme for progressing learners earlier than Grade 12 to ensure the positive results of such interventions.
- While raising the standards of examinations is highly commendable the DBE nevertheless should ensure that effective teacher development programmes are put in place so that teachers will deliver in the classrooms.

Chapter 10

The Status of Certification of the National Senior Certificate, 2014/2015

10.1 BACKGROUND

Umalusi ensures adherence to policies and regulations promulgated by the Minister Basic Education and Training for the National Senior Certificate (NSC), a qualification which was written by the first cohort of learners in 2008/11.

Through its founding Act, Umalusi is also responsible for the certification of learner achievements in South Africa for qualifications registered on the General and Further Education and Training Sub-framework of the National Qualifications Framework (NQF), which include the NSC. Certification is the culmination of an examination process conducted by an assessment body, in this instance the Department of Basic Education (DBE).

This process comprises a number of different steps, commencing with the registration of the candidate and proceeding to the writing of the examination. After the candidate has written the examinations, which are administered by the assessment body, the examination scripts are marked, the marks are processed and, after quality assurance by Umalusi, candidates are presented with individual statements of results. These are preliminary documents outlining the outcomes of the examination and are issued by the assessment body. The statement of results is, in due course, replaced by the final document, namely, the certificate issued by Umalusi.

In order to give further effect to its certification mandate, Umalusi must ensure that certification data is valid and reliable, and that it has been submitted in the format prescribed by the Council. Umalusi has, therefore, published directives for certification that must be adhered to by all assessment bodies when submitting candidate data for the certification of a specific examination.

The assessment bodies must ensure that all records of candidates who have registered for the NSC examination and those qualifying for a subject statement or the full NSC in a specific examination cycle are submitted to Umalusi for certification. The datasets must also include the records of those candidates who have not qualified for a certificate, such as the records of candidates who have withdrawn from the course/qualification (candidates who registered to write examinations but did not write any subjects) and those candidates who have failed all subjects (candidates who wrote the examination but could not pass any of the subjects).

The closing of the examination cycle is confirmed by the issuing of certificates and subject statements and the confirmation of those candidates who have not qualified for any type of certificate –instances where the candidates failed all subjects or did not write the examinations.

When the data for certification has been submitted to Umalusi, it is compared to the quality-assured resulting data. Should there be any discrepancies between the quality-assured data and that submitted for certification, the assessment body is required to submit an explanation and/or

supporting documentation to confirm that the discrepancy is not as a result of an error or a data anomaly which may have crept in.

Umalusi is currently only charging private assessment bodies certification fees. The certification fees of public schools are funded by a funding agreement with the Department of Basic Education.

10.2   CURRENT STATUS

As an assessment body, the Department of Basic Education comprises not only the national Department, but also the nine provincial education departments (PDEs). The nine PDEs serve as the actual assessment bodies, whilst the national office serves as point of assistance for the candidates requiring certification information and processing.

10.3   ONGOING CONCERNS

Certification backlogs are caused by the overlapping of one examination cycle with the next, where the candidate records of the first cycle have not been completed before registration for the next cycle. This is evident from the scale of the mopping up that needs to be undertaken. Mopping up is an ongoing process and should be completed as soon as possible once the candidate qualifies, certainly within a period of six months, and definitely no later than a year after the date on which the last examination took place. However, the NSC has candidates from 2008/11 and every subsequent examination cycle still needing to receive their certificates of achievement. Umalusi can only issue the certificate of achievement once a request has been received from an assessment body.

A further concern is that, in most provincial offices, document management is woefully neglected, internal policies do not exist and there is a lack of compliance with the Umalusi directives, particularly in respect of the reissue of certificates. This has become a certification function chiefly as a result of the faulty registration functions in the PDEs.

This concern is growing along with the number of candidates being referred to Umalusi for assistance and explanations of the policies in respect of the reissue of certificates. The PDEs and national department do not take responsibility for this process.

During the monitoring visits to Limpopo, a number of issues came to the fore, which may or may not impact negatively on the certification of the 2015 cohort of learners. Although all processes and supporting documentation appear to be in place, the conditions under which staff are functioning are less than desirable. The data capturers/examination assistants tasked with the capturing of registration data were working out of the HOD's boardroom, which was not big enough to accommodate them adequately. There were cables criss-crossing the floor, which posed a serious risk not only to the person stepping over them but also in terms of the equipment possibly being pulled off the tables. These cables also pose a fire hazard.

Owing to the less than favourable circumstances under which the data capturers/examination assistants are operating, it is more than possible that candidate information will be incorrectly captured and/or not captured at all. There could thus be an increase in the number of candidates not certified and/or candidates certified with incorrect information which will require subsequent correction. This could increase the number of certificates that have to be printed.

Of grave concern to Umalusi is the number of irregularities that were uncovered, particularly the mass copying found in the Eastern Cape and KwaZulu-Natal. Although this irregularity was also found in other provinces, Gauteng and Western Cape among them, it was not on the same scale as that of the Eastern Cape and KwaZulu-Natal.

Owing to the ongoing investigations in Eastern Cape and KwaZulu-Natal, the final number of irregularities reflected in the table below is incomplete. Only once these investigations have been completed and the learners certified will the true number be reflected.

In 2012/13, Umalusi requested the DBE to host the learner achievement data of the private assessment bodies that had closed. The DBE agreed, but to date the process has not been finalised. A discussion was held between the IEB, DBE and Umalusi for the assessment bodies to have access to learner records for the purposes of combination. This is an ongoing project.

The following statistics on certification data for the 2014/11 cohort of learners for the DBE and the nine PDEs are given (Table 10.1):

Table 10.1 Statistical certification data for 2014/11 cohort of learners

Province	WC	NC	FS	EC	KZN	MP	LP	GP	NW	NAT
Total registered	57661	10629	28277	86568	164656	51870	88400	138868	29216	1040
Full time	45170	8190	25062	65014	137323	43611	67992	94680	25173	23
Part-time	82	338	14	2940	129	222	68	1545	18	9
Repeaters	12409	2101	3201	18614	27204	8037	20340	42643	4025	1008
Pass	38469	6668	21808	43827	99104	35692	53713	84326	22322	1040
Fail	14049	2747	5480	34338	54989	12858	29208	44558	6003	0
Withdrawn	5143	1214	989	8403	10563	3320	5479	9984	891	0
Bachelors	18105	2165	7933	13442	36257	11221	16434	36681	8594	214
Diploma	14095	2889	9685	18274	40485	15862	21045	34750	9523	396
Higher certificate	6240	1613	4139	12066	22209	8544	16221	12826	4202	429
NSC	29	1	51	45	153	65	13	69	3	1
Endorsed	0	0	0	0	0	0	0	0	0	0
Endorsed pass	0	0	0	0	0	0	0	0	0	0
Immigrants	586	1	4	134	263	36	19	1855	17	4
Immigrants pass	474	1	4	98	229	29	13	1360	15	4
Pass condonation	1988	507	1248	3833	7146	2307	4203	4088	1209	59
Irregularities	133	0	0	21	0	5	2	117	4	0

The following are the statistics for the 2015/03 certification records:

Table 10.2 Statistical Certification data for the 2015/03

Province	WC	NC	FS	EC	KZN	MP	LP	GP	NW
Total registered	3659	801	1687	3571	7431	2248	5549	6575	1250
Full time	3641	727	1681	3563	7381	2243	5548	6462	1196
Part-time	1	71	1	0	1	2	0	81	0
Repeaters	17	3	5	8	49	3	1	32	54
Pass	2249	318	708	938	2473	803	1790	3441	448
Fail	1410	483	979	2633	4958	1445	3759	3134	802
Withdrawn	0	0	0	0	0	0	0	0	0
Bachelors	782	61	123	124	193	99	111	963	62
Diploma	827	103	262	331	722	261	330	1388	159
Higher certificate	640	154	323	479	1555	442	1347	1090	227
NSC	0	0	0	4	3	1	2	0	0
Endorsed	0	0	0	0	0	0	0	0	0
Endorsed pass	0	0	0	0	0	0	0	0	0
Immigrants	47	0	0	4	6	0	0	95	0
Immigrants pass	41	0	0	3	4	0	0	64	0
Pass condonation	413	81	230	323	884	272	759	699	160
Irregularities	0	0	0	0	0	0	0	0	0

The table below gives an indication of the type of certificates issued and to which assessment body for the period 2014/11/28 to 2015/11/30:

Table 10.3 Number and type of certificates awarded

Type of certificates	Number
Northern Cape Department of Education	
First issue: Subject Statement	2445
First issue: NSC Bachelor's Degree	2220
First issue: NSC Diploma	2986
First issue: NSC Higher Certificate	1758
First issue: NSC	1
Replacement NSC Bachelor's Degree (Change of status)	12
Replacement NSC Diploma (Change of status)	25
Replacement NSC Higher Certificate (Change of status)	42
Replacement Subject Statement (Lost)	10
Replacement NSC Bachelor's Degree (Lost)	65
Replacement NSC Diploma (Lost)	86
Replacement NSC Higher Certificate (Lost)	73
Replacement NSC (Lost)	1
Re-issue Subject Statement (Correction)	2
Re-issue NSC Diploma (Correction)	2
Re-issue NSC Higher Certificate (Correction)	1

Type of certificates	Number
Mpumalanga Department of Education	
First Issue: Subject Statement	11512
First Issue: NSC Bachelor's Degree	11292
First Issue: NSC Diploma	16050
First Issue: NSC Higher Certificate	8838
First Issue: NSC	65
Replacement NSC Bachelor's Degree (Change of status)	64
Replacement NSC Diploma (Change of status)	132
Replacement NSC Higher Certificate (Change of status)	259
Replacement Subject Statement (Lost)	1
Replacement NSC Bachelor's Degree (Lost)	48
Replacement NSC Diploma (Lost)	248
Replacement NSC Higher Certificate (Lost)	630
Replacement NSC (Lost)	237
Re-issue Subject Statement (Correction)	1
Re-issue NSC Bachelor's Degree (Correction)	10
Re-issue NSC Diploma (Correction)	9
Re-issue NSC Higher Certificate (Correction)	14
KwaZulu-Natal Department of Education	
First Issue: Subject Statement	28152
First Issue: NSC Bachelor's Degree	35914
First Issue: NSC Diploma	39924
First Issue: NSC Higher Certificate	21637
First Issue: NSC	154
Replacement NSC Bachelor's Degree (Change of status)	537
Replacement NSC Diploma (Change of status)	1015
Replacement NSC Higher Certificate (Change of status)	1195
Replacement NSC (Change of status)	2
Replacement Subject Statement (Lost)	97
Replacement NSC Bachelor's Degree (Lost)	1743
Replacement NSC Diploma (Lost)	1648
Replacement NSC Higher Certificate (Lost)	933
Replacement NSC (Lost)	9
Re-issue Subject Statement (Correction)	4
Re-issue NSC Bachelor's Degree (Correction)	67
Re-issue NSC Diploma (Correction)	34
Re-issue NSC Higher Certificate (Correction)	19

Type of certificates	Number
Northwest Department of Education	
First Issue: Subject Statement	5678
First Issue: NSC Bachelor's Degree	8569
First Issue: NSC Diploma	9575
First Issue: NSC Higher Certificate	4322
First Issue: NSC	3
Replacement NSC Bachelor's Degree (Change of status)	117
Replacement NSC Diploma (Change of status)	152
Replacement NSC Higher Certificate (Change of status)	172
Replacement Subject Statement (Lost)	21
Replacement NSC Bachelor's Degree (Lost)	281
Replacement NSC Diploma (Lost)	332
Replacement NSC Higher Certificate (Lost)	199
Replacement NSC (Lost)	2
Re-issue Subject Statement (Correction)	1
Re-issue NSC Bachelor's Degree (Correction)	9
Re-issue NSC Diploma (Correction)	12
Re-issue NSC Higher Certificate (Correction)	9
Eastern Cape Department of Education	
First Issue: Subject Statement	31606
First Issue: NSC Bachelor's Degree	13498
First Issue: NSC Diploma	18430
First Issue: NSC Higher Certificate	12345
First Issue: NSC	49
Replacement NSC Bachelor's Degree (Change of status)	147
Replacement NSC Diploma (Change of status)	426
Replacement NSC Higher Certificate (Change of status)	565
Replacement Subject Statement (Lost)	36
Replacement NSC Bachelor's Degree (Lost)	455
Replacement NSC Diploma (Lost)	643
Replacement NSC Higher Certificate (Lost)	490
Replacement NSC (Lost)	1
Re-issue Subject Statement (Correction)	6
Re-issue NSC Bachelor's Degree (Correction)	19
Re-issue NSC Diploma (Correction)	37
Re-issue NSC Higher Certificate (Correction)	17

Type of certificates	Number
Western Cape Department of Education	
First Issue: Subject Statement	12962
First Issue: NSC Bachelor's Degree	18764
First Issue: NSC Diploma	14681
First Issue: NSC Higher Certificate	6606
First Issue: NSC	29
Replacement NSC Bachelor's Degree (Change of status)	180
Replacement NSC Diploma (Change of status)	351
Replacement NSC Higher Certificate (Change of status)	417
Replacement Subject Statement (Lost)	33
Replacement NSC Bachelor's Degree (Lost)	764
Replacement NSC Diploma (Lost)	857
Replacement NSC Higher Certificate (Lost)	510
Replacement NSC (Lost)	3
Re-issue Subject Statement (Correction)	6
Re-issue NSC Bachelor's Degree (Correction)	40
Re-issue NSC Diploma (Correction)	46
Re-issue NSC Higher Certificate (Correction)	16
Free State Department of Education	
First Issue: Subject Statement	5477
First Issue: NSC Bachelor's Degree	8039
First Issue: NSC Diploma	9894
First Issue: NSC Higher Certificate	4402
First Issue: NSC	51
Replacement NSC Bachelor's Degree (Change of status)	32
Replacement NSC Diploma (Change of status)	81
Replacement NSC Higher Certificate (Change of status)	113
Replacement Subject Statement (Lost)	29
Replacement NSC Bachelor's Degree (Lost)	424
Replacement NSC Diploma (Lost)	490
Replacement NSC Higher Certificate (Lost)	270
Replacement NSC (Lost)	
Re-issue Subject Statement (Correction)	2
Re-issue NSC Bachelor's Degree (Correction)	9
Re-issue NSC Diploma (Correction)	15
Re-issue NSC Higher Certificate (Correction)	14

Type of certificates	Number
Gauteng Department of Education	
First Issue: Subject Statement	36390
First Issue: NSC Bachelor's Degree	34235
First Issue: NSC Diploma	35487
First Issue: NSC Higher Certificate	13159
First Issue: NSC	69
Replacement NSC Bachelor's Degree (Change of status)	521
Replacement NSC Diploma (Change of status)	869
Replacement NSC Higher Certificate (Change of status)	1157
Replacement Subject Statement (Lost)	177
Replacement NSC Bachelor's Degree (Lost)	1291
Replacement NSC Diploma (Lost)	1526
Replacement NSC Higher Certificate (Lost)	837
Replacement NSC (Lost)	3
Re-issue Subject Statement (Correction)	31
Re-issue NSC Bachelor's Degree (Correction)	31
Re-issue NSC Diploma (Correction)	31
Re-issue NSC Higher Certificate (Correction)	29
Limpopo Department of Education	
First Issue: Subject Statement	25871
First Issue: NSC Bachelor's Degree	16378
First Issue: NSC Diploma	21163
First Issue: NSC Higher Certificate	17239
First Issue: NSC	15
Replacement NSC Bachelor's Degree (Change of status)	209
Replacement NSC Diploma (Change of status)	311
Replacement NSC Higher Certificate (Change of status)	544
Replacement NSC (Change of status)	1
Replacement Subject Statement (Lost)	67
Replacement NSC Bachelor's Degree (Lost)	366
Replacement NSC Diploma (Lost)	359
Replacement NSC Higher Certificate (Lost)	304
Replacement NSC (Lost)	1
Re-issue Subject Statement (Correction)	8
Re-issue NSC Bachelor's Degree (Correction)	15
Re-issue NSC Diploma (Correction)	18
Re-issue NSC Higher Certificate (Correction)	27
Re-issue NSC Bachelor's Degree (Correction)	9
Re-issue NSC Diploma (Correction)	3
Re-issue NSC (Correction)	1
Re-issue NSC Bachelor's Degree (Correction)	5
Re-issue NSC Diploma (Correction)	15
Re-issue NSC Higher Certificate (Correction)	19
Replacement NSC Diploma (Lost)	2

Type of certificates	Number
Limpopo Department of Education	
Replacement NSC Higher Certificate (Lost)	1
Re-issue NSC Diploma (Corrections)	2
Re-issue NSC Higher Certificate (Corrections)	1
Department of Basic Education	
Replacement NSC Bachelor's Degree (Change of status)	345
Replacement NSC Diploma (Change of status)	613
Replacement NSC Higher Certificate (Change of status)	756
Replacement NSC (Change of status)	1
Replacement Subject Statement (Lost)	204
Replacement NSC Bachelor's Degree (Lost)	1171
Replacement NSC Diploma (Lost)	1258
Replacement NSC Higher Certificate (Lost)	764
Replacement NSC (Lost)	5
Re-issue Subject Statement (Correction)	1
Re-issue Bachelor's Degree (Correction)	12
Re-issue NSC Diploma (Corrections)	27
Re-issue NSC Higher Certificate (Corrections)	17

Table 10.4 Total number of certificates issued

Type of certificates	Number
First issue: Subject Statement	161798
First Issue: NSC Bachelor's Degree	160713
First Issue: NSC Diploma	169579
First Issue: NSC Higher Certificate	90552
First Issue: NSC	436
Replacement NSC Bachelor's Degree (Change of status)	2224
Replacement NSC Diploma (Change of status)	4019
Replacement NSC Higher Certificate (Change of status)	5246
Replacement NSC (Change of status)	5
Replacement Subject Statement (Lost)	719
Replacement NSC Bachelor's Degree (Lost)	7063
Replacement NSC Diploma (Lost)	7607
Replacement NSC Higher Certificate (Lost)	4627
Replacement NSC (Lost)	25
Re-issue Subject Statement (Correction)	93
Re-issue NSC Bachelor's Degree (Correction)	226
Re-issue NSC Diploma (Correction)	254
Re-issue NSC Higher Certificate (Correction)	183
Re-issue NSC (Correction)	1
Total number of certificates issued	**615370**

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