Report on the Quality Assurance of the DHET November 2016 GETC: ABET Level 4 Examinations

UMALUSI

Council for Quality Assurance in General and Further Education and Training

REPORT ON THE QUALITY ASSURANCE OF THE DHET NOVEMBER 2016 GETC: ABET LEVEL 4 EXAMINATIONS

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EXECUTIVE SUMMARY

The Department of Higher Education and Training (DHET) conducts the GETC: ABET Level 4 examinations twice per year in June and November respectively. The DHET conducts GETC: ABET Level 4 examinations in 26 Learning Areas (LAs). Umalusi, as mandated by the General and Further Education Quality Assurance Act (Act No. 58 of 2001, as amended in 2008), conducted quality assurance processes on all assessment practices for all assessment bodies, including DHET, 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 of Common Assessment Tasks (Chapter 2);
- Moderation of Site based assessment (Chapter 3);
- Monitoring the State of Readiness (Chapter 4);
- Monitoring of Writing (Chapter 5);
- Monitoring of Marking (Chapter 6);
- Marking Guideline Discussions (Chapter 7);
- Verification of Marking (Chapter 8);
- Standardisation and Resulting (Chapter 9); and
- Certification (Chapter 10).

The findings from the above quality assurance processes enable members of the Umalusi Council to decide whether Umalusi should accept and ratify the results of the GETC: GETC: ABET Level 4 examinations or not.

During the moderation of question papers (QPs) for the 26 learning areas (LAs) offered by the DHET the approval of question papers occurred as follows: 10 QPs were approved at first moderation; two QPs were conditionally approved with no resubmission and ten QPs were approved at second moderation. Finally, two question papers were approved at third moderation.

The report discusses the moderation of Common Assessment Tasks (CATs) and that of Site based assessment, or SBA (candidates' portfolios of evidence). Moderation of SBA was done in October when Umalusi deployed external moderators to provincial education departments (PEDs) to conduct on-site moderation. Thirty candidates' portfolios per LA were sampled for moderation. Findings of the moderation of SBA are discussed in this report.

Marking guideline discussions took place centrally, over one day. In all LAs, PEDs were expected to be represented by a chief marker and an internal moderator. The marking guideline discussions were conducted to ensure that the final marking guidelines make provision for alternative responses, among others. The process also aimed at equipping markers with a common understanding of how to mark candidates' scripts. The

chapter on marking guideline discussions discusses good practices as well as challenges experienced in these meetings. Umalusi deployed external moderators, all subject experts in their respective LAs, to attend the DHET marking guideline discussion meetings.

This report also discusses the verification of marking as a quality assurance process, and how this was conducted. Observations made by Umalusi's external moderators were that the marking guideline discussions were able to equip markers with the requisite information to undertake more accurate marking and to identify questions where alternative responses needed to be included.

The marking of candidates' examination scripts was easier and more accurate. This was observed during the sampling of 60 candidate scripts verified by the Umalusi external moderators. The marking was conducted as per the approved guidelines and the integrity of the examinations was maintained. The DHET marking process of the November 2016 GETC: ABET Level 4 examinations was confirmed as fair, valid and credible.

The report also discusses and makes findings resulting from monitoring conducted during the writing and marking of examinations at centres. The proceedings in the marking centres are also discussed.

The standardisation and resulting chapter of the report discusses these processes as part of quality assurance of assessment. The report deals with the status of DHET certification. Each chapter in this report discusses the findings, areas of good practice and concern, and provides directives for compliance and improvement for the assessment body.

ACRONYMS AND ABBREVIATIONS

ABET	Adult Basic Education and Training
CET	Community Education and Training
ASC	Assessment Standards Committee
CAT	Common Assessment Tasks
CLC	Community Learning Centres
DHET	Department of Higher Education and Training
EA	Examination Assistants
EAG	Examination and Assessment Guideline
GETC	General Education and Training Certificate
LA	Learning Area
NQF	National Qualifications Framework
PALC	Public Adult Learning Centre
PED	Provincial Education Department
QAA	Quality Assurance of Assessment
QP	Question Paper
SAGs	Subject and Assessment Guidelines
SAQA	South African Qualifications Authority
SBA	Site Based Assessment
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 employs external moderators who have relevant subject matter expertise to scrutinise and carefully analyse the question papers (QPs) developed by the Department of Higher Education and Training (DHET) for the General Education and Training Certificate (GETC): ABET Level 4 examinations. The DHET is expected to appoint examiners with requisite subject knowledge of setting QPs, and internal moderators to moderate the QPs before they are presented to Umalusi for external moderation. The quality and the standard of the QPs start with the appointment of examiners.

Umalusi moderates QPs based on a set of criteria to confirm that the papers meet the quality assurance requirements and that the standard of the paper adheres to policy requirements. To maintain public confidence in the national examination system, QPs must be seen to be relatively:

- Fair;
- Reliable;
- Representative of an adequate sample of the curriculum;
- Representative of relevant conceptual domains;
- Representative of relevant levels of cognitive challenge.

The purpose of this chapter is to:

- Provide a brief overview on the number and quality of question papers moderated and approved per learning area for the November 2016 GETC : ABET Level 4 examinations;
- Highlight areas of good practice;
- Identify areas of concern; and
- Issue directives for compliance and improvement.

1.2   Scope and Approach

The DHET presented QPs and the accompanying marking guidelines for the 26 LAs it offered for moderation by Umalusi in preparation for the November 2016 GETC: ABET L4 examinations in Table 1A below.

Table 1A: DHET Learning Areas for the GETC: ABET Level 4 Examinations

No	Learning Areas	LA code
1	Ancillary Health Care	ANHC4
2	Applied Agriculture and Agricultural Technology	AAAT4

No	Learning Areas	LA code
3	Arts and Culture	ARTC4
4	Early Childhood Development	ECD4
5	Economic and Management Sciences	EMSC4
6	Human and Social Sciences	HSSC4
7	Information Communication Technology	INCT4
8	Language, Literacy and Communication: Afrikaans	LCAF4
9	Language, Literacy and Communication: English	LCEN4
10	Language, Literacy and Communication: IsiNdebele	LCND4
11	Language, Literacy and Communication: IsiXhosa	LCXH4
12	Language, Literacy and Communication: IsiZulu	LCZU4
13	Language, Literacy and Communication: Sepedi	LCSP4
14	Language, Literacy and Communication: Sesotho	LCSO4
15	Language, Literacy and Communication: Setswana	LCTS4
16	Language, Literacy and Communication: siSwati	LCSW4
17	Language, Literacy and Communication: Tshivenda	LCVE4
18	Language, Literacy and Communication: Xitsonga	LCXI4
19	Life Orientation	LIFO4
20	Mathematical Literacy	MLMS4
21	Mathematics and Mathematical Sciences	MMSC4
22	Natural Sciences	NATS4
23	Small, Medium and Micro Enterprises	SMME4
24	Technology	TECH4
25	Travel and Tourism	TRVT4
26	Wholesale and Retail	WHRT4

The GETC: ABET L4 examinations have 26 Learning Areas (LAs). The DHET offers examinations for all 26 LAs in the nine provincial education departments (PEDs), as detailed. All QPs were moderated according to the Umalusi criteria for the moderation of question papers instrument. External moderators assess the QPs according to the following eight criteria:

- Technical;
- Internal Moderation;
- Content Coverage;
- Cognitive Skills;
- Marking Memorandum;
- Language and Bias;
- Adherence to Subject Assessment Guidelines;
- Predictability.

The external moderation of QPs for the November 2016 GETC: ABET Level 4 examinations was conducted centrally at the offices of the Department of Basic Education (DBE) in Pretoria from March to April 2016.

1.3   Summary of Findings

The external moderators completed evaluation reports based on the moderation criteria. The moderation reports included both statistical and qualitative feedback. This report highlights the consolidated statistical, as well as the qualitative information, extracted from the various external moderator reports.

Each criterion has a set of quality indicators against which the QPs are evaluated and assessed. The external moderator makes a judgement for each criterion, considering four possible levels of compliance:

- No compliance (Met < 50% of criteria);
- Limited compliance (Met > 50% but <80%);
- Compliance in most respects (Met > 80% <100%);
- Compliance in all respects (Met 100%) of the criteria.

The external moderator evaluates the QP based on the overall impression and how the requirements of all the eight criteria have been met. A decision is then taken on the quality and standard of the QP as a whole, considering one of four possible outcomes:

- Approved (A);
- Conditionally approved – no resubmission (CANR);
- Conditionally approved – resubmit (CAR);
- Rejected – if the standard and quality of the QP is entirely unacceptable (R

Table 1B provides a breakdown of the status of the QPs after all external moderation exercises were completed.

Table 1B: Approval Status of Question Papers Moderated

A = Approved	CANR = Conditionally Approved – No Resubmit	CAR = Conditionally Approved – Resubmit	R = Rejected

	Learning Area (LA)	LA Code	Nov 2016 Examinations		
			1st Mod	2nd Mod	3rd Mod
1	Ancillary Health Care	ANCH4	CAR	A	
2	Applied Agriculture & Agricultural Technology	AAAT4	A		
3	Arts and Culture	ARTC4	A		
4	Early Childhood Development	ECD4	A		
5	Economic and Management Sciences	EMSC4	A		
6	Human and Social Sciences	HSSC4	CANR		
7	Information Communication Technology	INCT4	A		
8	LLC: Afrikaans	LCAF4	CAR	A	
9	LLC: English	LCEN4	CAR	A	
10	LLC: IsiNdebele	LCND4	CAR	A	
11	LLC: IsiXhosa	LCXH4	CAR	A	
12	LLC: IsiZulu	LCZU4	A		
13	LLC: Sepedi	LCSP4	R	A	
14	LLC: Sesotho	LCSO4	CAR	A	
15	LLC: Setswana	LCTS4	A		
16	LLC: SiSwati	LCSW4	A		
17	LLC: Tshivenda	LCVE4	A		
18	LLC: Xitsonga	LCXI4	CAR	A	
19	Life Orientation	LIFO4	CAR	A	
20	Mathematical Literacy	MLMS4	CAR	CANR	

	Learning Area (LA)	LA Code	Nov 2016 Examinations		
			1st Mod	2nd Mod	3rd Mod
21	Mathematics and Mathematical Sciences	MMSC4	CAR	CANR	
22	Natural Sciences	NATS4	A		
23	Small, Medium and Micro Enterprises	SMME4	CANR		
24	Technology	TECH4	CAR	A	
25	Travel and Tourism	TRVT4	R	CAR	A
26	Wholesale and Retail	WHRT4	CAR	CAR	A

Table 1C summarises the status of QPs after all external moderation exercises were complete; and Figure 1A represents the same information graphically.

Table 1C: Analysis of External Moderation of Question Papers

Moderation	Approved	CANR	% Approved + CANR	CAR	% CAR	Rejected	% Rejected	Total Mods
1ST Mod	12	2	54%	10	38%	2	8%	**26**
2ND Mod	8	4	100%	0	0%	0	0%	**12**
3RD Mod	2	0	100%	0	0%	0	0%	**2**
TOTAL	**22**	**6**		**10**		**2**		**40**
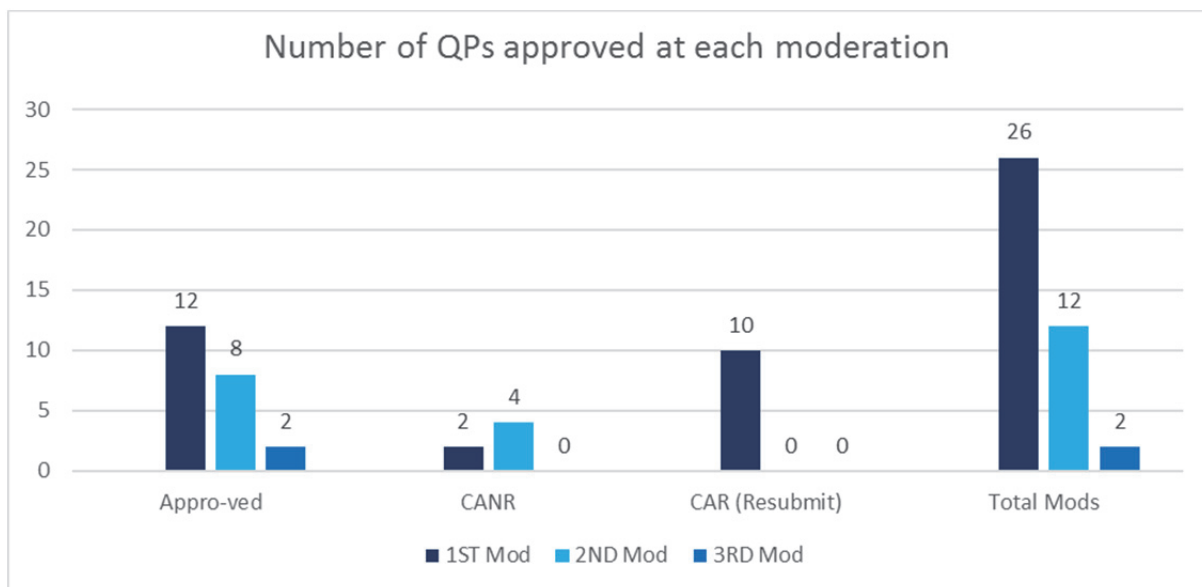
Figure 1A: Number of Types of Approval of Question Papers at Each Moderation

An analysis of Table 1C and information illustrated in Figure 1A show that 12 (as in 2015 and 2014) QPs were approved after first moderation without amendments. Approximately 24 QPs could have been approved without amendments at first moderation had the examiners and internal moderators paid more attention to detail.

Two QPs, HSSC4 and SMME4, were conditionally approved with no need for second moderation. The QP for TRVT4 was rejected as there was no compliance with the criteria for internal moderation and cognitive skills. The QP had very limited compliance to the criteria for content coverage, marking guideline, language and bias, and adherence to assessment policies/guidelines. This TVRT4 QP did not examine/assess two unit standards and one question was outside the parameters of the unit standards. Generally, the language used in the TVRT4 paper was verbose and not compatible with the level of ABET Level 4 candidates. The marking guideline for TVRT4 QP contained wrong answers and was deemed to hinder the facilitation of marking. The setting of this QP is clearly a consistent challenge for the DHET having also been rejected in 2014 and 2015. It is imperative that the DHET pays more attention to the monitoring and setting of this examination paper. Furthermore, LCSP4 was also rejected, on the grounds of numerous language mistakes that could create confusion among candidates; inaccurate expected responses in the marking guideline; and low compliance with the criteria for internal moderation.

As in 2015, 10 out of the total of 26 question papers (38%) were conditionally approved to be resubmitted (CAR) for second moderation. Five of these 10 papers were in the Language LAs, namely LCAF4, LCEN4, LCND4, LCXH4 and LCX14. As this was almost the same set of QPs that received CAR in 2015, it indicated that not much had been done since 2015 to address the shortcomings in the setting and internal moderation of these language QPs. Also, just as in 2014 and 2015, the ANHC4, MLMS4, MMSC4 and WHRT4 QPs were CAR at first moderation. This signals

that not much, if anything, is being done by the DHET to improve the quality of the setting and moderating of these QPs. The main reasons, among others, for the decision to subject these 10 QPs to a CAR included: unacceptable quality of internal moderation, insufficient content coverage and poor marking guidelines, non-adherence to prescribed cognitive weightings, and non-adherence to assessment guidelines in some cases.

The DHET submitted 12 QPs for second moderation. Eight of these were approved and four (MLMS4, MMSC4, TVRT4 and WHRT4) were conditionally approved with no need for third moderation. A common challenge for these four QPs at second moderation related to the correctness of some items in their respective marking guidelines. Nevertheless, at the request of the Umalusi external moderator, TVRT4 and WHRT4 were submitted for third moderation, and it was noted that the quality of compliance with the respective criteria improved to the extent that these two QPs were approved.

Table 1D gives a summary of the compliance ratings for the 26 QPs evaluated during first moderation. For 2016, QPs evaluated met 77% of the criteria after first moderation as was the case in 2015, but with an increase in the number of instances of 'compliance in all respects' from 85 in 2015 to 99 in 2016. This is generally attributed to improved internal moderation practices by most of the DHET subject internal moderators. Despite this improvement, it remains a concern that QPs evaluated in 2016 did not meet 25% of the criteria after first moderation, as was the case in in 2015. In the case of the latter, there were 45 instances of limited compliance and eight instances of 'none compliance' across all eight criteria.

As was the case in 2014 and 2015, in 2016 internal moderation and marking guidelines remained the least compliant with criteria during first moderation: two instances of 'none compliance' and seven instances of 'limited compliance' in internal moderation; and one instance of 'none compliance' and nine instances of 'limited compliance' in marking guidelines. Not meeting these criteria resulted in 12 QPs being subjected to second moderation. It must be noted, on the positive side, the QPs scored 99 instances (48%) of 'All' compliance, which was comparable with the 87 instances (42%) that prevailed in 2014 and the 85 instances (41%) in 2015.

Table 1D: Compliance Ratings for Question Papers after First Moderation

		Compliance Frequency [208 Instances]			
		None	**Limited**	**Most**	**All**
1	Technical Criteria	0	6	13	7
2	Internal Moderation	1	8	6	11
3	Content Coverage	0	7	8	11

		Compliance Frequency [208 Instances]			
		None	**Limited**	**Most**	**All**
4	Cognitive Demand	1	4	8	13
5	Marking Guidelines	0	10	8	8
6	Language and Bias	0	6	6	14
7	Adherence to Policy	0	4	7	15
8	Predictability	0	1	4	21
		2	**46**	**60**	**100**
		23%		**77%**	

Table 1E gives a combined summary of the compliance ratings for the 26 QPs approved after first, second and third moderations.

Table 1E: Compliance Ratings for Question Papers Approved Across 3 Moderations

		Compliance Frequency (26 QPs)			
		None	**Limited**	**Most**	**All**
1	Technical Criteria	0	1	12	13
2	Internal Moderation	0	0	8	18
3	Content Coverage	0	0	10	16
4	Cognitive Demand	0	0	8	18
5	Marking Guidelines	0	2	8	16
6	Language and Bias	0	0	8	18
7	Adherence to Policy	0	0	5	21
8	Predictability	0	0	3	23
		0	**3**	**62**	**143**
		1%		**99%**	

Table 1E indicates that the 26 QPs were approved after all moderations (first, second and third) were completed, and there were three instances of limited compliance restricted to technical criteria and marking guidelines in SMME 4, and marking guidelines in TECH4. It was encouraging to observe that there was no 'non-compliance' with any criterion in any of the finally approved QPs.
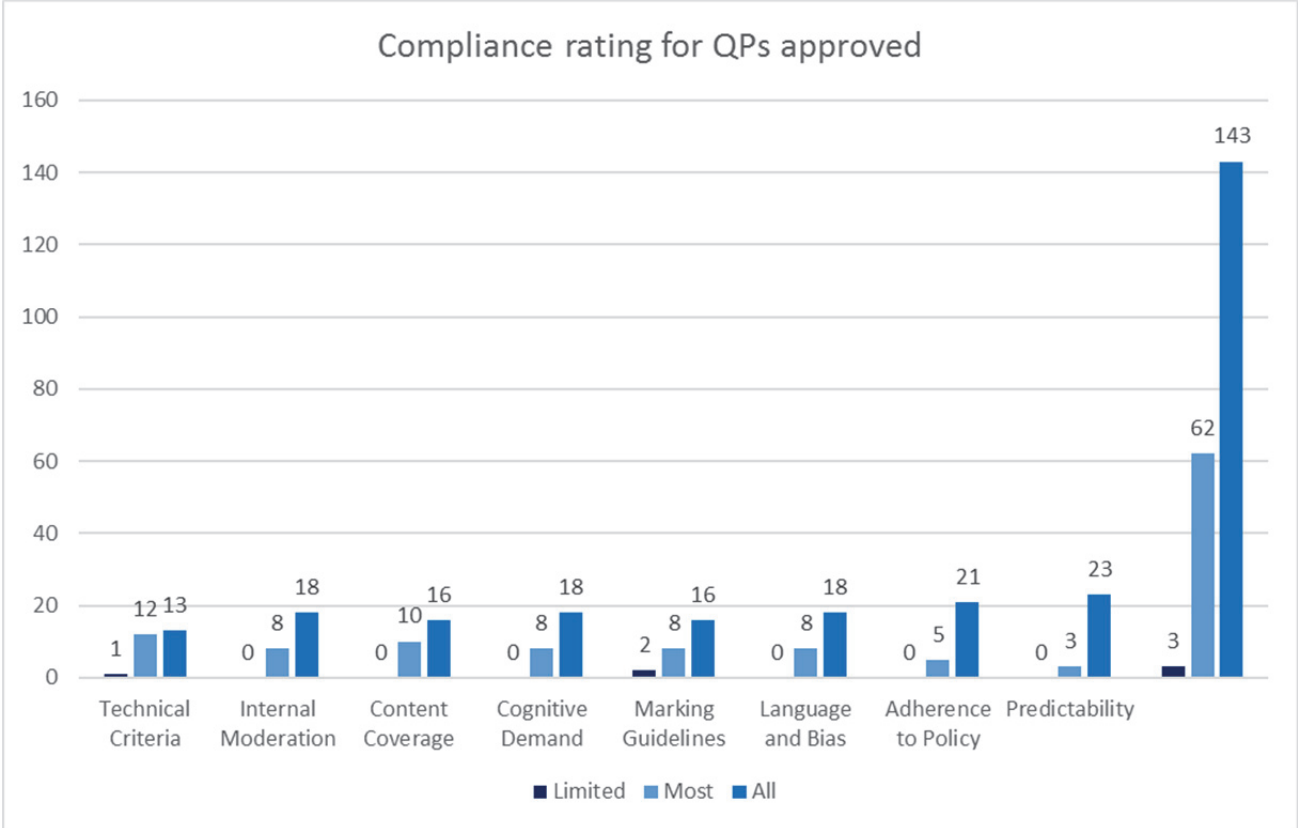
Figure 1B: Compliance ratings for QPs approved after 1st, 2nd and 3rd moderations

These 'limited compliance' as well as instances of 'most compliance' and 'all compliance', as illustrated in Figure 1B and Table 1E, are explained in more detail in the relevant sections below:

1.3.1 Technical Criteria

None of the 26 QPs scored a 'none compliance' rating when presented at first moderation. The following seven QPs met all the technical criteria at first moderation: AAAT4; LCAF4: LCZU4; LCS04; LCSW4; TECH4 and TVRT4. However, six QPS, namely ANHC4; LCEN4; LCSP4; MLMS4; MMSC4; and SSME4, out of the set of 26 scored a 'limited compliance' rating when presented for first moderation. Some technical problems identified at first moderation of the November 2016 examinations were the following: unclear and ambiguous instructions (ANHC4; LCEN4; MLMS4; MMSC4; SSME4); use of incorrect numbering systems (ANHC4; MLMS4); non-submission of the file showing the full history of the development of the paper (LCSSP4); unclear mark allocations (SSME4); incongruence in the mark allocation on the QP and the

marking guideline (ANHC4; SSME4); and the quality of illustrations, graphs, tables etc. was not appropriate and print ready (ANHC4; MLMS4; MMSC4).

In the final analysis, when all 26 papers were approved after the respective levels (which varied mainly from first to second) of moderation, it was found that the technical specifications were sufficiently addressed (12 'most' and 13 'all') by 25 QPs, with the exception of SMME4 (which scored 'limited compliance'). This demonstrates that the quality of compliance with this criterion was comparable to that of 2015 where one QP scored 'limited compliance', 11 scored 'most compliance' and 14 scored 'all' compliance ratings for QPs approved across three moderation levels.

1.3.2   Internal Moderation

At first moderation only the AART4 QP showed 'none compliance', 31% (eight out of 26) showed 'limited compliance', 23% (six out of 26) showed 'most compliance' and 42% (11 out of 26) complied with all the moderation criteria. Some problems identified at the first moderation of the November 2016 GETC: ABET Level 4 QPs were the following: the internal moderator's report was not included in the instance of WHRT4; lack of evidence that the paper had been moderated internally in the case of AART4; and inappropriate quality, standard and relevance of input from the internal moderator (AART4, ANHC4, LCEN4, LCSP4, LCXI4, MLMS4, MMSC4). In retrospect, compliance at first moderation level seems to have dropped compared to 2015, wherein 69% (18 out of 26) of the QPs approved met all the requirements of the internal moderation criterion; and 2014, wherein 61% (16 out of 26) of the QPs approved met all the requirements of the internal moderation criterion.

After taking all the stages of moderation into account, it was found that, in the final analysis, none of the 26 approved papers subscribed to the categories of 'none' or 'limited compliance'. This demonstrated that examiners and internal moderators did consider suggestions and recommendations from Umalusi external moderators during the moderation processes, and had acted on them appropriately to improve the quality of given QPs.

1.3.3   Content Coverage

It must be noted that the GETC: ABET L4 qualification is a composition of a number of unit standards per Learning Area. Each unit standard has its own Learning Outcomes (LOs) and Assessment Standards (ASs). At first moderation, none of the QPs scored a 'non-compliance' rating, but seven out of 26 scored 'limited compliance' ratings. Some problems identified at the first moderation of the November 2016 GETC: ABET Level 4 QPs were the following: inadequate coverage of the L0s and the ASs as prescribed in the SAGs (MMSC4, TVRT4, WHRT4); inappropriate weighting and spread of content of LOs and ASs (MLMS4, MMSC4, TVRT4; WHRT4); lack of a correlation between mark allocation, level of difficulty and time allocation (ANHC4, LCXI4,

MLMS4, MMSC4, TVRT4); inappropriate linkage and integration of the assessment standards (TVRT4 and WHRT4); and examples and illustrations were not suitable, not appropriate, not relevant and academically incorrect (ANHC4).

It has been encouraging to see that none of the finally approved QPs across the three moderations scored either a 'none compliance' or 'limited compliance' rating. However, it has been found that for the November 2016 ABET Level 4 QPs, there were 16 papers that scored 'all compliance' ratings and 10 'most compliant ratings, which represents a drop in standard compared to 2015, when 19 papers scored 'all compliance' ratings and seven scored 'most compliant' ratings. The common deficiency with respect to the 10 that scored 'most compliant' ratings among the November 2016 QPs was restricted mainly to slight deviations in the weighting and spread of content of LOs and ASs.

1.3.4 Cognitive Demand

At first moderation only the TVRT4 QP was 'none compliant', 15% (four out of 26) showed 'limited compliance', 31% (eight out of 26) showed 'most compliance' and 50% (13 out of 26) complied with all the cognitive demand criteria. These show a slight improvement compared to 2015 levels of compliance. Some problems identified at the first moderation of the November 2016 ABET Level 4 QPs were the following: inappropriate distribution in terms of cognitive levels (LCND4; LCXI4; MMSC4; TVRT4); unequal levels of difficulty throughout choice questions (LCND4; LCXI4; WHRT4; TVRT4); incorrect distribution of marks according to the norms (MMSC4; TVTR4); and lack of items that examine the ability to translate from verbal to symbolic (TVRT4; WHRT4).

None of the finally approved QPs across the three moderations scored either a 'none compliance' or 'limited compliance' rating. Eight of the 26 finally approved QPs scored 'most compliance' ratings, while 18 scored 'all compliance' ratings. These ratings reflect an improvement on the 2015 compliance levels of the finally approved QPs, wherein one scored 'limited compliance', 12 scored 'most compliance' ratings, and 13 achieved 'all compliance' ratings.

1.3.5 Marking Guidelines

Errors in the marking guidelines accounted for the largest number of corrections required at first moderation. For various reasons, 38% (10 out 26) of the marking guidelines did not comply with the quality indicators; this was marginally worse than the 2015 compliance levels. Some problems identified at the first moderation of the November 2016 GETC: ABET Level 4 QPs were the following: inaccuracy in expected responses presented in the marking guidelines (ANHC4; MMSC4; LCEN4; TRVT4; WHRT4; LCND4; LCXH4; MLMS4; SSME4; TECH4); lack of correlation between responses in the marking guidelines and items in the QP (ANHC4; LCEN4; TVRT4); non-provision and allowance for alternative responses in the marking guidelines (ANHC4; LCND4);

the hindrance of the marking guidelines to facilitate consistent marking (ANHC4; TVRT4; LCXH4); the marking guideline being incomplete with mark allocation and mark distribution within the questions (WHRT4; LCXH4; SSME4); and general failure of the marking guideline to indicate the LOs and ASs assessed (MMSC4; LCEN4; TVRT4; WHRt4; LCND4; LCXH4; MLMS4; TECH4).

None of the finally approved QPs across the three moderations scored a 'none compliance' rating. However, two scored 'limited compliance', eight scored 'most compliance', and 16 scored 'all compliance' ratings. These indicate an improvement on the 2015 compliance levels of the finally approved QPs, where one scored 'limited compliance', 17 scored 'most compliance' rating and eight scored 'all compliance' ratings. The deficits that prevailed among some quality indicators, mainly after second moderation, were relatively minor and did not compromise the quality of the final November 2016 QPs, since these could be easily rectified by the Examiner/internal moderator. These were limited, in particular, to mark allocation and mark distribution, and the indication LOs and ASs assessed in the marking guideline.

1.3.6   Language and Bias

At first moderation no QPs showed 'none compliance', 23% (six out of 26) showed 'limited compliance', 23% (six out of 26) showed 'most compliance' and 54% (14 out of 26) complied with all the language and bias criteria. Although this shows a slight improvement compared to the 2015 levels of compliance, some problems identified at the first moderation of the November 2016 GETC: ABET Level 4 QPs were the following: incorrect use of subject terminology/data (ANHC4; MMSC4) inappropriate language register for the level of the candidate (MMSC4; TVRT4); prevalence of subtleties in the grammar that might create confusion (ANCH4; MMSC4; TVRT4; LCSP4; MLMS4); some evidence of bias in terms of gender and race and cultural issues (TVRT4); and inappropriate length of text passages and complexity of vocabulary (ANCH4; MMSC4; TVRT4; LCND4;MLMS4).

However, as some of the affected papers moved through second and third moderation processes, the language and bias challenges resolved themselves. The following ratings were obtained after the approval of all QPs: Eight of the 26 finally approved QPs scored 'most compliance' rating and 18 scored 'all compliance' ratings. This demonstrated a marginal improvement on the 2015 compliance levels of the finally approved QPs, where one QP scored 'limited compliance', seven scored 'most compliance' ratings and 18 scored 'all compliance' ratings. In the final analysis, the relatively minor deficiencies regarding some subtleties in grammar, both in SMME 4 and TECH4, did not seriously compromise the language and bias criterion, as it was plausible for these flagged subtleties in the grammar to be easily rectified by the examiner/internal moderator.

1.3.7 Adherence to Policies

At first moderation no QP showed 'none compliance', 15% (four out of 26) showed 'limited compliance', 27% (seven out of 26) showed 'most compliance' and 58% (15 out of 26) complied with 'all' of the adherence to policies criteria. Even though this does demonstrate an improvement compared to 2015 levels of compliance, the following problems were identified at first moderation across a small number of November 2016 GETC: ABET   Level 4 QPs: non-alignment of QPs to current policy/guideline documents, e.g. learning and assessment guidelines and supporting documents (TVRT4; LCXI4; MMSC4); lack of adequate consideration of prescribed LOs and ASs (TVRT4; MMSC4); and inappropriate weighting and spread of content of the LOs and ASs as per the subject assessment guidelines (TVRT4; WHRT4; MMSC4).

The compliance ratings of the QPs approved during the moderation sessions were the same as in 2015, namely five QPs (ARTC4; ECD4; EMSC4; HSSC4; WHRT4) scored 'most compliance' ratings and 21 scored 'all compliance' ratings. The minor deficits that prevailed among the five QPs (ARTC4; ECD4; EMSC4; HSSC4; WHRT4) did not compromise the adherence to policies criteria. The issues pertained mainly to the representation of particular LOs relevant to this set of affected papers and could be easily addressed by the respective examiners/internal moderators subject-wise, as suggested by the Umalusi external moderator.

1.3.8 Predictability

Across some of the papers (e.g. ARTC4, HSSC4; TVRT4; LCXI4; LCND4; INCT4) it was reported that the QPs lacked innovation and freshness, and were therefore inherently predictable. The finally approved November 2016 ABET Level 4 QPs for the examinations were 88% fully (i.e. all) compliant and 12% 'most compliant'. This is a slight improvement on the 2015 compliance levels of 85% fully (i.e. all) compliant and 15% 'most compliant' ratings.

1.4   Areas of Good Practice

The following areas of good practice were identified during the moderation of QPs:

- The DHET must be commended, as it was in 2014 and 2015, for good management and administration of the process of external moderation of QPs. Security measures were efficient and effective as no QP was compromised at any stage during the external moderation process.

- The DHET examiners and internal moderators had considered the comments and inputs made by the Umalusi external moderators with a positive spirit and attitude, as they did in 2015. They achieved 99% compliance with the minimum standards stipulated across all eight criteria after the three levels of moderation deemed necessary. This was a 1% improvement on compliance in 2015. It was indeed encouraging to see that there were no cases of 'none'

and 'limited compliance' across the following six criteria after the required levels of moderation had been completed: internal moderation, content coverage, cognitive demand, language and bias, adherence to policy, and predictability (see Table 1E for details). More importantly, there were no cases of 'none compliance' across all eight criteria after the required levels of moderation were completed. Overall, this was an improvement on 2015, when there were no cases of 'none' and 'limited compliance' across only four criteria (internal moderation, content coverage, adherence to policy, and predictability).

- The DHET examiners and internal moderators are to be commended on the achievement of acceptable standards in the setting of the following November 2016 GETC: ABET Level 4 QPs at first level moderation: AAAT4; ARTC4; ECD4; EMSC4; INCT4; LCZU4; LCSO4; LCTS4; LCSW4; LCVE4; NATS4; TECH4.

- There seems to have been a slight improvement in the setting of TRVT4 and WHRT4 QPs as compared to previous years. In fact, both papers received CANR ratings at second moderation, even though they received final approval at third moderation.

1.5   Areas of Concern

The following challenges were identified as areas of concern:

- Fewer than 50% of QPs were approved at first moderation without amendments, coupled with only three LAs (AAA4, LCZU4, and LCSW4) meeting all the outcomes governing each of the criteria. This is a decline compared to the 2015 achievements.

- Errors in the marking guidelines accounted for the largest number of corrections required at first moderation. For various reasons, 38% (10 out 26) of the marking guidelines did not comply with the quality indicators. This was marginally worse than the 2015 compliance levels. Inaccuracy in the expected responses presented in the marking guidelines (ANHC4; MMSC4; LCEN4; TVRT4; WHRT4; LCND4; LCXH4; MLMS4; SSME4; TECH4) were the biggest factor.

- Some examiners and, by implication, internal moderators, still have a problem interpreting and analysing the cognitive levels of their QPs (LCND4, LCXI4, MMSC4, TVRT4, WHRT4).

- The QPs for TRVT4 and WHRT4 presented for first moderation were of poor quality and standard; such that they respectively received 'R' and 'CAR' ratings, as in 2015. However, at second moderation both papers received CANR ratings, with deficiencies in some criteria. They both received 'limited

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compliance' for the content coverage criterion. TVRT4 received a 'limited compliance' rating for the following criteria: internal moderation; cognitive demand; and predictability. These two papers were finally approved at third moderation. DBE, therefore, needs to provide more support to both the examiners and internal moderators who are responsible for setting TRVT4 and WHRT4 QPs.

- The quality, standard and relevance of internal moderation, across a number of QPs presented for first moderation, were inappropriate and did not contribute to improving the papers.

- Unequal levels of cognitive demand permeated choice questions in some QPs presented at first moderation (LCND4; LCXI4; WHRT4; TVRT4).

1.6   Directives for Compliance and Improvement

The DHET must take note of the following directives to improve the quality of moderation of QPs:

- The DHET must strengthen internal moderation to ensure QPs are not subjected to second moderation as a result of not meeting the required, core-weighted outcomes across core-weighted criteria such as content coverage, marking guidelines, cognitive demand, and adherence to policy during first moderation. As indicated in previous reports (July 2013, December 2013, December 2014 and December 2015), the current model of internal moderation does not achieve its aims. For example, if the 10 QPs conditionally approved – resubmit had been resolved during the very first internal moderation process, almost 92% of QPs would have been approved after first moderation.

- The DHET must ensure that both examiners and internal moderators, particularly for those QPs that have been subjected to second and third moderations, receive appropriate training on setting and/or moderating QPs, such that developed QPs and associated marking memoranda meet the minimum standards across each of the eight criteria governing internal and external moderation of QPs.

- DHET must take the necessary steps to ensure that examiners and internal moderators are familiar with, and competent in, the use of relevant taxonomies, so that the cognitive levels of the various QPs are competently and correctly analysed. Workshops in which examiners and moderators are given the opportunity to analyse the cognitive levels of previous examination papers, and to discuss the analyses – following similar procedures to those used when training Markers – might help to overcome this barrier.

- As TRVT4 and WHRT4 are consistently found to be deficient in many respects (see December 2014 and December 2015 reports), and are often subjected to second and at times third moderations, the DHET must take the necessary steps to review the challenges faced by the examiners and internal moderators of these subjects. The DHET must then develop and implement a plan of action to help to develop better quality QPs (in TRVT4 and WHRT4). These could then earn the necessary approval at first moderation rather than being continually subjected to second and/or third moderation.

1.7   Conclusion

Umalusi approved 14 QPs after first moderation and 12 QPs after second moderation. Two QPs (TVRT4 and WHRT4) received conditionally approved ratings at second moderation, were improved upon as per recommendations and submitted for third moderation, after which they were finally approved. It remains a concern that 46% of the QPs moderated required a second round of external moderation, which this is primarily attributed to poor internal moderation processes. Furthermore, Umalusi is particularly concerned with the poor quality of marking guidelines, and deficits in the content coverage and cognitive demand criteria of QPs, as well as the initial setting quality of the two QPs, namely TRVT4 and WHRT4. However, it is satisfactory that almost all the QPs were approved after second moderation, even though TRVT4 and WHRT4, which received 'conditionally approved – no re-submission' (CANR) ratings, were submitted for third moderation and approved.

The QPs approved throughout the various levels of moderation met the minimum quality requirements to an extent of 99%, with just 1% of the minimum quality requirements resulting in 'limited compliance'. It is imperative that the DHET puts in place measures to ensure that a high percentage of QPs are approved at first moderation. This requires raising the quality and standard of internal moderation, as directed in the past by Umalusi.

In the main, the quality and standard of the approved QPs did not compromise the November 2016 GETC: ABET L4 examinations, which were fit for purpose.

CHAPTER 2 MODERATION OF COMMON ASSESSMENT TASKS

2.1 Introduction and Purpose

The site based assessment (SBA) in the Community Education and Training (CET) CET sector is an important component of examinations, contributing 50% towards the final mark for certification. SBA is comprised of common assessment tasks (CATs) that are developed by the assessment body and implemented at institutional level after external moderation and approval.

The DHET, as the assessment body, is responsible for setting CATs for the administration of SBA for the GETC: ABET L4 qualification, based on the Examination and Assessment Guidelines (EAGs). The DHET sets five SBA tasks for each Learning Area (LA). Umalusi evaluates the quality and standard of CATs, based on a set of criteria and standards approved by Council. This external moderation process is rigorous and similar to that of the external moderation of question papers.

This chapter will reflect on the external moderation of the CATs.

2.2 Scope and Approach

The CATs for each LA consist of five tasks with equal weighting. The learning and assessment outcomes are detailed in the Subject and Assessment Guidelines (SAG) for the specific LA.

The CATs were moderated according to the Umalusi instrument for the moderation of common assessment tasks. This requires that moderators assess the CATs according to nine criteria:

- Adherence to SAG;
- Content Coverage;
- Cognitive Skills/Demand;
- Language and Bias;
- Formulation of Instructions and Questions;
- Quality and Standard of SBA Tasks;
- Mark Allocation and Marking Guidelines;
- Use of Assessment Methods and Forms; and
- Internal Moderation.

The external moderation of the 2016 CATs was conducted on-site at the Pretoria offices of the assessment body, the DHET, in October 2015. During the external moderation process a number of internal moderators were also present to facilitate

the speedy approval of the CATs. Recommendations for adjustments to the tasks could be discussed and affected immediately.

2.3   Summary of Findings

The moderation reports included both quantitative as well as qualitative information. This chapter highlights the qualitative as well as the quantitative feedback of the external moderator reports.

Each criterion used during moderation consists of a set of quality indicators (QI) against which the CATs are evaluated and assessed. The moderator makes a judgement for each criterion, considering four possible levels of compliance:

- No compliance (Met < 50% of criteria);
- Limited compliance (Met > 50% but <80%);
- Compliance in most respects (Met > 80% <100%);
- Compliance in all respects (Met 100%) of the criteria.

The moderator evaluates the CATs based on overall impression and how the requirements of all nine criteria have been met. A decision is then taken on the quality and standard of the CATs as a whole, considering one of four possible outcomes:

- Approved (A);
- Conditionally approved – no resubmission (CANR);
- Conditionally approved – resubmit (CAR);
- Rejected – if the standard and quality of the CATs is entirely unacceptable (R).

It is important to note that the moderation decision considered all five CATs per LA as one set of tasks. The five tasks were therefore considered as a whole for final approval purposes. The external moderator approved the set of tasks only if the criteria for all five tasks had been met. The presence of the internal moderators thus resulted in fewer resubmissions of tasks for further moderation and approval. Tasks could subsequently be approved (A) during first moderation; or conditionally approved with no resubmission (CANR) where technical, spelling or grammar errors had to be corrected. Where adjustments involved the replacement of tasks or adjustments to tasks to improve the weighting of topics and cognitive levels, tasks were either rejected (R) or conditionally approved with resubmission (CAR). Table 2A below indicates the approval status of each CAT per LA.

Table 2A: Subjects Sampled for the Moderation of CATs

	Learning Area	Code	1st Mod	2nd Mod	3rd Mod
1	Applied Agriculture and Agricultural Technology	AAAT4	A		
2	Ancillary Health Care	ANHC4	A		
3	Arts and Culture	ARTC4	A		
4	Early Childhood Development	ECD4	CAR	A	
5	Economic and Management Sciences	EMSC4	CAR	A	
6	Human and Social Sciences	HSSC4	CAR	A	
7	Information Communication Technology	INCT4	CAR	A	
8	LLC: Afrikaans	LCAF4	CAR	A	
9	LLC: English	LCEN4	CAR	A	
10	LLC: IsiNdebele	LCND4	CAR	A	
11	LLC: Sesotho	LCSO4	CAR	A	
12	LLC: Sepedi	LCSP4	CAR	A	
13	LLC: siSwati	LCSW4	A		
14	LLC: Setswana	LCTS4	CAR	A	
15	LLC: Tshivenda	LCVE4	CAR	A	
16	LLC: IsiXhosa	LCXH4	A		
17	LLC: Xitsonga	LCXI4	CAR	A	
18	LLC: IsiZulu	LCZU4	CAR	A	
19	Life Orientation	LIFO4	CAR	A	
20	Mathematical Literacy	MLMS4	R	CAR	A
21	Mathematics & Mathematical Sciences	MMSC4	CAR	A	
22	Natural Sciences	NATS4	CAR	A	
23	Small, Medium and Micro Enterprises	SMME4	CAR	A	
24	Technology	TECH4	CAR	A	
25	Travel and Tourism	TRVT4	CAR	A	
26	Wholesale and Retail	WHRT4	CAR	A	
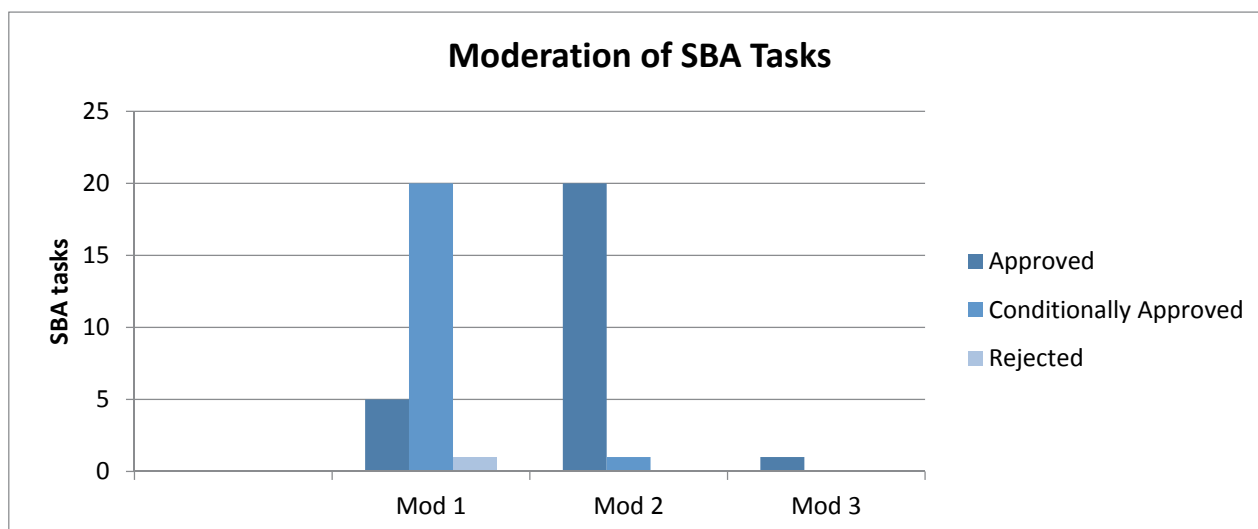
Figure 2A: Degree of Compliance with Moderation Criteria

Figure 2A above depicts the degree of compliance with the criteria of all CATs in the 26 learning fields.

Table 2B: Summary of Approval of CATs

Moderation	Approved	Conditionally Approved Resubmit	Rejected
1st Mod	5	20	**1**
2nd Mod	20	1	**0**
3rd Mod	1	0	**0**
TOTAL	**26**		

The analyses in Table 2A and Figure 2A above show that five CATs were approved at first moderation. Most amendments required for the 10 CAR tasks were duly effected by the internal moderators and the tasks could be approved immediately during second moderation. However, the CATs for MLMS4 were conditionally approved for re-submission during second moderation because they did not meet SAG requirements. MLMS4 CATs were only finally approved at third moderation.

The MLMS4 external moderator felt that the investigation task was too general as it had failed to address mathematical content. Furthermore, it was noted that the paper did not adequately balance taxonomy levels. The examiner had failed to meet the quality and standard of the SBA task criterion. The external moderator also felt that both the external moderator and the examiner should prepare solutions for the task, and compare solutions, to eliminate errors in the question paper and the marking guideline.

Table 2C provides a summary of the compliance ratings for the 26 CATs evaluated after final moderation.

Table 2C: Quantitative Analysis of Moderated CATs

No.	Criterion	Compliance Frequency (12 LAs)			
		None	**Limited**	**Most**	**All**
1	Adherence to SAGs			7	19
2	Content Coverage			7	19
3	Cognitive Skills			12	14
4	Language and Bias		1	10	15
5	Formulation of CATS		1	17	8
6	Quality and Standard of CATS			11	15
7	Marking Guidelines			11	15
8	Use of Assessment Forms and Methods			9	16
9	Internal Moderation		2	15	9
Total			4	99	140
			2%	**98%**	

The section below provides a synopsis of the evaluation findings for the overall criteria after the moderation processes of the 26 CATs for the 26 LAs were completed and approved.

2.3.1   Adherence to SAG

The presence of the internal moderator during the moderation of CATs accelerated the approval process as amendments to the tasks and the marking guidelines could immediately be discussed, agreed upon and effected. This explains why seven CATs met most requirements and 19 met all requirements of this criterion. It must be noted that the SAG are based on a number of unit standards for each LA and the challenges that were experienced related to adherence to the EAGs. Some changes that were effected in specific LAs related to time allocation for tasks. In ARTC4, replacing shorter passages with a longer passage improved adherence, made the task more challenging and increased the opportunity for creative responses.

2.3.2 Content Coverage

Seven CATs met most quality descriptors of the criteria while 19 CATs showed compliance in all respects. The different unit standards and related specific outcomes were adequately covered in the CATs.

2.3.3.1 Cognitive Skills/Demand

The cognitive demand in some of the sub-tasks remained a challenge for, MLMS4 as these all received 'limited' compliance ratings. In the compliance ratings for this criterion, 12 CATs were in adherence with 'most' of the criteria and 14 obtained a compliance in 'all' aspects.

2.3.4 Language and Bias

Initial 'limited' ratings for this criterion related to grammar, spelling and punctuation errors, as well as language levels that did not meet the level of the candidates. Corrections improved the rating to 'most' during second moderation.

In LCAF4 the rating remained 'limited' after a number of adjustments were made. Contributory factors to this rating were the use of English terminology in an Afrikaans paper, together with grammar, spelling, punctuation and sentence construction errors.

At final moderation 15 CATs reached full compliance with this criterion, while 10 obtained compliance in most respects.

2.3.5 Formulation of Instructions and Questions

The CATs sub-tasks in nine of the LAs failed to meet the requirements for this criterion at first moderation. The main concerns highlighted were ambiguous instructions, incorrect grammar usage and questions and instructions that did not meet the cognitive demand intended.

In ANHC4 the concern was incorrect use of subject-related terminology by the Examiner and the use of scenarios that were not particularly relevant to questions.

ECD4, EMSC4, HSSC4, MLMS4, SMME4 and WHRT4 instructions had to be reformulated to avoid ambiguity, correct language errors and meet EAG requirements.

2.3.6 Quality and Standard of SBA Tasks

A few LAs showed limited compliance ratings for this criterion. Issues identified by external moderators included inadequate or unclear instructions for candidates, grammatical errors, and questions that were too difficult or too easy for candidates at this level.

In ARTC4 the external moderator indicated that the research task was not valid as it did not require candidates to do any actual research. The weighting of mark allocation for the visual art questions was not in line with SAGs and could have unfairly advantaged or disadvantaged candidates.

In EMSC4, formulation errors were corrected and background scenarios added as introduction to the assignment.

The sequence of questions in LCAF4 was changed to accommodate a natural flow of activities.

In MLMS4 two tasks did not meet the standards as these contained errors that might have confused candidates. They also contained double testing of outcomes. Tasks had to be revised before criteria were met in 'all' respects.

2.3.7 Mark Allocation and Marking Guidelines

The majority of LAs were deemed compliant in 'most' respects. This was after adjustments were made to the marking guideline and mark allocation.

The ARTC4 scoring for this criterion was initially 'limited' as the weighting of the mark allocation for the visual art questions was not in line with SAGs for ARTC4, and could have unfairly advantaged or disadvantaged candidates. The External Moderator adjusted rubrics to ensure validity and fairness.

The quality of rubrics posed challenges in ECD4, EMSC4 and ARTC4. The rubrics in these LAs had to be rephrased and reconstructed to align with expected performance and assessment criteria.

In HSSC4, questions were added and expanded and changes made to mark allocation. The marking guideline of INCT4 was restructured to accommodate changes. Mark allocation in MMSC4 for one of the tasks was changed to accommodate changes to questions. In SMME4, changes in mark allocation related to errors and omissions.

Overall, the Moderators were satisfied with the mark allocations and the quality of the marking guidelines in most LAs, but noted errors for correction.

2.3.8 Use of Assessment Methods and Forms

In the overall judgement, all CATs complied with this criterion and met the requirements for the sub-criteria.

2.3.9 Internal Moderation

The compliance rating for this criterion in SMME4 and LCSO4 remained 'limited' after final external moderation. In NATS4, the external moderator was also not satisfied

with the quality of internal moderation. The quality and suitability of tasks should be checked by internal moderators before submission for external moderation.

2.4   Areas of Good Practice

- The moderators were mostly satisfied with the content coverage and assessment forms and methods used in most LAs.
- Seventy-three percent of the approved CATs scored very well with respect to adherence to SAGs.

2.5   Areas of Concern

- Most of the tasks in the CATs for MLMS4 were a concern, which resulted in the paper being approved only at third moderation.
- Tasks that did not meet criteria had been approved by internal moderators and submitted for external moderation.
- The standard and quality of rubrics used in the tasks in some of the LAs, e.g. ECD4, EMSC4 and ARTC4 were of concern.

2.6   Directives for Compliance and Improvement

The DHET must explore strategies to improve the quality of the CATs and the quality of internal moderation, as many errors were encountered during external moderation.

2.7   Conclusion

It is important to note that the DHET has copies of the external moderators' evaluation reports for all LAs. These reports contain the details of the evaluations and provide the assessment body with specific feedback. The external moderators also communicate their concerns with internal moderators as and when necessary.

The main concerns all related to the unit standard-based structure of the qualifications. Each qualification consists of a number of unit standards, each with its own assessment outcomes. The SAG attempt to integrate these outcomes and capture elements in the five tasks for each LA.

The external moderation process evaluated the five tasks per LA using a rating scale. The CATs approved also noted areas for improvement during the design and development phases. Overall, the approved CATs complied with the minimum standards as prescribed in the SAGs.

CHAPTER 3 MODERATION OF SBA

3.1   Introduction and Purpose

Umalusi conducts external moderation of the implementation of site based assessment (SBA) to ensure that SBAs are implemented and quality assured at institutional, district and provincial levels. The marks awarded to CET students for SBA contribute 50% of the final mark for certification. This SBA mark is subjected to statistical moderation. The SBA mark potentially contributes substantially towards the final certification mark, since the minimum pass requirement for a Learning Area (LA) is 40%.

It should be understood that SBAs are formative in design and intended to be developmental in nature. It is therefore imperative for educators to understand the purpose and design of SBA. The objective is to guide and support the learning process in a structured approach that will assist students to master theories, concepts and applications without compromising the credibility of internal assessment.

The DHET provided all provincial education departments (PEDs) with copies of the approved continuous assessment tasks (CATs) to be implemented provincially by all public providers offering the DHET examination. The challenge at implementation level is that CET providers often lack a system to ensure the quality and credibility of internal assessment. Furthermore, provinces distribute set tasks differently, with some distributing tasks very late in the year.

The purpose of external moderation of SBA portfolios is, among others, to:

- Ensure that SBA complies with national policy guidelines and directives;
- Establish the scope, extent and reliability of SBA across all assessment bodies;
- Verify internal moderation of SBA as conducted by the assessment body;
- Identify problem areas in the implementation of SBA;
- Recommend solutions to the challenges identified;
- Report on the quality of SBA within the assessment body.

This chapter reports on the external moderation of the SBA portfolios of the educators and students for the November 2016 GETC: ABET Level 4 examinations. This section outlines the LAs moderated and the instruments used by the external moderators (Ems) to determine the quality of the evidence generated by the educators and students during the implementation and quality assurance of SBA at centre, cluster and provincial level.

This chapter summarises the findings of the analyses of EM reports on the moderation of SBA portfolios of students and educators.   The chapter is concluded by highlighting areas of good practice, areas of concern and the directives for compliance and improvement for future processes.

3.2 Scope and Approach

Umalusi sampled portfolios for decentralised moderation, carried out at provincial centres, from eight of nine Provincial Departments of Education (PEDs). Each province was expected to collect and submit 10 student portfolios and one educator portfolio per centre and LA as specified. These portfolios would be made available to EMs at the stipulated PED centres across the eight provinces. A total number of twelve LAs were selected as the sample for the moderation. The selection of the LAs was based on student enrolment.

Table 3A below contains a list of LAs and PEDs sampled for the June 2016 SBA portfolio moderation process.

Table 3A: List of Provinces and Samples Requested

No	Learning Area	Code	EC	FS	GP	KZN	MP	NC	NW	WC
1	Applied Agriculture and Agricultural Technology	AAAT4				20	20			
2	Ancillary Health Care	ANHC4				20	20			
3	Arts and Culture	ARTC4								20
4	Early Childhood Development	ECD4					20			
5	Economic and Management Sciences	EMSC4			20	20				
6	Human and Social Sciences	HSSC4				20				
7	LC: English	LCEN4		20						
8	Life Orientation	LIFO4						20		
9	Natural Sciences	NATS4				20	20		20	
10	Technology	TECH4	20			20				
11	Travel and Tourism	TRVT4			20					
12	Wholesale and Retail	WHRT4	20	20						
Total portfolios per PED			**40**	**40**	**40**	**120**	**80**	**20**	**20**	**20**

PEDs offering LAs in the sample were required to comply with the following requirements:

a) To submit 10 student portfolios and one educator portfolio per centre for each LA, as indicated in Table 3A.

b) The sample was to be based on enrolments for the November 2016 examinations. It was imperative that PEDs did not resend portfolios that had been moderated previously by Umalusi.

c) Student portfolios were required to span three levels of achievement, i.e. below average, average and above average categories.

d) A provincial mark sheet must be included, for verification purposes.

e) The submission must include a provincial moderator's report that indicates all areas of concern and of good practice, as well as interventions and recommendations.

f) Portfolios must comply with Umalusi's Quality Assurance of Assessment Policies, Directives and Requirements policy document (Chapter 3, 2006) and other applicable circulars.

g) PEDs must ensure that sample portfolios are at the identified office for external moderation on the scheduled dates.

3.3   Summary of Findings

This section examines the findings relating to sample submission and compliance per criterion.

3.3.1   Sample submission

It is important to note that the PEDs did not submit the samples as required: 10 student portfolios and one educator portfolio per LA identified. Reasons given for non-compliance included low enrolment numbers for the specific LAs in Eastern Cape (EC), Gauteng (GP), KwaZulu-Natal (KZN), North West (NW) and Western Cape (WC). Table 3B shows the number of portfolios received from provinces.

Table 3B: List of Provinces and Samples Submitted

Province	CET Centre	Learning Area	Student Portfolios	Educator Portfolios
EC	Bell	WHRT4	5	1
	Makanaskop Adult Centre	WHRT4	5	1
	QoQodala CET Centre	WHRT4	5	1
	Ntapane	WHRT4	5	1
	Madwaleni	TECH4	9	1
	Ncora Adult Centre	TECH4	8	1
FS	Rebone PALC	LCEN4	10	1

Province	CET Centre	Learning Area	Student Portfolios	Educator Portfolios
	Goedgemoed	LCEN4	10	1
	Tumahole CLC	WHRT4	10	1
	Matoporong	WHRT4	9	1
GP	Thlabalogo	EMSC4	10	1
	Taamane Adult Learning Centre	EMSC4	8	1
	Muphathutse	TRVT4	2	1
	Diepkloof Adult Centre	TRVT4	2	1
	Fourways CLC	TRVT4	1	1
GP	Vunanimfundo	TRVT4	1	1
	Leeukop Maximum	TRVT4	1	1
	Mamelodi CLC	TRVT4	1	1
	Tembisa CLC	TRVT4	1	1
	Holy Trinity	TRVT4	1	1
	Tswinyane CLC	TRVT4	1	1
	Sebokeng CLC	TRVT4	2	1
	Marakapula Santho CLC	TRVT4	2	1
KZN	Entuthukweni	AAAT4	10	1
	Phikisani	AAAT4	6	1
	Olwazini	AAAT4	4	1
	Bambumoya	ANHC4	3	1
	Zenthembe	ANHC4	4	1
	Amajuba	ANHC4	3	1
	Wotana	EMSC4	10	1
	Sakhishiswe	ANHC4	10	1
	Echimbini	HSSC4	10	1
	Sizanani PALC	HSSC4	10	1
	Zwelethu	TECH4	3	1
	Umzamo CLC	TECH4	5	1

Province	CET Centre	Learning Area	Student Portfolios	Educator Portfolios
	Isulabasha CLC	TECH4	2	1
	Sakhisizwe PALC	TECH4	2	1
MP	Vaalbank	AAAT4	10	1
	Ngwenyeni CLC	AAAT4	10	1
	Emseni	ANHC4	10	1
MP	Eamogetswe	ANHC4	10	1
	Eamogetswe	ECD4	10	1
	Jandrell CLC CET	ECD4	10	1
	Kwaguqa Learning Centre	NATS4	10	1
	Vulamehlo	NATS4	10	1
NC	Loeriesfontein	LIFO4	3	1
	Retsweletse	LIFO4	3	1
	Nomathemba CET	LIFO4	3	1
	Mphathlolola	LIFO4	3	1
	Reaipela	LIFO4	2	1
	Itsotsoropeng	LIFO4	3	1
	Reakantswe	LIFO4	3	1
NW	Khubamelo Adult Education Centre	NATS4	10	1
	Bana Pele	NATS4	6	1
WC	Best Centre	ARTC4	17	1
	Malmesbury CLC	ARTC4	3	1
Total Portfolios Submitted			**347**	**61**

The Table reflects that Umalusi moderated a sample of 347 student portfolios and 61 Educator portfolios for 12 LAs, received from 39 centres located in eight provinces. Compared to 2015, there was an additional LA moderated and two additional provinces, and the sample of student portfolios increased by 138 portfolios.

CET CATs assessed by the DHET are externally moderated by Umalusi a year before they are assessed. This means CATs are usually ready for distribution to centres at the beginning of the year. However, these CATs are often not distributed timeously. For example, during the month of February, centres in almost all districts in Limpopo had not received their CATs to administer at their centres.

Below is a summary of some of the challenges experienced with the sampling of SBA portfolios:

- Umalusi moderation instruments make provision for its external moderators to verify 10 students' SBA portfolios. In most instances, CET centres struggle to meet the quality assurance requirements. This in turn presents challenges during external moderation, since Umalusi ends up moderating different numbers of students' SBA portfolios. Table 3B above highlights this challenge, which is revealed by the number of student portfolios moderated from different centres.

3.3.2   Compliance per criterion

Umalusi measures SBA portfolio compliance against the seven criteria mentioned below:

- Adherence to Policy;
- Internal Moderation;
- Content Coverage;
- Structure;
- Assessment Tasks;
- Student Performance; and
- Quality of Marking.

Compliance is measured on a four-point scale:

- No compliance;
- Limited compliance;
- Compliance in most respects; and
- Compliance in all respects.

Table 3C shows the compliance ratings of the sample based on the seven criteria used in the moderation of the SBA portfolios.

Table 3C: Quantitative Analysis of Portfolios Moderated

No.	Criterion	Compliance frequency (12 LAs)			
		None	Limited	Most	All
1	Adherence to Policy	1	5	46	4
2	Internal Moderation	1	4	24	27
3	Content Coverage	2	1	16	36
4	Structure	0	3	37	16
5	Assessment Tasks	1	5	30	20
6	Student Performance	2	6	13	34
7	Quality of Marking	1	7	19	29
Total		8	31	190	166
		10%		**90%**	

The Table shows that the sample moderated had 39 instances of non-compliance with the seven criteria; eight instances of 'none'; and 31 instances of 'limited' compliance. Compared to 2015 there has been a marked improvement, from 75% to 90%, in compliance.
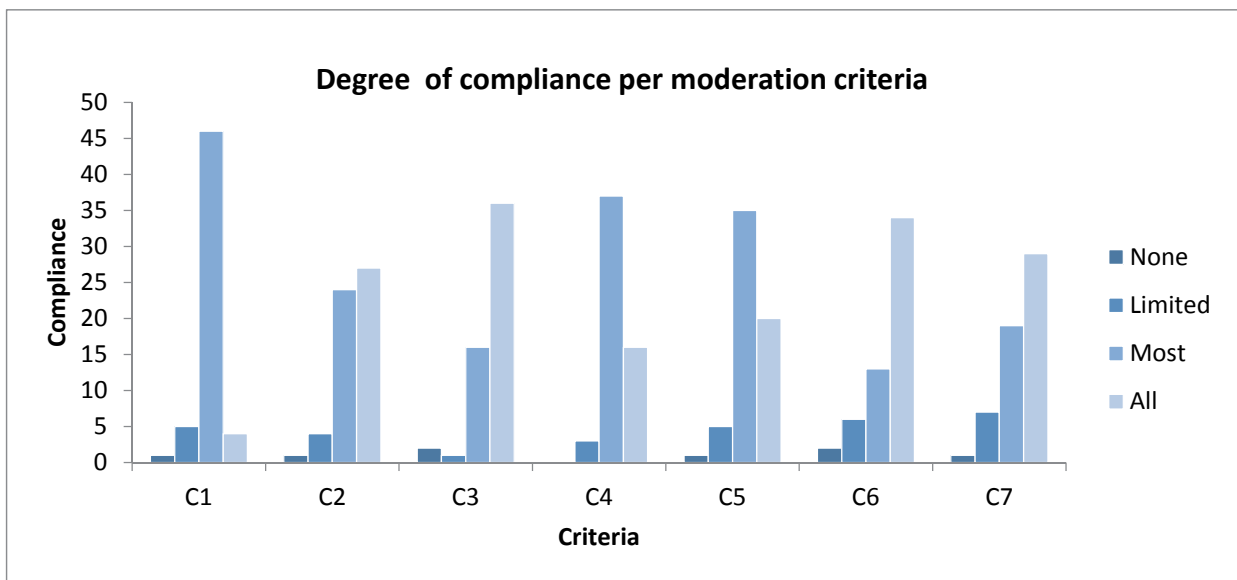
Figure 3A: Degree of Compliance with Moderation Criteria

The main concerns included failing to file the required documents in the Educator and student portfolios; students failing to interpret assessment tasks correctly; and poor quality of marking. The section below summarises the key findings.

3.3.1 Adherence to Policy/Technical Criteria

This criterion requires educator portfolios of evidence to contain various policy documents, and assessment and planning documents. It was encouraging to note that 89% of centres adhered to the requirements stipulated in the examination and assessment guidelines (EAG) documents. It is, however, a concern that Educators often did not include valid and appropriate assessment tools and assessment and daily, monthly and yearly teaching and assessment planning evidence. These are intended to structure the implementation of the SBAs.

Although there was a decrease in the number of incidents where educators did not provide students with assessment criteria prior to assessment and constructive feedback after assessment, such incidents were still noted in ANCH4, ECD4, HSSC4, LCEN4; LIFO4 and WHRT4. In some of these, portfolio feedback was provided but this was not constructive or supportive of improved performance.

There were also an unacceptably high number of incidents where Educator portfolios contained old versions of the EAGs for the LA. Other important documents that Educators did not submit for external moderation were daily, monthly and yearly teaching and assessment plans. This made it difficult to determine whether assessment had been conducted as planned.

3.3.2 Internal moderation

There has been a remarkable improvement in internal moderation, with reports reflecting 89% compliance for this criterion. More centres have included evidence of moderation at centre, district and provincial levels. In some cases, there was still minimal, limited evidence of feedback provided to the Educator by internal moderators at district and centre level. This related to areas where the Educator was required to improve, e.g. in ECD4, NATS4 and TRVT4.

3.3.3 Content coverage

This criterion measures the extent to which the five tasks were implemented as planned and whether Educators completed mark sheets for all students for each task. Only 7% of the sample was non-compliant with this criterion. In the case of WHRT4 at centres in the Eastern Cape, it was difficult to determine whether the five tasks were implemented as planned as no assessment plans or mark sheets were included in the Educator portfolio. Mark sheets were also not included in one Educator portfolio for LIFO4. It was alarming to note that only two completed tasks for LIFO were submitted for external moderation by one centre during October 2016. This was questionable, given that at that time of the year it would be too late to meet the important, formative purpose of SBA tasks.

3.3.4   Structure/Content

This criterion involves evaluating the student portfolio of evidence. Non-compliance issues related to lack of evidence and an absence of both identity documents and assessment plans in most portfolios. Only three cases of 'limited compliance' were identified. This accounted for 5% of the complete sample moderated and related to EMSC4, LCEN4 and WHRT4. Further, there was no record of scores for the work done in some of the student portfolios; and some portfolios did not contain declarations of authenticity. The absence of these documents can have serious consequences since the identity documents (ID)and declaration of authenticity aid the external moderator in verifying authenticity. The assessment plan and record of scores underpin the principles of fairness and validity.

Table 3D below indicates centres whose portfolios of evidence did not contain the required documents.

Table 3D: Non-submission of Prescribed Documents per Centre

Name of Centre	Province	Learning Area	ID	Assessment plan	Record of scores
Rebone PALC	FS	LCEN4	No	No	No
Goedgemoed	FS	LCEN4	No	No	No
Entuthukweni	KZN	AAAT4	No		No
Bambumoya	KZN	ANHC4	No	No	
Zenthembe	KZN	ANHC4	No	No	
Best Centre	WC	ARTS4	No		
Malmesbury CLC	WC	ARTS4	No		
Jandrell	MP	EMSC4		No	
Wotana		EMSC4	No	No	
Sakhisizwe PALC	KZN	HSSC4	No	No	
Echimbini	KZN	HSSC4	No		
Sizanani PALC	KZN	HSSC4	No		
Loeriesfontein	NC	LIFO4	No	No	
Retsweletse	NC	LIFO4	No	No	
Nomathemba CET	NC	LIFO4	No	No	
Mphathlolola	NC	LIFO4	No	No	
Reaipela	NC	LIFO4	No	No	

Name of Centre	Province	Learning Area	ID	Assessment plan	Record of scores
Itsotsoropeng	NC	LIFO4	No	No	
Reakantswe	NC	LIFO4	No		
Zwelethu	KZN	TECH4	No	No	
Umzamo CLC	KZN	TECH4	No	No	
Madwaleni	KZN	TECH4		No	No
Ncora Adult Centre	EC	TECH4		No	No
Isulabasha CLC	EC	TECH4	No	No	
Muphathutse	GP	TECH4	No	No	
Tumahole CLC	FS	WHRT4		No	
Matoporong	FS	WHRT4		No	
Bell	EC	WHRT4		No	No
Makanaskop Adult Centre	EC	WHRT4		No	
QoQodala CET Centre	EC	WHRT4	No	No	No
Ntapane	EC	WHRT4		No	No

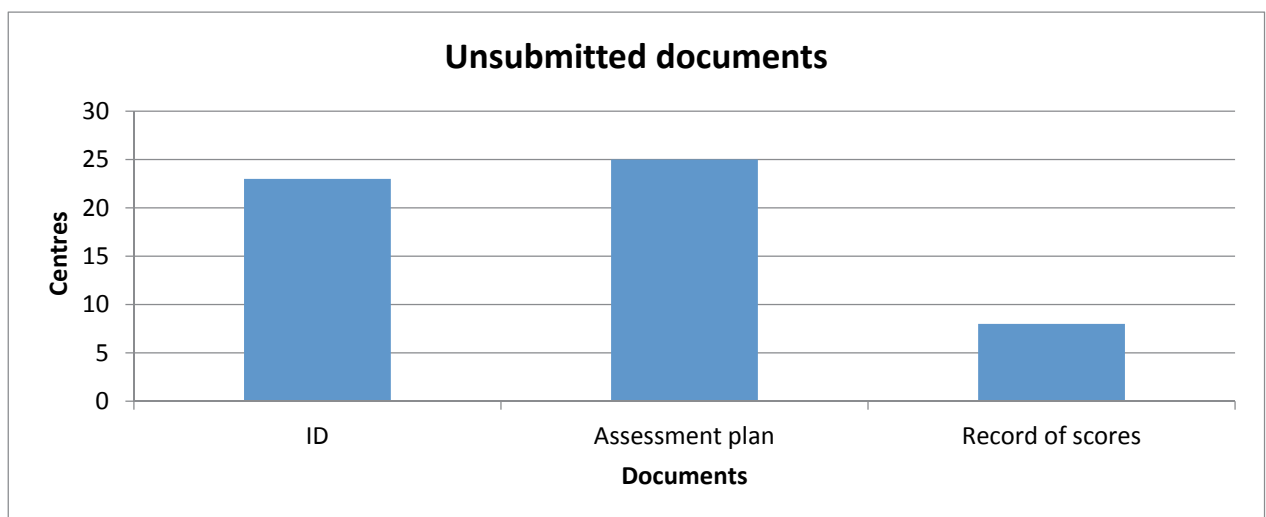The non-submission of documents by 31 centres is summarised in Figure 3B below.

Figure 3B: Degree of Compliance with Moderation Criteria

3.3.5 Assessment Tasks

This criterion evaluates the completeness, correctness and quality of the work that was presented by the students. To this end, it was observed that:

- Only two tasks were contained in a LIFO4 student's portfolio at one of the centres.
- There were instances where there were inconsistencies in marking. This happened where educators deviated from marking guidelines, e.g. in LCEN4 at two centres and WHRT4 at one centre. This resulted in inflated results that were not true reflections of performance. Candidates were either advantaged or disadvantaged. In one centre, an ECD4 portfolio's project and demonstration tasks were not assessed according to requirements (although the case study, assignment and test were).
- There was evidence that overall there was a better understanding of the requirements of the SBA tasks. In the 2015 moderation there was 34% non-compliance with this criterion, compared to 11% in 2016. Compliance has improved by 23%, from 66% compliance in 2015 to 89% in 2016.

3.3.6 Learner Performance

It must be noted that the sample represents only the LAs for the provinces sampled. This criterion evaluated the performance of students across a number of centres in the sampled provinces for the sampled LAs.

Table 3C indicates that there were two instances of 'none' compliance and six instances of 'limited' compliance. One moderated centre in Mpumalanga submitted ECD4 portfolios in which the Educator provided scores for student performance in a demonstration task, without having used the key indicators provided in the marking tool. In addition, there were cases where student responses were verbatim duplications of the marking guideline. Student performance in EMSC4 at centres in Gauteng did not meet performance requirements. One moderated centre in Northern Cape presented only two tasks for LIFO4.

3.3.7 Quality of Marking

The non-compliance rating for this criterion has improved from a concerning 25% non-compliance in 2015 to a non-compliance rating of 14%. There has been a definite improvement in the use of rubrics and adherence to marking guidelines.
There are still some concerns relating to the quality of marking in ECD4, where Educators marked students' work that was copied verbatim from the memo – and praised the results. In EMSC4 there were instances where Educators awarded marks for incorrect answers.

3.4   Areas of Good Practice

The following areas of good practice were noted:

- The DHET is to be commended on the concerted effort to improve internal moderation of SBA portfolios. Guidance and support provided to centres during internal moderation has improved the quality of the assessment process as well as adherence to policy.
- The external moderators commended the different centres and LAs for the high compliance rating. Nine of the LAs at 36 of the centres obtained a compliance rating of 90%.

3.5   Areas of Concern

The following were identified as areas of concern:

- There remain educators in the following LAs who do not provide their students with the assessment criteria prior to assessment: ANHC4, ECD4, HSSC4, LCEN4, LIFO4 and WHRT4. Students in these learning fields also did not receive constructive feedback after assessment.

- It was concerning that educator portfolios did not contain the latest version of the SAGs and assessment and learning planning documents. This affected the validity of the assessment process as there was no supportive evidence that assessment was based on prescribed criteria and was structured and planned.

- Student portfolios from 31 centres did not contain required documents such as students' ID, assessment plan, record of results and declarations of authenticity. The lack of these documents could compromise the validity of assessments as authenticity cannot be verified and there is no evidence of feedback to the students.

- It was concerning that one centre offering LIFO4 had submitted only two assessed tasks at the time of external moderation. The SBA tasks serve as preparation for the final exam and also contribute to the final summative result.
- The discrepancy relating to an Educator in ECD4 allowing and accepting verbatim copies of the marking guideline was of great concern.

3.6   Directives for Compliance and Improvement

The following directives are provided to improve the implementation of SBAs:

- DHET should strengthen its training and focus on the following areas: content of student and educator portfolios; provision of constructive feedback; assessment planning; and time management.

- The internal moderators are required to give specific inputs and guidance, which could be implemented with ease by educators.

3.7   Conclusion

This chapter summarised the major findings of the analysis of the SBA portfolio moderation reports for the November 2016 GETC: ABET examinations. The external moderators reported satisfaction with the implementation of SBAs. The report also highlighted directives for compliance, which the DHET will need to address before the next moderation cycle to ensure that the majority of the SBA portfolios meet moderation criteria.

CHAPTER 4 MONITORING THE STATE OF READINESS

4.1   Introduction and Purpose

Umalusi is the Quality Council responsible for the General and Further Education and Training Qualifications Sub-framework. Umalusi has the responsibility to ensure that the conduct, administration and management of examinations are credible. As part of its mandate, every year Umalusi verifies the extent to which assessment bodies are ready to conduct the national examinations.

Umalusi visited the provincial education departments (PEDs) of the Eastern Cape (EC), Free State (FS), Gauteng (GP), KwaZulu-Natal (KZN), Limpopo (LP), Mpumalanga (MP), Northern Cape (NC), North West (NW) and Western Cape (WC), in September 2016.

The purpose of this report is to provide an update on the State of Readiness of the Department of Higher Education and Training (DHET) to administer the November 2016 General Education and Training-ABET Level 4 (GETC) examinations.

4.2   Scope and Approach

The external monitoring by Umalusi was intended to verify the appropriateness of examination processes and procedures that the DHET has put in place at provincial, district and examination centre levels to conduct these examinations.

Umalusi officials shadowed the DBE verification process of the State of Readiness in six provinces and conducted its own independent visits in three provinces. Data was collected through observations, interviews, verification of documents and systems, and discussions and presentations by PEDs. Umalusi officials collected data by using pre-determined audit tools. The findings, areas of good practice, areas of concern and directives for compliance and improvement are detailed hereunder.

4.3   Summary of Findings

Umalusi officials visited GP, FS, MP, WC, NC and NW PED Examination Units to verify the State of Readiness by shadowing the Department of Basic Education (DBE) visits. Umalusi conducted independent State of Readiness visits in LP, EC and KZN PEDs. The following details the findings of the visits.

4.3.1   Registration of Candidates

Registration of candidates and processing of applications for concessions had been completed in KZN at the time of the State of Readiness visit. Preliminary schedules of entries had been sent to centres for verifying and correcting information. All seven PEDs were busy with data capturing and hoped to be done by 30 September 2016.

In LP, preliminary schedules were not sent to centres: the PED cited time constraints – that there was no time for preliminary schedules to be checked by centres. This will have a negative impact on the certification process.

Table 4A provides the numbers of registered candidates and concessions finalised in all PEDs for the November 2016 GETC: ABET Level 4 examinations. This information was received by Umalusi in October 2016 after the registration and capturing of candidate data was completed by PEDs.

Table 4A: Number of Registered Candidates and Concessions

PED	Number Registered	Concessions
EC	42 015	0
FS	3 736	0
GP	71 702	0
KZN	24 424	27
LP	14 790	0
MP	45 725	0
NC	1 644	0
NW	7 790	0
WC	15 303	0

There is no PED that submitted information regarding immigrant candidates and applications for concessions that had been finalised; with the exception of KZN which provided information on the management of concessions.

4.3.2 Registration of Examination Centres

Table 4B provides the number of centres registered to write the GETC examinations in all PEDs. Note that some PEDs could not provide the number of examination centres.

Table 4B: Number of Registered Examinations Centres

PED	Number of Examination Centres
EC	375
FS	Not available
GP	67
KZN	816
LP	Not available

PED	Number of Examination Centres
MP	Not available
NC	109
NW	234
WC	95
Total	**Not available**

The GP (67 centres) and KZN (816 centres) PEDs were the only ones that provided Umalusi with information regarding CET examination centres. In the other seven PEDs, this information was to become available only once capturing of candidates' registration data had been completed. KZN provided evidence that they had conducted an audit of CET examination centres. However, LP and EC PEDs did not audit CET examination centres; and there was no evidence that other PEDs had audited CET examination centres.

While the GP PED reported that all examination centres had been physically verified by the district officials for State of Readiness, Umalusi verification noted that not all examination centres had been verified. However, a self-verification audit was conducted by all these centres. In all PEDs there was no evidence of CET examination centres with a history of irregularities: CET examination centres were not categorised in terms of risk profile. All PEDs treated CET examination centres as normal centres.

4.3.3 Conduct of Internal Assessment

The moderation of internal assessment in EC, GP, FS, KZN, MP, NC, NW and WC is organised and conducted by PEDs. They have management plans for moderation at different levels. These PEDs have dedicated provincial officials who organise moderation processes. Moderation of internal assessment in LP is conducted by the CET Curriculum Implementers (DHET). The PED is responsible only for capturing marks. The Examination Section relies on the moderation done by the Curriculum Section, without any verification. CET curriculum officials were not available during the State of Readiness visit. Umalusi could not verify any evidence.

There was evidence of training of district and provincial Moderators, and of moderation tools and moderation reports in most PEDs. There was no evidence in LP. There was evidence that seven PEDs conducted training for their respective CET centres on implementation of site based assessment (SBA). This evidence was not available in LP and WC PEDs.

4.3.4 Printing and Packaging of Examination Material

Printing and packaging of examination material for the GETC examinations is done in the same manner and timeframe as that of the National Senior Certificate (NSC) examinations. The GP, MP, KZN, NC, NW and FS PEDs have their own printing centre. Printing is done in-house by the permanent staff of PEDs. This is an advantage since it eliminates the risk of question paper leakage. Printing is done according to management plans that are in place in all PEDs. The EC, WC, and LP PEDs have contracts with external service providers for printing, packaging and distribution to storage and/or distribution points. Printing staff in PEDs and service providers are security vetted and/or sign confidentiality/secrecy forms that prohibit them from disclosing information regarding examinations. Security measures were in place in all PEDs, although there remains room for improvement. A fully automated system is used to ensure minimal human interaction with the question papers until these are sealed in pouches. All master copies of question papers are locked in a safe in a manager's office. The printing areas had in place appropriate surveillance systems and were isolated with electronic lock-controlled burglar gates.

Extra question papers are printed for each paper for any unforeseen circumstances, which might be a good practice. PEDs must, however, closely monitor the safekeeping and accountability of such extra question papers. A strict reconciliation audit of all material printed must be done at the end of the examination session.

4.3.5 Distribution of Examination Material

In all PEDs the examination material for CET is distributed together with that of the NSC examinations. PEDs offices have store rooms for examination material. Districts act as distribution points and each district has nodal points. Schools are used as storage and distribution points in EC. Distribution trucks are fitted with tracking devices in the EC PED. The distribution trucks are accompanied by SAPS or Metro Police officials; security personnel accompany the trucks to storage and distribution points. Constant communication between the truck and PED official is maintained until the load is received at the storage or distribution point.

The PED and district central storage areas, as distribution points, require a double locking system to ensure that more than one person has access to the storage room. In MP, LP and EC, not all nodal points had double-locking systems. The PEDs must verify the storage facilities at the various district and distribution points for security compliance. These must include strong rooms, surveillance cameras, alarms and response security. Most PEDs did not verify security at CET examination centres.

4.3.6 Conduct of Examinations

Auditing of CET examination centres is not done by PEDs. In some PEDs, centres are provided with audit forms for centres to audit themselves. PEDs rely on the information provided by the centres: there was no physical verification of the information provided by the centres. In LP, NC, FS and NW there was no evidence of auditing of CET examination centres and the number of CET examination centres was not available at the time of the State of Readiness visit. KZN sampled the number of centres for auditing. The process was ongoing until the end of October, according to the management plan. Districts were also auditing their centres.

All PEDs had plans in place for the appointment and training of chief invigilators and Invigilators. In all PEDs, training of Invigilators was to be done by the end of October 2016. Invigilators would be trained by the chief invigilators. PEDs had plans to implement monitoring of the writing phase of the examination. Examination Monitors, both district and provincial, had not been trained in all PEDs. There were management plans in place for this process.

Training programme and monitoring instruments to be used were ready. In all PEDs there was no categorisation of centres in terms of risk profile, which means that all CET examination centres will be monitored as normal, low risk centres. LP did not have contingency plan for monitoring examinations in districts like Vhembe, where violence has previously occurred.

4.3.7 Appointment and Training of Marking Personnel

Chief markers in NC, NW and FS are CET centre managers who teach the respective learning areas. Chief markers appoint markers from their respective CET centres. In KZN, EC, MP, GP and LP, chief markers are appointed for a period of two to three years. No interviews are conducted: appointments are based on marking experience. In MP, chief marker appointments are reviewed annually, based on performance the previous year. A panel selects and appoints markers in these PEDs. Unions are involved. No PEDs had finalised the appointment of Markers during the State of Readiness visits. The following information was received from PEDs after they had finalised the registration of candidates.

Table 4C below gives the details of the number of marking personnel involved in the GETC November 2016 marking process.

Table 4C: Number of Marking Personnel per PED

Marking Centres and Personnel	EC	FS	GP	KZN	LP	MP	NC	NW	WC
Marking centres	1	1	1	3	1	1	1	1	1
Markers	151	66	362	456	270	157	19	110	55
Senior markers	25	10	70	61	38	28	0	40	7

Marking Centres and Personnel	EC	FS	GP	KZN	LP	MP	NC	NW	WC
Deputy chief markers	1	0	14	4	0	3	0	0	0
Chief markers	19	14	24	20	20	24	9	17	17
Internal moderators	19	10	24	20	16	21	9	17	17
Centre managers	1	1	1	3	1	1	1	1	1
Deputy centre managers	2	2	2	2	2	2	2	2	2
Examination assistants	58	22	24	100	38	25	10	12	4

a) Appointment of Markers

No PEDs had finalised the appointment of markers during the State of Readiness visits to PEDs. However, in most, selection of markers had been done and the appointments were about to be finalised. In LP and EC, the plans were in place and the finalisation of registration data was awaited. It should be noted that late capturing of registration data hinders other processes, such as appointment of markers and printing processes.

b) Training of Marking Personnel

Training of chief markers and internal moderators was to be coordinated at national level. At all PEDs, a management plan was in place for the training of chief markers. Senior markers and markers would be trained at provincial level at the respective marking centres by the chief markers and internal moderators prior to commencement of marking.

4.3.8   Marking Centres and Centre Managers

At the time of the State of Readiness visit, only LP PED had secured the marking centre for the GETC examinations. All other PEDs were still to finalise marking venues, by 30 September 2016.

Table 4D below provides details of the marking period for the November 2016 GETC: ABET Level 4 marking process.

Table 4D: Marking Period for the November 2016 GETC: ABET Level 4 Examinations

PED	Commencement	Termination
EC	01 December 2016	11 December 2016
FS	01 December 2016	10 December 2016

PED	Commencement	Termination
GP	04 December 2016	13 December 2016
KZN	01 December 2016	10 December 2016
LP	01 December 2016	10 December 2016
MP	01 December 2016	12 December 2016
NC	01 December 2016	12 December 2016
NW	01 December 2016	13 December 2016
WC	21 November 2016	03 December 2016

Centre managers and deputy centre managers (Admin and Script control) had been selected but were awaiting appointment. In all PEDs, marking centre managers for the GETC examinations are appointed from among the examination officials in all PEDs. PEDs appoint staff from deputy chief education specialist (DCES) level upwards as centre managers. The appointment of centre managers had not yet been done in all PEDs. Training of centre managers was to take place, according to the respective PEDs' management plans, in November 2016.

4.3.9 Capturing, Release of Results and Certification

a) Capturing and Resulting

Capturing of marks in all PEDs is done in-house by data capturers who are permanently employed by PEDs. A double-capturing system has been adopted by all PEDs verified. This approach will ensure that captured data is verified and correct. Data capturers are required to sign a declaration of confidentiality/secrecy. Most PEDs have data capturers who are permanent employees. The capturing process will follow the management plan of each PED. Information regarding capturing, resulting and certification was not verified in GP and WC PEDs. Incorrect capturing of candidate registration information will have a negative impact on certification.

b) Certification

Certification of candidates will be done as per regulations by Umalusi once the process of the examination has been completed.

4.3.10 Management of Irregularities

DHET could not elaborate on how they manage Irregularities for the GETC: ABET Level 4 examinations. PEDs have systems in place for the management of

irregularities. All nine PED indicated that irregularities committee manages irregularities for bot National Senior Certificate and GETC: ABET Level 4 examinations.

4.4   Areas of Good Practice

The following areas of good practice were noted:

- The registration process of candidates was completed effectively in KZN during the State of Readiness visit.
- KZN was auditing CET centres to check the state of readiness for the conduct of GETC: ABET Level 4 examinations.
- GP centres with previous irregularities have been 'taken over' by the Gauteng Department of Education (GDE) as designated centres and are to be monitored by Resident Monitors.
- Printing, packaging and distribution of examination material was to be done together with that of NSC material by PEDs.
- There were plans available for the training of chief invigilators, Invigilators and monitors by PEDs.
- The criteria for the appointment of markers were set and available for verification.
- Identified marking centres had been audited by LP PED.
- There was regulatory compliance by districts on most aspects of the examinations.

4.5   Areas of Concern

The following aspects raised concern on the state of readiness of DHET:

- Only GP and KZN conducted audits of CET examination centres. The State of Readiness of CET examination centres to conduct November 2016 GETC: ABET Level 4 examinations is not known in seven PEDs.
- Registration of CETCET candidates for the GETC: ABET Level 4 examinations was done very late in LP, FS, NC and NW. This was not finalised during the State of Readiness visits
- LP will not be sending a preliminary schedule of entries to CET examination centres. This will have negative impact on certification of candidates.
- Security of examination material at CET examination centres was not verified by most PEDs.
- There was a lack of clear policy on the registration process of candidates without proper identification.
- Security features of storage facilities at CET examination were not checked by PEDs.
- CET examination centres were not categorised in terms of risk profile.
- Appointment of markers had not been done in all PEDs at the time of the State of Readiness visit.

4.6   Directives for Compliance and Improvement

Department of Higher Education and Training must act on the following directives for compliance:

- PEDs should audit all CET examination centres to verify the State of Readiness to conduct GETC examinations.
- Registration of candidates for GETC examinations must be done early enough to allow enough for the checking and correction of preliminary schedules of entries.
- PEDs should check whether storage areas in the CET examination centres comply with minimum standards.
- All PEDs must categorise CET examination centers' risk profiles and devise contingency plans for monitoring high risk centres
- The PEDs must ensure the State of Readiness in all CET examination centres verified.
- DHET should be visible and have regular bilateral meetings with PEDs.

4.7   Conclusion

The audit of the State of Readiness of DHET examination centres has confirmed that PEDs are compliant with most State of Readiness requirements to administer the 2016 CET examinations. The PEDs should consider the areas for improvement, as noted in this report, and report to Umalusi on full compliance to administer the November 2016 General Education and Training-ABET Level 4 (GETC) examinations

CHAPTER 5 MONITORING OF THE WRITING

5.1   Introduction and Purpose

In terms of the General and Further Education and Training Quality Assurance (GENFETQA) Act (No. 58 of 2001, as amended in 2008), Umalusi has a mandatory obligation to ensure that the examinations for all the qualifications that it certifies, are conducted, administered and managed in a credible manner by assessment bodies.

To verify the credibility of the writing of examinations, Umalusi undertakes rigorous and extensive monitoring of the conduct of the GETC: ABET Level 4 examinations that are administered and managed by the DHET.

This chapter provides an overview of the findings gathered during monitoring of the conduct of the writing of examinations. It, further, reflects on areas of good practice and areas of concern, and provides directives for compliance and improvement.

5.2   Scope and Approach

Umalusi monitors visited 24 GETC centres in the country to monitor the conduct of the 2016 October/November examinations administered by the DHET. The sample consisted of 1 346 candidates, as indicated in Table 5A.

Table 5A: Examination Centres Monitored for the Writing of Examinations

No.	Province	Centre	Date	Subject	Candidates
1	Free State	Mahlasedi Public Adult Learning Centre	11 November 2016	Mathematics and Mathematical Sciences Level 4	26
2	Free State	Vulamehlo Adult Centre	03 November 2016	Life Orientation Level 4	13
3	Free State	Kgwaphoha Community Learning Centre	08 November 2016	English ABET Level 4	4
4	Free State	Letjhabile Community Centre	15 November 2016	Travel and Tourism Level 4	69
5	Limpopo	Leboneng Adult Basic Education & Training Centre	01 November 2016	Language, Literacy and Communication:	1

No.	Province	Centre	Date	Subject	Candidates
				English Level 4	
6	Gauteng	Mohlakeng Learning Centre	08 November 2016	Language, Literacy and Communication: English Level 4	102
7	Gauteng	Herbert Mdingi Public Adult Learning Centre	08 November 2016	English NQF Level 1	254
8	Gauteng	Bethsaida Community Learning Centre	11 November 2016	Mathematical Literacy Level 4	165
9	Gauteng	Aaron Moeti Public Adult Learning Centre	17 November 2016	Human and Social Sciences Level 4	260
10	Gauteng	Hammanskraal/ Temba Adult Learning Centre	11 November 2016	Mathematical Literacy Level 4	218
11	Mpumalanga	Barberton Prison	11 November 2016	Mathematical Literacy Level 4	25
12	Mpumalanga	Ndebele Vocational Adult Basic Education & Training	08 November 2016	Language Literacy and Communication: isiNdebele Level 4	25
13	Western Cape	Kalkfontein Community Learning Centre	11 November 2016	Mathematical Literacy Level 4	31
14	Western Cape	Hessequa Community Learning Centre	17 November 2016	Human and Social Sciences Level 4	6
15	Western Cape	Education for Africa	15 November 2016	Travel and Tourism Level 4	20
16	Northern Cape	Learn for Life Adult Centre	22 November 2016	Ancillary Health Care Level 4	6
17	Northern	Leliefontein	15 November	Travel and	8

No.	Province	Centre	Date	Subject	Candidates
	Cape	Primary School	2016	Tourism Level 4	
18	Northern Cape	Bergsig Adult Centre	23 November 2016	Early Childhood Development Level 4	6
19	North West	Mooinooi Adult Education & Training Centre	08 November 2016	Small, Medium and Micro Enterprises Level 4	4
20	North West	Iphatlhose Adult Education & Training Centre	17 November 2016	Human and Social Sciences Level 4	35
21	KwaZulu-Natal	Ekukhanyeni Adult Learning Centre	16 November 2016	Natural Sciences Level 4	3
22	KwaZulu-Natal	Tugela High School	08 November 2016	English CET Level 4	23
23	KwaZulu-Natal	Indumezulu Adult Learning Centre	15 November 2016	Travel and Tourism Level 4	1
24	KwaZulu-Natal	Esselen Heights Learning Centre	15 November 2016	Travel and Tourism Level 4	10

5.3   Summary of Findings

The findings below are presented in terms of the criteria for monitoring the writing phase of examinations, as prescribed by Umalusi. Table 5B below, indicates the level of compliance of the centres on the eight critical criteria indicators of the conduct, administration and management of the examinations.

Table 5B: Level of Compliance in Relation to Criteria

Criteria	Met all criteria	Met most criteria	Met few/none of the criteria
Delivery and storage of examination material	18	6	
The Invigilators and their training	10	14	
Preparations for writing and examination room/	5	12	7

Criteria	Met all criteria	Met most criteria	Met few/none of the criteria
venue(s)			
Time management	14	9	1
Checking of the immediate environment	13	5	6
Activities during writing	15	8	1
Packaging and transmission of answer sripts	24		
Monitoring by the assessment body	12	6	6

5.3.1 Delivery and storage of examination material

The examination material was collected from district or circuit offices by chief invigilators or their deputies, or delivered by district or circuit officials on the day the examination was written. At four centres examination material was delivered by courier a week before writing. During collection or delivery material was checked for correctness and signed for. At the examination centres Principals, chief invigilators or clerks designated for the task received material. All examination material was received in sealed plastic bags or, when delivered by courier, in locked plastic containers.

On arrival at examination centres, examination material was locked in strong rooms, safes, steel cabinets or cupboards by the officials who received it, and who kept the keys to the storage facilities. At three centres material was delivered directly to the examination venues, but at one it was stored in the boot of a car because the venue lacked sufficient storage facilities. Most examination centres had an acceptable level of security measures in place for the storage of examination material, such as security guards, strong rooms, safes, burglar bars, steel cabinets, alarms connected to armed response patrols, fire extinguishers and surveillance cameras. At three centres there were no security measures at all.

5.3.2 The Invigilators and their training

The appointment of chief invigilators varied between examination centres. The chief invigilators at eight centres did not have, or could not produce, their appointment letters. The chief invigilators were trained by district or circuit officials during the current academic year before examinations commenced. However, the chief invigilators at three centres could not produce evidence of training, and one had

last received training in 2013. No Invigilators invigilated subjects they taught. The Invigilators were officially appointed by chief invigilators; however, Invigilators at five centres did not have appointment letters. After appointment, Invigilators were trained by their chief invigilators, sometimes assisted by district or circuit officials. Training took place before commencement of the examination. The Invigilators at two centres were unable to produce evidence of their training.

5.3.3 Preparations for writing and the examination venues

In general, preparations for writing at the examination venues were satisfactorily done. Monitors observed that two centres did not display directions and signs to the examination venues. The environment inside and outside the examination rooms was conducive to writing the examinations, but two centres experienced noise close by, and one did not have electricity. All centres had sufficient and suitable chairs and tables for all candidates, and there was nothing inside the centres that could assist the candidates. All centres, with the exception of one, had seating plans according to which their candidates were seated. The seating plans were displayed at the entrances to the examination rooms, and copies were filed in the centres' examination files.

Relevant information displayed on the boards in each examination room included: subject written, date, start-finish times and centre numbers. All centres had the necessary equipment for the examinations being written, although 10 were not equipped with clocks. Two centres did not have Relief Invigilators, and the Invigilators at 14 centres did not wear name tags. While centres had examination files, some files did not contain all required forms and/or information, such as relief time tables, attendance registers, invigilation time tables, Invigilators' appointment letters, examination manuals, and absentee-, dispatch-, and irregularity- forms.

Identity documents were verified while candidates were being admitted or while they were writing, except at four centres where IDs were not verified. At three centres, not all candidates produced identification documents. Compliance in terms of distribution and opening of examination question papers was observed in all centres. There were no special concessions or unregistered candidates. Generally, calculators were not checked when candidates were writing subjects which required the use of calculators. Centres generally did not allow candidates to enter the examination rooms with cell phones. Candidates who did have them were ordered to switch them off and to put them on a table at the front of the writing room. The invigilator to candidate ratio of 1:30 was complied with at all centres.

5.3.4 Time management

Invigilators and candidates at 23 centres arrived in good time and as a result, those candidates were admitted into the writing rooms 30 minutes before the examinations started. Answer books and question papers were distributed 15 minutes before the examination began. Examination rules were read out, the technical accuracy of the

question papers was checked with candidates, and candidates were given ten minutes' reading time. Candidates at two centres, where things were running late, were admitted into the examination rooms from 15 minutes before the examination started. The other functions to be performed were either squeezed into the remaining time or were not performed: at one centre examination rules were not read out to candidates; at four the technical accuracy of the question papers was not checked with candidates; and at six centres, candidates were given less than ten minutes' reading time. At four centres candidates arrived from 15 to 45 minutes after the start of the examination, citing transport as reasons for arriving late. Despite these incidents, the examinations were able to start and end on time at all centres.

5.3.5 Checking the immediate environment

At eight examination centres the immediate environment, including the toilets, was not checked for any examination material that might have unfairly advantaged candidates during the examination.

5.3.6 Activities during writing

The invigilators ensured that candidates completed the cover pages of their answer books before writing started, during writing or when candidates had finished writing. Although Invigilators were vigilant and attentive and walked around quietly throughout, at one centre an Invigilator was found reading a paper and was dissuaded from the practice by a Monitor. At no stage were Invigilators requested by candidates to clarify any aspects or questions in the question papers. A number of candidates visited the toilets during writing and all were accompanied by Invigilators of their own gender. The examination question papers had no errata. Candidates who finished writing raised their hands and Invigilators collected their scripts from their desks, after ensuring that candidates had completed the cover page of their answer books correctly and had signed the attendance register.

5.3.7 Packaging and transmission of answer scripts

The chief invigilators and Invigilators used examination rooms to count and pack the candidates' answer scripts. The mark sheets were used during packaging: scripts were counted and packed using the sequence on the mark sheet and in correlation with the candidates marked 'present' on the mark sheet. Generally, scripts were placed in sealable plastic bags or plastic envelopes, but at two centres they were only bound by string. Twelve examination centres did not complete situational reports after the examinations. In some cases, this was because they did not know that they had to do so, while others thought it was necessary only when there were incidents to be reported. Script delivery was done immediately after packaging. Scripts transported by courier were locked in strong rooms, steel cabinets and transported the following working day. On delivery, scripts were checked for correctness by the officials receiving them.

5.3.8   Monitoring by the assessment body

There were indications of monitoring by the assessment body even though it was long before the commencement of the writing of the November 2016 examinations. Written reports were left by Monitors at only five centres.

5.3.9   Irregularities

i) Irregularities identified by Umalusi Monitors

Umalusi Monitors found that at two examination centres the names of candidates did not appear on the mark lists. Manually generated mark lists were used to address this problem.

ii) Irregularities reported by the Department of Higher Education and Training to Umalusi

None.

5.4   Areas of Good Practice

The following areas of good practice were noted by Umalusi monitors:

- In general the Umalusi Monitors observed good preparation of examination centres, and good management and administration of the examinations at many examination centres.

5.5   Areas of Concern

There was none adherence to the examination policies, the following areas of concern were noted by Umalusi Monitors:

- Lack of attendace register for monitors, seating plans and evidence of monitoring by the assessment body;
- No evidence of training; and appointment letters for invigilatrors;
- Invigilators' inability to execute their responsibilities as examination rules were not read out to candidates, examination question papers were not checked for technical accuracy, allocated more reading time to candidates, reading of news papers during invigilation, toilets not inspected prior to the writing of the examination and late arrival in the examination centre;
- Poor/lack of security for examination material reported in one centre where the chief Invigilator stored examination material in a car boot;
- Unavailability of clocks, name tags for invigilators, situational reports and unregistered candidates is worisome;
- Disturbing noise close to the examination centre;
- Candidates without IDs, and candidates' IDs and permits not checked; and

- Candidates allowed to leave the examination room during the last 15 minutes of writing.

5.6 Directives for Compliance and Improvement

In the light of the identified incidents of non-compliance by DHET with the rules on the conduct of writing of the November 2016 GETC: ABET examination, the following directives are issued:

- The DHET must strengthen its training of chief invigilators and invigilators to ensure that examination regulations are adhered to;

- The DHET must strengthen its monitoring of examination centres to ensure that examination regulations are enforced at all centres and that monitoring reports are compiled and submitted to Umalusi;

5.7 Conclusion

Evidence presented in this report suggests that a number of minor incidents of non-compliance were found in some centres. However, none of the incidents would have compromised the overall integrity, credibility or fairness of the examination.

CHAPTER 6 MONITORING OF MARKING

6.1   Introduction and Purpose

As part of its mandate, Umalusi conducted a series of monitoring the marking of the GETC: ABET Level 4 examinations conducted by the Department of Higher Education (DHET). This process was monitored to ascertain the credibility and management of the marking taking place at the DHET marking centres.

The fundamental purpose of monitoring marking was to establish whether the marking was conducted in compliance with the prescripts governing this process and to establish whether the overall integrity and credibility of marking was or was not compromised. The report also highlights areas of good practice and concern, and includes directives for compliance to be adhered to by the assessment body.

6.2   Scope and Approach

The DBE, on behalf of the DHET, undertook the marking of scripts from 1–15 December 2016 in all nine provinces. The assessment body adopted a decentralised marking approach. This report is based on a sample of eight marking centres where answer scripts were marked.

Umalusi Monitors used an approved instrument designed to collect data on marking by means of interviews and observation. The following aspects were observed to determine the levels of compliance:

- General management of the marking process with respect to provision of adequate and suitable facilities;
- All basic aspects required for the security of scripts, such as alarm systems, and whether these were linked to armed response; security guards; service-compliant fire extinguishers; and burglar-proof doors.

Table 6A below illustrate the number of marking centres visited by Umalusi.

Table 6A: Marking Centres Monitored by Umalusi

No.	Province	Centre	Date
1	KwaZulu-Natal	Harding High	2.12.2016
2	KwaZulu-Natal	Dundee High School	6.12.2016
3	Mpumalanga	Ligbron Academy of Technology	5.12.2016
4	North West	Hoërskool Zeerust	8.12.2016

No.	Province	Centre	Date
5	Gauteng	Roosevelt High School	9.12.2016
6	Limpopo	Northern Academy High School	9.12.2016
7	Eastern Cape	Stutterheim High School	6.12.2016
8	Free State	Moroka High School	7.12.2016

6.3   Summary of Findings

The findings below are presented in terms of the criteria prescribed by Umalusi for monitoring the conduct of marking. The monitoring was generally conducted in accordance with Umalusi directives and Regulation Gazette No. 31337 of 2008.

It has been reported that the marking of the November 2016 GETC: ABET Level 4 T examination scripts was conducted according to the marking policy and guidelines that the assessment body had developed. Table 6A illustrates the level of compliance of eight marking centres per criterion during monitoring.

Table 6B: Level of Compliance in Relation to Criteria

Criteria	Compliance in all criteria	Compliance in most criteria	Satisfactory compliance
Planning for marking	7	1	0
Marking centre	6	2	0
Security	6	1	1
Training of marking personnel	6	0	2
Marking procedure	7	1	0
Monitoring of marking	4	2	2
Handling of irregularities	5	2	1
Quality assurance procedures	5	3	0
Reports	4	2	2

6.3.1 Planning for Marking

It was reported that the DHET developed a standardised marking management plan for all nine provinces. The marking centres' management teams reported for duty four days before other marking personnel arrived. The chief markers, internal moderators and senior markers arrived a day before the markers and examination assistants (EAs). The markers and EAs were the last to arrive. The lists of all senior and junior marking personnel were available at all marking centres. The centres received marking guidelines on the same day they received scripts, and this occurred prior to the commencement of marking.

It was discovered that there was a great improvement in terms of the preparations for the planning towards the conduct of marking.

6.3.2 Marking Centre

The report highlighted that the general conditions at the marking centre were satisfactory.

Facilities used for marking were mostly high schools and a few primary schools. Marking centres used classrooms, laboratories, store rooms and halls for marking purposes. For script control rooms, halls, laboratories and classrooms were used. Centres ensured that the rooms used were able to accommodate all scripts.

The following conditions were discovered:

- Communication facilities were available at all the centres visited, for example, internet, cell phones, telephones and fax machines.
- Centres had adequate ablution facilities for both genders and these were kept clean. Markers were provided with accommodation and meals except at one centre where meals were not provided.
- Centres had adequate and suitable furniture, such as tables, chairs and cupboards for marking personnel to perform marking and other marking-related functions.
- Marking centres did not have uniform starting and finishing times but the hours spent in all the centres ranged from 10 to 14.

6.3.3 Security

From the information gathered by Umalusi's Monitors it was found that the norms and standards prescribed for marking centres were adequate; however, two Umalusi staff were not required to sign registers and their cars were not checked.

 The following security measures were in place:

- Apart from security guards, marking centres had security measures such as strong rooms, CCTV cameras, fire extinguishers, alarms and burglar-proof doors.

- Control or dispatch forms were signed to monitor the movement of scripts from the marking centres to head office.
- Deployed security guards escorted the movement of scripts in the marking centres.
- Scripts were transported by trucks or by courier and they were escorted by either the police or security guards from provincial Head Offices to the marking centres.
- Marking centres had an adequate number of security guards working for 24 hours each day.

Access to the marking centres was controlled, cars were searched, registers signed and identities checked, with the exception of Umalusi staff.

6.3.4 Training of Marking Personnel

It was indicated that sufficient evidence was provided by the centre managers that training of marking personnel had taken place and was carried out in accordance with the marking plan developed by the assessment body. The approach was as follows:

Centre managers were trained in the management and administration of the examination marking centres by senior provincial examination officials.

Centre Managers, in turn, trained Script Control Managers and EAs on how to perform duties.

Internal moderators and chief markers were trained by senior provincial examination officials.

Chief markers trained senior markers and markers during memorandum discussions by means of dummy scripts.

Chief markers also trained script control managers and EAs on how to perform the functions intended to facilitate the marking process.

Generally, markers were not subjected to any competency tests, but Monitors observed that markers at two centres were subjected to some form of competency test.

6.3.5 Marking Procedure

The marking approach adopted at all marking centres was to mark question-by-question, except where there were fewer scripts to mark. The following were observed:

Chief markers ensured that markers did not mark scripts from their own schools, except at one centre where it was allowed if two markers marked scripts of their own school, particularly when marking was done question-by-question.

Generally, where a candidate answered both optional questions, or answered the same question twice, only the first question was marked; but at one centre where this occurred both questions were marked and the candidate was given the marks of answers with higher scores.

Senior markers, chief markers and internal moderators moderated marked scripts to ensure that marks were allocated properly.

EAs checked and verified the totals on every script.

If the internal moderator found that a candidate had been advantaged or disadvantaged, the marker or chief marker was requested to re-mark the script(s), or the entire batch, depending of the severity of the problem.

6.3.6   Monitoring of Marking

DHET had put in place an effective system of monitoring the performance of markers. At all marking centres performance of all markers, but especially that of novice Markers, was under constant observation.

Chief markers, internal moderators and senior markers monitored the performance of markers by moderating their work. The monitors observed that measures used to deal with underperformance at marking centres differed from centre to centre. Assistance in the form of retraining and providing guidance was given to underperforming markers.

6.3.7   Handling of Irregularities

From the report it was noted that special training was undertaken that focused on the handling of irregularities. Markers' awareness of what constitutes an irregularity was highlighted during this training.

When an irregularity was detected by a Marker, it was reported to the chief marker who, if convinced that it constituted an irregularity, would complete an irregularity form and submit it to the Irregularity Committee, which was comprised of the centre managers and chief markers.

The responsibilities of the Irregularity Officer (or committee) were, *inter alia*, to record all identified irregularities and to submit the records to the Irregularity Committee at Head Office, where cases of irregularities were handled.

The following irregularities were found in various centres:

- Three marking centres identified 76, 40, and 28 irregularities each, mainly of a technical nature;
- Forty candidates at the same centre wrote similar answers to the same question;
- Candidates who wrote the examination but were reflected as absent on the mark sheets;
- Candidates who wrote their names on their answer books;
- Incorrect examination numbers and Invigilators' names written on the candidates' answer books.

6.3.8 Quality Assurance Procedures

The quality assurance procedures adopted by the DHET were informed and well managed. The procedure entailed the following:

- The moderation of marked scripts by senior markers, chief markers and internal moderators was the mechanism used to ensure that the entire script was marked.
- Total marks were checked and captured per sub-question, and sub-totals and totals were verified by senior markers, chief markers and internal moderators.
- All three personnel checked that the transfer of marks to cover pages and mark sheets of the answer books was correct.
- The EAs check the correctness of all additions on the scripts and the mark sheets, and the correctness of the marks transferred to the mark sheets.
- In all provinces the capture of marks took place at the Head Office.

6.3.9 Reports

It was observed that provincial departments worked differently with regard to compiling qualitative reports at the marking centres. Generally, only senior markers, chief markers and internal moderators completed qualitative reports during marking, using a template designed by the department of education. At the end of marking, the reports were handed over to each centre's chief marker to consolidate. The chief marker submitted the final consolidated report to the centre manager.

The centre manager submitted the reports to the provincial departments of education. Qualitative reports are used by subject advisors to do remedial work and to improve the delivery of teaching.

6.4   Areas of Good Practice

The following areas of good practice were noted by monitors:

- The marking centres' management and administration of marking were good;
- Markers were properly trained, and marking was performed strictly according to the marking guidelines;
- Good and suitable facilities were used for marking.

6.5   Areas of Concern

The following areas of concern were noted by monitors:

- Rules governing access control were not applied strictly. As a result, some visitors were not made to sign a register and their vehicles were not searched;
- Allowing the markers to mark scripts from their own centres if the marking approach was question-by-question.
- Markers were not subjected to competency tests, thus, their competency was unknown.

6.6   Directives for Compliance and Improvement

The DHET must consider the following directives to improve the marking processes of the GETC: ABET Level 4 examinations:

In light of the identified areas of concern, the following directives are issued:

- Rules governing access control to marking centres must be strictly enforced;
- Under no circumstances can markers be allowed to mark scripts from their own centres;
- The DHET must ensure that all markers are subjected to a compulsory competence test. The integrity of a Marker depends on his/her competency, and the integrity of marking, to a large extent, depends on the integrity of the marker.

6.7   Conclusion

Evidence presented in this report suggests that a few minor logistical incidents were found in some centres. However, none of these incidents compromised the overall integrity, credibility or fairness of the marking process of the November 2016 GETC: ABET examinations.

CHAPTER 7 MONITORING OF THE MARKING GUIDELINE DISCUSSIONS

7.1 Introduction and Purpose

The DHET submitted marking guidelines, together with the question papers, for each Learning Area (LA) to Umalusi for external moderation. Marking guideline discussion meetings provide a platform for examiners, chief markers (CM)s, internal moderators (IM), and Umalusi external moderators (EM), to discuss and approve final marking guidelines. This is the platform where all possible alternative responses are discussed, considered and incorporated into the final document.

The purpose of the discussions is to ensure that all role-players in the marking process have a common understanding and interpretation of the marking guideline. This is to ensure adherence to the same marking standard and that marking is consistently fair and reliable.

7.2 Scope and Approach

The DHET facilitated marking guideline discussions for the 26 LAs at Indlela Skills Centre, in Gauteng, from 10 to 28 November 2016. The marking guideline discussions were attended by officials representing each of the nine provincial education departments (PEDs). Each PED was represented by an internal moderator, the CM and, in some cases, markers. PED representatives had a clear understanding of the purpose of the meeting and their roles in the marking process. A total of 17 EM attended the marking guideline discussions for the sampled LAs.

Table 7A below shows the schedule of marking guideline discussions attended by EMs. They were required to report on the proceedings and decisions taken.

Table 7A: Schedule of Marking Guideline Discussions

Date	Learning Area
10 November 2016	Information Communication Technology (INCT4)
	Language and Communication - IsiXhosa (LCXH4)
	Language and Communication - Xitsonga (LCXI4)
	Language and Communication - siSwati (LCSW4)
14 November 2016	Language and Communication - IsiNdebele (LCND4)
	Arts and Culture (ARTC4)

Date	Learning Area
	Language and Communication - IsiZulu (LCZU4)
	Language and Communication - Sesotho (LCSO4)
	Language and Communication - Tshivenda (LCVE4)
18 November 2016	Language and Communication - English (LCEN4)
	Technology (TECH4)
	Language and Communication - Afrikaans (LCAF4)
24 November 2016	Travel and Tourism (TRVT4)
	Natural Sciences (NATS4)
28 November 2016	Applied Agriculture and Agricultural Technology (AAAT4)
	Early Childhood and Development (ECD4)
	Wholesale and Retail (WHRT4)

The external moderator for each LA attended the marking guideline discussions to standardise the marking guidelines and approve additional possible responses in the final marking guideline to be used by all markers in various LAs.

The external moderators evaluated the finalisation of the marking guideline using the revised 2016 moderation instrument. The revision groups all sub-criteria into six key areas:

- Attendance of IM, CM and markers; I,
- Verification of question papers;
- Preparations for marking guideline discussions;
- Marking guideline discussion process;
- Sample marking; and
- Approval of amendments to marking guideline.

7.3   Summary of Findings

According to the external moderators it was indicated that the internal moderators, examiners and markers had a clear understanding of the purpose of the marking guideline discussions and their roles during the process. Below is a summary of the findings for each criterion.

7.3.1 Attendance of Internal moderators, Examiners and Markers

Provinces were expected to send three representatives, namely the IM, EM and a marker. However, provinces that expected a high number of candidates for a particular LA sent additional markers to participate in the marking guideline discussions. Each PED was represented by IM, CM and, in some cases, a marker. PED representatives had a clear understanding of the purpose of the meeting and their roles in the marking process. A total of 17 EM attended the discussions for the sampled LAs.

7.3.2 Verification of Question Paper

Fifteen out of 17 external moderators of the sampled LAs confirmed that the question papers presented during the marking guideline discussions were those they had approved during the moderation process.

The EM for Early Childhood Development (ECD4) and Wholesale and Retail (WHRT4) indicated that the question papers they approved during moderation did not reflect questions similar to those they had approved originally. The WHRT4 External Moderator reported that there was no approval signature on the cover of the question paper and marking guideline presented at the discussions. It was suspected that the written question paper was a pre-2016 question paper, which contained questions that related to two unit standards that had since been removed from the LA. These are Unit Standard (US) 1007 and Unit Standard (US) 1008. The questions concerned were the following: Q1.1; 1.8; Q2.3; 2.4; 2.9; Q3.2; Q6.1; 6.2; 6.3; and Q8.4. These accounted for a total of 26 marks.

The Afrikaans version of the WHRT4 paper contained grammar and spelling mistakes. Question 7.8 was in English and had not been translated into Afrikaans.

7.3.3 Preparations for Marking Guideline Discussions

Representatives from PEDs were required to mark a maximum of 20 scripts each in preparation for the marking guideline discussions. Table 7B below indicates the number of scripts marked by chief markers and internal moderators from different PEDs in preparation for the marking guideline discussions.

Table 7B: Number of Scripts Pre-marked per PED

LA CODE	GP	EC	FS	KZN	LP	MP	NC	NW	WC
AAAT4	28	29	-	44	40	19	-	15	40
ARTC4	20	12	-	20	8	20	-	19	10
ECD4	40	30	20	40	-	20	-	27	40
INCT4	30	34		-	-	-	-	20	10

LA CODE	GP	EC	FS	KZN	LP	MP	NC	NW	WC
LCAF4	26	36	20	-	-	3	20	-	30
LCEN4	40	40	40	40	40	40	40	40	40
LCND4	-	-	-	-	-	20	-	-	-
LCSO4	14	12	20	-	-	-	-	-	-
LCSW4	-	-	-	-	-	90	-	-	-
LCVE4	-	-	-	-	30	-	-	-	-
LCXH4	20	20	-	20	-	-	-	-	20
LCXI4	-	-	-	-	30	20	-	-	-
LCZU4	80	-	-	40	-	40	-	-	-
NATS4	40	40	20	37	36	40	-	20	43
TECH4	40	5	-	20	20	40	-	20	12
TRVT4	40	40	40	40	40	40	40	40	40
WHRT4	-	40	10	11	-	20	-	20	30

7.3.4 Marking Guideline Discussions Process

The IM or examiner chaired the discussions. In the absence of an examiner or IM, any other experienced CM who has been nominated by attendees could chair the marking guideline discussions.

The various teams worked through the marking guideline systematically and, as a collective, discussed all possible answers. If there were changes to be made, these were included in the final marking guideline to be used in all provincial marking centres.

The chairperson consulted the EM where final decisions had to be taken regarding any adjustment to the marking guideline. The EM advised the panel where necessary and played the role of mediator.

7.3.5 Sample Marking

Following the marking guideline discussion, participants were asked to mark a sample of scripts for their respective LAs.

The EM advised participants on the quality assurance principles to which all had to adhere. This included an instruction to not make amendments when they returned to their provincial marking centres. During the sample marking, most officials adhered to the marking guidelines and took into consideration new suggestions and amendments. Scores from marked scripts and possible causes for variations in scoring were discussed.

7.3.6 Approval of Amendments to Marking Guidelines

The EMs attending the marking guideline discussions approved amendments for their respective LAs. The EM were furnished with attendance registers and minutes of the proceedings.

7.4 Areas of Good Practice

The following areas of good practice were noted by EMs:

- The planning, administration and management of the marking guideline discussion workshops were efficient. A DHET official presented an overview of marking principles at each session. These presentations provided a platform for the discussions.
- The panel discussions and the marking of dummy scripts ensured that all participants developed a common understanding of the marking process to be followed.

7.5 Areas of Concern

The following concerns were identified:

- Provinces indicated in the Table 7C below did were not represented in the marking guideline discussion meetings

Table 7C: PEDs Not Represented in Marking Guideline Discussion Meetings

PED	Learning Area
Free State	Arts and Culture
Gauteng	IsiNdebele, SiSwati, Tshivenda, Wholesale and Retail
Kwazulu-Natal	Afrikaans, Sesotho
Limpopo	INCT, Afrikaans, IsiNdebele, IsiXhosa, Sesotho, Siswati,

PED	Learning Area
Mpumalanga	Afrikaans
Northern Cape	AAAT, Arts and Culture, ECD, INCT, IsiXhosa, NATS, Tech

- Kwazulu-Natal and Limpopo did not pre-mark INCT and Isizulu scripts respectively.
- Insufficient time was allocated for this process. Some PED representatives had to rush to the airport as they were booked on early flights.

7.6   Directives for Compliance and Improvement

The DHET must consider the following directives for compliance and improvement:

- DHET must ensure that all representatives have access to a sample of 20 scripts for pre-marking. This will assist in preparation for the meetings.
- Marking guideline discussions should be allocated a full day. This would ensure that justice is done to the process and should improve the quality of marking across the PEDs.

7.7   Conclusion

The marking guideline discussions served their intended purpose: to improve the quality of the marking guideline and to ensure that all possible responses to examination questions had been considered. Amendments made to the marking guidelines enhanced the clarity of instructions to markers and did not compromise the examination or marking process.

Umalusi moderators approved all recommended adjustments to the marking guidelines as they believed that the exercise had improved the quality of marking.

CHAPTER 8 VERIFICATION OF MARKING

8.1   Introduction and Purpose

Verification of marking is a critical process in the quality assurance of an examination because the marking process involves a large number of people, each of whom may have a slightly different interpretation of the question paper and the marking guidelines.

Verification of marking validates the process of marking and determines whether marking has adhered to the marking guidelines approved by the external moderators after the marking guideline discussions. The verification process for the November 2016   GETC: ABET examinations evaluated adherence to marking standards. In addition, the external moderators scrutinised answer scripts for possible irregularities

8.2   Scope and Approach

Umalusi conducted on-site verification of marking from 7 November 2016 to 10 December 2016 at various marking centres in seven provinces. The external moderators verified, on average, 60 scripts per learning area. The verification of marking process was based on a requested sample of 1 240 answer scripts for 19 learning areas, as detailed in Table 10A.

Table 8A: Moderation of Marking Sample Requested

No.	LA Code	No Of Answer Scripts Sampled							
		EC	FS	GP	KZN	LP	MP	WC	Total
1	ANHC4					60		60	**120**
2	AAAT4						60		**60**
3	ARTC4					60			**60**
4	ECD4				60				**60**
5	INCT4				60				**60**
6	LCAF4							60	**60**
7	LCEN4		60						**60**
8	LCND4						60		**60**
9	LCSO4		60						**60**
10	LCTS4					60			**60**

No.	LA Code	No Of Answer Scripts Sampled							
		EC	FS	GP	KZN	LP	MP	WC	Total
11	LCSW4						60		**60**
12	LCVE4					60			**60**
13	LIFO4	60							**60**
14	MLMS4				60				**60**
15	NATS4			60				40	**100**
16	SMME4			60					**60**
17	TECH4				60				**60**
18	TRVT4		60						**60**
19	WHRT4	60							**60**
Total		**120**	**180**	**120**	**240**	**240**	**180**	**160**	**1240**

The external moderators verified the marking of learner scripts in the sample using the revised 2016 instrument for the verification of marking. The revision groups all the sub-criteria into five key areas:

- Adherence to Marking Guideline;
- Quality and Standard of Marking;
- Irregularities;
- Performance of Candidates;
- Findings and Suggestions.

8.3   Summary of Findings

The external moderators' reports reflected on the five key moderation criteria. This report summarises the key qualitative findings per moderation criterion.

8.3.1   Adherence to Marking Guideline
The marking guidelines for the 19 learning areas in the sample were approved by the external moderators after these were finalised during the guideline discussions. All markers adhered to the approved marking guidelines. No additional changes were made.

8.3.2   Quality and Standard of Marking
Generally, the quality of marking ranged from average to good. The internal moderators and chief markers facilitated question and answer sessions with the markers after the sample marking of scripts. However, the external moderator for ARTC4 expressed concern at the interpretation of two ticks by markers for a particular answer, which consisted of two parts. No marks had been allocated for

one correct part. Concern was expressed by the external moderator for SMME4 for marking completed at Roosevelt High School: markers had accepted alternative answers to some questions when the marking guidelines did not provide for alternative answers. In most of the learning areas, the internal moderators and chief markers marked between 10 and 20 scripts and then moderated approximately 10% of the total number of scripts.

8.3.3 Irregularities

The external moderators were vigilant for possible irregularities. They also asked the markers and chief markers to pay special attention to this aspect during the marking process. The external moderator for ECD4 (marked at Harding High School in KZN) noted irregularities at Centre 5323303 where two candidates had exactly the same answers to Questions 2 and 3.

The external moderator for ICT4 (marked at Harding High School in KZN) noted irregularities at Centres 5121442 and 5121408. All candidates at Centre 5121442 had full marks for Q1.2 and had the same documents and PowerPoint presentations for Q2, Q3 and Q4. All candidates at Centre 5121408 had identical wrong or identical correct answers for Q1.1, Q1.2, Q1.3 Q1.4.2, Q2, Q3 and Q4. Other centres with similar irregularities were 5123571, 5223138, 5121480, 5321539, 5121258, 5121429 and 5223831.

The external moderator for LIFO4 (marked at Stutterheim High School in the Eastern Cape) found irregularities at Centre 416121 for Q3, Q4 and Q7. No candidates answered Q5 and Q6. The external moderator of TECH4 (marked at Harding High school in KZN) found irregularities at Centres 5151471 and 5121408 where all candidates had the same correct and the same incorrect answers for Q1.1, Q1.2, Q1.3, Q1.4, Q1.5, Q1.6, Q1.7, Q1.8, Q1.9 and Q1.10.

8.3.4 *Performance of Candidates*

The verification of marking instrument was amended to report on the performance of candidates per learning area for the sample moderated. The results of these exercises, as summarised in the graphs and distribution tables below, provide only an indication of the levels of difficulty of the question papers as found in the sample scripts.

The performance graphs and distribution tables in this report are not intended to reflect on the provincial or national performance of candidates in any particular learning area.

The performance graphs and distribution tables in this report are not intended to reflect on the provincial or national performance of candidates in any particular learning area.

a) Applied Agriculture & Agricultural Technology
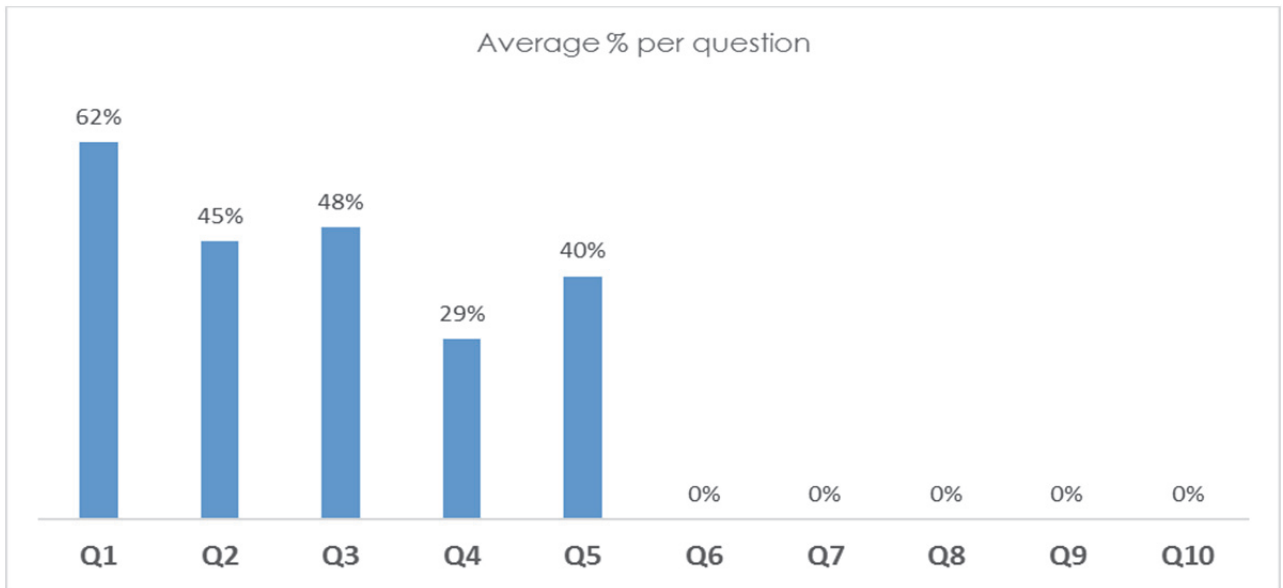
Figure 8A: Learner performance per question for 60 scripts

b) Ancillary Health Care
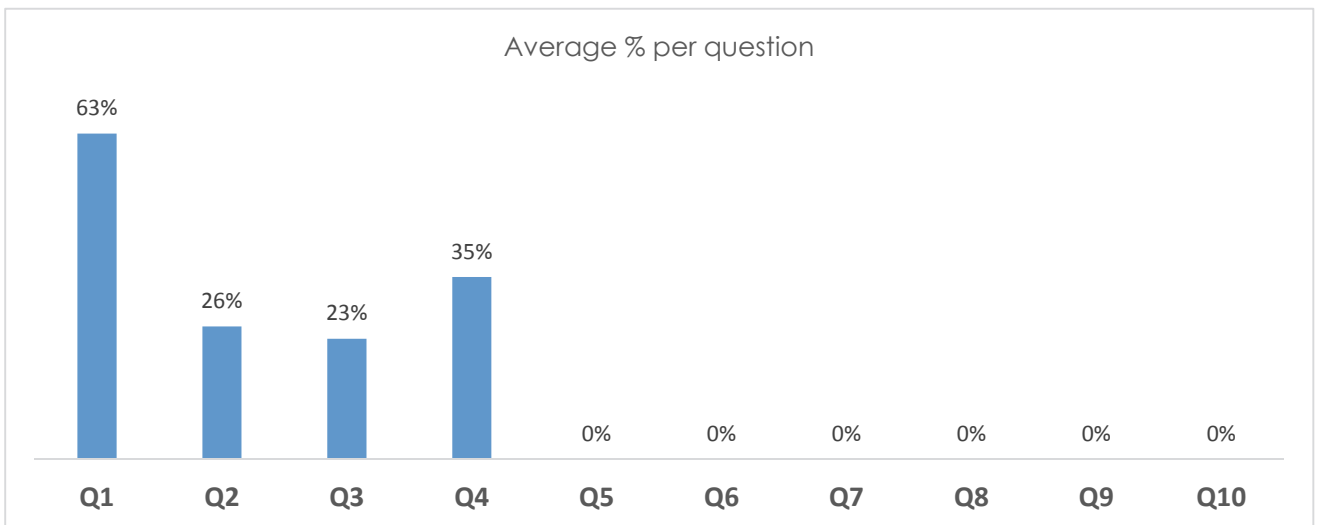
Figure 8B: Learner performance per question for 60 scripts
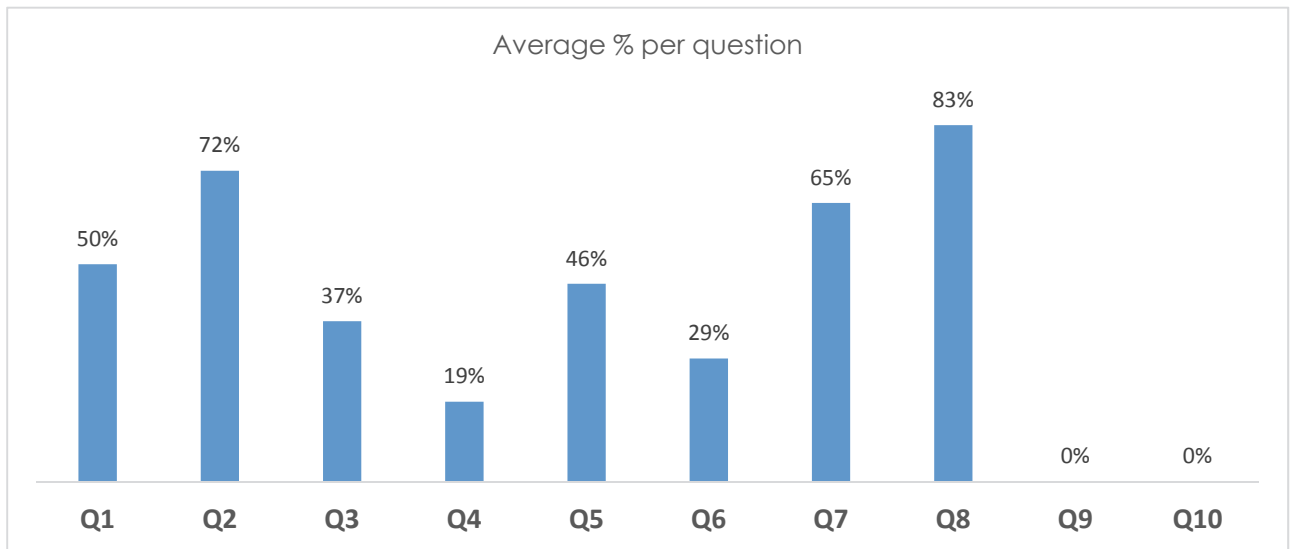
c) Arts and Culture

Figure 8C: Learner Performance per question for 60 scripts
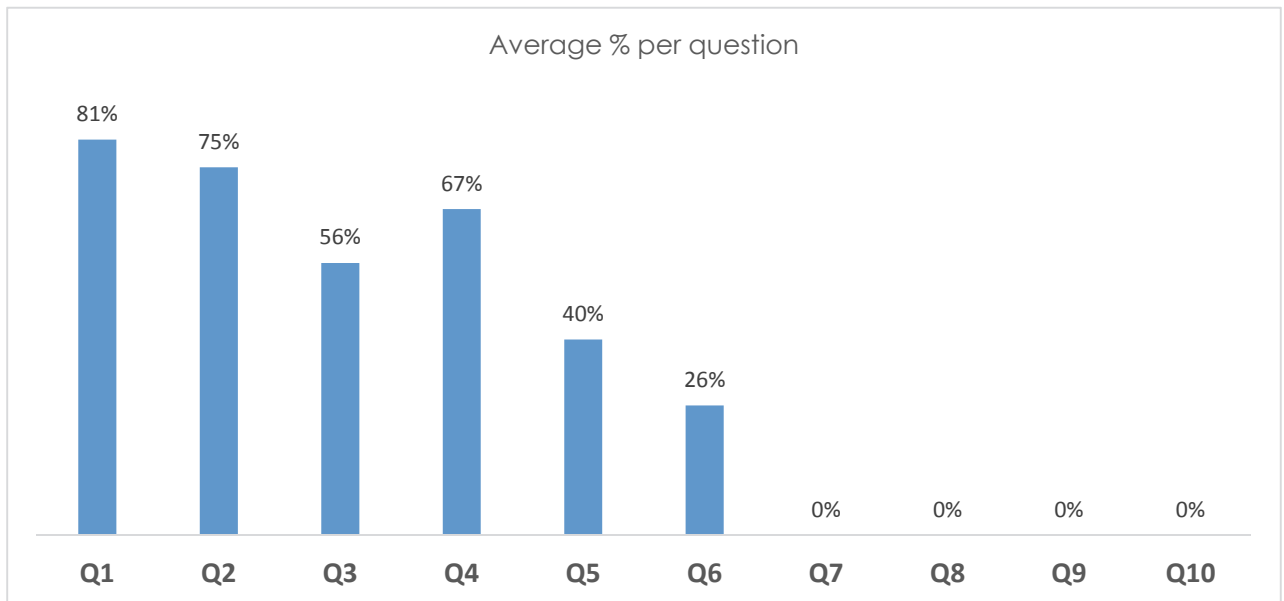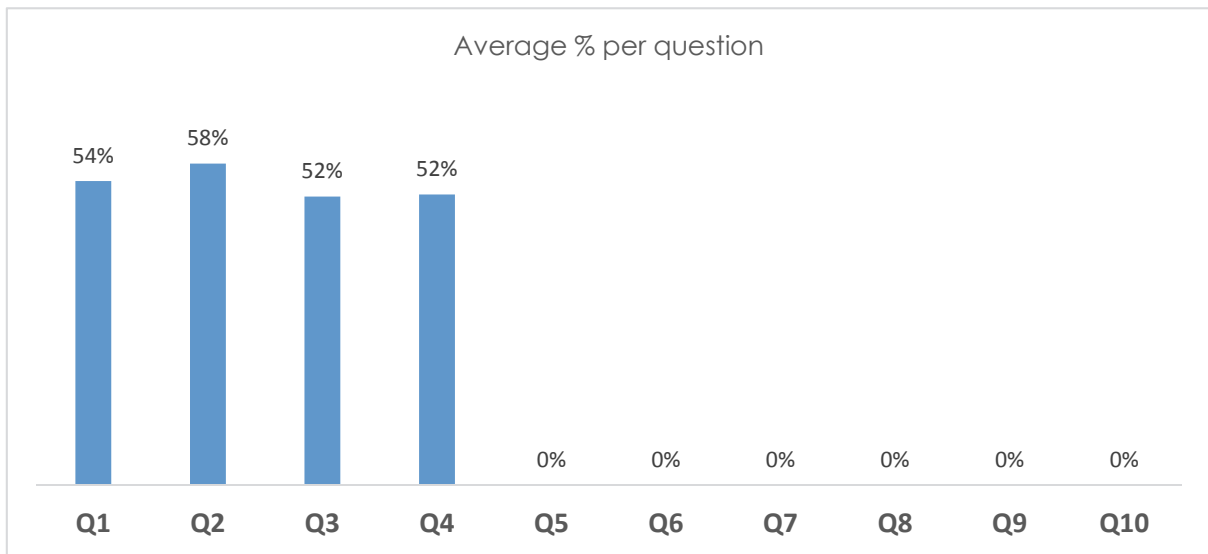
d) Early Childhood Development

Figure 8D: Learner performance per question for 60 scripts

e) Information and Communication Technology

Average % per question

Figure 8E: Learner performance per question for 60 scripts

f) Language, Literacy and Communication: Afrikaans

Average % per question
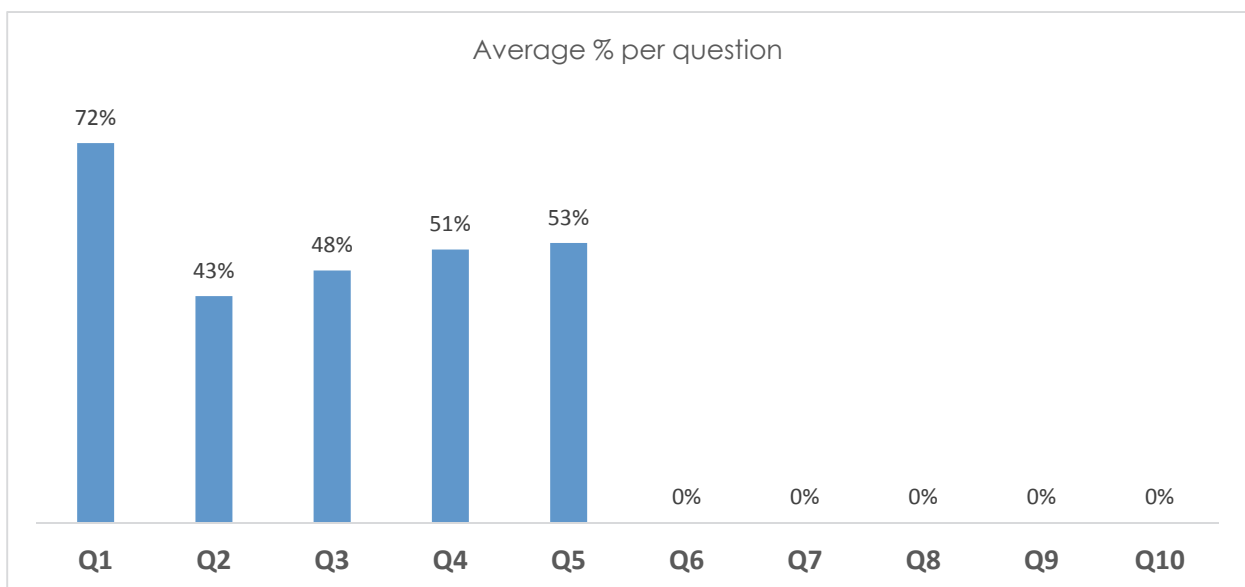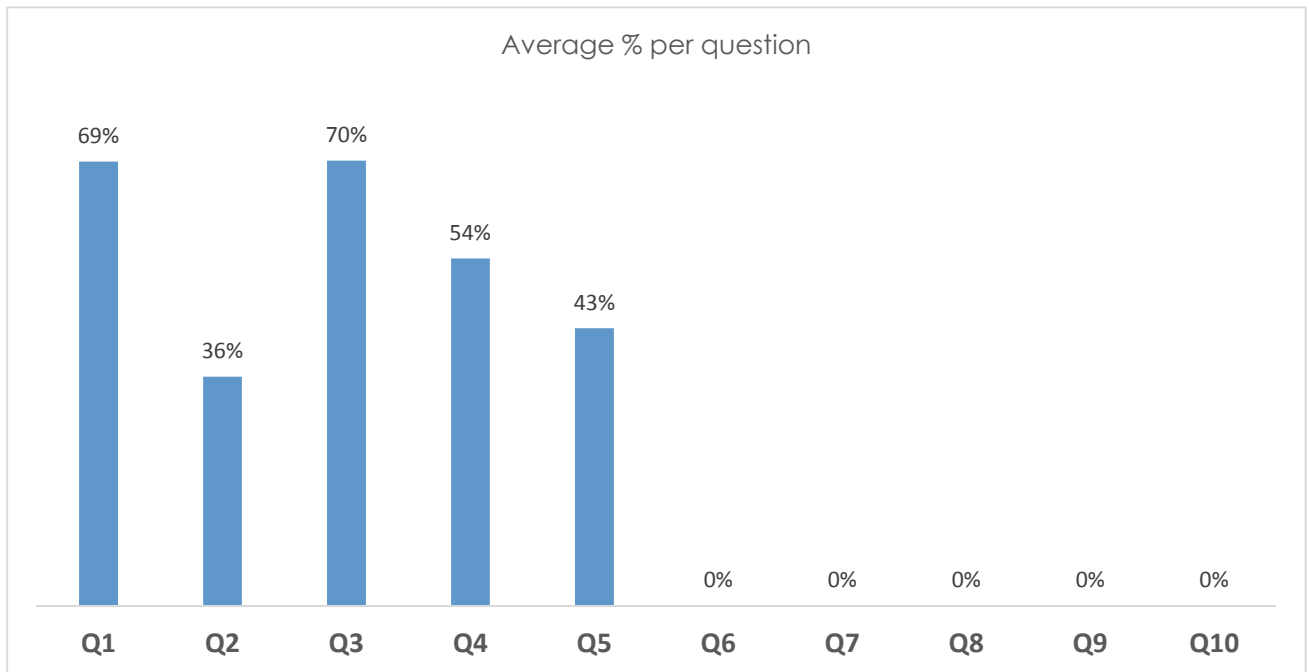
Figure 8F: Learner performance per question for 60 scripts

g) Language, Literacy and Communication: English
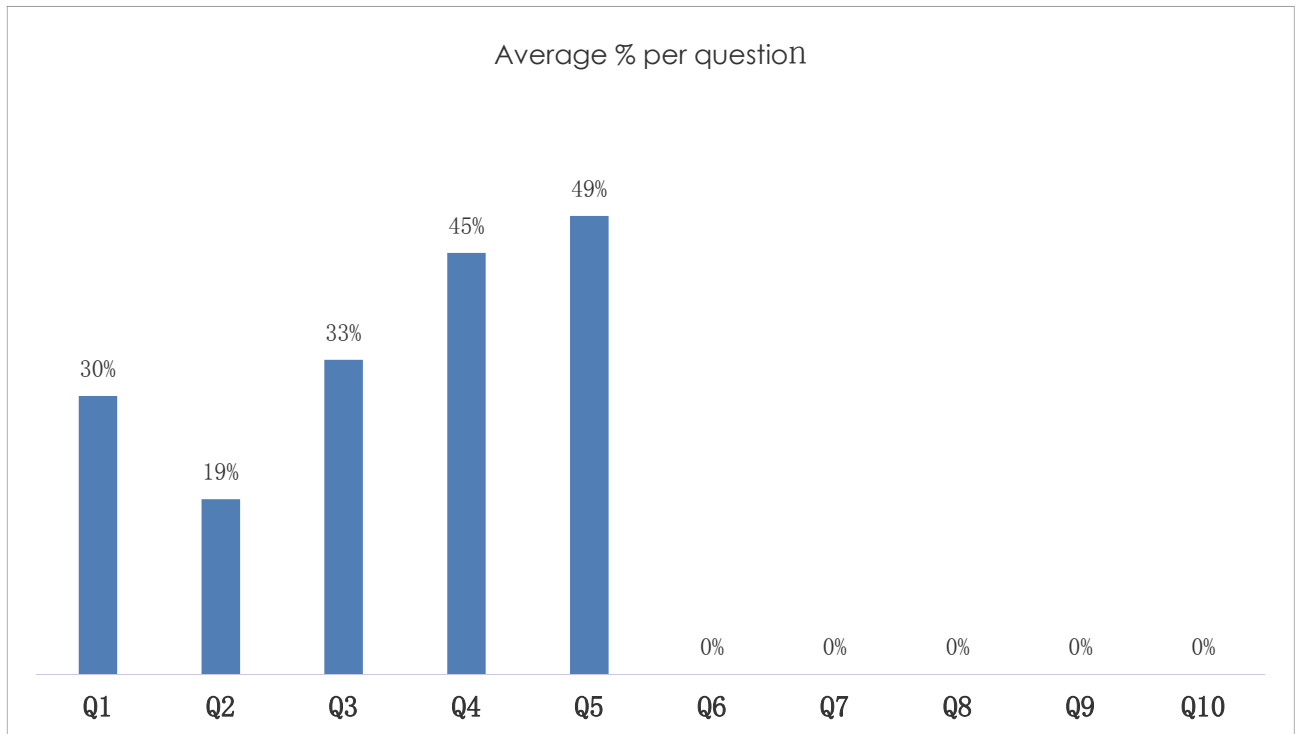
Figure 8G: Learner performance per question for 60 scripts

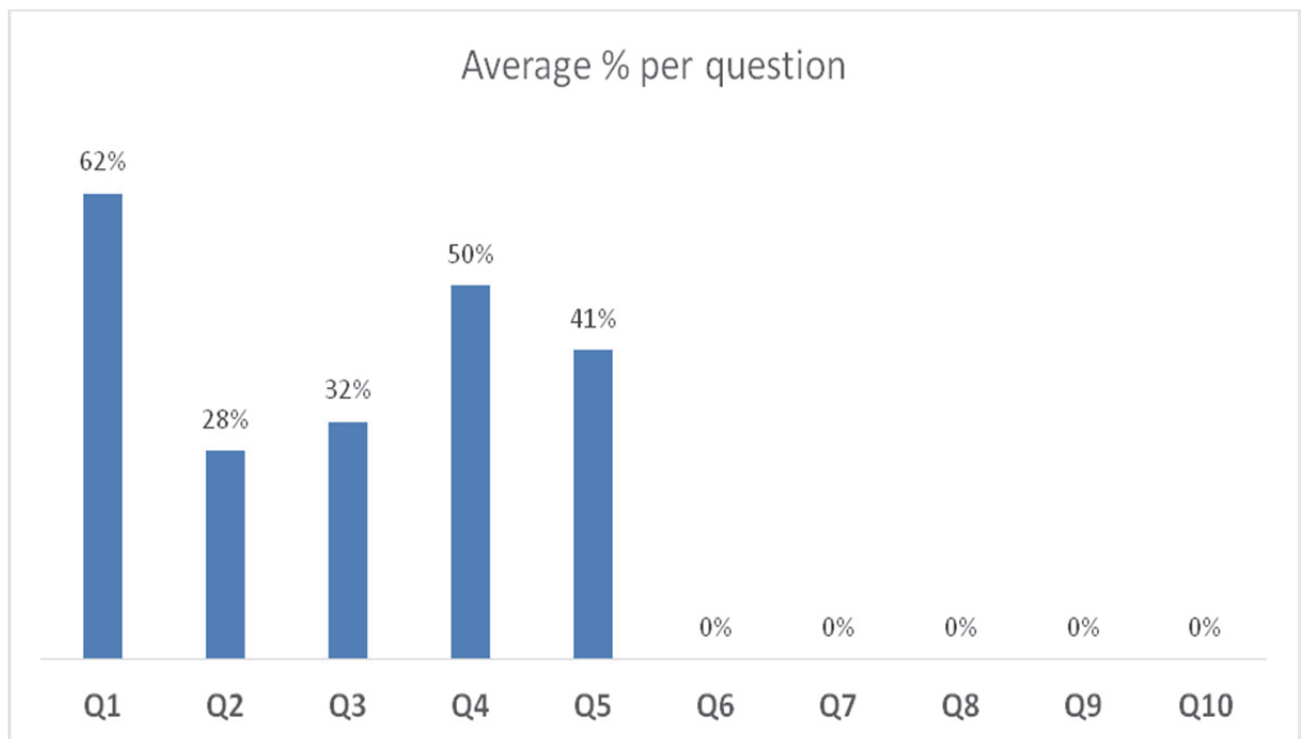**h) Language, Literacy and Communication: IsiNdebele**
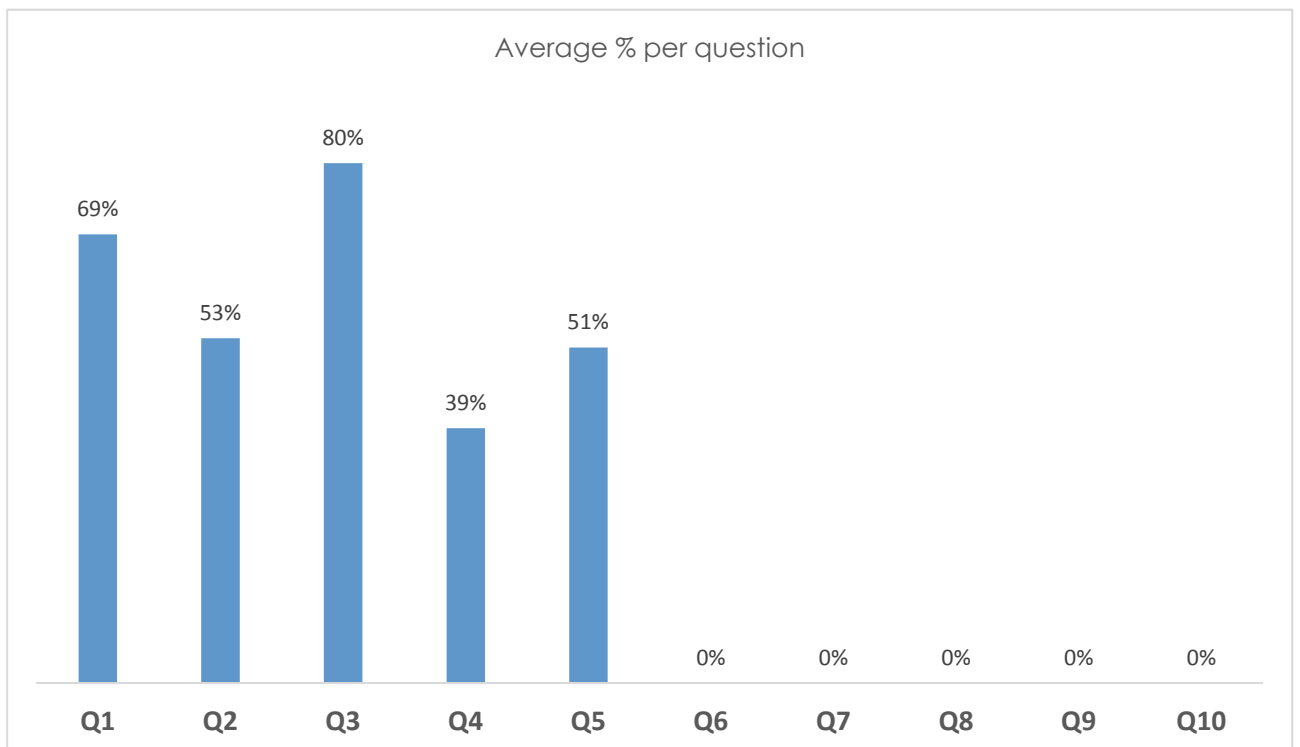
Figure 8H: Learner performance per question for 60 scripts

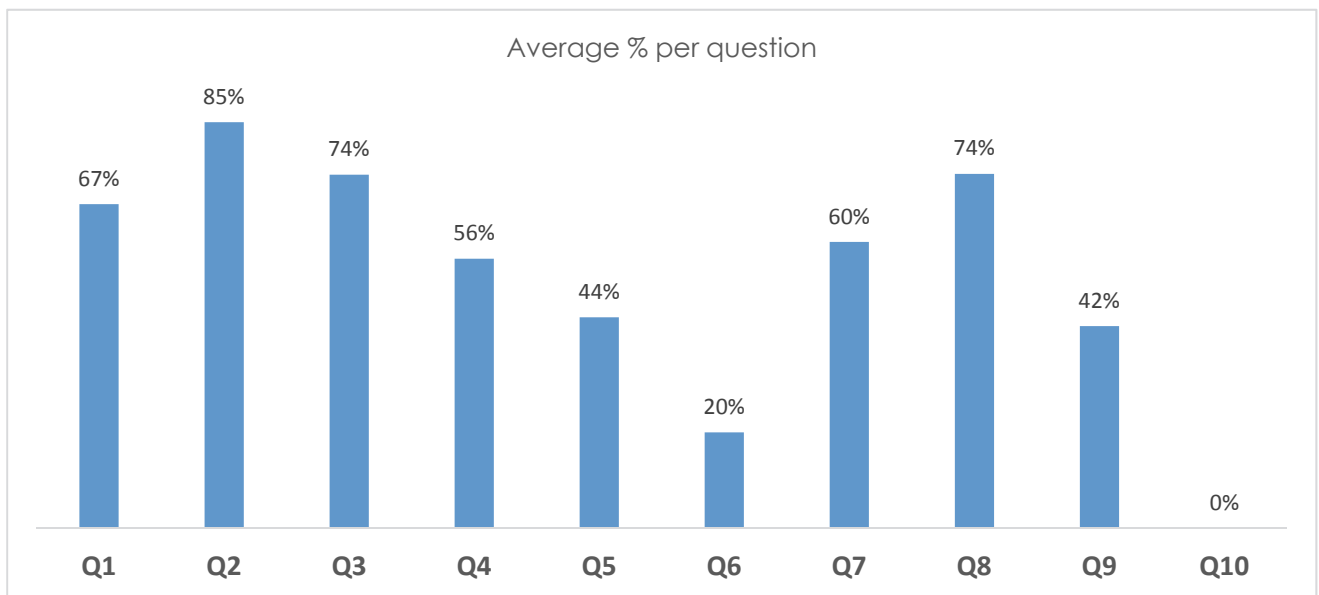### i) Language, Literacy and Communication: Sesotho

Average % per question

Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10
69%	36%	70%	54%	43%	0%	0%	0%	0%	0%

Figure 8I: Learner performance per question for 60 scripts

j) Language, Literacy and Communication: Setswana

Average % per question

Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10
62%	28%	32%	50%	41%	0%	0%	0%	0%	0%

Figure 8J: Learner performance per question for 60 scripts

k) Language, Literacy and Communication: Tshivenda

Average % per question

73%	57%	69%	48%	49%	0%	0%	0%	0%	0%
Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10
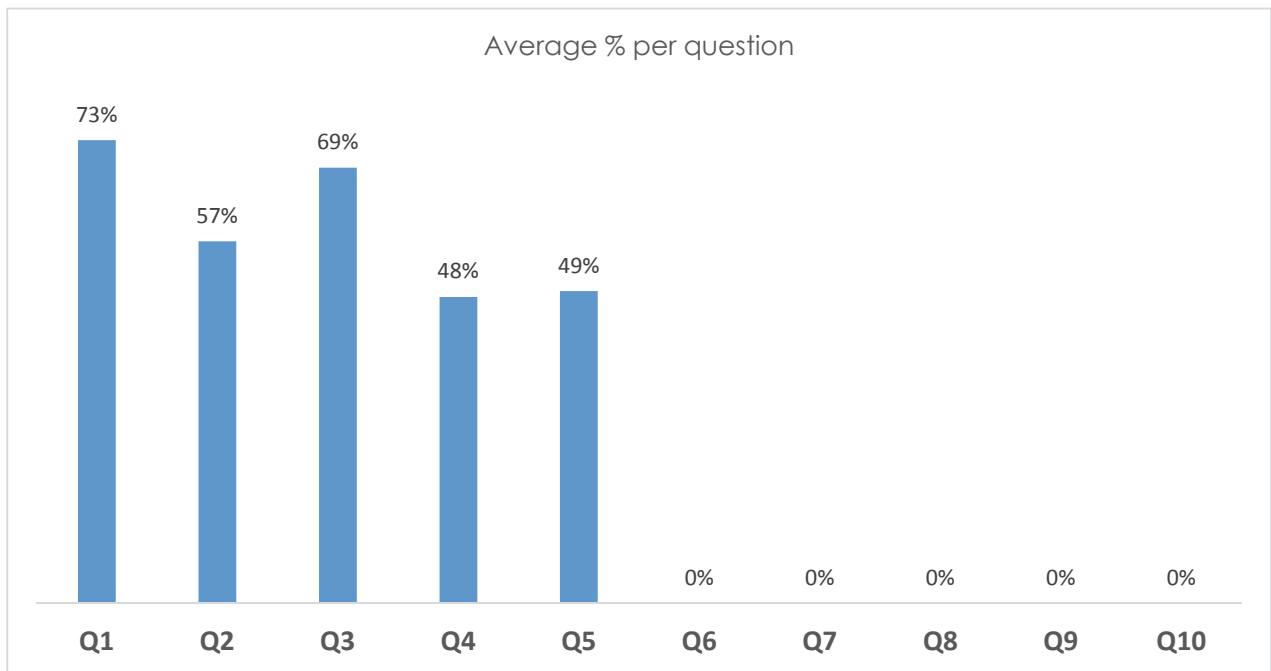
Figure 8K: Learner performance per question for 60 scripts

l) Life Orientation

Average % per question

67%	85%	74%	56%	44%	20%	60%	74%	42%	0%
Q1	Q2	Q3	Q4	Q5	Q6	Q7	Q8	Q9	Q10

Figure 8L: Learner performance per question for 60 scripts

m)   Mathematical Literacy

Average % per question
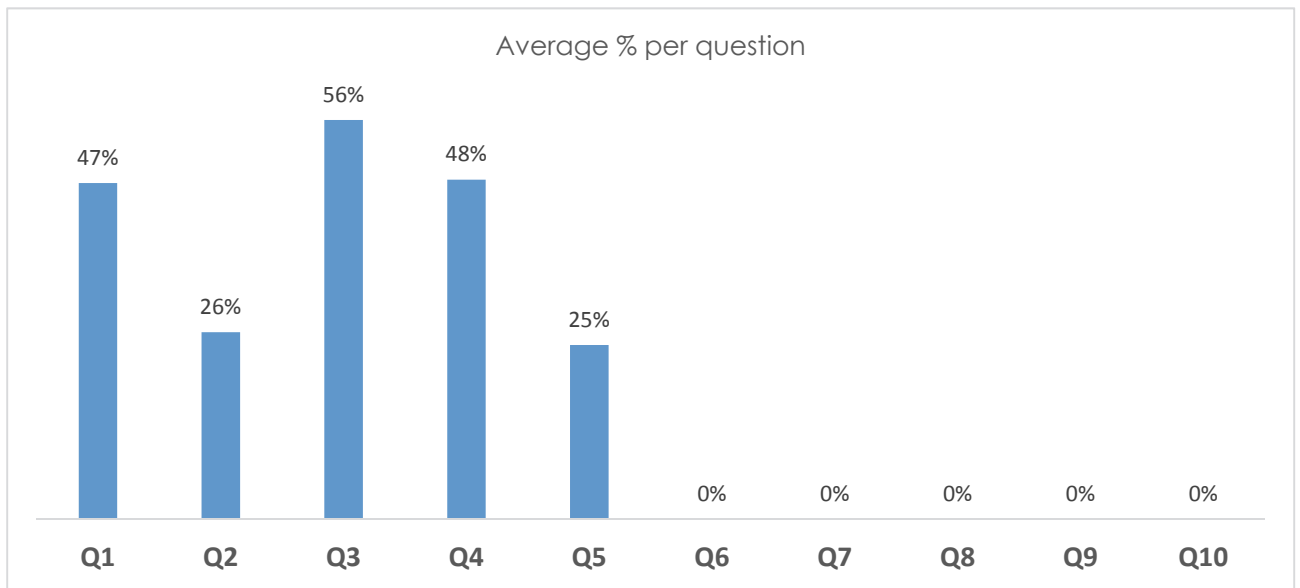
Figure 8M: Learner performance per question for 60 scripts

n) Natural Sciences

Average % per question
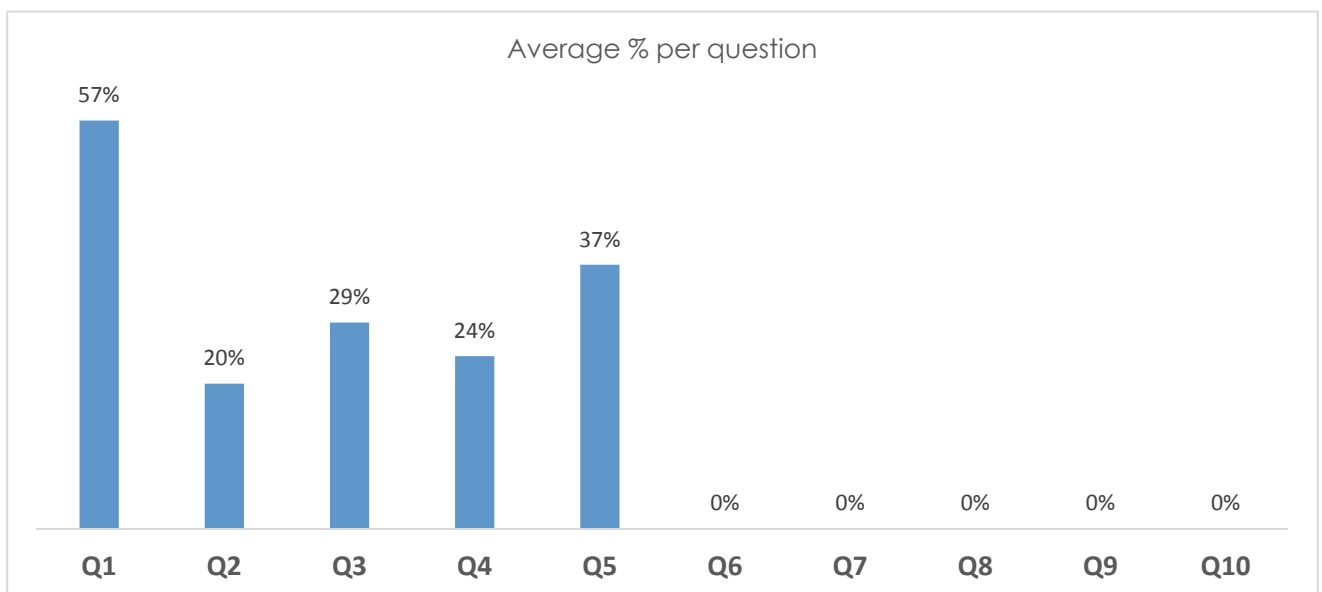
Figure 8N: Learner performance per question for 60 scripts

p) Small, Medium and Micro Enterprises

Average % per question
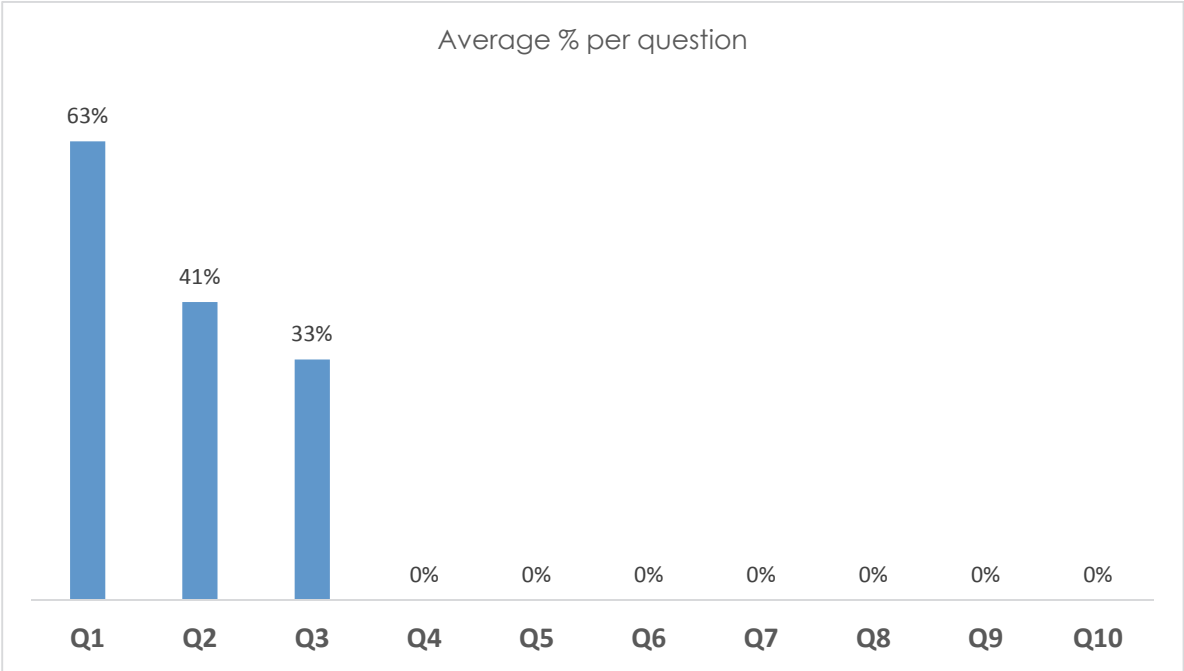
Figure 8P: Learner performance per question for 60 scripts

q) Technology

Average % per question

Figure 8Q: Learner performance per question for 60 scripts

r) Travel and Tourism

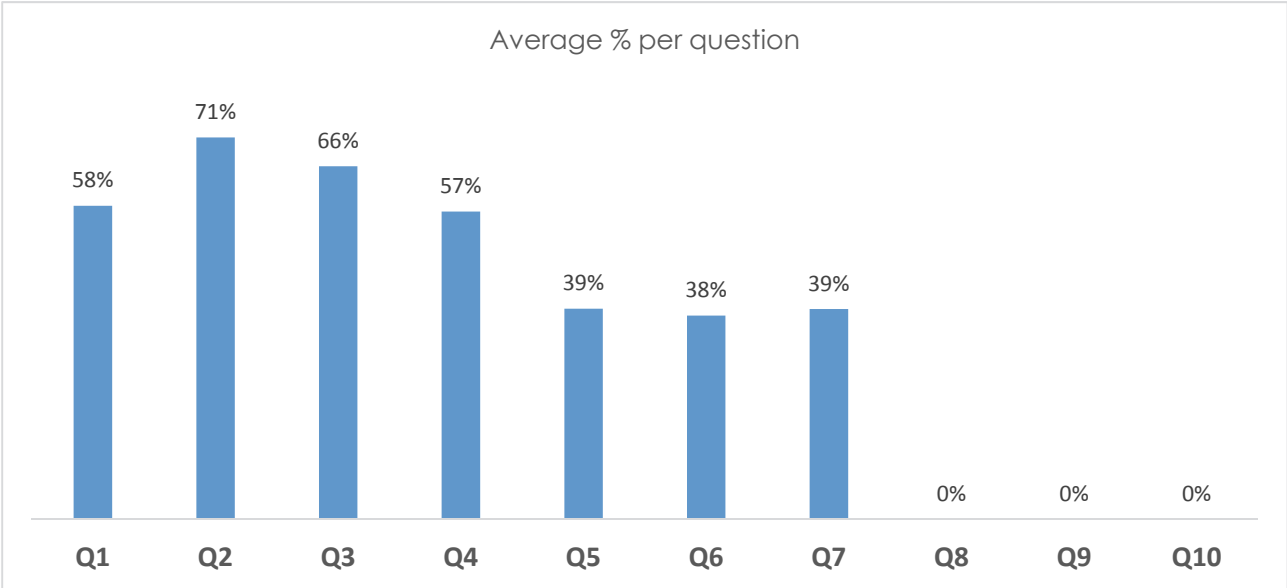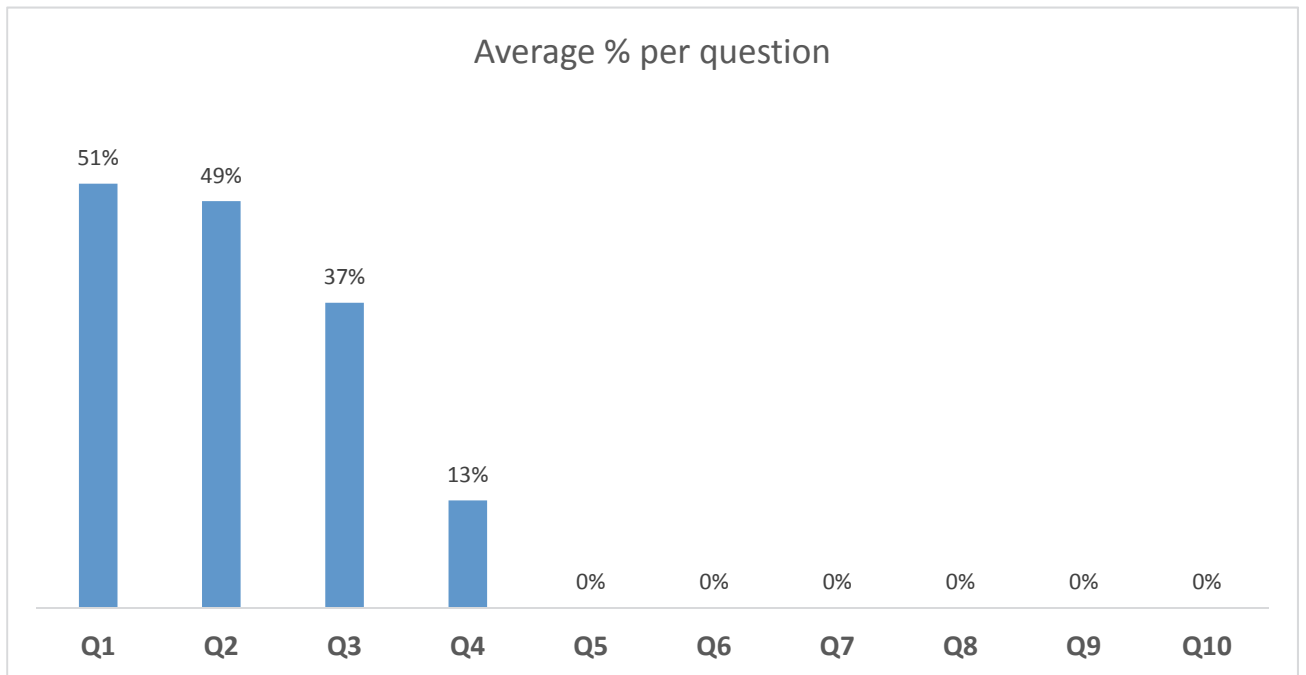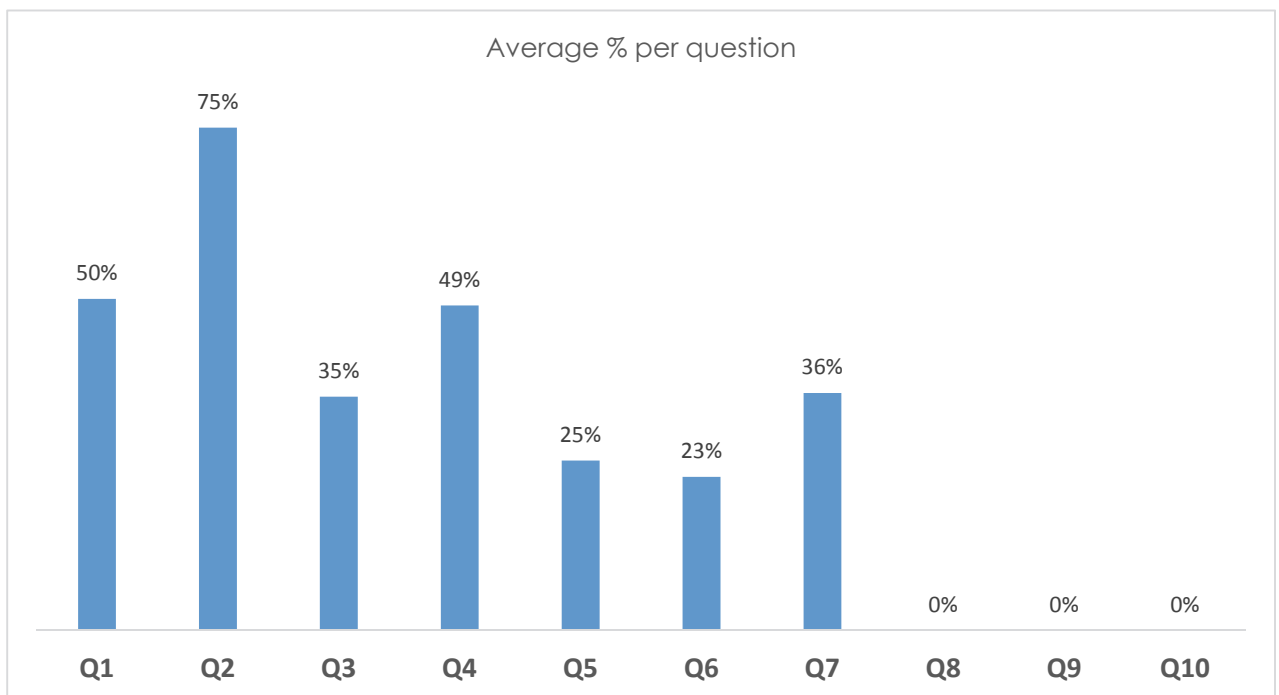**Figure 8R: Learner performance per question for 60 scripts**

s) Wholesale and Retail

Figure 8S: Learner performance per question for 60 scripts

8.3.5 External moderators' Findings and Recommendations

Generally, the quality and standard of internal moderation was good at many of the centres. For the languages, external moderators found that Markers appended marks at the end of writing pieces without indicating what errors the pieces of writing contained. It is recommended that chief markers and internal moderators train Markers to underline language errors.

Novice markers had a tendency to mark short-response and free-response questions very rigidly, without crediting answers that were correct but phrased differently from the marking guidelines. It is recommended that chief markers spend more time training novice markers to ensure that robotic assessments of responses are avoided. At some marking centres, chief markers and internal moderators did not insist that markers re-mark answers when incorrectly marked questions on moderated scripts were corrected by them. In the interests of fairness to all candidates, corrections need to be applied to all scripts.

8.4   Areas of Good Practice

None were noted as marking practices were not standardised across the different provincial marking centres.

8.5   Areas of Concern

The following were noted as areas of concern:

- In some centres internal moderators and chief markers did not appear to be vigilant enough in identifying irregularities as it was the external moderator who identified marking irregularities.
- The fact that copying still took place in some examination centres, despite official reminders about the serious repercussions, was of grave concern to Umalusi.
- Novice markers appeared to struggle with interpreting and applying the marking guidelines to answers that were partially subjective.
- Although the incidence of copying in the INCT4 paper had been reduced, the fact that copying still took place among all candidates in some centres in this subject was cause for concern.
- Some centres submitted blank disks for the INCT4 examination. This meant that many candidates who had completed their questions were not credited for their work.

8.6   Directives for Compliance and Improvement

The following directives are given to improve the quality of the GETC: ABET Level 4 examination marking processes:

- The DHET has to ensure that all provincial marking centres report all possible irregularities. The seriousness of not reporting irregularities must be drawn to the attention of chief markers and internal moderators.

- The time taken for the training of novice markers must be added to the time generally planned for the marking of scripts to be completed so that markers are not rushed to complete their marking within a given period. This will ensure that the integrity of the marking process is not compromised.

8.7   Conclusion

Umalusi is pleased to note that the quality of marking and internal moderation for the November 2016 GETC: ABET Level 4 examinations improved on previous years in most centres. The professionalism with which most of the marking officials approached the marking of the scripts is acknowledged. The verification of marking by external moderators revealed that in most centres, marking complied with moderation requirements and was consistent, fair and reliable.

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 candidates' 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 owing to the standard of question papers, as well as in the quality of marking. Thus standardisation ensures that we deliver a relatively constant product to the market.

According to the GENFETQA Act, 2001, as amended in 2008 Section 17A (4), the Council may adjust raw marks during the standardisation process. Qualitative inputs from external moderators, Internal moderators, 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 to ensure that the procedure is carried out accurately, mainly the verification of subject structures and electronic data booklets, development norms, and approval of adjustments.

9.2 Scope and Approach

The DHET presented a total of 26 learning areas for the statistical moderation of the GETC: ABET Level 4, a qualification at Level 1 on the NQF. Umalusi conducted the verification of the capturing of marks in four provincial education departments (PEDs), i.e. Gauteng, Limpopo, Western Cape and Mpumalanga.

9.3 Summary of Findings

9.3.1 Development of Historical Averages

The subject structures were verified and approved. The historical averages were verified and approved after several moderations.

9.3.2 Capturing of Marks

In the provinces monitored the capturing of marks and the marking process was verified at the marking centres. The system administrators described the capturing process and a sample of mark sheets was verified. A description of the security systems for the examination materials was provided and verified, which was highly commendable.

The verifiers also checked the data capturing rooms, which were appropriate for the purpose. In addition, the captured marks were verified against mark sheets, and

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.

However, the examination capturing centres did not have guidelines, or procedural documents, to authenticate mark sheets, appointment and training of capturers, and management of capturing centres. Thus the capturing examination centre complied mostly with the procedures; but it was recommended that these procedures be documented in future.

9.3.3   Electronic Datasets and Standardisation Booklets

The electronic datasets were verified before the printing of the final standardisation booklets. The following datasets were verified and approved after several moderations: statistics distribution, raw mark distribution and 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.

9.3.4   Pre-Standardisation and Standardisation

The external moderators' report and standardisation principles were used in determining adjustments per subject. The historical average, the trend of candidate performance in preceding examinations, the pairs analysis and external moderators' reports were also used to reach the final decision. DHET's failure to submit the internal moderator's report was noted as a point for concern, as this could have contributed positively to the statistical moderation process.

9.3.5   Standardisation Decisions

The decisions for the November 2016 DHET-GETC L4 examinations were informed by the historical average or norm, the pairs analysis and external moderators' reports, as follows.

Table 9A: Standardisation Decisions

Description	Total
Number of instructional offerings presented	26
Raw marks	6
Adjusted (mainly upwards)	12
Adjusted (mainly downwards)	8
Number of instructional offerings standardised:	**26**

9.3.6 Post Standardisation

The assessment body submitted the adjustments data; the adjustments were verified and approved after several moderations. The SM and SR files were approved after several rectifications.

9.4   Areas of Good Practice

The following were noted as areas of good practice:

- The DHET submitted their GETC: ABET L4 booklets in time.
- The DHET's adherence to policy for submitting and presenting booklets was highly commendable.
- Norms were approved at the first level of moderation.

9.5   Areas of Concern

The following concerns were identified during moderation of SBA portfolios:

- None of the DHET capturing centres monitored had a procedural document for the management of the capturing of marks.
- Meetings, and training, for capturers were held informally, with no minutes taken or training manuals evident to confirm that training had taken place.
- There was an absence of qualitative input from the DHET.
- The late rectification of datasets was worrisome.

9.6   Directives for Compliance and Improvement

DHET must consider the following directives for compliance and improvement:

- The DHET must develop procedural documents for the management of the capturing process.
- The DHET must ensure that declaration forms are signed by all capturers at the beginning of the process and that copies are kept for verification purposes.
- The DHET must ensure that qualitative inputs are made available to provide the varied basis on which decisions should be made.

9.7   Conclusion

Although there were delays in approval of the datasets these did not hinder the credibility and integrity of the November 2016 GETC: ABET L4 examinations administered by the DHET.

CHAPTER 10 CERTIFICATION

10.1   Introduction and Purpose

This chapter serves to inform interested parties of the current state of the certification of candidate achievement for the General Education and Training Certificate: GETC: ABET Level 4, a qualification at Level 1 on the NQF. This chapter will focus on the DHET as assessment body.

Umalusi affirms the adherence to policies and regulations promulgated by the Minister of Higher Education and Training for the GETC.

Through the founding and amended General and Further Education and Training Act (GENFETQA) 2001 (Act No. 58 of 2001), Umalusi is responsible for the certification of learner achievements for South African qualifications registered on the General and Further Education and Training Sub-framework of the NQF. These include the GETC.

Certification is the culmination of an examination process conducted by an assessment body, in this instance the DHET, which is provisionally accredited by Umalusi.

This process has a number of different steps, commencing with the registration of candidates and ending with the writing of the examination. After the candidate has written the examination, administered by the assessment body, the examination scripts are marked, the marks are processed, and only after quality assurance and approval by Umalusi, are candidates presented with individual Statements of Results. These are preliminary documents outlining the outcomes of the examination, issued by the assessment body. The Statement of Results, in due time, is replaced by the final document, a certificate, issued by Umalusi.

In order to give further effect to its certification mandate, Umalusi must ensure that certification data have been submitted in the format prescribed by Council, and that the data are both valid and reliable. For that reason, Umalusi publishes directives for certification that must be adhered to by all assessment bodies when they submit candidate data for the certification of a specific qualification.

DHET must therefore ensure that all records of candidates who registered for the GETC examinations are submitted to Umalusi for certification. It is imperative that datasets also include the records of candidates who have not qualified for a certificate. These will be the candidates who withdrew from the course/qualification (that is, candidates who registered to write examinations, but did not write any subjects) as well as those who failed all subjects (candidates who wrote the examination, but did not pass any subject).

On receipt of these data, Umalusi verifies that the certification request corresponds with the quality assured results. Where these do not correspond, DHET is obliged to supply supporting documentation and explanations for such discrepancies. This process serves to ensure that the candidate is not inadvertently advantaged or disadvantaged as a result of possible programme and/or human error; it also limits later requests for the re-issue of incorrectly issued certificates.

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

Umalusi charges private assessment bodies certification fees. Government departments are funded by an agreed funding grant paid by the Department of Basic Education.

10.2 Scope and Approach

The GETC: ABET Level 4 provides an opportunity for candidates to accumulate credits toward the qualification across a number of examinations. Each examination is certified and the candidate receives a Learning Area certificate for those Learning Areas passed, or a GETC, should they qualify for such. The results of more than one examination sitting can be combined for the awarding of the GETC qualification once the candidate has achieved the requisite number of credits.

The DHET conducts two examinations during the year, one in June and the other in October. Each of these examination sessions are quality assured and standardised by Umalusi, with prior requests for certification having been submitted.

The DHET, although responsible for the GETC examination, uses the examination directorates of the various provincial departments of (PEDs) to conduct the examinations.

Officials from the Certification Sub-unit visited DHET and various PEDs to investigate their State of Readiness to conduct the examinations. The results of these visits form the basis for this report, along with the certification of candidate records for the period 1 December 2015 to 1 December 2016.

10.3 Summary of Findings

The various provinces register candidates on the examination system. Once the candidates have been registered, a schedule of entries is sent to the adult centre for verification. As the adult sector is not well managed, this process is not as effective as required and many candidates do not sign the schedule of entries that confirms the validity of captured information.

PEDs indicated that there was limited guidance and support offered by the DHET. This results in a generally apathetic approach to the processes relating to the conducting of this examination.

The DHET makes use of a double capture method when capturing marks.

The following records were submitted for the period 1 December 2015 to 1 December 2016, with the following results[1]

Table 10A: Certified Results, per Province, per Examination Date, for the Period 1 December 2015 to 1 December 2016

Province	Exam date	LA Certificate	GETC	Failed all	Withdrawn	Re-issue	Rejected
Western Cape	October 2012	0		0	0	1	2
	October 2013	0	1	0	0	0	9
	June 2014	0	0	0	0	0	10
	October 2014	0	7	0	0	0	47
	June 2015	0	8	0	0	0	4
	October 2015	2 193	651	393	937	0	5 185
Total		**2 193**	**667**	**393**	**937**	**1**	**5 257**
Northern Cape	June 2011	0	1	0	0	0	0
	June 2012	0	4	0	0	0	0
	October 2012	0	2	0	0	0	1
	June 2014	0	3	0	0	0	1
	October 2014	0	3	0	0	0	0
	October 2015	724	269	288	524	0	9
Total		**724**	**282**	**288**	**524**	**0**	**11**
Free State	October 2010	1	77	0	0	0	68
	June 2011	0	132	0	0	0	24

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[1] Where more than one dataset was submitted by the same province for the same examination date, these have been consolidated.

Province	Exam date	LA Certificate	GETC	Failed all	Withdrawn	Re-issue	Rejected
	October 2011	0	3	0	0	0	117
	June 2012	0	0	0	0	0	7
	October 2012	1	8	0	0	0	126
	June 2013	0	8	0	0	0	173
	October 2013	0	10	0	0	0	67
	June 2014	0	30	0	0	0	201
	October 2014	3	5	2	0	0	1 421
	June 2015	0	0	0	0	504	857
	October 2015	1 975	1 280	457	1 384	0	7 493
Total		**1 980**	**1 553**	**459**	**1 888**	**0**	**10 554**
Eastern Cape	June 2014	0	0	0	0	0	23
	October 2014	0	0	0	0	0	26
	June 2015	0	0	0	0	0	36
	October 2015	5 911	3 872	972	3 720	0	389
Total		**5 911**	**3 872**	**972**	**3 720**	**0**	**474**
KZN	June 2012	0	1	0	0	0	0
	October 2012	0	0	0	0	0	1
	October 2014	0	0	0	0	0	7
Total		**0**	**1**	**0**	**0**	**0**	**8**
Mpumalanga	October 2010	1	2	0	0	0	1
	June 2016	0	5	0	0	0	322
	October 2011	0	9	0	0	1	35
	June 2012	0	9	0	0	0	107
	October	0	4	0	0	1	1

Province	Exam date	LA Certificate	GETC	Failed all	Withdrawn	Re-issue	Rejected
	2012						
	June 2013	0	49	0	0	0	181
	October 2013	3	2	0	1	0	12
	June 2014	0	10	0	0	0	70
	October 2014	0	24	0	0	1	34
	June 2015	0	39	0	0	0	42
	October 2015	3 677	1 695	880	3 355	0	62
	June 2016	1 263	35	774	989	0	3
Total		**4 944**	**1 883**	**1 654**	**4 345**	**3**	**870**
Limpopo	October 2010	1	29	0	0	3	179
	June 2011	0	7	0	0	5	360
	October 2011	2	36	0	0	3	141
	June 2012	0	147	0	0	0	387
	October 2012	0	43	0	0	6	73
	June 2013	5	1 503	0	0	0	6 657
	October 2013	3	74	0	1	1	151
	June 2014	999	12	928	31	0	2 635
	October 2014	2	75	0	0	2	118
	June 2015	1 393	62	1 550	6 502	0	277
	October 2015	10 934	4 013	3 938	7 721	0	389
	June 2013	1 263	35	774	989	0	3
Total		**14 602**	**6 152**	**7 190**	**15 244**		**11 370**
Gauteng	October 2010	1	0	0	0	0	283
	June	0	6	0	0	0	94

Province	Exam date	LA Certificate	GETC	Failed all	Withdrawn	Re-issue	Rejected
	2011						
	October 2011	0	4	0	0	0	5
	June 2012	0	5	0	0	0	165
	October 2012	0	2	0	0	0	195
	June 2013	0	17	0	0	0	260
	October 2013	0	11	0	0	1	128
	June 2014	0	29	0	0	0	343
	October 2014	0	65	0	0	2	298
	June 2015	38	41	5	1	0	29
	October 2015	6 646	3 908	1 483	4 264	0	247
Total		**6 685**	**4 088**	**1 488**	**4 265**		**2 047**
North West	October 2010	0	8	0	0	0	7
	June 2011	0	3	0	0	0	5
	October 2011	0	13	0	0	9	25
	June 2012	0	2	0	0	0	3
	October 2012	0	209	0	0	0	122
	June 2013	0	9	0	0	1	117
	October 2013	2	73	0	0	0	181
	June 2014	0	43	0	0	0	434
	October 2014	0	16	0	0	0	44
	June 2015	843	3	793	691	0	18
	October 2015	0	0	0	1 297	0	7 110
Total		**845**	**379**	**793**	**1 988**		**8 066**
Total all provinces		**32 940**	**16 994**	**11**	**28 566**		**37 787**

Province	Exam date	LA Certificate	GETC	Failed all	Withdrawn	Re-issue	Rejected
				583			

Table 10B Summary of Certificates Issued per Province

Province	Lear-ning Area Certifi-cate	GETC	Replace-ment (change of status) [2]	Replace-ment Learning Area Certificate (lost)	Replace-ment GETC (lost)	Re-issue Learning Area Certifi-cate	Re-issue: GETC
Eastern Cape	5 911	3 872	0	0		0	0
Free State	1 980	1 282	271	0		0	0
Gauteng	6 685	3 499	596	0		6	7
KZN	11 137	4 031	1	0		0	0
Mpumalanga	4 985	1 728	172	1	1	0	1
Northern Cape	724	267	15	0	0	0	0
Limpopo	9 658	2 264	2 012	2	10	3	2
North West	845	4	375	3	7	0	0
Western Cape	2 182	651	16	0	0	0	1

10.4 Areas of Good Practice

The following area of good practice was noted:

- The double capture system used by all provinces to capture marks permits for accuracy.

10.5 Areas of Concern

The following areas of concern were noted:

- The registration process allows for errors in capturing candidate records, which results in the re-issue of certificates and an inability to combine records for the same candidate.

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[2] A combination of Learning Area certificates from various examination dates, where the candidate now qualifies for the awarding of the full qualification.

- All provinces have indicated a lack of support from the DHET in the processes of running this examination. Although the DHET refutes this statement, it is concerning that all provinces have noted the same problem.
- There is a 42% rejection rate of records received, which should not be the case as this system has been in place for a number of years. There should only be a limited number of rejected records.
- Western Cape has an extremely high rejection rate and this should be investigated.
- Only two provinces submitted records for the 2016 June GETC: ABET Level 4 examinations for certification. All records should have been received within three months of the release of results.
- The lack of submission of candidate records for certification by the KwaZulu-Natal (KZN) Department of Education is of concern.
- All provinces noted a problem with the processing of combined results for the awarding of the GETC.
- There is a misconception among the general public that this qualification is equivalent to Grade 12. Candidates are registered for the qualification in spite of having completed some subjects toward the Grade 12 qualification. One reason cited for this is the retention of personnel at adult centres.

10.6   Directives for Compliance and Improvement

The following directives for compliance must be addressed by the DHET to improve the quality and standard of certification for the GETC: ABET Level 4 examinations:

- The DHET must investigate means of supporting the provinces more vigorously in the examination process.
- The technology employed must be investigated to determine why a high percentage of records are rejected.
- The Western Cape Department of Education's IT system and processes need close monitoring to determine the reason for the high number of rejected records.
- The KZN Department of Education must be closely monitored to ensure the submission of candidate records for certification.
- Provinces must be reminded of their obligation to submit candidate records for certification within three months of the release of results. This requires monitoring by the DHET.
- The IT system must be investigated to ensure its functionality to process all types of records, for all candidates, across all examination dates.
- Greater advocacy is required to inform the general public of the status of this qualification as a qualification at Level 1 on the NQF, which is not equivalent to Grade 12.

10.7   Conclusion

The DHET, as assessment body, must emphasise the importance of this sphere of the education system, which falls under its auspices, and respond to the prevailing sense of apathy and misinformation surrounding this qualification. These relate to a lack of ownership and promotion of the qualification by the DHET.

ANNEXURES

Annexure A: Summarised Areas of Concern – Writing Phase

Criteria	Nature of Non-Compliance	Centres Implicated
Delivery and storage	Centre without security and storage facilities	Esselen Heights ALC, Hammanskraal/Temba ALC, Tugela HS
	Chief Invigilator stored examination material in a car boot	Hammanskraal/Temba ALC
The Invigilators and their training	No evidence of Invigilator training	Leliefontein PS, Indumezulu Adult Learning Centre, Dr Izak van Niekerk
	No appointment letters for Invigilators	Iphatlhose CET Centre, Tugela HS, Mahlasedi PALC, Education for Africa, Mooinooi CET, Hammanskraal/Temba ALC, Barberton Prison, Dr Izak van Niekerk
Preparations for writing and the examination venues	Candidates not seating according to seating plan	Ndebele Vocational ABET
	No electricity at the centre	Letjhabile Community Centre
	Not all candidates had IDs	Barberton Prison, Vulamehlo Adult Centre
	IDs and permits not checked	Dr Izak van Niekerk, Barberton Prison, Leliefontein PS, Ndebele Vocational ABET
	No Relief Invigilators No examination file	Barberton Prison, Leliefontein PS, Ndebele Vocational ABET, Aaron Moeti PALC
	No signs and directions to the	Esselen Heights ALC, Mahlasedi

Criteria	Nature of Non-Compliance	Centres Implicated
	examination room	PALC, Vulamehlo Adult Centre, Education for Africa, Dr Izak van Niekerk, Mahlasedi PALC
	Noise close to the examination room	Barberton Prison
	No clock in the centre	Esselen Heights ALC, Barberton Prison, Mahlasedi PALC, Ndebele Vocational ABET
	Invigilators without name tags	Leboneng ABET, Letjhabile Community Centre, Mooinooi CET, Barberton Prison, Kgwaphola CLC, Bethsaida CLC, Leliefontein PS, Mahlasedi PALC, Ndebele Vocational ABET, Vulamehlo Adult Centre, Hammanskraal/Temba ALC, Learn for Life Adult Centre, Dr Izak van Niekerk
	No attendance register for Monitors	Barberton Prison
Time management	Candidates admitted later than 30 minutes before writing	Mahlasedi PALC, Dr Izak van Niekerk, Indumezulu Adult Learning Centre
	Invigilators and/or candidates arriving late	Aaron Moeti PALC, Leliefontein PS, Bethsaida CLC
	Examination papers not checked for technical accuracy	Tugela HS, Mohlakeng Community Centre, Vulamehlo Adult Centre, Mooinooi CET, Leliefontein PS, Dr Izak van Niekerk
	Examination rules not read out to candidates	Leliefontein PS
	Candidates given more, or less, reading time than prescribed	Mohlakeng Community Centre, Mooinooi CET, Indumezulu Adult Learning Centre, Education for Africa, Dr Izak van Niekerk

Criteria	Nature of Non-Compliance	Centres Implicated
Checking of environment	Toilets not checked	Tugela HS, Aaron Moeti PALC, Esselen Heights ALC, Indumezulu Adult Learning Centre, Leliefontein, Kgwaphoha CLC, Education for Africa, Ndebele Vocational ABET, Mahlasedi PALC, Dr Izak van Niekerk
Activities during writing	Invigilator reading a paper while invigilating	Leliefontein PS
Packaging and transmission of scripts after writing	Situational report not completed	Mahlasedi PALC, Kalkfontein CLC, Hessequa CLC, Leliefontein PS, Mohlakeng Community Centre, Hammanskraal/Temba ALC, Learn for Life Adult Centre, Herbert Mdingi PALC
	Candidates did not appear on the mark sheet	Mooinooi CET, Iphatlhose CET Centre
Monitoring by the assessment body	No monitoring by the assessment body	Learn for Life Adult Centre, Mooinooi CET, Leliefontein PS, Hessequa CLC, Indumezulu Adult Learning Centre, Letjhabile Community Centre, Education for Africa

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