

2020

**Report on the
Quality Assurance of
the Benchmark
Assessment Agency
November 2020
GETC: ABET Examinations**

REPORT ON THE QUALITY ASSURANCE OF THE BENCHMARK ASSESSMENT AGENCY NOVEMBER 2020 GETC: ABET EXAMINATIONS

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FOREWORD BY THE CHIEF EXECUTIVE OFFICER

Over the past years, Umalusi has made great strides in setting, maintaining and improving standards in the quality assurance of the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET).

Umalusi has managed to achieve its success by establishing and implementing an effective and rigorous quality assurance of assessment system with a set of quality assurance processes that cover assessment and examinations. The system and processes are continuously revised and refined.

Umalusi judges the quality and standard of assessment and examinations by determining the:

- a. Level of adherence to policy in the implementation of examination and assessment processes;
- b. Quality and standard of examination question papers, its corresponding marking guidelines and site-based assessment (SBA) tasks;
- c. Efficiency and effectiveness of systems, processes and procedures for the monitoring of the conduct, administration and management of examinations and assessment; and
- d. Quality of marking, as well as the quality and standard of quality assurance processes within the assessment body.

Furthermore, Umalusi has established a professional working relationship with the Benchmark Assessment Agency (BAA). As a result, there has been an improvement in the conduct, administration and management of the GETC: ABET examinations and their assessment. There is ample evidence to confirm that the assessment body, adult education and training centres, as well as the examination centres, continue to strive to improve systems and processes relating to the GETC: ABET examinations and assessment. However, despite numerous improvement initiatives there remain critical aspects, such as the implementation and internal moderation of site-based assessment (SBA) and the occurrence of irregularities, which require attention in the forthcoming examination cycle.

The Assessment Standards Committee (ASC), which is a committee of Council, and the Executive Committee of Umalusi Council (EXCO) met in January 2021 to scrutinise evidence presented on the conduct of the November 2020 GETC: ABET examinations.

Having studied all the evidence presented, the Executive Committee of Council noted that, apart from irregularities regarding non-compliance to site-based assessment (SBA) instructions at 3 centres and the irregularities identified at 2 centres during the writing of examinations, Umalusi is satisfied that there were no systemic irregularities reported, which might have compromised the credibility and integrity of the November 2020 General Education and Training Certificate: Adult Basic Education and Training (GETC:ABET) examinations administered by the Benchmark Assessment Agency (BAA).

Therefore, EXCO is satisfied that there were no systemic irregularities reported, which might have compromised the credibility and integrity of the November 2020 General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) examinations administered by the BAA.

The Executive Committee of Council (EXCO) approves the release of the BAA results of the November 2020 GETC: ABET examinations based on the following:

- a) The November 2020 GETC: ABET examinations were administered in accordance with the examination policies and guidelines.

The BAA is required to:

- i. Block the results of 3 centres that failed to comply with site-based assessment (SBA) instructions pending the outcome of further investigations by the BAA and verification by Umalusi;
- ii. Block the results of the 2 centres that were found to be irregular during the writing of examinations pending the outcome of further investigations by the BAA and verification by Umalusi, and
- iii. Address the directives for compliance and improvement highlighted in the Quality Assurance of Assessment report, develop and submit an improvement plan to Umalusi by 15 March 2021.

The EXCO commended the BAA for conducting a successful examination.

Umalusi will continue to ensure that the quality, integrity and credibility of the GETC: ABET examinations and assessment are maintained. Umalusi will also continue in its endeavours towards an assessment system that is internationally comparable, through research, benchmarking, continuous review and improvement of systems and processes.

Umalusi would like to thank all the relevant stakeholders who worked tirelessly to ensure the credibility of the November 2020 GETC: ABET examinations.



Dr Mafu S Rakometsi
March 2021

EXECUTIVE SUMMARY

The National Qualifications Framework (NQF) Act mandates Umalusi to develop and implement policy and criteria for the assessment of qualifications registered on the General and Further Education and Training Qualifications Sub-framework (GFETQSF).

Umalusi is mandated, through the General and Further Education and Training Quality Assurance (GENFETQA) Act (No. 58 of 2001, as amended in 2008), to develop and manage its sub-framework of qualifications, to quality assure assessment at exit-point, approve the release of examination results and to certify candidate achievements.

The Act, in terms of these responsibilities, stipulates that Umalusi, as the Quality Council for General and Further Education and Training:

- a) must perform the external moderation of assessment of the different assessment bodies and education institutions;
- b) may adjust raw marks during the standardisation process; and
- c) must, with the concurrence of the Director-General and after consultation with the relevant assessment body or education institution, approve the publication of the results of candidates if the Council is satisfied that the assessment body or education institution has:
 - conducted the assessment free from any irregularity that may jeopardise the integrity of the assessment or its outcomes;
 - complied with the requirements prescribed by the Council for conducting assessment;
 - applied the standards, prescribed by the Council, with which a candidate is required to comply in order to obtain a certificate; and
 - complied with every other condition determined by the Council.

The purpose of this report is to provide feedback on the processes followed by Umalusi in quality assuring the November 2020 GETC: ABET examinations. The report also reflects on the findings; areas of improvement and good practice; areas of non-compliance; and provide directives for compliance and improvement in the management, conduct and administration of the examination and assessment. The findings are based on information obtained from Umalusi moderation, monitoring, verification and standardisation processes, as well as from reports received from the Benchmark Assessment Agency (BAA). Where applicable, comparisons are made with the November 2018 and/or 2019 examinations.

Umalusi undertakes the quality assurance of the national qualifications through a rigorous process of reporting on each of the assessment processes and procedures. The quality assurance of the standard of assessment is based on the assessment body's ability to adhere to policies and regulations designed to deal with critical aspects of administering credible national assessment and examinations.

In the adult education and training sector, Umalusi quality assures the assessment and examinations for the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) qualification.

The BAA assesses the GETC: ABET qualification that is offered at Adult Education and Training (AET) centres by industries using private providers. The quality assurance processes of Umalusi made provision for a sample from different AET centres.

In addition to the November examinations, examinations in this sector are also conducted in June. The advent of COVID-19 and the subsequent institution of national lock down compelled the BAA to cancel the June 2020 examinations and merged it with the November 2020 examinations.

The Benchmark Assessment Agency (BAA) conducted the November 2020 GETC: ABET examinations in six learning areas. This report covers the following quality assurance of assessment processes conducted by Umalusi, for which a brief outline is given below:

- i. Moderation of question papers (Chapter 1);
- ii. Moderation of site-based assessment (SBA) tasks (Chapter 2);
- iii. Moderation of site-based assessment (SBA) portfolios (Chapter 3);
- iv. Monitoring of the state of readiness to conduct the examinations (Chapter 4);
- v. Monitoring of the writing and marking of examinations (Chapter 5);
- vi. Audit of appointed marking personnel (Chapter 6);
- vii. Quality assurance of marking (Chapter 7);
- viii. Standardisation and resulting (Chapter 8); and
- ix. Chapter 9, which outlines the state of certification of candidates' achievements.

The findings from the above quality assurance of assessment processes enabled the Executive Committee (EXCO) of Umalusi Council to decide whether to approve the release of the November 2020 GETC: ABET examinations or not.

The roles and responsibilities of the BAA are to:

1. Develop and internally moderate examination question papers and their accompanying marking guidelines and submit them to Umalusi for external moderation and approval;
2. Develop and internally moderate SBA tasks and their accompanying marking guidelines biennially and submit them to Umalusi for external moderation and approval;
3. Manage the implementation and internal moderation of internal assessment;
4. Conduct, administer and manage the writing and marking of examinations;
5. Manage irregularities;
6. Report to Umalusi on the conduct, administration and management of examinations;
7. Have an IT system that complies with the policies and guidelines, in order to be able to submit all candidate records according to the certification directives; and
8. Process and submit records of candidate achievements to Umalusi for certification.

Umalusi conducts external moderation of examination question papers and accompanying marking guidelines to ensure that quality standards for the GETC: ABET examinations are maintained. This is a critical quality assurance process to ensure that the examination question papers are valid and reliable. The moderation process also ensures that the question papers are of the appropriate format and are of high technical quality.

The findings of the external moderation process at first moderation indicated that there was an improvement in the overall compliance of question papers and their corresponding marking guidelines, from 32% in November 2018 to 53.6% in November 2019 and finally 58.3% in November 2020.

The GETC: ABET qualification requires SBA to be conducted by AET learning centres. Assessment bodies set SBA tasks nationally, moderate them internally and submit these SBA tasks to Umalusi to be externally moderated. Umalusi is responsible for determining the quality and appropriateness of the standard of the SBA tasks.

The BAA provides all AET learning centres with common assessment tasks of all seven learning areas for implementation. The responses of students to the common assessment tasks are filed in SBA portfolios and are internally moderated by the BAA before they are presented to Umalusi for external moderation.

The purpose of external moderation of SBA portfolios is to establish whether the requirements for the implementation and moderation of SBA as prescribed by the BAA and Umalusi were met. It is of utmost importance to moderate SBA portfolios since SBA carries the same weight as the external examinations. To ensure the consistency, validity and fairness of assessment, it is imperative that the SBA portfolios of students are quality assured at different levels. A comparison of the levels of compliance for the November 2020 examinations with those of the November 2019 examinations was made, to check if there had been improvement in the implementation and moderation of SBA. The BAA has shown improvement in the implementation, monitoring and moderation of SBA.

The purpose of verifying the state of readiness of the BAA to conduct the November 2020 GETC: ABET examinations was, largely, to:

- 1) Gauge the level of preparedness of the BAA to conduct the November 2020 GETC: ABET examinations;
- 2) Track the progress made in addressing the directives for compliance and improvement issued after the November 2019 examinations;
- 3) Verify that the BAA had systems in place to ensure the integrity of the November 2020 GETC: ABET examinations; and
- 4) Report on any shortcomings identified during the evaluation and verification of the BAA systems.

The audit of the state of readiness confirmed the readiness of the BAA to administer the November 2020 GETC: ABET examinations. Umalusi noted that the BAA shows improvement in their systems and processes in each examination cycle.

Umalusi deployed monitors while the examinations were being written to check that the examination centres complied with the policy applicable to the conduct of examinations. This monitoring was also important to identify any irregularities that might have occurred during the writing of the examinations. The comparison of the November 2020 findings with the findings of the November 2019 examinations disclosed that the overall level of compliance of centres is more or less similar to that of 2019. There was a decline in overall compliance of two centres adhering to the set criteria by between 52% and 58% in November 2020.

Umalusi conducted the audit of the marking personnel selected and appointed to mark the November 2020 GETC: ABET examination scripts. The purpose of this process is to verify compliance to the appointment criteria by the BAA; and to monitor the training of the marking personnel involved in the marking and moderation of marking of the November 2020 GETC: ABET examinations. This BAA contracted officials who are also rendering their services to the other assessment bodies. This affects their plans if those officials are not available. The BAA is required to establish their own marking team that will be available all the time when needed.

Umalusi participated in the process of the standardisation of the marking guidelines of the question papers to ensure that justice was done to the process and that the finalised marking guidelines would ensure fair, accurate and consistent marking. The standardisation process improved the quality of the marking guidelines and ensured that all possible responses to questions were accommodated. Amendments made to the marking guidelines enhanced the clarity of instructions to markers and did not compromise the examination or marking process.

Umalusi monitors the level of preparedness of marking centres to conduct the process of marking examination scripts. The purpose of monitoring is to verify:

- i) Planning prior to the conducting of the marking process;
- ii) The adequacy of resources at the marking centre;
- iii) Security provided at the marking centre; and
- iv) The management of irregularities identified from marked scripts.

Umalusi monitored the marking centre to ensure that marking process was properly planned and managed, which would ensure the credibility of the process and its outcomes. Proper management in the critical areas of planning, adequacy of the marking venues and accommodation, as well as maintenance of tight security, was evident at the marking centre.

External verification of marking by Umalusi served to ensure that marking was conducted according to agreed and established practices and standards. The verification of marking process revealed that the BAA maintained the high quality of marking and internal moderation in all seven learning areas and complied with marking and moderation requirements.

Standardisation is a process that is informed by evidence presented in the form of qualitative and quantitative reports. Its primary aim is to achieve an optimum degree of uniformity, in a given context, by considering possible sources of variability other than candidates' ability and knowledge.

The purpose of standardisation and statistical moderation of results is to mitigate the effects of factors other than candidates' ability and knowledge on performance, and to reduce the variability of marks from examination to examination. The standardisation process was conducted in a systematic, objective and transparent manner. The decisions taken on whether to accept the raw marks or to perform upward or downward adjustments were based on sound educational, qualitative and statistical reasoning.

Information on certification is included to inform interested parties of the state of certification of candidates' achievements. The certification chapter is based on the 2020 certification processes and not the certification of the November 2020 cohort. Every effort must be made to ensure that all candidates who qualify for a certificate receive this as soon as possible. Umalusi observed improved quality and correctness of the electronic submission of requests for certification. Umalusi also observed that the requests for certification to Umalusi were closely monitored and a concerted effort was made to certificate all candidates who were due to be certified.

Based on the findings of the reports on the quality assurance processes undertaken during the November 2020 examinations, the Umalusi Council EXCO concluded that the November 2020 GETC: ABET examinations were conducted in line with the policies that govern the conduct of examinations and assessment. Generally, examinations and assessment were conducted in a professional, fair and reliable manner. There were no systemic irregularities that could jeopardise the overall integrity of examinations and the results could, therefore, be regarded as credible. The EXCO approved the release of the results and commended the BAA for the maturing system.

Umalusi trusts that the report will provide the assessment body and other stakeholders with a clear picture of the strengths and weaknesses of the different assessment systems and processes, and directives where improvements are required.

Umalusi will continue, through bilateral meetings, to collaborate with all stakeholders to raise standards in adult education and training in South Africa.

ABBREVIATIONS AND ACRONYMS

ABET	Adult Basic Education and Training
AET	Adult Education and Training
AC	Assessment Criteria
AG	Assessment Guideline
ASC	Assessment Standards Committee
BAA	Benchmark Assessment Agency
EIC	Examination Irregularity Committee
EXCO	Executive Committee of Council
GENFETQA	General and Further Education and Training Quality Assurance
GETC	General Education and Training Certificate
GFETQSF	General and Further Education and Training Qualifications Sub-framework
ID	Identity Document
NQF	National Qualifications Framework
OHS	Occupational Health and Safety
PoA	Portfolio of Assessment
PoE	Portfolio of Evidence
QAA	Quality Assurance of Assessment
RMB	Risk management-Based
SAPS	South African Police Service
SAQA	South African Qualifications Authority
SBA	Site-Based Assessment
SO	Specific Outcomes
SOR	State of Readiness
Umalusi	Quality Council in General and Further Education and Training

Learning Areas

Code	Learning Area
EMSC4	Economic and Management Sciences
HSSC4	Human and Social Sciences
LCEN4	Language, Literacy and Communication: English
LIFO4	Life Orientation
MLMS4	Mathematical Literacy
NATS4	Natural Sciences
SMME4	Small, Medium and Micro Enterprises

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CHAPTER 1 MODERATION OF QUESTION PAPERS

1.1 Introduction

Umalusi employs external moderators who have relevant subject matter expertise to scrutinise and carefully analyse the question papers developed by the Benchmark Assessment Agency (BAA) for the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) qualification. The moderation of question papers is a critical part of the quality assurance process to confirm whether the question papers are relatively fair, valid and reliable. The moderation process also ensures that the question papers have been assembled with rigour and comply with Umalusi's quality assurance of assessment requirements and the assessment bodies' assessment guideline documents.

The BAA is expected to appoint examiners with requisite learning area knowledge of setting question papers, and internal moderators to internally moderate the question papers before they are submitted to Umalusi for external moderation. The quality and standard of the question papers therefore starts with the appointment of examiners.

Umalusi moderates the question papers to ensure that they meet quality assurance requirements and the standard set by Umalusi, as well as those of the assessment body. To maintain public confidence in the national examination system, the question papers must be seen to be relatively:

- a. Fair;
- b. Reliable;
- c. Representative of an adequate sample of the curriculum;
- d. Representative of relevant conceptual domains; and
- e. Representative of relevant levels of cognitive challenge.

1.2 Scope and Approach

Umalusi receives question papers and marking guidelines for each examination cycle for external moderation that have been set and internally moderated by the assessment body. These should be submitted together with the history of the development of the question papers and marking guidelines. The BAA submitted six question papers, the corresponding marking guidelines and the internal moderators' reports for external moderation and approval by Umalusi in preparation for the November 2020 examination of the GETC: ABET qualification. This is not the same number of question papers submitted for external moderation in November 2018 and 2019. In 2018 and 2019, the BAA submitted seven question papers, the corresponding marking guidelines and the internal moderators' reports for Umalusi's external moderation and approval.

Umalusi used an off-site model for the moderation of the question papers. Table 1A reflects the six learning areas assessed by the BAA for the November 2020 GETC: ABET examinations.

Table 1A: Learning areas assessed by the BAA for the GETC: ABET examinations

No.	Learning areas	LA code
1.	Language, Literacy and Communication: English	LCEN4
2.	Economic and Management Sciences	EMSC4
3.	Mathematical Literacy	MLMS4
4.	Small, Medium and Micro Enterprises	SMME4
5.	Life Orientation	LIFO4
6.	Human and Social Sciences	HSSC4

All question papers were moderated using the Umalusi Instrument for the Moderation of Question Papers. The instrument assesses the quality and standard of the question papers and marking guidelines using the following criteria:

- i. Technical aspects;
- ii. Language and bias;
- iii. Internal moderation;
- iv. Content coverage;
- v. Cognitive demand;
- vi. Adherence to assessment guidelines;
- vii. Predictability; and
- viii. Marking guidelines.

Each criterion has a set of quality indicators against which the question papers are evaluated. Based on the evidence provided, Umalusi decides on the compliance of the question paper with each criterion, using one of the following four possible levels of compliance:

- a) No compliance (met less than 50% of the criteria);
- b) Limited compliance (met 50% or more, but less than 80% of the criteria);
- c) Compliance in most respects (met 80% or more, but less than 100% of the criteria); or
- d) Compliance in all respects (met 100% of the criteria).

After evaluating the compliance of the question paper with each of the eight criteria, a decision is taken regarding the quality and standard of the question paper and the corresponding marking guideline as a whole, considering one of three possible outcomes:

- 1) Approved: If the question paper meets all the criteria;
- 2) Conditionally approved—resubmit: If the question paper meets most of the criteria; or
- 3) Rejected: If the standard and quality of the question paper is entirely unacceptable.

1.3 Summary of Findings

Umalusi completed evaluation reports based on its moderation criteria. The following findings summarise the evidence observed by Umalusi's moderators during the moderation of the question papers.

1.3.1 Overall Compliance of Question Papers at Initial Moderation

Umalusi analysed the question papers and accompanying marking guidelines submitted by the BAA for the first moderation based on the criteria in the instrument. Table 1B summarises the findings on the compliance of the question papers and the accompanying marking guidelines with each criterion at first moderation.

Table 1B: Compliance of question papers per criterion at initial moderation

		Compliance frequency (50 instances)			
		None	Limited	Most	All
1.	Technical aspects	0	0	3	3
2.	Language and bias	0	0	4	2
3.	Internal moderation	0	0	2	4
4.	Content coverage	0	1	4	1
5.	Cognitive demand	0	0	1	5
6.	Adherence to assessment guideline	0	0	1	5
7.	Predictability	0	0	1	5
8.	Marking guidelines	0	0	3	3
Subtotal		0	1	19	28
Total		20			28
Percentage		41.7%			58.3%

Table 1C shows the percentage of question papers that were compliant in all respects with each criterion at initial moderation over three years.

Table 1C: Compliance in all respects of question papers per criterion over three years

		Percentage compliance per criterion over three years		
		2018	2019	2020
1.	Technical aspects	14	43	50
2.	Language and bias	43	43	34
3.	Internal moderation	43	29	67
4.	Content coverage	0	57	17
5.	Cognitive demand	14	57	83
6.	Adherence to policy	0	57	83
7.	Predictability	86	86	83
8.	Marking guidelines	43	43	50

Table 1C shows that, under technical aspects, there is an improvement by 29% from 2018 to 2019, and 7% from 2019 to 2020 in terms of question papers that are compliant in all respects. Regarding the language and bias compliance of question papers in all respects, there is a decline of 9% from 2019 to 2020. Although there is a decline in the quality of the internal moderation of question papers in 2019 compared to 2018, there is significant improvement by 38% in 2020 compared to 2019. While there is a significant improvement regarding the content coverage compliance of question papers in all respects in 2019 compared to 2018, there is decline by 40% in 2020.

There is a significant improvement in compliance in all respects regarding the cognitive demand of question papers over the past three years. Similarly, there is a significant improvement in compliance regarding adherence to policy over the past three years. While there were no differences in terms of compliance regarding the predictability of question papers in all respects in 2019 compared to 2018, there is a slight improvement by 3% in 2020 compared to 2019. Marking guideline compliance in 2019 was the same as in 2018. However, there was a slight improvement by 7% in 2020 compared to 2019.

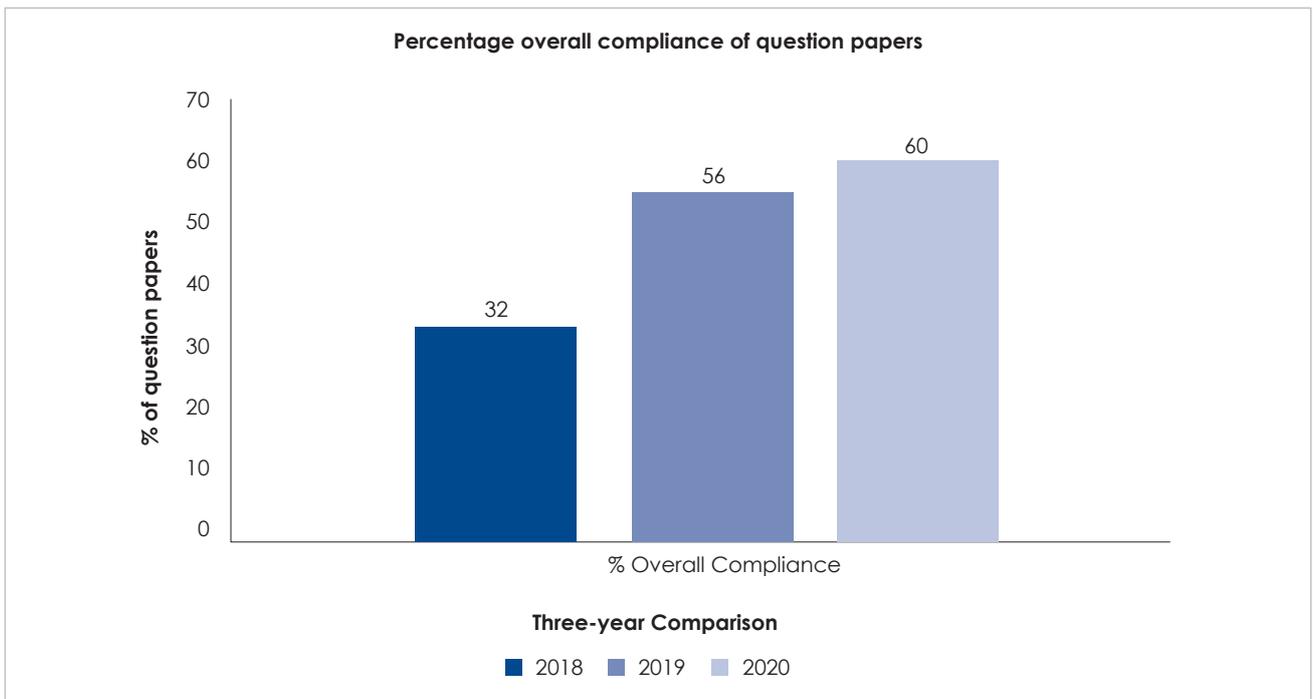


Figure 1A: Percentage overall compliance of question papers in all respects over three years

Figure 1A shows that there was an increase in the overall compliance of question papers in all respects over three years. The overall level of compliance in all respects was 32% for the November 2018 question papers, 56% for the November 2019 question papers and 60% for the November 2020 question papers. The overall compliance of question papers in all respects increased by 24% from 2018 to 2019, and by 4% from 2019 to 2020.

1.3.2 Compliance of Question Papers with Each Criterion

The following comments on compliance with each criterion were based on the first moderation. Compliance in all respects refers to satisfying all the quality indicators within a criterion. When question papers were approved, all challenges identified during first moderation had been addressed and all question papers and their corresponding marking guidelines were fully compliant with the criteria. The discussion below summarises the findings.

a) Adherence to Technical Aspects

This criterion evaluates the compliance of question papers and corresponding marking guidelines in terms of the following:

- i) Technical layout;
- ii) Quality of figures, diagrams, tables and illustrations;
- iii) Completeness of each question paper, i.e. inclusive of assessment grids, marking guidelines, relevant answer sheets, formula sheets, addenda, etc.;
- iv) Correctness of question and section numbering;
- v) Correct format requirements as stipulated in the assessment guideline;
- vi) A cover page that contains all the relevant details: time allocation, learning area and instructions to candidates;
- vii) Consistent and appropriate use of fonts; and
- viii) Consistency of mark allocation in the question paper and marking guideline.

In 2018, at first moderation, the LCEN4, EMSC4, NATS4, SMME4 and MLMS4 question papers complied in most respects, while the HSSC4 and LIFO4 question papers complied fully and showed limited compliance of technical aspects, respectively.

In 2020, similar to 2019, three question papers (LCEN4, HSSC4 and LIFO4) complied in all respects with this criterion, and three question papers (EMSC4, MLMS4 and SMME4) complied in most respects with this criterion at initial moderation.

The technical challenges identified in the EMSC4, MLMS4 and SMME4 question papers, for example, were as follows:

- a. The question paper can be completed in the time allocated;
- b. The quality of illustrations, graphs and tables was appropriate and print-ready;
- c. The instructions to candidates are clearly specified and unambiguous; and
- d. The layout of the question paper is uncluttered and reader-friendly.

However, the internal moderator had addressed all these challenges before the question papers were approved.

b) Language and Bias

This criterion checks whether the language register used in the question paper is suitable for the level of candidates, if the presence of subtleties in grammar might create confusion, and whether elements of bias in terms of gender, race, culture, region and religion are present.

In 2018, three question papers (LCEN4, MLMS4 and HSS4) complied in all respects with this criterion, while three question papers (EMSC4, NATS4 and SMME) complied in most respects with the language and bias criterion at initial moderation. Only LIFO4 showed limited compliance with this criterion. Similar to 2018 and 2019, the LCEN4 and HSSC4 question papers complied fully, while the LIFO4, EMSC4 MLMS4 and SMME4 question papers complied in most respects with this criterion at initial moderation in 2020. This implies that the EMSC4 question paper, which showed non-compliance with this criterion in 2019, has now been improved.

The language register used in the EMSC4 question paper was not appropriate for the level of the candidates and was, in some instances, grammatically incorrect. For the SMME4 question papers, Umalusi found that passages used in the text were not of an appropriate length, and the level and complexity of the vocabulary was not appropriate.

As in November 2019, the language used in the marking guideline for the LIFO4 and MLMS4 question papers contained incorrect grammar and had over-complicated syntax at first moderation. However, the internal moderator had addressed all these challenges before the question papers were approved.

c) Internal Moderation

This criterion evaluates whether the assessment body conducted internal moderation of the question papers and accompanying marking guidelines, as well as the quality of internal moderation. The criterion also verifies whether any recommendations by the internal moderator were implemented. The quality, standard and relevance of moderation are all checked.

In 2018, two question papers (LCEN4 and LIFO4) showed limited compliance with the internal moderation criterion, while four question papers (EMSC4, MLMS4, HSS4 and SMME4) complied in most respects with this criterion. As in November 2019, the LCEN4 and LIFO4 question papers complied in all

respects, while the MLMS4 and SMME4 question papers complied in most respects with this criterion at first moderation in 2020. In 2019, the EMSC4 question paper showed non-compliance, while the HSSC4 question paper showed limited compliance on internal moderation. In 2020, two question papers (EMSC4 and HSSC4) showed significant improvement by meeting all the requirements for this criterion at first moderation compared to 2018 and 2019. The internal moderator's reports for the MLMS4, and SMM4 question papers were that they were not of a good quality. All these challenges were addressed before the question papers were approved.

d) Content Coverage

This criterion checks whether a sufficient sample of the prescribed content was covered in each question paper. The following aspects were verified:

- (i) The coverage of unit standards;
- (ii) The spread of specific outcomes and assessment standards;
- (iii) Whether questions are within the broad scope of the assessment guidelines;
- (iv) Whether the question paper reflects appropriate levels and depth of learning area knowledge;
- (v) Whether examples and illustrations are suitable, appropriate, relevant and academically correct;
- (vi) The accurate correlation between mark allocation, level of difficulty and time allocation;
- (vii) Whether the question paper allows for the testing of skills; and
- (viii) The quality of the questions.

Two question papers (LCEN4 and LIFO4) showed limited compliance with this criterion, while three question papers (MLMS4, SMME4 and EMSC4) complied in most respects with this criterion in 2018. In November 2020, two question papers (HSSC4 and LIFO4) complied in most respects with this criterion when compared to November 2019, when they complied in all respects with this criterion. As in November 2019, LCEN4 complied in all respects with this criterion at first moderation in 2020. The MLMS4 question paper complied in most respects, as in 2019. The EMSC4 question paper, which showed non-compliance in 2019, has significantly improved by meeting most of the requirements for this criterion. The SMME4 question paper showed limited compliance, compared to 2019, when it complied in most respects with this criterion. This means that the LCEN4 question paper improved significantly in 2020 compared to 2018 and 2019.

The HSSC4, and LIFO4 question papers did not comply fully for the following reasons:

- a. The questions did not relate to what was pertinent in the learning area;
- b. The questions were not free from vaguely defined problems, ambiguous wording, extraneous or irrelevant information, trivia and unintentional clues to the correct answers;
- c. The questions did not provide clear instructional key words and verbs; and
- d. The questions did not contain enough information to elicit appropriate responses.

The examples and illustrations in the EMSC4 and SMME4 question papers were suitable, appropriate, relevant and academically correct. Furthermore, all the options were not of approximately the same length, with the correct answer not being longer, more specific or more complete than the other options. Again, there was no correlation between mark allocation, level of difficulty and time allocation. As in 2019, for the MLMS4 question paper, there was no correlation between mark allocation, level of difficulty and time allocation; the questions did not provide clear instructional keywords or verbs; and the question paper had factual errors or misleading information.

e) Cognitive Demand

The cognitive demand criterion evaluates the spread of questions among different cognitive levels in each question paper. This is done by checking that the analysis grid received with the question paper clearly shows the cognitive levels of each question and sub-question, that choice questions are of equivalent cognitive demand, and that the question paper allows for creative responses from candidates.

In 2018, at first moderation, four question papers (LCEN4, SMME4, EMSC4 and LIFO4) complied in most respects with cognitive demand aspects, while question papers HSSC4 and MLMS4 showed limited compliance and complied in most respects with this criterion. As in November 2019, at first moderation, question papers LIFO4, LCN4 and MLMS4 complied in all respects with this criterion at first moderation in 2020. The SMME4 question paper showed limited compliance in November 2020 compared to 2019, when it had complied in most respects with this criterion. The HSSC4 question paper complied in all respects compared to November 2019, when it showed limited compliance with this criterion. The EMSC4 question paper complied fully with this criterion compared to 2019, when it had showed non-compliance.

The challenges identified in the SMME4 question paper were that choice of questions was not of an equivalent level of difficulty and the distribution of marks was not according to the assessment guideline. More specifically, source-based questions were not asked independently of each other, which would make it difficult for the candidates to respond to the question asked. Again, action verbs were not used in the correct context.

However, the internal moderator addressed all these challenges before the question papers could be approved at the second moderation.

f) Adherence to Assessment Guideline

This criterion evaluates the adherence of question papers and their marking guidelines to policy; whether each question paper is in line with the assessment guidelines of the assessment body and the requirements of Umalusi. Question papers are checked to establish whether they reflect the prescribed specific outcomes and assessment standards.

In 2018, four question papers (EMSC4, MLMS4, NATS4 and SMME4) complied in most respects with adherence to subject and assessment guideline aspects, while another two question papers (LCEN4 and HSSC4) showed limited compliance with subject and assessment guideline aspects. Only the LIFO4 question paper did not meet any quality indicators in this criterion.

In 2020, five out of six question papers (LCEN4, HSSC4, EMSC4, LIFO4 and MLMS4) complied in all respects with adherence to the assessment guideline. As in November 2019, SMME4 complied in most respects with this criterion at initial moderation in 2020. For SMME4, there was no accompanying analysis grid to illustrate coverage of the prescribed content, weighting and spread of learning outcomes and assessment standards, as well as different cognitive levels and percentages. The question paper was not in line with the assessment guideline.

g) Predictability

This criterion checks whether questions in a current examination question paper are copied or repeated from previous question papers, thus making them predictable. Question papers are also checked to determine whether they contain an appropriate degree of innovation to eliminate the element of predictability.

In 2018, question papers LCEN4, HSSC4 EMSC4, MLMS4, SMME4 and NATS4 complied fully with the requirements of predictability. Only LIFO4 met most of the requirements of this criterion.

At initial moderation, like in 2019, five question papers (LCEN4, LIFO4, HSSC4, MLMS4 and SMME4) complied fully in that they were not predictable in 2020. The EMSC4 question paper complied in most respects with this criterion compared to 2019, where it did not comply with the predictability aspects. In 2019, the EMSC4 question paper was found to be 100% plagiarised from the June 2018 examination paper of the Department of Higher Education and Training (DHET), from Question 2 right up to Question 6. Such practice is unacceptable and is a criminal offence. However, it appears that the EMSC4 question paper has improved significantly when compared with that in 2019 at initial moderation.

h) Marking Guidelines

The question paper is approved together with its accompanying marking guideline. If the marking guideline is not compliant, both documents are rejected until both comply with the requirements. This criterion evaluates the compliance of the marking guidelines that accompany each question paper. It checks the correctness and accuracy of marking guidelines, clarity of the marking instructions, allocation of marks and correlation with the marks in the question paper, and that the marking guidelines make allowance for relevant alternative responses.

In 2018, question papers LCEN4 and LIFO4 showed limited compliance with the marking guidelines criterion. The MLMS4 question paper complied in most respects with the quality indicators, while the EMSC4, HSSC4 and SMME4 question papers complied in all respects with all the indicators of aspects of the marking guidelines.

In 2020, the marking guidelines of three question papers (LCEN4, HSSC4 and LIFO4) complied in all respects with this criterion. The EMSC4, MLMS4 and SMME4 question papers complied in most respects with this criterion, while the other learning areas remained the same as in 2019. The EMSC4 question paper has improved significantly compared to 2019, when it did not show full compliance with the requirements of the marking guidelines criterion.

For EMSC4, MLMS4 and SMME4, Umalusi identified the following challenges:

- (i) The marking guideline was not complete with mark allocation and mark distribution within the questions;
- (ii) The marking guideline made allowance for relevant alternative responses;
- (iii) The question paper and the marking guideline did not correlate;
- (iv) The marking guideline did not provide enough details to ensure accuracy of marking; and
- (v) The marking guideline was correct in terms of the subject matter or learning area content.

However, the internal moderator addressed all these challenges before the question paper and accompanying marking guidelines were approved.

1.4 Areas of Improvement

The following areas of good practice were noted:

- a. There is a noticeable improvement in the quality of the EMSC4 and HSSC4 question papers and accompanying marking guidelines submitted for external moderation in November 2020 compared to the ones submitted in November 2019; and

- b. There is evidence of overall improvement in the quality and standard of question papers and corresponding marking guidelines at initial moderation of the November 2020 question papers. The overall compliance was 60% in 2020, compared to 56% in 2019 and 32% in 2018.

1.5 Areas of Non-compliance

The following was noted as a concern:

- a. There was a significant decline in the compliance of the SMME4 question paper in November 2020 with the content coverage criterion when compared to November 2019.

1.6 Directives for Compliance and Improvement

The BAA is required to:

- a. Strengthen the training of examiners and internal moderators, particularly in SMME4, to improve the quality of the question paper for internal moderation.

1.7 Conclusion

This chapter summarised the findings of the moderation of question papers for the November 2020 GETC: ABET examinations. Umalusi's moderators reported in detail on the question papers and their corresponding marking guidelines that were finally approved.

The findings of the external moderation process indicated that there was an overall increase in the compliance of question papers and their corresponding marking guidelines with the criteria, from 53.6% in November 2019 to 98% in November 2020.

Verification of compliance with each criterion showed improvement in all question papers and their corresponding marking guidelines. While all identified challenges were addressed when the question papers and their marking guidelines were approved, the BAA is required to improve its internal moderation processes by strengthening its training of examiners and internal moderators. Continuous training will help address shortcomings in the question papers and marking guidelines before they are submitted for external moderation.

CHAPTER 2 MODERATION OF SITE-BASED ASSESSMENT TASKS

2.1 Introduction

Site-based assessment (SBA) forms the basis of internal assessment in the adult education and training (AET) sector and contributes 50% towards a student's final mark for the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) qualification. The SBA tasks are formative in design and developmental in nature. One of the main objectives of the SBA tasks is to guide and improve the teaching and learning processes in a structured manner that assists students to master skills, knowledge and values for each learning area.

The moderation of SBA tasks is a critical part of the quality assurance process. The process ensures that the SBA tasks comply with Umalusi's quality assurance of assessment requirements and the assessment bodies' assessment guidelines.

Umalusi conducts the moderation of SBA tasks and corresponding marking guidelines to ensure that SBA tasks are representative of:

- a. An adequate sample of the curriculum;
- b. Relevant conceptual domains; and
- c. Relevant levels of cognitive challenge.

The purpose of external moderation is to ensure that a common standard in terms of the quality of SBA tasks is maintained. All candidates registered to write the GETC: ABET examinations through the Benchmark Assessment Agency (BAA) are required to complete common SBA tasks.

2.2 Scope and Approach

The shelf life of the SBA tasks for the BAA is two years. The SBA tasks of the seven learning areas expired at the end of the November 2019 examination cycle. The BAA developed and internally moderated SBA tasks for all seven learning areas for implementation in the 2020 and 2021 examination cycles. SBA tasks were externally moderated and approved by Umalusi in September 2019.

The BAA is responsible for the development, setting and internal moderation of SBA tasks, and the accompanying marking guidelines for the GETC: ABET qualification. Each assessment guideline is learning area specific, and prescribes the number of activities, specific outcomes, assessment criteria, assessment methods and forms of assessment.

SBA tasks consisted of various assessment methods and forms that include research, tests, projects, assignments, data analysis, orals, comprehension tests, journal entries and worksheets.

Umalusi adopted an off-site approach in the external moderation of SBA tasks and conducted the exercise using the Instrument for the Moderation of SBA Tasks. The instrument evaluates the quality and standard of tasks according to the following criteria:

- a. Adherence to assessment guidelines;
- b. Content coverage;
- c. Cognitive demand;

- d. Language and bias;
- e. Formulation of instructions and questions;
- f. Quality and standard of SBA tasks;
- g. Mark allocation and marking guidelines; and
- h. Internal moderation.

Each criterion has a set of quality indicators against which each SBA task and corresponding marking guideline is moderated. Umalusi makes a judgement regarding compliance with each criterion, considering the following four possible levels of compliance:

- i. No compliance (met less than 50% of the criteria);
- ii. Limited compliance (met 50% or more, but less than 80% of the criteria);
- iii. Compliance in most respects (met 80% or more, but less than 100% of the criteria); or
- iv. Compliance in all respects (met 100% of the criteria).

Umalusi's moderators evaluated the SBA tasks and their corresponding marking guidelines based on an overall impression of how the requirements of all criteria had been met. A decision was then made on the quality and standard of the SBA tasks and their corresponding marking guidelines. A decision may be one of following:

- a) Approved: If the SBA tasks and accompanying marking guidelines meet all criteria;
- b) Conditionally approved—resubmit: If the SBA tasks and their accompanying marking guidelines meet most of the criteria; or
- c) Rejected: If the quality and standard of the SBA tasks and their accompanying marking guidelines are totally unacceptable.

2.3 Summary of Findings

Umalusi adopted a holistic approach during the moderation of the SBA tasks. The data used for the findings in this report was based on the initial external moderation of the SBA tasks. Comparative data was based on 2018 data, as this is the year the last SBA tasks were developed.

Although Umalusi evaluated each of the SBA tasks individually, all SBA tasks for each learning area were considered as a whole for final approval purposes. Each task was expected to be fully compliant in all respects by adhering to the prescribed assessment guideline.

Umalusi approved the set of tasks, together with the accompanying marking guidelines, provided that the tasks complied in all respects with all criteria. The findings summarised below show the overall compliance and levels of compliance of the SBA tasks per criterion.

2.3.1 Overall Compliance of SBA Tasks at Initial Moderation

The BAA submitted SBA tasks for seven learning areas to Umalusi for external moderation. Table 2A indicates the overall compliance of SBA tasks, per criterion, at initial moderation.

Table 2A: Overall compliance of SBA tasks per criterion at initial moderation

No.	Criterion	Compliance frequency (56 instances)			
		None	Limited	Most	All
1.	Adherence to assessment guidelines	0	0	0	7
2.	Content coverage	1	0	0	6
3.	Cognitive demand	0	1	1	5
4.	Language and bias	0	0	5	2
5.	Formulation of instructions and questions	0	1	5	1
6.	Quality and standard of SBA tasks	0	0	2	5
7.	Mark allocation and marking guideline	0	1	4	2
8.	Internal moderation	0	0	4	3
Subtotal		1	3	21	31
Total		25			31
Percentage		45%			55%

The overall level of compliance was 55% for the November 2020 SBA tasks and corresponding marking guidelines, when compared with the 44% overall compliance of the November 2018/2019 examination at initial moderation. Figure 2A compares the percentage overall compliance of SBA tasks over two years.

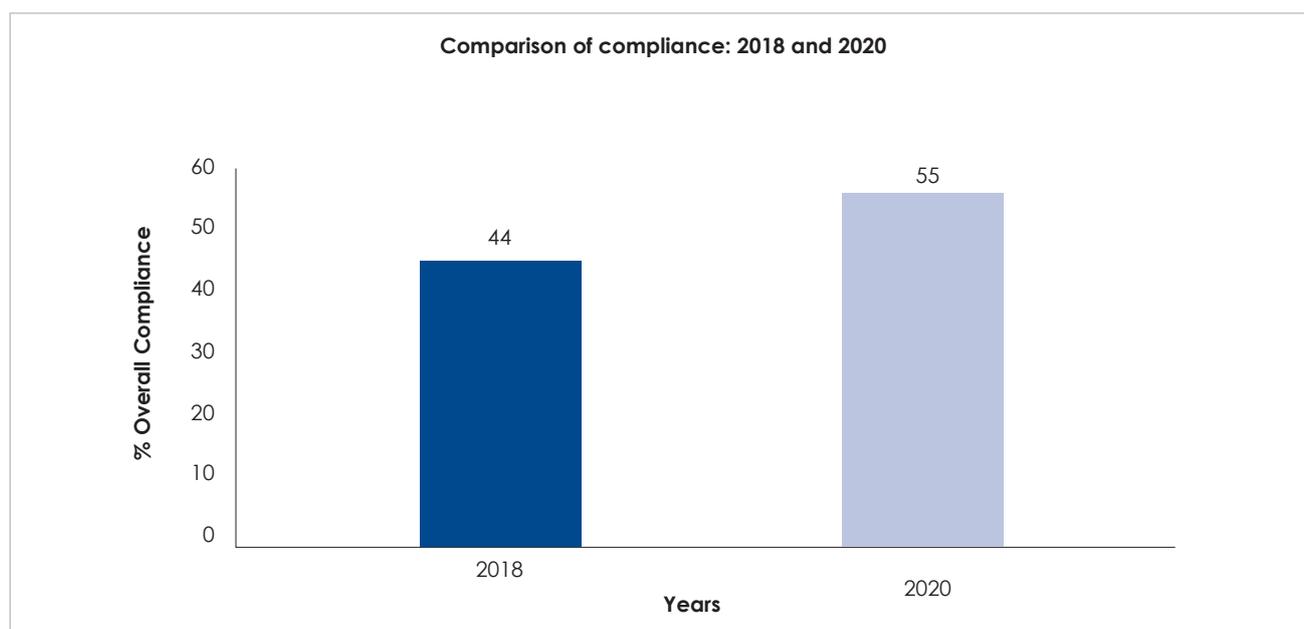


Figure 2A: Comparison of overall compliance in 2018 and 2020

Table 2B compares the percentage of SBA tasks that were compliant in all respects with each criterion at initial moderation over a period of two years (2018 and 2020).

Table 2B: Percentage of SBA tasks that were fully compliant with each criterion at initial moderation in 2018 and 2020

No.	Criteria	November 2018	November 2020
1.	Adherence to assessment guidelines	57%	100%
2.	Content coverage	57%	86%
3.	Cognitive demand	43%	71%
4.	Language and bias	86%	29%
5.	Formulation of instructions and questions	29%	14%
6.	Quality and standard of SBA tasks	57%	71%
7.	Mark allocation and marking guidelines	0%	29%
8.	Internal moderation	29%	43%

The following section discusses the compliance of SBA tasks and corresponding marking guidelines with each criterion at initial moderation.

2.3.2 Compliance of SBA Tasks with Each Criterion

The following comments about compliance with each criterion are based on the initial moderation. Compliance in all respects refers to satisfying all the quality indicators within a criterion. The discussion below summarises these findings. When the SBA tasks and the corresponding marking guidelines were approved, all the challenges identified during initial moderation had been sufficiently addressed and all SBA tasks and their corresponding marking guidelines were fully compliant with all set criteria.

a) Adherence to the Assessment Guidelines

This criterion verifies whether the assessment body adhered to the assessment guidelines. These are learning area specific and stipulate the number of activities, weighting, specific outcomes and assessment standards to be assessed.

The SBA tasks of all seven learning areas (EMSC4, HSSC4, LCEN4, LIFO4, MLMS4, NATS4 and SMME4) performed well in this criterion, and achieved 100% compliance in all respects.

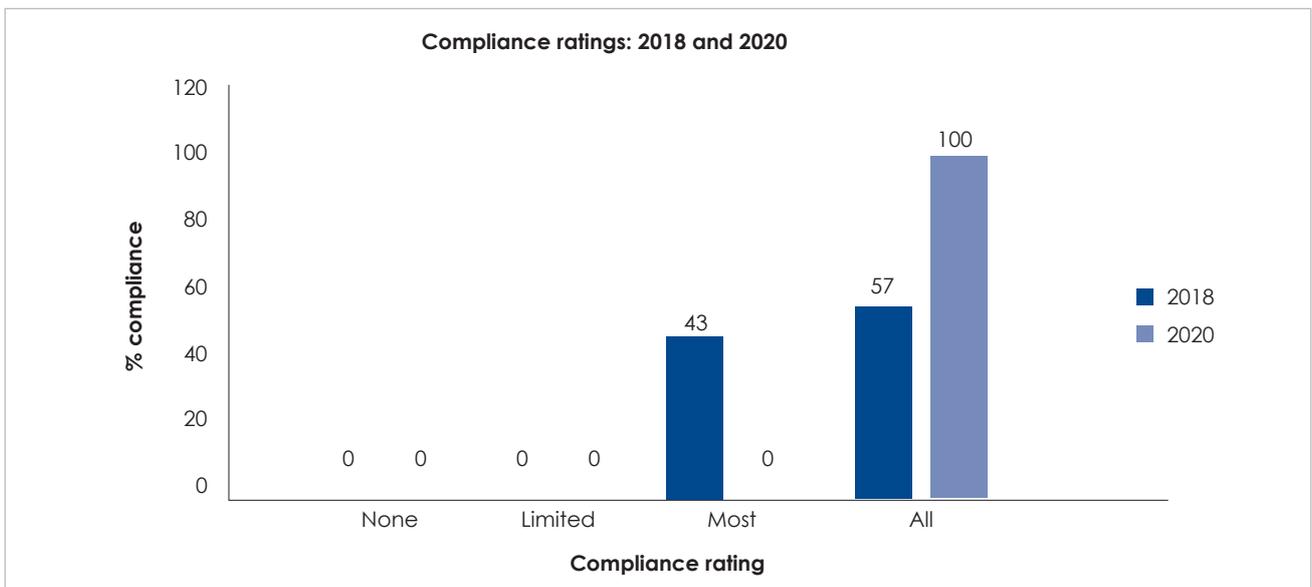


Figure 2B: Comparison of compliance with adherence to assessment guidelines in 2018 and 2020

In 2020, all SBA tasks were compliant in all respects with this criterion. This is an improvement on the findings in 2018, when 43% of SBA tasks were compliant in most respects and the remaining 57% were compliant in all respects.

b) Content Coverage

Umalusi evaluated whether all tasks cover the content as prescribed by the BAA's assessment guidelines to meet this criterion. The assessment guidelines prescribe core knowledge, skills and values to be assessed in the SBA tasks of each learning area. All SBA tasks are expected to be aligned to the prescribed content as stipulated in the BAA's assessment guidelines.

Six learning areas (EMSC4, HSSC4, LCEN4, LIFO4, MLMS4 and SMME4) were compliant in all respect with these criterion. The NATS4 learning area rated the content coverage as non-compliant due to missing analysis documentation showing the weighting and spread of content specific outcomes and assessment criteria.

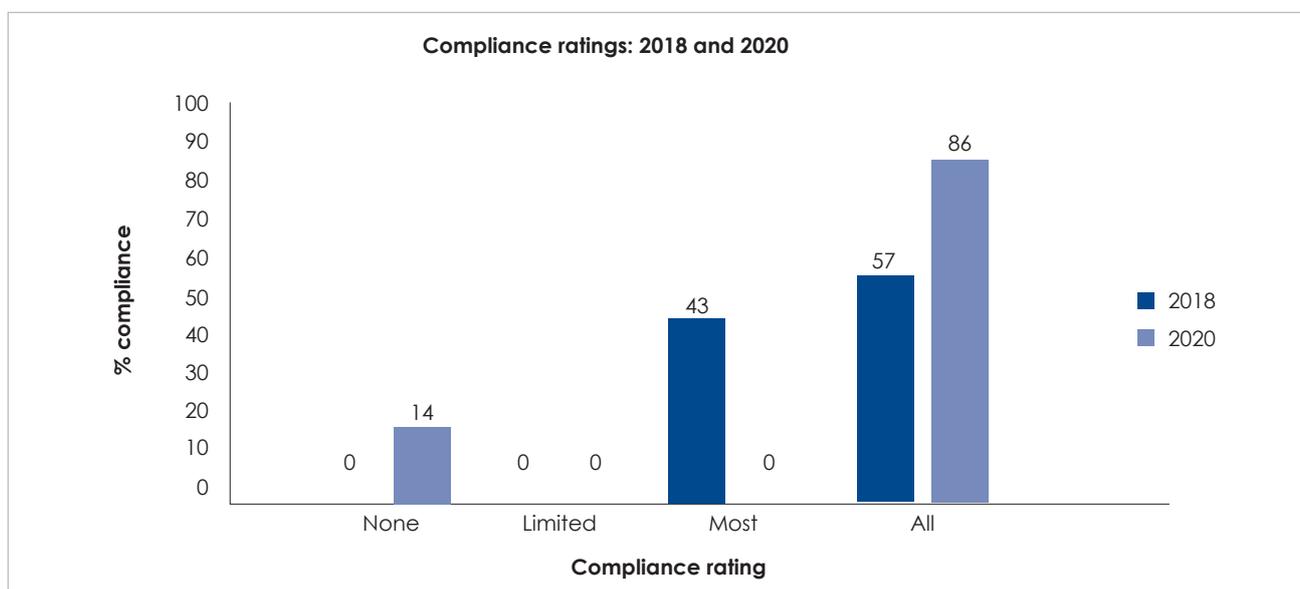


Figure 2C: Comparison of compliance with cognitive demand in 2018 and 2020

Compliance in all respects for 2020 increased by 29% over the figure of 57% for 2018. Compliance in most respects for 2020 was 0%, in contrast to 43% for 2018. Non-compliance increased with 14% for 2020.

c) Cognitive Demand

This criterion confirms whether all SBA tasks assess a range of cognitive skills, as prescribed in the assessment body's assessment guidelines. Furthermore, this criterion checks that all SBA tasks provide multiple opportunities to assess various skills that cannot be assessed in summative assessments. All SBA tasks are expected to adhere to the prescribed cognitive demand (lower-, middle- and higher-order questions) as stipulated in the assessment guidelines.

In five learning areas (EMSC4, HSSC4, LCEN4, MLMS4 and SMME4), the rating for the cognitive demand criterion was favorable and achieved 100% compliance in all respects. Learning area LIFO4 recorded some minor errors, while learning area NATS4 showed limited compliance, mainly due to incomplete or missing analysis documentation.

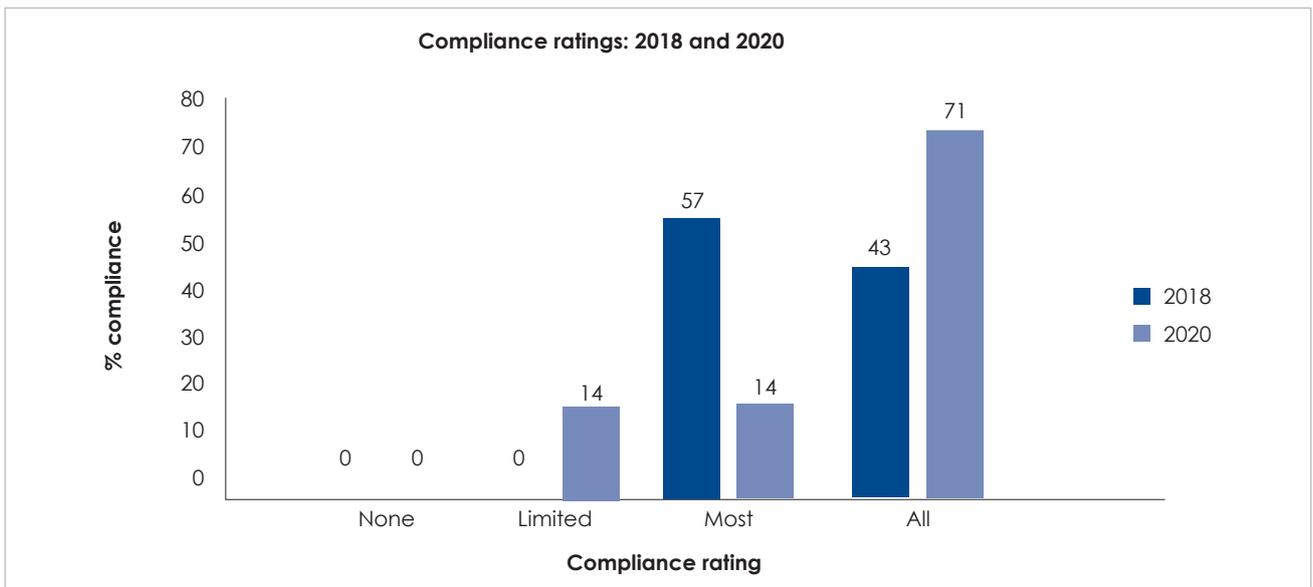


Figure 2D: Comparison of compliance with cognitive demand in 2018 and 2020

The criterion that measured compliance in all respects for 2020 increased with 28% over the figure of 43% for 2018. Compliance in most respects decreased with 43% in 2020 to 14%. However, there was also 14% limited compliance in 2020 that did not occur in 2018.

d) Language and Bias

This criterion checks whether appropriate language was used in the SBA tasks. Furthermore, it checks whether the language used in the SBA tasks was not offensive, was free from bias of any nature, and was appropriate for National Qualifications Framework (NQF) Level 1 students. The expectation is that all SBA tasks will comply in all respects with this criterion.

Only the SBA tasks of one learning area (LCEN4) performed well in this criterion and were compliant in all respects. The remaining SBA tasks of six learning areas (EMSC4, HSSC4, LIFO4, MLMS4, NATS4 and SMME4) were compliant in most respects. The type of errors identified in the quality indicators ranged from grammatical and spelling errors to passages in the text not being of the appropriate length and level of complexity or making incorrect use of vocabulary.

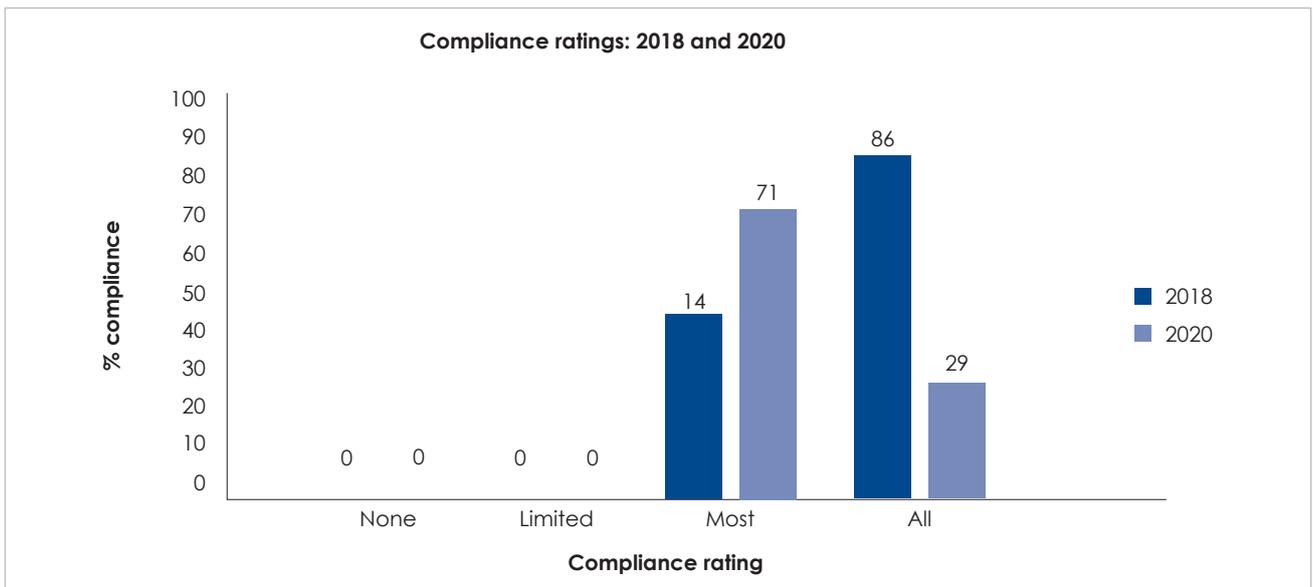


Figure 2E: Comparison of compliance with language and bias in 2018 and 2020

The level of compliance in all respects decreased by 57% from 86% in 2018. The number of SBA tasks that were compliant in most respects increased by 57% in 2020 to 71%. This indicates an overall decrease in compliance in 2020 compared with 2018.

e) Formulation of Instructions and Questions

To meet this criterion, questions are expected to be clearly formulated and free from ambiguity and confusion. In addition, questions and instructions are expected to be grammatically correct to elicit the appropriate responses and avoid confusing students.

The SBA tasks of one learning area (LCEN4) were compliant in all respects. The SBA tasks of five learning areas (EMSC4, HSSC4, LIFO4, NATS4 and SMME4) were compliant in most respects because of errors found in the formulation of instructions and questions. These errors ranged from questions containing double negatives, ambiguous wording, irrelevant information or incorrect formulation that required rephrasing. In one learning area (MLMS4), 14 errors were identified in three tasks, making them of limited compliance with this criterion. There was also a case of the incorrect adding of marks and incorrect instructions in tasks (HSSC4).

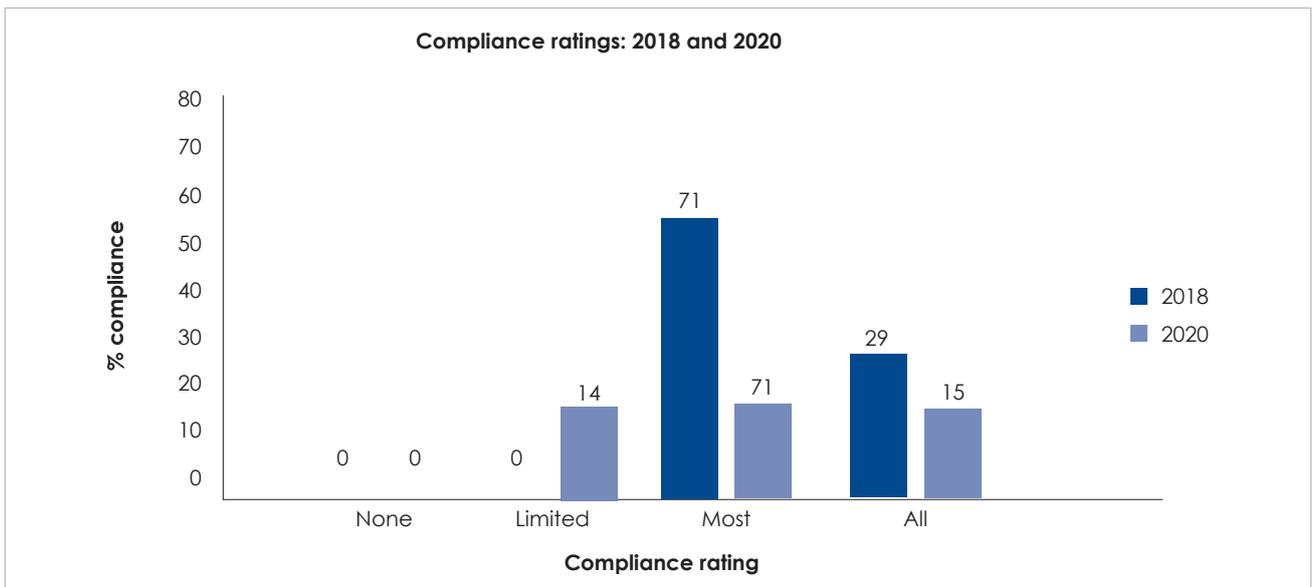


Figure 2F: Comparison of compliance with formulation of instructions and questions in 2018 and 2020

The number of SBA tasks that were compliant in all respects decreased by 14% when compared to the figure of 29% for 2019. The number of tasks that were compliant in most respects remained the same as in 2018 at 71%. The difference in 2020 was 14% of SBA tasks that showed limited compliance at initial moderation. This indicates that there were more errors in the formulation of questions and instructions in 2020.

f) Quality and Standard of SBA Tasks

This criterion checks whether SBA tasks are of a good quality and appropriate standard. The SBA tasks are expected to be innovative in nature. Technical aspects, such as diagrams, pictures and figures, are expected to be clear and the layout should not be cluttered. Furthermore, all SBA tasks must comply in all respects with the requirements of the assessment guidelines.

In five learning areas (EMSC4, HSSC4, LCEN4, LIFO4 and SMME4), the SBA tasks were fully compliant with this criterion. The SBA tasks of the remaining two learning areas (MLMS4 and NATS4) were compliant in most respects. The errors found related to poor quality of graphs and standard of the tasks. The SBA tasks of NATS4 included errors for Task 4, relating to fairness, validity and reliability in a task.



Figure 2G: Comparison of compliance with quality and standard of SBA tasks in 2018 and 2020

g) Mark Allocation and Marking Guidelines

In this criterion, Umalusi verifies that the mark allocation is accurate and that marking guidelines are error-free. This criterion, furthermore, checks that the mark allocation in the SBA tasks was similar to that in the accompanying marking guidelines. Examiners are also expected to provide an analysis grid that shows a breakdown of each question. For SBA tasks to be approved, all tasks are expected to meet this criterion in all respects.

Two learning areas (LCEN4 and LIFO4) were compliant in all respects, and four learning areas (HSSC4, MLMS4, NATS4 and SMME4) showed compliance in most respects. Errors related to incorrect answers, alternative responses and errors that would potentially hinder consistent marking.

One learning area (EMSC4) showed limited compliance with this criterion. There were numerous errors in mark allocation and in the marking guideline. Fifteen errors were identified in all five tasks. The comparison of compliance levels with this criterion in 2018 and 2020 is illustrated in Figure 2H.

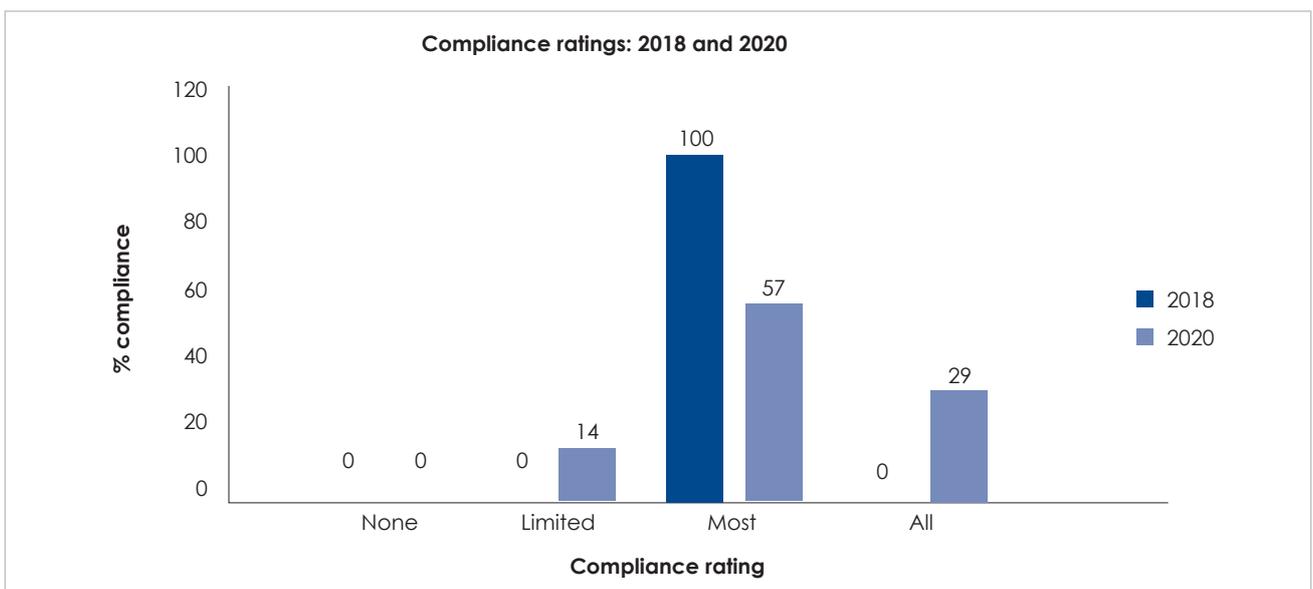


Figure 2H: Comparison of compliance with mark allocation and marking guidelines in 2018 and 2020

The SBA tasks that were compliant in most respects decreased from 100% in 2018 to 57% in 2020. The difference in 2020 included a 29% increase in SBA tasks that were compliant in most respects in 2018, and a 14% increase in tasks that showed limited compliance.

h) Internal Moderation

Umalusi verifies that internal moderation has been conducted at assessment body level to meet this criterion. Internal moderation of SBA is a rigorous process, similar to that of the question papers, to ensure that SBA tasks developed are of a good quality. The criterion also checks the quality of internal moderation. The expectation is that internal moderators will provide constructive feedback that is appropriate and developmental. They are also expected to provide Umalusi with the history of the development of the SBA tasks, along with all internal moderation reports, for external moderation. In addition, there should be evidence that examiners implemented any recommendations made by the internal moderators.

The SBA tasks of three learning areas (EMSC4, HSSC4 and LIFO4) were compliant in all respects with this criterion. The SBA tasks of the other four learning areas (LCEN4, MLMS4, NATS4 and SMME4) were compliant in most respects. The errors identified included the quality and standard of moderation, wrong answers, incorrect or inconsistent use of language, and errors that should have been detected during internal moderation before the SBA tasks were submitted for external moderation.

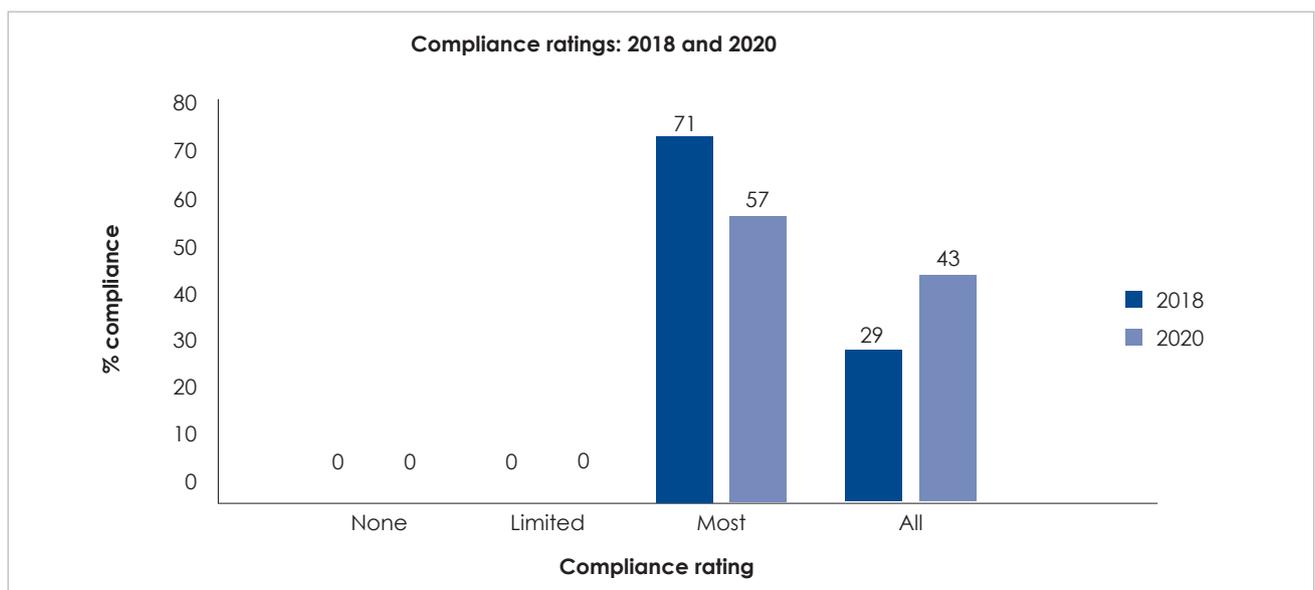


Figure 21: Comparison of compliance with internal moderation in 2019 and 2020

Compliance in all respects increased by 14% from 29% in 2018. The level of compliance in most respects decreased by 14% in 2020 to 57%. This indicates a 14% improvement in 2020 compared with 2018.

2.4 Areas of Improvement

The following areas of improvement were noted:

- The SBA tasks of all learning areas were fully compliant with the adherence to the assessment guidelines criterion; and
- Except for one learning area (NATS4), the other six learning areas were compliant in all respects with the content coverage criterion.

2.5 Areas of Non-compliance

The following were identified as areas of non-compliance:

- a. Failure to submit the full history of the development and analysis grid for a learning area (NATS4);
- b. Inconsistent use of language in the development of questions;
- c. Incorrect formulation of instructions and questions; and
- d. Incorrect mark allocation and marking guideline errors.

2.6 Directives for Compliance and Improvement

The following directives for compliance and improvement are recommended:

- a. Implement control measures to ensure that the SBA tasks and marking guides, history of development files and analysis grid are made available for external moderation;
- b. Conduct quality spot checks on examiners and internal moderators to ensure correct and consistent language use in SBA tasks and marking guidelines; and
- c. Ensure that the formulation of instructions and questions, as well as mark allocation, is thoroughly moderated before submitting them to Umalusi.

2.7 Conclusion

The findings of the external moderations for 2020 were compared with the results of 2018 to determine whether there was any improvement. Compliance in all respects increased with 11% in 2020 to 55%. This overall improvement is to be commended.

On the negative side, there were also some avoidable errors that examiners and internal moderators need to take note of and improve on. The overall results indicate that three criteria (language and bias, formulation of instructions and questions, and mark allocation and marking guideline) had the most recurring errors when submitted for initial moderation.

The SBA tasks and their respective marking guidelines were submitted with errors that should have been detected and corrected by the assessment body before the SBA tasks were submitted to Umalusi. The continued training of examiners and internal moderators in the requirements of the abovementioned quality criteria will make them more aware of the type of errors they need to avoid. The implementation of quality controls by BAA to detect errors before submission will also help improve the scores for the next SBA task submission.

CHAPTER 3 MODERATION OF SITE-BASED ASSESSMENT PORTFOLIOS

3.1 Introduction

Site-based assessment (SBA) is a compulsory component of the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) qualification. Site-based assessment is an important component, since it contributes 50% towards the final mark in the attainment of the GETC: ABET qualification.

The assessment body is responsible for the setting and internal moderation of SBA tasks. Students' responses to the SBA tasks are presented in a portfolio of evidence (PoE) as evidence of their work. Internal moderation of SBA portfolios, as an important quality assurance process, is expected to be conducted at centre and assessment body levels. Umalusi conducts rigorous external moderation of the SBA portfolios to evaluate the quality and standard of work done by the students and facilitators, in line with the requirements of Umalusi's assessment guidelines and criteria.

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

- a. Establish the scope, extent and reliability of SBA across all assessment bodies;
- b. Ensure that SBA portfolios comply with the requirements of assessment guidelines;
- c. Verify whether the internal moderation of SBA portfolios was conducted by the assessment body at different levels;
- d. Check on the quality of the internal moderation of SBA portfolios; and
- e. Report on the overall quality of SBA portfolios.

To ensure the validity and reliability of the results, the implementation of the SBA is internally moderated and externally verified.

3.2 Scope and Approach

Umalusi externally moderated the SBA portfolios on-site at the Spaces Office Park, Menlyn Main, Garsfontein, Pretoria, the marking centre of the Benchmark Assessment Agency (BAA). The process was conducted from 27 to 29 November 2020. The BAA submitted SBA portfolios for all six learning areas that they assessed.

The BAA had a small number of candidates registered for the November 2020 GETC: ABET examinations, therefore Umalusi's moderators were required to moderate all student PoE and one facilitator portfolio of assessment (PoA) per centre in EMSC4, SMME4, LIFO4 and HSSC4. Sampling was expected to be done when moderating MLMS4 and LCEN4, which had a high number of enrolments.

Umalusi's moderators evaluated the SBA portfolios using the Quality Assurance of Assessment Instrument for the Moderation of SBA portfolios. The SBA portfolios were evaluated based on the following criteria:

- a. Adherence to the assessment guidelines;
- b. Internal moderation;
- c. Structure and content of the SBA portfolios;
- d. Implementation of the SBA tasks;
- e. Performance of students; and
- f. Quality of marking.

Umalusi's moderation focused on the quality and standard of the SBA portfolios that were internally moderated by the BAA and presented to Umalusi for external moderation. The SBA portfolios were evaluated based on how the quality indicators of each criterion were met and on the overall impression of the SBA portfolios.

3.3 Summary of Findings

This section summarises the findings and observations of Umalusi's moderators for the moderation of SBA portfolios. Umalusi evaluated the SBA portfolios according to the extent to which the portfolios met the criteria and on the overall impression of the implementation and monitoring of the SBA. The findings are based on the sample selected for the moderation of the SBA portfolios.

3.3.1 Moderated Samples

Table 3A shows the number of SBA portfolios submitted and the percentage moderated, per learning area, per adult education and training (AET) centre.

Table 3A: SBA portfolio samples submitted and moderated

Learning area	AET centre	Sample submitted		Sample moderated		Percentage moderated
		PoA	PoE	PoA	PoE	
EMSC4	Oakley House High School	1	1	1	1	100%
	Nchafatso Training Programme Centre	1	8	1	8	100%
HSSC4	Oakley House High School	1	1	1	1	100%
	Nchafatso Training Programme Centre	1	9	1	4	50%
LCEM4	Samancor EMC	1	9	1	4	50%
	Pilanesburg Platinum Mine	1	9	1	4	50%
	Nchafatso Training Programme Centre	1	7	1	4	63%
LIFO4	ESEN Academy	0	3	0	3	100%
	Nchafatso Training Programme Centre	1	7	1	4	63%
	Oakley House High School	1	3	1	3	100%
	Pilanesburg Platinum Mine	1	3	1	3	100%
MLMS4	Samancor EMC	1	11	1	5	50%
	Pilanesburg Platinum Mine	1	12	1	5	50%
	Nchafatso Training Programme Centre	0	13	0	5	38%
SMME4	Oakley House High School	1	1	1	1	100%
	Nchafatso Training Programme Centre	1	8	1	8	100%
Total		14	105	14	63	65%

Table 3A indicates that Umalusi moderated a sample of 77 out of 119 portfolios. This is a moderation sample percentage of 65%. This is a bigger sample than that moderated in 2018 and 2019. Furthermore, it moderated 14 facilitators' PoA, which is three more than in November 2019 and four more than in November 2018. Figure 3A compares the moderation samples of 2018, 2019 and 2020.

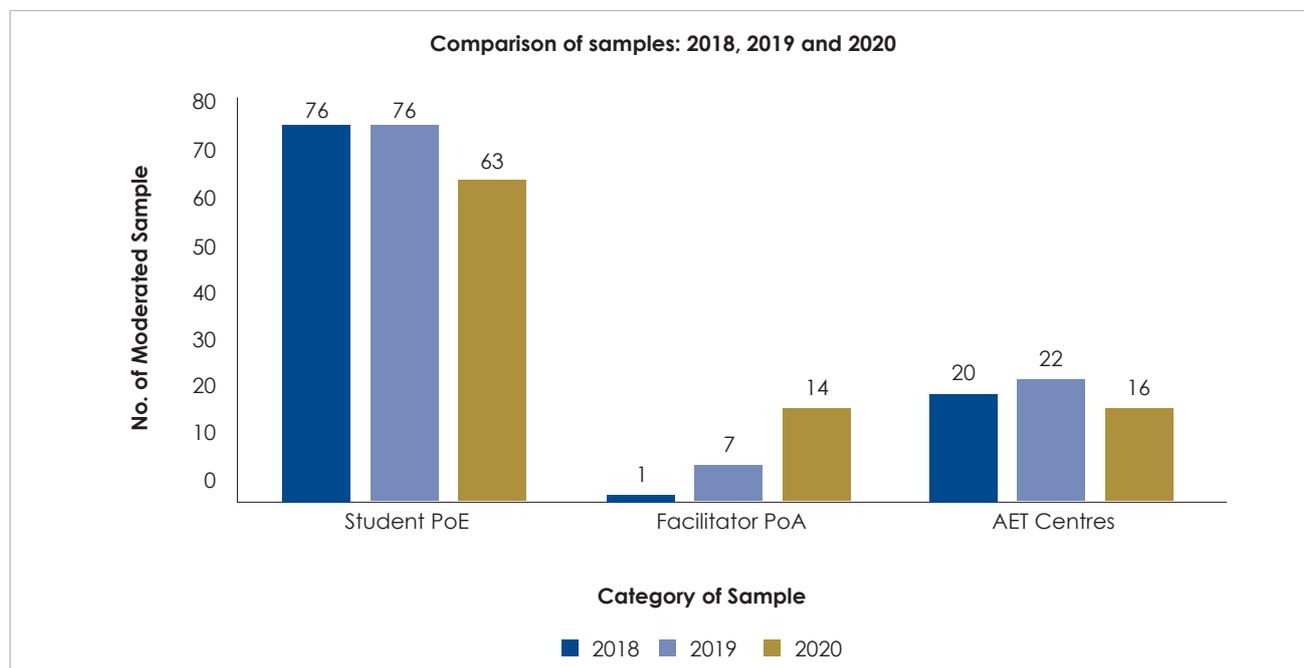


Figure 3A: Comparison of moderated samples in November 2018, 2019 and 2020

Figure 3A indicates a decrease in the number of student PoE and AET centres. In 2018 and 2019, the number of student PoE remained constant. However, in 2020, there was a significant decrease in the number of SBA portfolios and AET centres. Of significance, the number of facilitators' PoA also increased from one to seven.

3.3.2 Overall Compliance of Adult Education and Training Centres with each Criterion

The Umalusi instrument made provision for the moderation of one lecturer's portfolio and one student's portfolio per learning area per AET centre. Table 3B summarises the compliance of the sample with each of the six criteria against which the moderation of portfolios was conducted. Table 3B summarises the overall compliance status of AET centres with the criteria in all learning areas.

Table 3B: Quantitative analysis of portfolios moderated

No.	Criterion	Criterion compliance (96 instances)			
		None	Limited	Most	All
1.	Adherence to assessment guidelines	0	1	10	5
2.	Internal moderation	0	0	4	12
3.	Structure and content of SBA portfolios	0	0	6	10
4.	Implementation of assessment tasks	0	0	0	16
5.	Performance of students	0	2	6	8
6.	Quality of marking	1	3	3	9
Total		1	6	29	60
Percentage		1%	6%	30%	63%

Table 3B indicates that there was an overall non-compliance of one instance (1%) for both 2019 and 2020. There were six instances (6%) of limited compliance in 2020, 29 instances (30%) of compliance in most respects, and 60 instances (63%) of compliance in all respects. When comparing this with instances in 2019, there were 16 instances (10%) of limited compliance, 74 instances (46%) of compliance in most respects and 70 instances (43%) of compliance in all respects. This was an improvement of 4% on limited compliance, 16% on compliance in most respect and 20% in full compliance. Figure 3B shows the overall compliance level in 2019 and 2020.

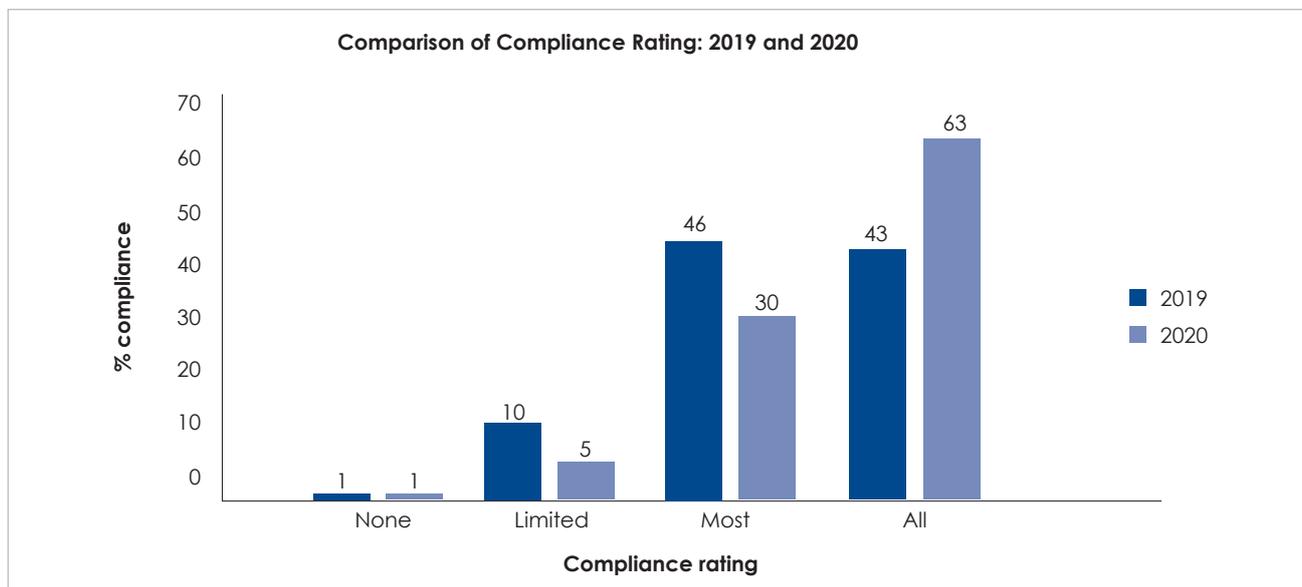


Figure 3B: Comparison of compliance ratings in November 2019 and 2020

3.3.3 Compliance of AET Centres with Each Criterion

Figures 3C to 3H compare the overall compliance of AET centres with each criterion for November 2019 as opposed to November 2020.

a) Adherence to Assessment Guideline

This criterion includes quality indicators that measure compliance with the BAA's assessment guidelines. This includes the contents and structure of the facilitator's and students' records, the assessment planning, methods of assessment, as well as the assessment tools and instruments.

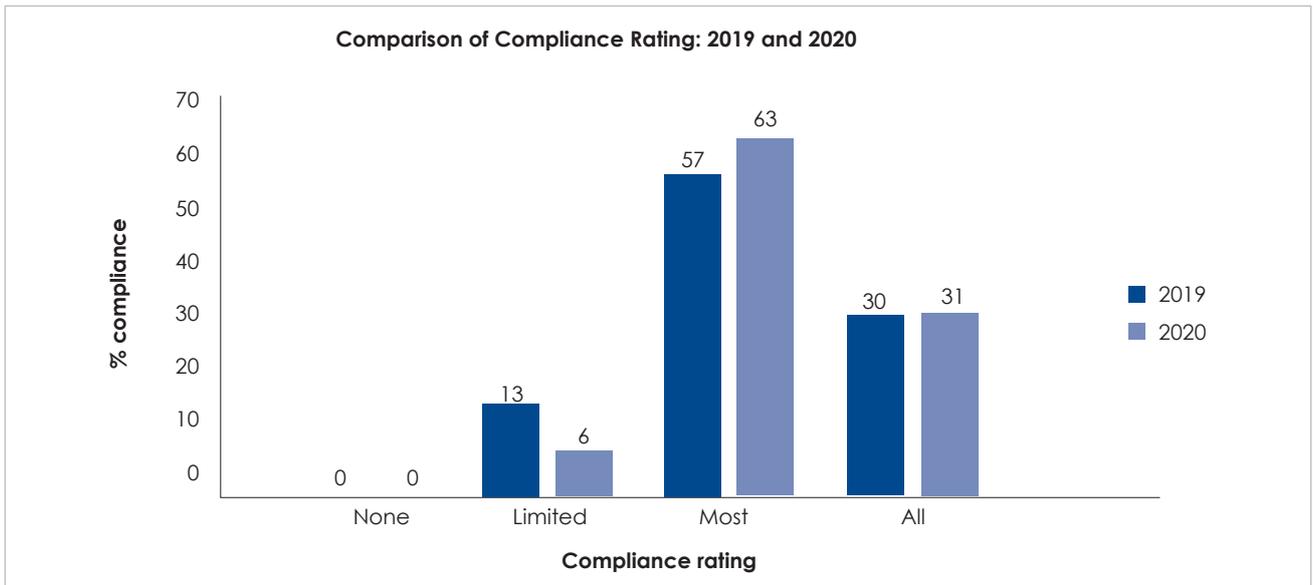


Figure 3C: Comparison of compliance with adherence to assessment guidelines in 2019 and 2020

The results in Figure 3C show that there was an improvement in both compliance in most respects and compliance in all respects in 2020, compared with the 2019 compliance levels.

b) Internal Moderation

The internal moderation criterion measures the compliance of both internal moderators and assessment bodies' moderators to the assessment guidelines. The quality indicators include moderation reports and the quality of moderation feedback.

The AET centres showed improvement as they were either compliant in most respects or compliant in all respects in November 2020.

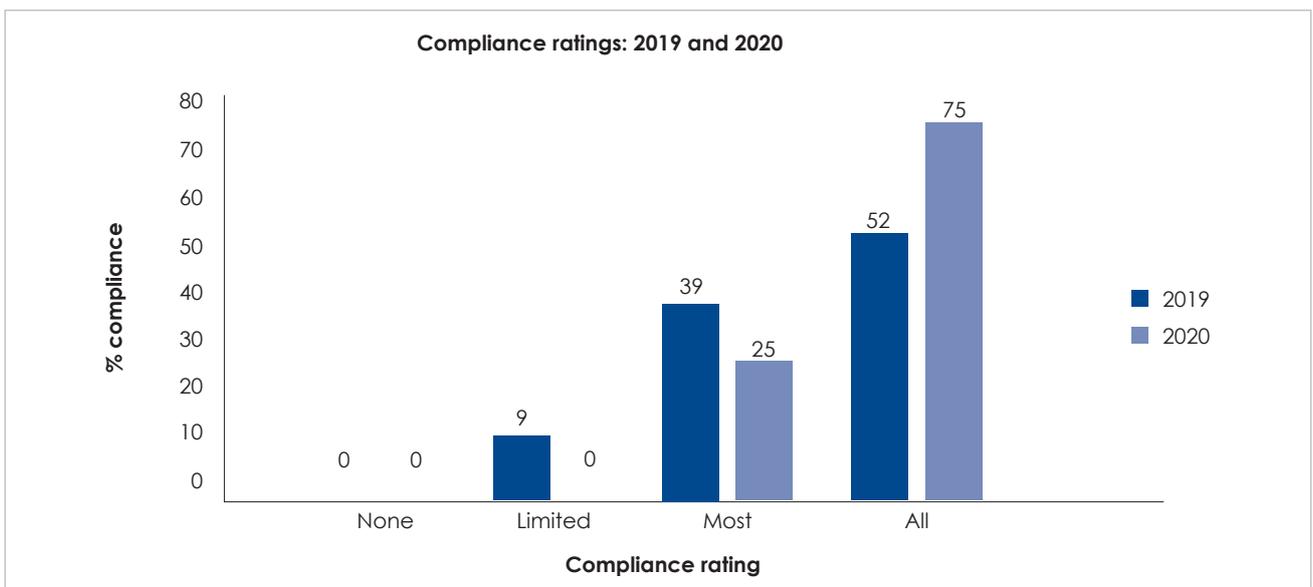


Figure 3D: Comparison of compliance with internal moderation in 2019 and 2020

No AET centres was non-compliant or showed limited compliance with this criterion in 2020.

c) Structure and Content of SBA portfolios

This criterion measures the compliance of the AET centres to the assessment guidelines in terms of the structure and content of SBA portfolios. The indicators for this quality criterion include content and neatness of the portfolio, the inclusion and filing of all tasks, marked students' responses, record of marks, as well as adherence to the assessment plan.

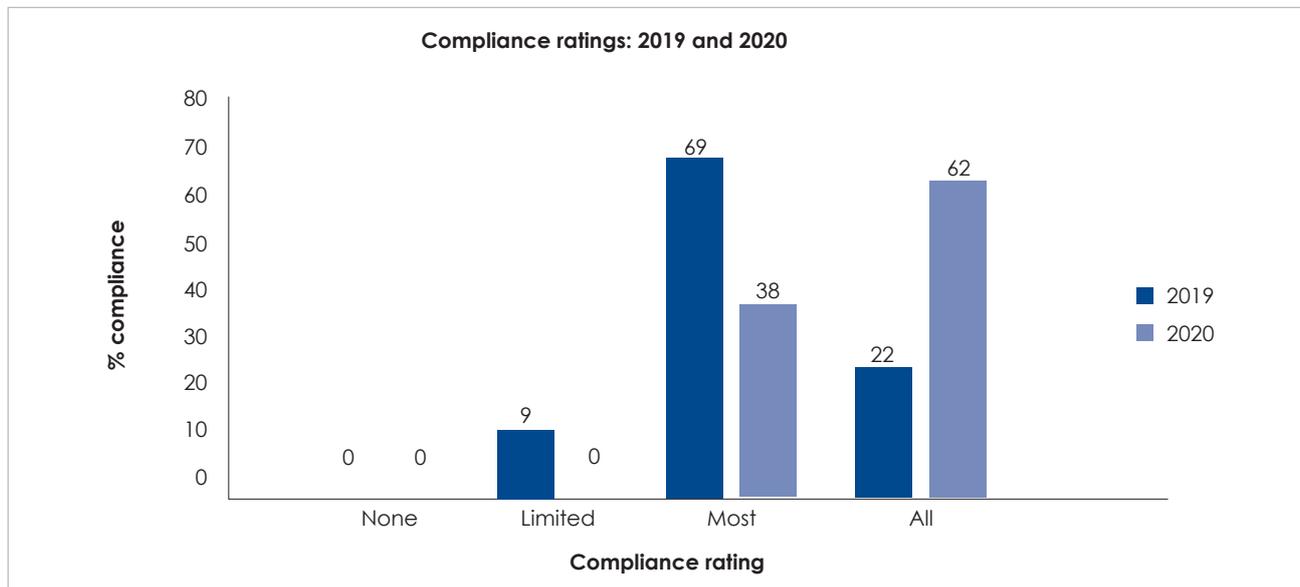


Figure 3E: Comparison of compliance with the structure and content of SBA portfolios in 2019 and 2020

The findings in Figure 3E also show an improvement of 41% in compliance in all respects in 2020. None of the AET centres showed limited or non-compliance.

d) Implementation and Assessment of SBA Tasks

The implementation and assessment of the SBA tasks criterion measures the inclusion and completeness of tasks, and assessment of tasks in accordance with the assessment plan.

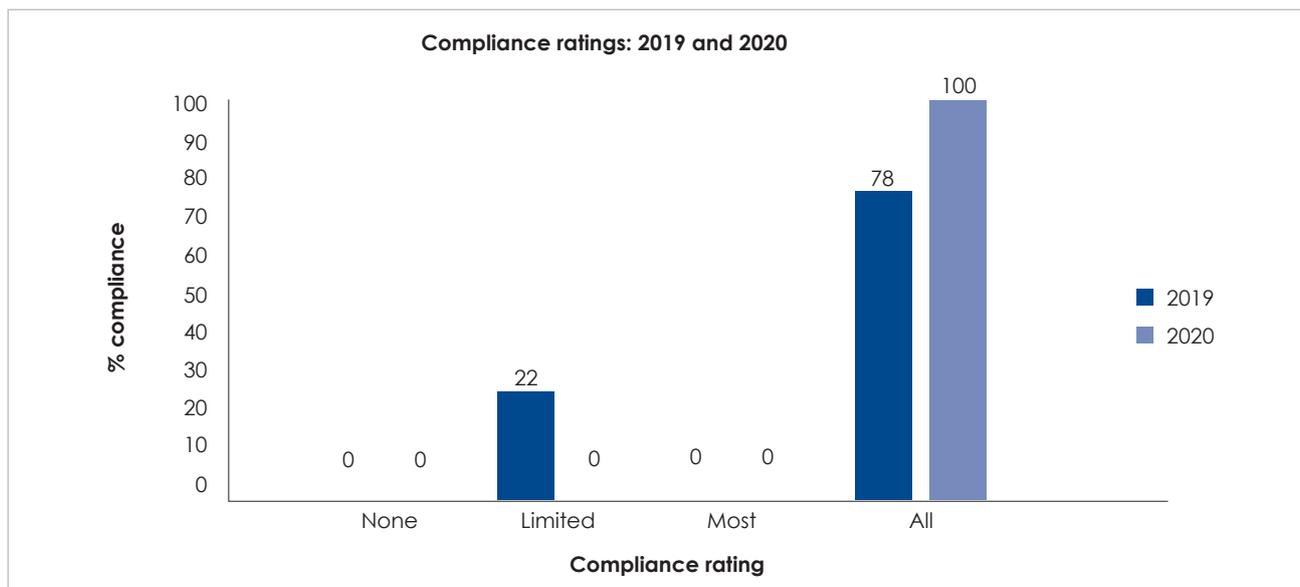


Figure 3F: Comparison of compliance with implementation and assessment of SBA tasks in 2019 and 2020

The results in Figure 3F indicate that there was a marked improvement from the previous year when there were five instances (22%) of limited compliance to 16 instances (100%) of compliance in all respects.

e) Performance of Students

The student performance criterion uses various quality criteria to measure different aspects of student performance. The quality indicator includes looking at whether the student interprets the tasks correctly, whether the students' responses meet the expectations and demands of the assessment tasks, and whether the students are able to respond to all the questions and tasks set at different cognitive levels.



Figure 3G: Comparison of compliance with performance of students in 2019 and 2020

The results in Figure 3G indicate a decrease in instances of compliance in most and all instances in November 2020, when compared to November 2019. There was also an increase in limited instances of compliance by 13% in November 2020.

f) Quality of Marking

The quality of marking criterion evaluates the consistency of marking with the marking guideline, the quality, standard and accuracy of marking, mark allocation, recording, and the totaling and transfer of marks.



Figure 3H: Comparison of compliance with quality of marking in 2019 and 2020

Figure 3H indicates that compliance with quality of marking in 2020 decreased significantly when compared with 2019. There was a 7% decrease in compliance in most respects and a 5% decrease in full compliance with this criterion.

3.4 Areas of Improvement

Comparison between the moderation results for 2019 and 2020 indicated that there has been an improvement in the following areas:

- The number of PoA submitted per centre per learning area;
- The adherence to the assessment guidelines criterion;
- Compliance with internal moderation with no limited or non-compliance reported;
- The standardised portfolio documentation in terms of the structure and content of portfolios;
- The completeness of assessment tasks from a limited 22% score in 2019 to a 100% compliance in all respects score in 2020.

3.5 Areas of Non-compliance

The following areas of non-compliance was identified:

- Inconsistent marking in EMSC4 and SMME4 at three AET centres;
- Irregularities identified where candidates had similar responses, taken directly from the marking guidelines (Nchafatso Training Programme Centre);
- Inconsistent use of rubrics in EMSC4 and LCEN4 at two AET centres; and
- Poor allocation of marks, totaling and transfer of marks in LCEN4 at one AET centre.

3.6 Directives for Compliance and Improvement

The BAA is required to act on the following directives for compliance and improvement:

- Strengthen the support AET centres in the implementation of SBA;
- Strengthen the training of centres in the accurate marking and proper use of rubrics; and
- Monitor the learning centres that do not fully meet the requirements regarding

the implementation, marking and moderation of SBA portfolios as stipulated in the assessment guidelines.

3.7 Conclusion

This chapter discussed the findings of the external moderation of SBA portfolios. The levels of compliance for the November 2019 portfolios were compared with those for November 2020 to determine whether there was any improvement in the implementation, marking and moderation of the SBA portfolios. It was noted that there was an overall improvement in four of the six criteria.

However, any increase in non-compliance poses a risk in terms of the SBA portfolio mark, which contributes 50% towards the final mark per learning area. The quality of marking and the use of rubrics was a major concern. The BAA is required to support AET centres to ensure that there is an improvement in those areas where challenges were identified.

CHAPTER 4 MONITORING THE STATE OF READINESS TO CONDUCT EXAMINATIONS

4.1 Introduction

As part of its mandate, Umalusi evaluates the preparedness of assessment bodies to conduct the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) examinations.

In keeping with the risk management-based (RMB) approach as an independent, objective and value-adding quality assurance process, Umalusi undertook a desktop audit analysis of the state of readiness of the Benchmark Assessment Agency (BAA) to conduct combined June and November 2020 GETC: ABET examinations.

The verification audit focused specifically on risks related to the examinations. The main objectives were to:

- a. Evaluate the level of preparedness of the BAA to conduct the combined June and November 2020 GETC: ABET examinations;
- b. Evaluate the systems that BAA has in place to ensure the delivery of credible examinations; and
- c. Track the progress made in addressing the directives for compliance and improvement issued after the November 2019 examinations.

4.2 Scope and Approach

Umalusi audited the BAA on its readiness to administer the combined June and November 2020 GETC: ABET examinations. Umalusi adopted an RMB approach in evaluating the level of preparedness of assessment bodies to conduct the 2020 GETC: ABET examinations. The intention of the RMB approach was to timeously identify any potential risk that might compromise the delivery of a credible examination and advise the BAA accordingly.

The following process was implemented:

a) Desktop evaluation

The BAA used an instrument provided by Umalusi to conduct a self-evaluation on each process of the examination cycle. Umalusi used the self-evaluation reports submitted by the BAA to conduct a desktop analysis on the findings.

b) Risk analysis and feedback

Umalusi used the submitted documents to determine a risk profile. The process identifies potential risks that may compromise the credibility of the 2020 examinations.

c) Conduct of evidence-based audits

Unlike the previous years, Umalusi did not conduct on-site verification visits to the BAA's office in 2020. The evidence-based verification audits were performed through remote analysis of submitted evidence from BAA. Considering the new method of submission administered for 2020, the information

set out in this report is limited to the findings, verified evidence and data provided by the BAA at the time of the subsequent submissions.

4.3 Summary of Findings

The findings on the conducted analysis audits are presented below in line with the predetermined key indicators for each of the focus areas used to assess and evaluate the state of readiness to conduct examinations.

4.3.1 Compliance Status on Readiness Levels to Conduct, Administer and Manage the GETC: ABET Examinations

a) Management: Capacity to Carry out the Quality Assurance of Examination and Assessment Process by the Assessment Body

Umalusi audited the state of readiness of the BAA and found that the assessment body had adequate experienced human capital in key positions to manage and conduct the 2020 GETC: ABET examinations. The assessment body had reviewed its policies and guidelines to be COVID-19 compliant. COVID-19 compliance measures were put in place to address possible challenges that may compromise the delivery of credible examinations.

b) Registration

i) Candidates

The registration of candidates was conducted and finalised. The number of registered candidates to write the combined November 2020 examination was 105, compared to 586 in 2019. Three applications for concessions were received.

ii) Examination centres

Verification audits performed by Umalusi indicated that audits at all BAA centres to conduct and manage the combined June and November 2020 examination were not finalised at the time of submission. The BAA would administer the combined examinations at 17 registered examination centres.

c) Printing, Packaging and Distribution

The BAA had a management plan and a signed contract with Elite Print and Projects (Pty) Ltd for the in-house printing, packaging and distribution of question papers and other examination materials. Umalusi acknowledged the following security measures in this regard:

- i. All staff assigned to work at the printing facility had to sign confidentiality declaration forms;
- ii. The printing site was secured and had closed-circuit television (CCTV) cameras situated inside and outside the printing, packaging and distribution area;
- iii. Question papers were stored in two strong rooms with double-locking systems under camera surveillance; and
- iv. BAA appointed a courier company to distribute and collect the question papers on a weekly basis to and from the examination centres until 18 November 2020.

d) Management of Internal Assessment

Umalusi verified the management plan for the submission, processing and moderation of site-based assessment (SBA). BAA scheduled 21 and 22 November 2020 to conduct the moderation of the SBA

portfolios, and Umalusi scheduled 28 and 29 November 2020 to conduct the external moderation of SBA portfolios during the marking process.

e) Monitoring of Examinations

Umalusi verified the BAA monitoring plan and strategies to ensure effective monitoring of the November 2020 examinations. A two-tier monitoring approach, including head office and provincial monitors, would be used. Two BAA officials and four external monitors would be deployed to monitor the examinations.

There was no evidence of the training of examination monitors. Resident monitors would not be deployed during the examinations. Ten examination centres were to be sampled for monitoring purposes. There was no evidence of monitor training.

The COVID-19 Policy on the Conduct, Administration and Management of Examinations for the November 2020 GETC: ABET examinations was submitted. An audit of COVID-19 compliance at all examination centres was not finalised at the time of submission.

f) Management of Examination Irregularities

The BAA has a functional Examination Irregularity Committee (EIC) to oversee examination and assessment irregularities. The BAA submitted the COVID-19 Policy on the Conduct, Administration and Management of Examinations 2020, which outlines the management of the EIC.

g) Marker Audit and Appointments

The BAA had populated the Excel spreadsheet provided by Umalusi with the required information on appointed marking personnel, criteria used for appointments and number of appointed marking personnel. Verification of evidence would be done during the marking process.

h) Systems for Capturing of Examination and Assessment Marks

The Quality Assurance Manager was responsible for generating data capturing reports to verify that all registered candidates would be resulted correctly. The Quality Assurance Manager randomly verifies the quality of capturing of GETC: ABET marks against the system. The BAA verified manual hand-written mark sheets for the late registration of candidates. A double-capturing process and capturing of marks directly from the answer scripts was used.

4.3.2 Areas with Potential Risk to Compromise the Credibility of Examinations

The verification audits conducted by Umalusi of each process of the examination cycle did not identify any area with the potential risk to compromise the credibility of the combined June and November 2020 GETC: ABET examinations.

4.4 Areas of Improvement

The following was noted as improvement:

In promoting adherence to COVID-19 compliancy, the BAA developed safety measures to address possible challenges that may compromise the delivery of credible examinations.

4.5 Areas of Non-compliance

Based on the submission by the BAA, Umalusi did not identify any areas of non-compliance that would affect the delivery of credible examinations. There was no evidence of the training of examination monitors.

4.6 Directives for Compliance and Improvement

Umalusi did not issue any directives for compliance and improvement as there were no identified areas of non-compliance in the submission to Umalusi.

4.7 Conclusion

The findings of the verification audit confirmed the readiness of the BAA to conduct, administer and manage the combined June and November 2020 GETC: ABET examinations. The BAA is commended on the measures taken to ensure that COVID-19 protocols were adhered to in promoting the delivery of credible examinations.

CHAPTER 5 MONITORING OF WRITING AND MARKING OF EXAMINATIONS

5.1 Introduction

Umalusi monitors the conduct, administration and management of national examinations to ensure the delivery of a credible examination during challenging times. The November examination cycle, managed by the Benchmark Assessment Agency (BAA), provides candidates who are registered to write the General Education and Training Certificate: Adult Education and Training (GETC: ABET) with opportunities to pursue further studies in education.

With the surge of the COVID-19 pandemic in South Africa, all stakeholders are compelled to follow safety protocols. Umalusi facilitated virtual training to equip all monitors to adhere to established protocols by reporting to examination centres an hour prior to the commencement of examinations.

The November 2020 GETC: ABET examination cycle commenced on 2 November 2020 and ended on 13 November 2020. This was followed by the marking of the answer scripts from 28 to 29 November 2020. Umalusi monitored a predetermined sample of 12 examination centres that was representative of the nine provinces.

5.2 Scope and Approach

The November 2020 GETC: ABET examinations managed by the BAA were administered at 14 examination centres. Umalusi monitored 12 predetermined centres during the writing phase (2-9 November 2020). Subsequently, Umalusi monitored the marking, on Saturday, 28 November 2020. Table 5A provides details of the examination and marking centres monitored by Umalusi.

Table 5A: Examination centres monitored for the writing of examinations

No.	Province	Centre	Date	Learning area	Candidates
1.	Gauteng	Waco Centurion (Formscaff)	6/11/2020	Communication in English	1 (registered) 1 (wrote)
2.		Euro Steel	6/11/2020	Communication in English	2 (registered) 2 (wrote)
3.		Nchafatso Training Centre	9/11/2020	Economic and Management Sciences	9 (registered) 8 (wrote)
4.	Limpopo	Samancor Eastern Chrome Mine	2/11/2020	Mathematical Literacy	15 (registered) 11 (wrote)
5.	Western Cape	Omnico Media Works Cape	6/11/2020	Communication in English	2 (registered) 2 (wrote)
6.		Donkerbos	6/11/2020	Communication in English	4 (registered) 3 (wrote)
7.		Oakley House	4/11/2020	Life Orientation	3 (registered) 3 (wrote)

No.	Province	Centre	Date	Learning area	Candidates
8.	Eastern Cape	Elson Academy	4/11/2020	Life Orientation	3 (registered) 2 (wrote)
9.		Sikhula Sonke Enterprises	2/11/2020	Mathematical Literacy	2 (registered) 2 (wrote)
10.		Algoa Bus	6/11/2020	Communication in English	1 (registered) 1 (wrote)
11.	North West	Pilanesberg Platinum Mine	4/11/2020	Life Orientation	13(registered) 13 (wrote)
12.		Tharisa Mine	6/11/2020	Communication in English	3 (registered) 3 (wrote)
Marking centre monitored					
1.	Gauteng	Spaces Menlyn Main, Amarand Avenue, Garstfontein, Pretoria			28/11/2020

Umalusi evaluated the levels of compliance of centres on the conduct, administration and management of the examinations using the Instrument for Monitoring of the Examinations: Writing Phase to collect data from the centres visited. Umalusi adopted the following approach:

- Data was collected using the monitoring instrument, which consisting of seven critical criteria, as reflected in Table 5B;
- Data was collected using the submitted self-evaluation reports from the BAA to conduct a desktop analysis on the findings of each process of the examination cycle in accordance with the instrument provided by Umalusi;
- Data was collected through online engagements with the BAA and verification of evidence submitted to Umalusi on the monitored centres; and
- Completed reports on overall findings were submitted by Umalusi monitors.

The findings are detailed below in a consolidated analysis of the reports from the monitoring of the marking centres during the writing of examinations.

5.3 Summary of Findings

Table 5B summarises the findings from the monitoring of examination centres during the writing of examinations. These findings are recorded according to the seven critical criteria used.

Table 5B: Compliance levels in each key monitoring area per centre monitored

Key monitoring area	Examination centres											
	Pilanesberg Platinum Mine	Tharisa Mine	Nchafatso Training Centre	Waco Centurion	Eurosteel	Omnico	Oakley House	Donkerbos	Samancor (Eastern Chrome Mine)	Algoa Bus	Elson Academy	Sikhula Sonke Enterprises
Preparation for the examination	100	100	93	100	100	100	100	80	100	87	80	73
Invigilators and their training	100	100	100	100	100	100	100	100	75	50	0	0
Preparation for writing	100	100	100	100	92	100	92	100	92	67	41	33
Time management of activities	100	100	100	100	100	100	85	69	77	54	62	38
Activities during writing	100	100	75	100	100	100	88	100	100	88	63	75
Packaging and transmission of scripts after writing	90	90	90	100	100	100	90	100	100	100	100	90
Total	590	590	558	600	592	600	555	549	544	446	346	309
Average percentage	98	98	93	100	99	100	92	91	91	74	58	52

a) Preparation for the Examination

Nine out of 12 monitored examination centres complied with the criterion on preparation for the examination by achieving compliance of at least 80%. The centre with the lowest compliance rate of 73% was Sikhula Sonke Enterprises.

Pre-audits to write the examinations were not done at Sikhula Sonke Enterprises, Nchafatso Training Centre and Elson Academy. There were no water facilities available at Sikhula Sonke Enterprises, while Donkerbos had inadequate lighting in the examination room.

Eleven examination centres had a copy of the official timetable for the current examination. These centre complied with the delivery and collection of sealed question papers, with the exception of Elson Academy, where question papers were not sealed in the security bag at the time of delivery and no official timetable was available, while at Algoa Bus, there were no copies of dispatch documents. Sikhula Sonke Enterprises, Algoa Bus and Donkerbos did not have a strong room or safe available to store the examination material.

At ten centres, the examination materials arrived in sealed plastic envelopes. They were stored in strong rooms and safes after delivery at the examination centres, and were accessed by authorised personnel, with the exception of two examination centres (Sikhula Sonke Enterprises and Donkerbos), where the examination material was stored in steel cabinets in the offices.

b) Invigilators and their Training

Eight out of 12 monitored examination centres had a compliance level of 100%. Two centres had compliance levels of 75% and 50%, respectively, and the lowest level of compliance was 0% at two centres. The non-compliance at the two centres (Sikhula Sonke Enterprises and Elson Academy) was due to:

- i. The absence of a letter of delegation for the chief invigilator, where the chief invigilator was not the principal or centre manager;
- ii. The chief invigilator not being trained for the current examination (another examination centre, Algoa Bus, did not meet this criterion either);
- iii. The absence of appointment letters for the chief invigilator; and
- iv. Invigilators not being trained for the current examinations (two other examination centres, Algoa Bus and Samancor Eastern Chrome Mine, did not meet this criterion either).

c) Preparations for Writing

Six out of 12 examination centres monitored were 100% compliant for this key monitoring criterion. Three examination centres were 92% compliant, while three other centres had compliance levels of 67%, 41% and 33% (Sikhula Sonke Enterprises). The non-compliance was due to the following:

- i. At Sikhula Sonke Enterprises and Algoa Bus, candidates were admitted into the examination venue at 09:00, while at Elson Academy, candidates were admitted at 08:50 and admission letters were not verified at these two examination centres;
- ii. At four examination centres (Samancor Eastern Chrome Mine, Elson Academy, Sikhula Sonke Enterprises and Algoa Bus), there was no examination information on the board; while at four examination centres (Sikhula Sonke Enterprises, Euro Steel, Oakley House and Elson Academy), no invigilation or relief timetables were available;
- iii. No seating plans were available for candidates at Sikhula Sonke Enterprises, Algoa Bus and Elson Academy, while at Sikhula Sonke Enterprises and Elson Academy, no examination files were available; and
- iv. At Sikhula Sonke Enterprises and Algoa Bus, no clocks were available, and at Elson Academy and Sikhula Sonke Enterprises, candidates were not checked for cell phones and other materials before entering the examination venue.

d) Time Management of Activities during the Examination

Six out of 12 examination centres were 100% compliant in this key monitoring area. These centres were Pilanesberg Platinum Mine, Tharisa Mine, Nchafatso Training Centre, Waco Centurion, Euro Steel and Omnicor. Seven examination centres had between 85 and 38% compliance due to the following:

- i. Candidates were not admitted 30 minutes before the start of the examination at Sikhula Sonke

- Enterprises, Algoa Bus, Donkerbos and Elson Academy, while at Sikhula Sonke Enterprises, there were no attendance registers for candidates;
- ii. Question papers were not opened in front of the candidates at Elson Academy and Oakley House, while at Sikhula Sonke Enterprises, Donkerbos, Elson Academy and Samancor Eastern Chrome Mine, they were not distributed on time;
 - iii. Question papers were not checked for technical accuracy with the candidates at Sikhula Sonke Enterprises, Algoa Bus, Oakley House and Elson Academy;
 - iv. Candidates were not given the prescribed reading time before writing at Sikhula Sonke Enterprises, Elson Academy, Samancor Eastern Chrome Mine and Algoa Bus;
 - v. Examinations did not start on the time as indicated on the timetable at Sikhula Sonke Enterprises, Donkerbos, Algoa Bus and Samancor Eastern Chrome Mine, while at Donkerbos and Nchafatso Training Centre, the examination did not end on time; and
 - vi. Question papers were not opened in front of the candidates at Elson Academy and, due to a shortage of question papers in the previous examination, the bag was opened prior to the examination to verify the number of scripts available.

e) Activities during Writing

Seven of the 12 centres complied fully with the criteria for this key monitoring area, while five other centres were 88%, 75% and 63% compliant:

- i. Invigilators were vigilant at ten examination centres, while at two examination centres (Sikhula Sonke Enterprises and Elson Academy), invigilators were busy on their cell phone and laptop, respectively;
- ii. Irregularities were noted during writing at Sikhula Sonke Enterprises and Elson Academy, while at Oakley House, a female invigilator accompanied a male candidate to the toilet as there was no relief invigilator available; and
- iii. Candidates were allowed to leave the examination room within the last 15 minutes of the examination session at Algoa Bus, Nchafatso Training Centre and Elson Academy.

f) Packaging and Transmission of Scripts after Writing

Seven out of 12 examination centres were 100% compliant with this key monitoring area. These centres were Waco Centurion, Euro Steel, Omnico, Donkerbos, Samancor Eastern Coal Mine, Algoa Bus and Elson Academy, while five of the 12 examination centres monitored did not complete situational reports and were 90% compliant. These centres were Pilanesburg Platinum Mine, Sikhula Sonke Enterprises, Tharisa Mine, Nchafatso Training Centre and Oakley House.

g) Monitoring by the Assessment Body

Six out of 12 examination centres were monitored by the assessment body and only five centres had reports available. At six of the 12 centres, there was no evidence of monitoring by the BAA. These centres were Samancor Eastern Coal Mine, Sikhula Sonke Enterprises, Tharisa Mine, Donkerbos, Elson Academy and Algoa Bus.

h) COVID-19 Compliance

At all 12 examination centres, candidates and invigilators wore masks and adhered to at least 1 m spacing protocols. At ten of the 12 examination centres, a plan was in place to deal with candidates showing symptoms of COVID-19, while at Donkerbos and Nchafatso Training Centre, no plans were in place.

5.3.1 Monitoring the Marking of Examinations

Umalusi monitored the marking of examination scripts on 28 November 2020. The marking centre

provided the number of scripts to be marked and the number of marking personnel, as indicated in Table 5C.

Table 5C: Learning area information

Learning area	Number of scripts	Marking personnel
Communication in English	54	5
Mathematical Literacy	44	6
Life Orientation	27	2
Economic and Management Sciences	9	2
Human and Social Sciences	10	2
Small, Medium and Micro Enterprises	11	2

a) Planning for Marking

The BAA developed a detailed marking management plan for 2020 that was implemented by the marking centre manager and included indicators for pre-marking, live marking and post-marking. The marking took place from 28 to 29 November 2020 and the marking personnel, including the management team, reported for duty on 28 November 2020.

The BAA selected and appointed 12 marking personnel from a pool of markers according to the appointment criteria. Training for all selected and appointed marking personnel was conducted according to the management plan on 31 October 2020.

Each appointed marking personnel received the relevant question paper a week before live marking via email in preparation for marking. A scanned sampled script per learning area, Set A, and an accompanying marking guideline was sent to each marking personnel two days after the question paper to practice and familiarise themselves with marking. On the day of marking, each internal moderator collected the examination scripts for the respective learning areas from the marking centre manager and distributed them to the marking team.

As scripts arrived at the BAA's head office, they were verified and moved to the strong room until the day of marking. The marking centre manager and internal moderator counted each batch of scripts per centre and signed the receipt of examination scripts form prior to distributing the scripts to the markers. After completion of the marking process, the internal moderator collected the examination scripts and mark sheets and returned them to the marking centre manager, where they recounted the examination scripts per learning area and signed the handover of examination script form.

To ensure that all scripts were accounted for during marking, a form was filled in when answer scripts were moved to the marking rooms and back to the marking centre manager after completion of marking.

b) Marking Centre

Marking took place at Spaces Menlyn Maine in Amarand Avenue, Garstfontein, Pretoria. This facility was conducive to marking, well-resourced and fit for purpose. There was a script control room and six marking rooms to accommodate the markers. The furniture was suitable for marking and was sufficient for the number of markers per room and per learning area.

The marking centre complied with occupational health and safety (OHS) requirements. There were evacuation signs, serviced fire extinguishers, and ablution and water facilities on the floor that the

markers occupied. The BAA did not provide accommodation for the markers as they all resided in Gauteng. The marking personnel was provided with good-quality refreshments and lunch.

c) Security

The BAA appoints its own security service during marking. There was a security guard outside the building, while there were no security personnel available inside the marking centre to provide services to the BAA. The security service that was hired did not arrive at the examination marking centre.

Access to the marking centre premises was by arrangement and only authorised people were allowed into the marking area. An access control register with the written names of authorised people only was signed accordingly when they entered the marking area. Marking and management personnel, including the Umalusi monitors, were required to sign in at the front desk and name tags were to be worn at all times.

There were no security measures in place to transport scripts to and from the marking centre.

d) Handling of Irregularities

During the training session, markers were made aware of the types of irregularities that could occur. Each office has an irregularity report and irregularity register to document irregularities. When an irregularity is established, the internal moderator, marker or chief marker will present a report to the centre marking manager with completed relevant details of the registered candidate.

Scripts are not removed and marks are still captured accordingly. The Examination Irregularity Committee (EIC) will investigate the matter further and it may necessitate the student's marks being found null and void, depending on the evidence.

The BAA had measures in place to deal with missing scripts. The marking centre did not experience any irregularities.

5.4 Areas of Improvement

The following finding was noted:

With the exception of the key monitoring area of packaging and transmission of scripts, which had the same results for November 2019 and 2020, respectively, all other monitoring areas for November 2020 recorded performances lower than those of November 2019.

5.5 Areas of Non-Compliance

The following areas of non-compliance were observed (refer to Annexure 5.1):

- a. There were no water facilities available;
- b. Question papers were not sealed in the security bag at the time of delivery;
- c. No official timetable was available;
- d. No copies of dispatch documents were available;
- e. Examination material was stored in steel cabinets in the offices;
- f. Chief invigilators were not trained and appointed in writing for the current examination;
- g. Invigilators were not trained and appointed in writing for the current examination;
- h. Attendance registers for invigilators were not available;
- i. There was no invigilation and relief timetable;

- j. Examination files were not available;
- k. No seating plan was evident for writing the subject of the day;
- l. Candidates were not admitted to the examination room 30 minutes before the start of the examination;
- m. The question paper was not opened in front of the candidates;
- n. Question papers were not distributed on time;
- o. Invigilators did not check the question papers for technical accuracy;
- p. Examinations did not start and end on time as indicated in the timetable;
- q. Invigilators were not vigilant during the writing of examinations;
- r. Non-compliance was noted during writing;
- s. Chief invigilators did not complete situational reports; and
- t. Candidates were allowed to leave the examination room within the last 15 minutes of the examination session.

Annexure 5A outlines a summary of areas of non-compliance and the centres affected.

5.6 Directives for Compliance and Improvement

The BAA is required to ensure that:

- a. The examination centres are audited and their readiness to conduct examinations verified, and a report on findings and recommendations must be available as evidence;
- b. Chief invigilators are trained by the assessment body, invigilators are trained for every examination cycle, and evidence relating to training and appointment letters must be issued to all examination centres and examination personnel;
- c. Monitoring visits to examination centres with low compliance levels are increased to ensure adherence with the policy of the examinations as prescribed for the conduct and administration of examinations;
- d. Reports on the findings and recommendations for improvement must be left at the examination centres to track improvement measures and as proof that external monitoring was conducted; and
- e. Security measures at the marking centres are implemented and adhered to according to the marking management plan.

5.7 Conclusion

The writing of the November 2020 GETC: ABET examinations proceeded well, with the exception of irregularities noted at two centres. There was no improvement from November 2019 as the performance was lower for the November 2020 examination in all five monitoring areas, with the exception of the same results for packaging and the transmission of scripts after writing. Some examination centres did not address the directives for compliance and improvement that were raised in the November 2019 examination cycle. These directives related to the training of invigilators, the compilation of seating plans for candidates and admitting candidates into the examination room 30 minutes prior to the start of the examination as prescribed.

The directives for compliance and improvement issued in November 2019 regarding the BAA's marking of examinations related to the evaluation and monitoring of examination centres to ensure compliance with the policy for examinations as prescribed for the conduct and administration of examinations in November 2020. In addition to non-compliance pertaining to security measures, the repetition of the same occurrences in 2019 were noted in 2020.

With the exception of serious irregularities at two centres, non-compliance issues were noted at some of the examination centres where incidents were minimal and would not pose any threat to the integrity and credibility of the conduct and management of the 2020 November GETC: ABET examinations administered by the BAA.

CHAPTER 6 AUDIT OF APPOINTED MARKING PERSONNEL

6.1 Introduction

Umalusi audits the selection and appointment of marking personnel to ensure that the quality and standard of marking of candidates' scripts of the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) examinations are maintained. Inconsistency in the marking of scripts compromises the fairness and reliability of marks awarded to candidates and therefore threatens the credibility of the GETC: ABET examinations and the qualification as a whole.

The appointment of qualified and competent marking personnel is imperative for assessment bodies and for Umalusi. The purpose of this process was to verify the quality of marking personnel appointed, and to monitor the training of marking personnel who would be involved in the marking and moderation of marking of the November 2020 GETC: ABET examinations.

6.2 Scope and Approach

Umalusi requested the Benchmark Assessment Agency (BAA) to submit information on the appointment of marking personnel for the November 2020 GETC: ABET examinations. An Excel spreadsheet was provided as a template. Umalusi conducted a desktop audit of appointed marking personnel. Verification of evidence was conducted at the BAA's offices and marking venue during the marking process from 27 to 29 November 2020.

In conducting the audit, Umalusi verified the following documents:

- a. Application forms;
- b. Qualifications of applicants;
- c. Appointment criteria; and
- c. List of appointed marking personnel.

Umalusi verified all applications for the purpose of verifying whether suitably qualified and experienced marking personnel were appointed to mark the November 2020 GETC: ABET examinations. Umalusi also verified whether novice markers were included in the appointed marking personnel.

6.3 Summary of Findings

Files of marking personnel, whose names were on a list provided by the BAA, were verified. The list contained a pool of independent officials contracted as examiners, internal moderators and markers for the various learning areas assessed by the BAA. The total number of marking personnel to be appointed per learning area was determined by the number of candidates who wrote the November 2020 GETC: ABET examinations in each learning area.

The BAA selected and appointed 20 marking personnel, comprising markers, chief markers and internal moderators, from the pool of contract workers. Table 6A shows the number of marking personnel appointed by the BAA per learning area to mark the November 2020 GETC: ABET examinations.

Table 6A: Appointed marking personnel per learning area

Learning area	No. of scripts	Markers	Senior markers	Chief markers	Internal moderators	Total
Communication in English	54	3	0	1	1	5
Economic and Management Sciences	9	0	0	1	1	2
Human and Social Sciences	10	0	0	1	1	2
Life Orientation	27	1	0	1	1	3
Mathematical Literacy	44	4	0	1	1	6
Small, Medium and Micro Enterprises	11	0	0	1	1	2
Total	155	8	0	6	6	20

6.3.1 Criteria for the Appointment of Marking Personnel

The following are the findings relating to the criteria for the appointment of marking personnel (i.e. markers, examiners and internal moderators).

a) Markers

To be considered for appointment, applicants must:

- i. Submit a curriculum vitae showing tertiary qualifications;
- ii. Have a three- or four-year teaching diploma or degree;
- iii. Have a qualification in the learning area applied for;
- iv. Have at least two years' teaching experience in the relevant learning area at adult education and training (AET) Level 4 or equivalent;
- v. Occupy a teaching, training facilitator or lecturing position at an educational institution or a curriculum support position, and be involved in the learning area;
- vi. Have the necessary language proficiency and learning area competency to mark examination answer scripts; and
- vii. Have their qualifications evaluated by the South African Qualifications Authority (SAQA) (this applies to foreign nationals).

The criteria did not specify requirements in terms of different categories of marking personnel, e.g. markers, senior markers, chief markers and internal moderators.

b) Chief Markers and Internal Moderators

The BAA has a pool of examiners and internal moderators who are contracted to develop and moderate AET question papers, site-based assessment (SBA) tasks and SBA portfolios. These examiners and internal moderators are automatically appointed to manage the marking process.

6.3.2 Completion of Application Form

Umalusi verified the application forms of all appointed markers and the contracts of examiners and internal moderators. Examiners and internal moderators were not required to complete applications. All application forms were completed in full and all applicants attached the required documents. It was only in Mathematical Literacy that the required documents of one applicant were not certified.

6.3.3 Qualifications and Learning Area Specialisation

The BAA indicated that personnel who would be involved in the November 2020 GETC: ABET marking would be selected from the BAA's database. According to the BAA, all the individuals in its database have the required qualifications. This section discusses the findings on the verification of qualifications and learning area specialisation of markers, chief markers and internal moderators.

a) Markers

Table 6B indicates the lowest and highest qualifications of appointed markers per learning area.

Table 6B: Qualifications of appointed markers

No.	Learning area	Qualification		Learning area specialisation
		Lowest	Highest	
1.	Communication in English	Assessor and moderator	BEd	Not indicated
2.	Economic and Management Sciences	Assessor and moderator	PGCE	Not Indicated
3.	Human and Social Sciences	None	Not indicated	Not indicated
4.	Life Orientation	Advanced Certificate in Education	Diploma in Education	Life Orientation in 1/2
5.	Mathematical Literacy	Diploma in ABET	BSc in Mathematics	Mathematics indicated in 1/6
6.	Small, Medium and Micro Enterprises	Diploma in ABET	MEd	Not indicated

Although most markers had the required qualifications to conduct teaching and facilitation in the AET sector, some markers were in possession of qualifications that are not a requirement to teach or facilitate teaching and learning (assessor and moderator training in Communication in English and in Economic and Management Sciences). Learning area specialisation was not indicated in all applications and qualifications in four out of six learning areas. One out of two applicants in Life Orientation and one out of six applicants in Mathematical Literacy indicated specialisation in the learning area applied for.

b) Chief Markers and Internal Moderators

Chief markers and internal moderators are in possession of the minimum of an ABET Certificate, and the maximum of an M.Ed. qualifications. The learning area specialisation in each learning area was mostly not indicated. The qualifications of the chief marker in HSSC4 were not indicated, and the internal moderator did not have requisite qualifications. The BAA indicated that the internal moderator was currently studying towards a qualification that was also not indicated. The criteria did not specify requirements in terms of different categories of marking personnel, e.g. markers, senior markers, chief markers and internal moderators.

6.3.4 Teaching/Facilitation Experience

The following are the findings in relation to the teaching and facilitation experience of the appointed marking personnel.

a) Markers

Table 6C indicates the lowest and highest qualifications of appointed markers per learning area.

Table 6C: Teaching/facilitation experience of appointed markers

No.	Learning area	Teaching/facilitation experience		Currently teaching NQF 1
		Lowest	Highest	
1.	Communication in English	6 years	20 years	3/5
2.	Economic and Management Sciences	8 years	11 years	3/3
3.	Human and Social Sciences	5 years	12 years	1/2
4.	Life Orientation	5 years	26 years	1/2
5.	Mathematical Literacy	5 years	23 years	5/6
6.	Small, Medium and Micro Enterprises	7 years	27 years	2/2

In all the six learning areas, there were markers who were not teaching or facilitating the learning areas in 2020. The highest number was in LCEN4, with two appointed markers not teaching the learning area in 2020. The HSSC4, LIFO4 and MLMS4 learning areas had one marker each who was not teaching or facilitating the learning area in 2020.

b) Chief Markers and Internal Moderators

Chief markers and internal moderators had the required experience in teaching or facilitation that ranged from five to 27 years, including experience in assessment per learning area. The criteria did not specify requirements in terms of different categories of marking personnel, e.g. markers, senior markers, chief markers and internal moderators.

6.3.5 Marking Experience

This section discusses the findings on the verification of the marking experience of marking personnel.

a) Markers

Table 6D indicates the lowest and highest qualifications of appointed markers per learning area.

Table 6D: Marking experience of appointed markers

No.	Learning area	Marking experience		Comments
		Lowest	Highest	
1.	Communication in English	2 years	20 years	One not indicated, no novice markers
2.	Economic and Management Sciences	8 years	10 years	No novice markers
3.	Human and Social Sciences	4 years	11 years	No novice markers
4.	Life Orientation	10 years	26 years	No novice markers
5.	Mathematical Literacy	5 years	20 years	No novice marker
6.	Small, Medium and Micro Enterprises	6 years	27 years	No novice marker

In all learning areas, novice markers were not accommodated during the appointment of marking personnel. In one learning area (LCEN4), one marker did not indicate their marking experience.

b) Chief Markers and Internal Moderators

Chief markers and internal moderators had a marking experience of between six and 27 years. The criteria did not specify requirements in terms of different categories of marking personnel, e.g. markers, senior markers, chief markers and internal moderators.

6.4 Areas of Improvement

The following was noted as an area of improvement:

- a. The BAA contracts examiners and internal moderators for five years. This ensures consistency and stability in the development of examination question papers, SBA tasks and the marking process.

6.5 Areas of Non-compliance

The following was noted as a concern:

- a. The criteria for the appointment of marking personnel did not differentiate specific requirements in terms of different categories of marking personnel, e.g. markers, senior markers, chief markers and internal moderators;
- b. There was no evidence of qualifications in the learning area applied for in four out of six learning areas; and
- c. In all the six learning areas, there was at least one marker who was not teaching or facilitating the learning area in 2020.

6.6 Directives for Compliance and Improvement

The BAA must ensure that:

- a. The criteria for the appointment of marking personnel indicates the specific requirements per category of marking personnel;
- b. Evidence of qualifications (specialisation) in the learning area applied for is included for verification; and
- c. All appointed marking personnel are involved in teaching, facilitation or support in each learning area.

6.7 Conclusion

Umalusi conducted the audit of the appointed marking personnel for the marking of the November 2020 GETC: ABET examinations of the BAA. Umalusi found that the process of recruiting and appointing marking personnel had been properly conducted. Although most appointed marking personnel met the requirements set by the BAA, there were areas in which criteria for appointment were not fully applied or adhered to. This area needs improvement so that the quality of marking is not compromised. There was no evidence of qualifications and specialisation in the learning area applied for. This should be included to verify whether the BAA attracts applicants with content knowledge and experience in each learning area. This will also improve the quality of marking and moderation.

CHAPTER 7 QUALITY ASSURANCE OF MARKING

7.1 Introduction

The quality assurance of marking conducted for the Benchmark Assessment Agency (BAA) comprised two processes: the standardisation and approval of the marking guidelines, and the verification of marking candidates' scripts.

The standardisation of marking guidelines provides a platform for markers, examiners, internal moderators and Umalusi's external moderators to discuss expected responses to each question of the question paper written during the examinations. Standardisation of marking guideline meetings ensure that all personnel involved in the marking process have a common understanding and interpretation of the marking guidelines. Furthermore, this process aims to ensure that all possible alternative responses are included in the final marking guidelines. Participants are expected to engage in discussions and agree on the expected responses before the final marking guidelines are approved.

Verification of marking is the quality assurance process conducted by Umalusi to ascertain that marking is conducted fairly and that marking guidelines are applied consistently in all learning areas. The verification of marking evaluates adherence to the standardised marking guidelines that Umalusi approved during the standardisation of marking guideline meetings. The purpose of verifying the marking is to:

- a. Determine whether markers adhere consistently to the approved marking guidelines;
- b. Determine whether mark allocation and calculations are accurate;
- c. Ascertain if internal moderation is conducted during marking;
- d. Identify possible irregularities; and
- e. Confirm that marking is fair, reliable and valid.

7.2 Scope and Approach

The BAA conducted the standardisation of marking guideline for the November 2020 General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) examinations on 28 November 2020 in preparation for the marking process. Marking guidelines of six learning areas were standardised. The process took place at Spaces Office Park, Menlyn Maine, Garstfontein, Pretoria, the BAA's marking centre.

Umalusi deployed one moderator per learning area to attend the meeting. Umalusi's moderators reported on the findings using the Quality Assurance Instrument for the Monitoring of the Standardisation of Marking Guidelines. The instrument requires moderators to report their findings based on the following criteria:

- a. Attendance of internal moderators, examiners and markers of the meetings;
- b. Verification of question papers;
- c. Preparation for the standardisation of marking guidelines;
- d. Standardisation of marking guidelines process;
- e. Training at the standardisation of marking guideline meetings; and
- f. Approval of the final marking guidelines.

Umalusi's moderators attended the standardisation of marking guidelines meetings to monitor the proceedings, provide guidance where needed, take final decisions and approve the final marking guidelines to be used during actual marking. After the standardisation of marking guideline meetings, Umalusi conducted the verification of marking in all six learning areas.

Verification of marking was conducted soon after the finalisation and approval of the final marking guidelines. Umalusi selected samples of scripts for verification while the marking process was in progress. The selected samples were representative of candidates' different levels of achievement. On-site verification of marking enabled the marking personnel to implement the recommendations of Umalusi's moderators immediately while marking was under way.

Umalusi's moderators conducted the verification of marking and reported on the findings using the Quality Assurance Instrument for the Verification of Marking. The instrument focuses on the following criteria:

- i. Adherence to marking guidelines;
- ii. Quality and standard of marking;
- iii. Irregularities; and
- iv. Performance of candidates.

7.3 Summary of Findings

This section summarises the findings on the standardisation of marking guidelines and the verification of marking conducted by Umalusi on the BAA's processes.

7.3.1 Standardisation of Marking Guidelines

To gauge the success of the standardisation of marking guideline meetings, Umalusi's moderators checked attendance, preparation and the rigour with which the meetings were conducted. This section reports on the findings of the standardisation of marking guidelines, as observed by Umalusi, regarding compliance with each criterion.

a) Attendance of Marking Personnel

This criterion checks the attendance of markers, examiners and internal moderators of the standardisation of marking guideline meetings. It is mandatory that anyone who will be involved in the marking and quality assurance of marked scripts attends these meetings. The standardisation of marking guideline meetings were attended by chief markers, internal moderators and markers.

Table 7A indicates the number of marking personnel who attended the standardisation of marking guideline meetings per learning area.

Table 7A: Number of marking personnel per learning area

No.	Learning area	Number of marking personnel
1.	Communication in English (LCEN4)	6
2.	Economic and Management Sciences (EMSC4)	2
3.	Human and Social Sciences (HSSC4)	2
4.	Life Orientation (LIFO4)	2
5.	Mathematical Literacy (MLMS4)	6
6.	Small, Medium and Micro Enterprises (SMME4)	2

Communication in English (6) and Mathematical Literacy (6) had the highest number of marking personnel. Economic and Management Sciences, Human and Social Sciences, Life Orientation, and Small, Medium and Micro Enterprises (2) all had the same number of marking personnel in attendance.

b) Verification of Question Papers and Marking Guidelines

This criterion verifies that the question paper and accompanying marking guideline to be discussed are those approved by Umalusi during external moderation. One of the responsibilities of Umalusi's moderators was to verify that the question paper written by candidates was the one approved by Umalusi during the moderation process. This was done in all six learning areas at the beginning of the process. Umalusi's moderators confirmed that all question papers were the final versions that were approved during the external moderation process.

c) Preparation for the Standardisation of Marking Guideline Meeting

This criterion verifies the preparations carried out by marking personnel before attending standardisation of marking guideline meetings. The BAA sent question papers and their respective marking guidelines to all marking personnel per learning area. Marking personnel were required to check the accuracy and correctness of the marking guidelines. This was done by checking each response against each question in the question paper. Marking personnel were required to include alternative responses in instances where there would have been omissions, correct incorrect responses and provide clarity on marking instructions where necessary. This was done to prepare for the discussions that would be conducted in groups at the standardisation of marking guideline meetings. Marking personnel in all learning areas came well prepared for the process.

d) Standardisation of the Marking Guidelines Process

This criterion checks the actual process of the standardisation of marking guidelines in each learning area. It also checks the quality and rigour of discussions per group. Decisions taken during the discussions are also checked. During the standardisation of marking guidelines, internal moderators chaired the meetings, with the exception of HSSC4, where the meeting was chaired by the chief marker.

The marking personnel started by confirming whether they had all received the question papers and corresponding marking guidelines sent to them. Then markers went through each item in the question paper and the corresponding response in the marking guideline. They discussed possible alternative responses to each item. Responses were corrected and marking instructions clarified. They finally agreed on a common marking guideline.

Before the approval of the final marking guideline, dummy scripts were marked to test the accuracy and usability of the standardised marking guideline. After marking dummy scripts, marking personnel in each learning area engaged in further discussions to clarify whatever challenges they may have

come across. Participants raised other alternative responses, and these were rigorously discussed before a decision was taken to accept or reject them. The standardisation of marking guideline meetings enhanced the level of understanding and contributed to a common interpretation of marking guidelines by the marking personnel.

The role of Umalusi during this process was to:

- i. Observe the proceedings;
- ii. Provide guidance on interpreting questions and the required responses;
- iii. Adjudicate where the marking personnel were unable to reach consensus about responses; and
- iv. Approve the final marking guidelines to be used during the marking process.

e) Training During the Standardisation of Marking Guidelines

This criterion checks whether training in the use of the amended marking guidelines was conducted. The achievement of a common understanding and interpretation of the marking process is also verified. Participants in the standardisation of marking guideline meetings are required to attend the discussions after having marked the dummy scripts provided to them by the BAA. They are expected to conduct pre-marking as a way of familiarising themselves with the candidates' responses.

After discussing the marking guidelines and incorporating any amendments, the marking personnel were required to mark another dummy script. This was done to test the accuracy of the amended marking guideline, as well as to check whether further amendments were required. This also checks if the marking instructions are clear and to establish if there is a common understanding and interpretation of the standardised marking guidelines.

f) Quality of the Final Marking Guidelines

Umalusi measured the quality and standard of the marking guidelines. Whether they included general marking instructions, the clarity of marking instructions and non-ambiguity are detailed to ensure reliability of marking, and to consider candidates' own wording of their responses. This criterion also checks the accuracy, correctness, inclusion of alternative responses and allowance for consistent accuracy in marking.

Once the marking guidelines had been approved, they were of the required quality. General marking and specific instructions per question had been clearly stated and were unambiguous. Marking guidelines were detailed to ensure the reliability of the marking process and considered candidates' own words in providing responses. Marking guidelines were accurate, correct and included all possible alternative responses approved by Umalusi and allowed for follow-on marking where required.

g) Approval of the Final Marking Guidelines

This criterion checks Umalusi has finally approved any amendments and the final marking guidelines. After Umalusi and the assessment body's marking personnel are satisfied with the amendments, Umalusi's moderators approve the final marking guidelines as the final documents to be used in the marking process. All marking guidelines used at the marking centre were approved as the final documents to be used during the marking process. This was done with the concurrence of Umalusi. Umalusi's moderators thus appended their signatures on the final marking guidelines as a sign of approval.

7.3.2 Verification of Marking

This section discusses the findings on the verification of marking conducted in all six learning areas. The findings are based on a sample of 80 scripts selected from the verification of marking process. The section anchors on the four key moderation criteria mentioned in section 7.2 and summarises the key qualitative findings per moderation criterion.

a) Adherence to the Marking Guideline

This criterion checks whether markers interpret and apply the approved marking guidelines consistently. It further verifies whether candidates' responses are credited, based on the merit concerning the examination item and the expected response in the marking guidelines.

Marking guideline discussion is conducted before marking takes place. During the marking guideline discussion, responses to questions are checked against the questions. If certain responses are found to be inaccurate, the marking guideline is corrected after the proposed changes are motivated. It is in this meeting that possible alternative responses to the questions are included.

In six learning areas (EMSC4, HSSC4, LCEN4, LIFO4, MLMS4 and SMME4), Umalusi found that markers consistently adhered to the marking guideline. In HSSC4, there were instances where discrepancies existed among the internal moderator, the marker and the external moderators, which suggested non-adherence to the approved marking guideline. These discrepancies were mainly caused by awarding marks for incorrect responses, marking incorrect responses correct, not awarding marks to correct answers, and the inaccurate adding of marks.

b) Quality and Standard of Marking

Umalusi measured the quality and standard of marking in terms of adherence to the marking guidelines, the correct allocation of marks per item, variation in marks between markers, internal moderators and Umalusi moderators, and the accurate totaling and transfer of marks.

The quality and standard of marking was good, even though there were minor challenges. Mark allocation was consistent, while there were a few cases where marks allocated by the marker differed insignificantly from the marks allocated by the internal moderator. These inconsistencies were, in all cases, identified and corrected. In SMME4, for instance, all 11 scripts were moderated by the external moderator. In those scripts, seven had marking errors that were corrected by the external moderator.

The HSSC4 question paper was an exception since all marks were changed by the external moderator. There were ten scripts in all, and the external moderator moderated all ten. In all of them, marks had been over-inflated. In certain instances, deviations were above 10% (e.g. 14% and 18%).

c) Alleged Irregularities

This criterion verifies whether the marking personnel had been trained and were able to identify possible suspected irregularities. The criterion also verifies the ability of the marking personnel to manage identified irregularities. No irregularities were identified or reported during marking. Umalusi's moderators did not identify any evidence of irregularities.

d) Performance of Candidates

This criterion analyses the overall performance of candidates and their performance per question. The Verification of Marking Instrument requires Umalusi's moderator to report on the performance of candidates per learning area for the sample verified. The results of this exercise, as summarised

in the figures and distribution tables below, provide an indication of questions with high and low average performances. This will assist the assessment body in advising curriculum providers regarding teaching and learning. From the sample that Umalusi moderated, the pass rate was 11% in EMSC4, 40% in MLMS4, 55% in LCEN4, 90% in LIFO4, 91% in SMME4, and 100% in HSSC4. Performance in different questions varies from learning area to learning area. It was only in EMSC4 and LCEN4 that candidates struggled in all questions. In these two learning areas, the highest pass percentage in all the different questions was 45%.

i) Economic and Management Sciences (EMSC4)

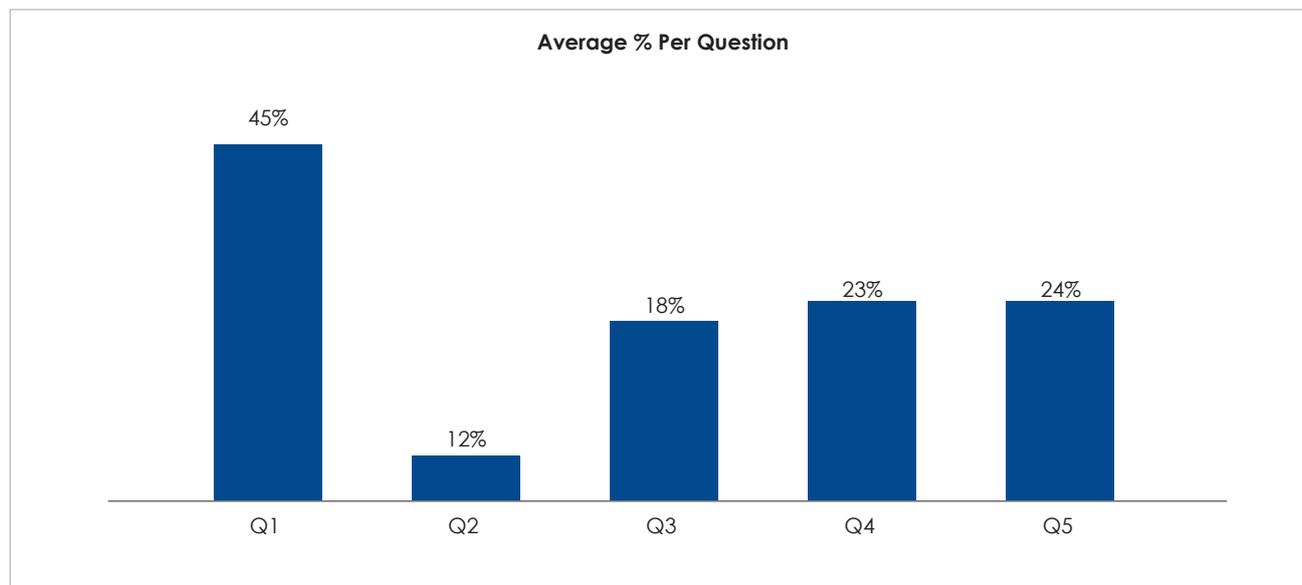


Figure 7A: Candidate performance in EMSC4 per question for nine scripts

The question paper had five questions. The performance in Question 1 was better than in all other questions with an average percentage of 45%. Questions in Question 1 were all short response questions. Performance in Question 2 was 12%. This question covered the accounting unit.

Table 7B shows that most candidates scored between 20 and 29%. The conclusion drawn is that candidates experienced problems with the question paper. In nine scripts that were moderated, one candidate passed the examination. Eight candidates failed. The highest mark obtained was 51% and the lowest mark obtained was 21%. Candidates in the sample obtained below 80%, but above 10%.

Table 7B: Mark distribution as a percentage: EMSC4

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	0	6	2	0	1	0	0	0	0

ii) Human and Social Sciences (HSSC4)

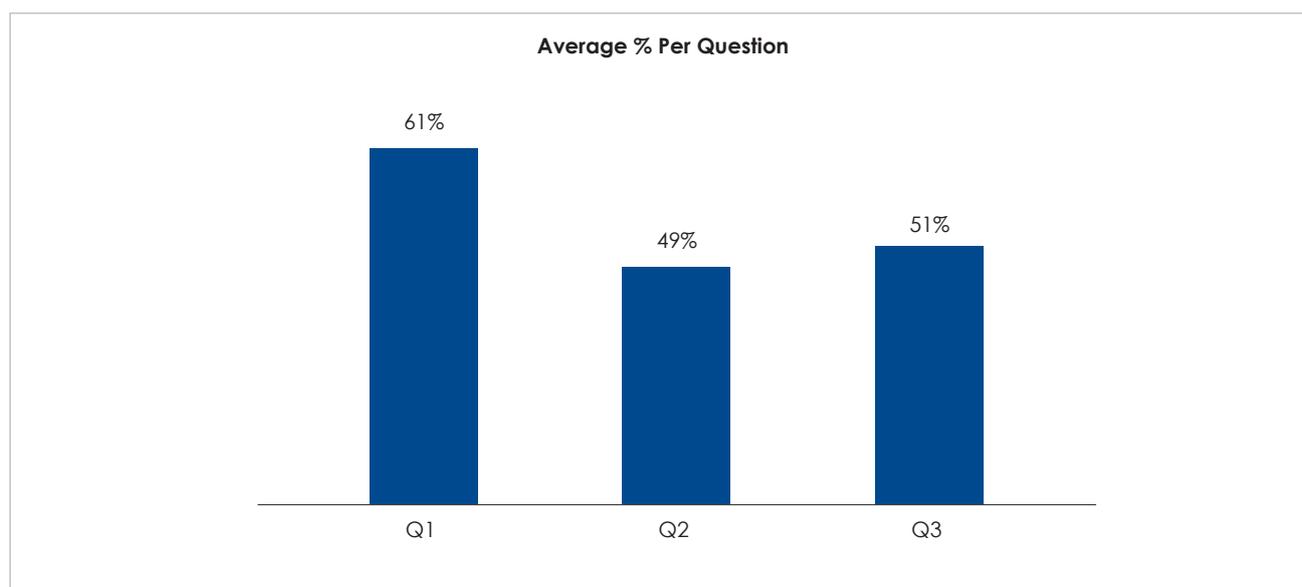


Figure 7B: Candidate performance in HSSC4 per question for 10 scripts

Candidates' performance in Question 1 was 61%. The short response questions about local government, the Constitution, human rights, floods, droughts, veld fires and historical events constituted 40% of the question paper. The average performance of 49% in Question 2, where candidates were required to analyse graphs and maps, was the lowest of the three questions.

The highest mark obtained in this examination was 79%, while the lowest mark was 41%. Even though all candidates passed the examination, Table 7C shows that most students obtained between 40 and 49%. None of the candidates obtained 80% and above or 10% and below.

Table 7C: Mark distribution as a percentage: HSSC4

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	0	0	0	5	2	2	1	0	

iii) Communication in English (LCEN4)

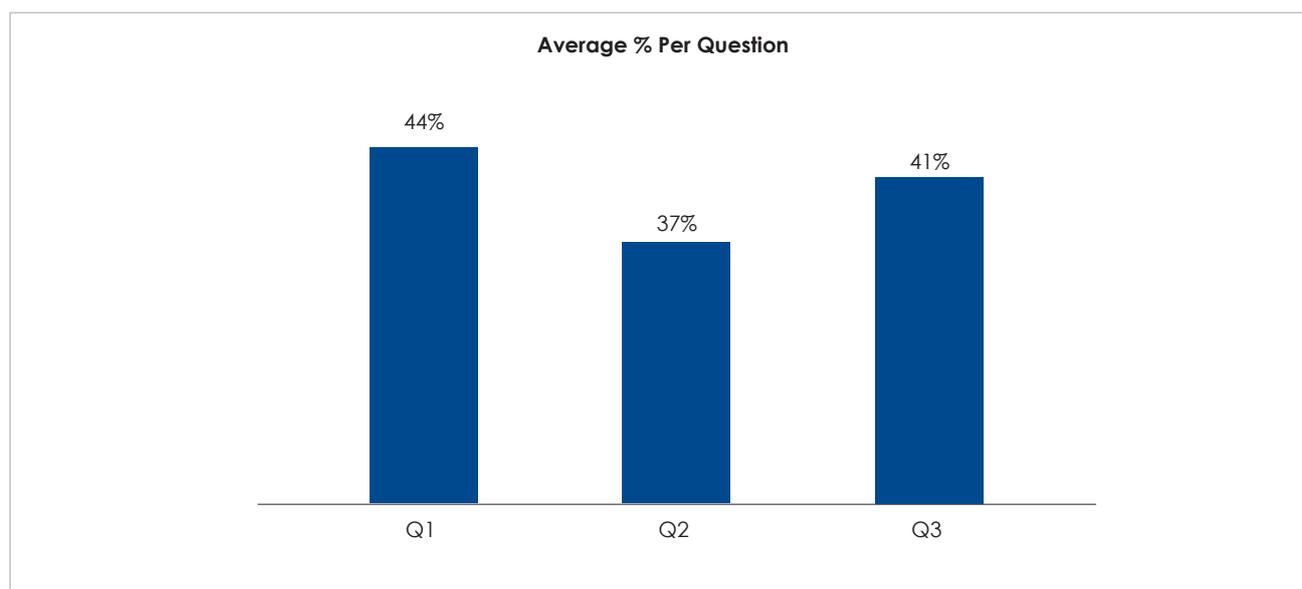


Figure 7C: Candidate performance in LCEN4 per question for 20 scripts

There were 54 candidates who wrote this examination. Umalusi's moderator sampled 20 scripts. Of these, the highest mark obtained was 60%, while the lowest mark was 13%. Only 11 candidates passed this examination from the 20 sampled. Nine of the 20 candidates failed. In the sample, no one obtained 80% and above and no candidate obtained 10% and below.

The question paper had three questions. Question 1 was a comprehension test with some language aspects. In this question, candidates obtained an average of 44%. Candidates struggled with creative writing, where they were expected to write about a dream that a candidate had and to discuss dreams in general. According to Table 7D, most candidates obtained between 40 and 59%.

Table 7D: Mark distribution as a percentage: LCEN4

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	2	3	4	5	5	1	0	0	0

iv) Life Orientation (LIFO4)

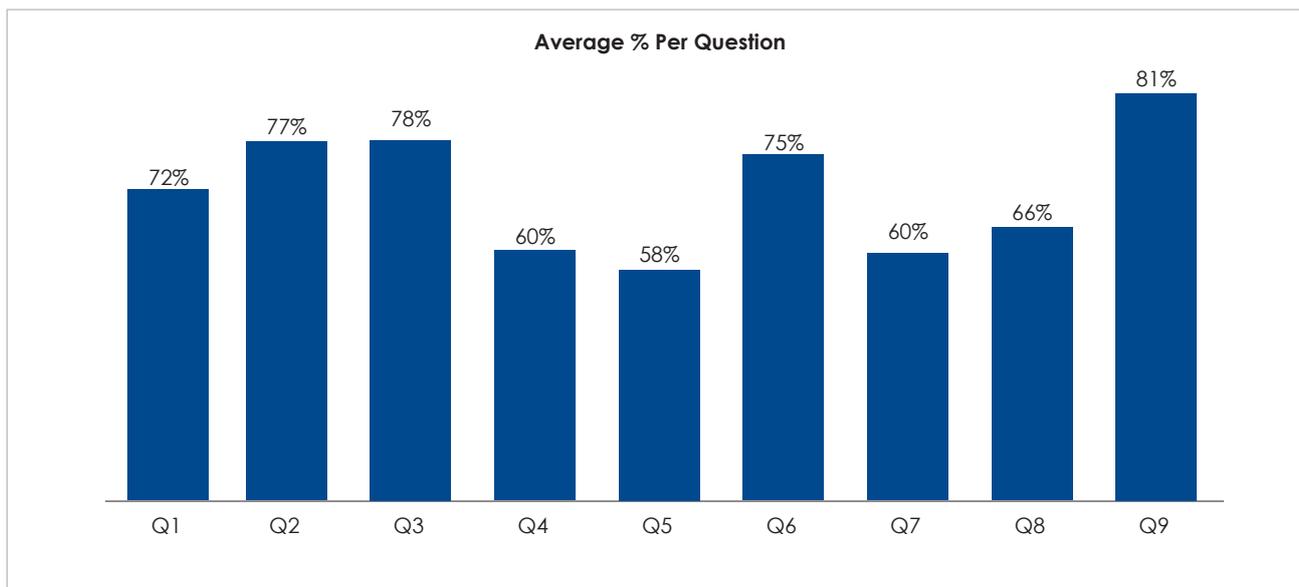


Figure 7D: Candidate performance in LIFO4 per question for 10 scripts

The question paper had nine questions. Candidates obtained 81% in Question 9 about time management. Performance in Question 5, which was about the workplace, was 58%. Ten scripts out of 27 were sampled. From the sample, nine candidates passed and one failed. Candidates performed well in this examination because, out of ten candidates, nine obtained 80% and above and no one obtained 10% and below. The highest mark from the sample was 89% and the lowest was 30%.

Table 7E: Mark distribution as a percentage: LIFO4

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	0	0	1	0	1	3	0	5	0

v) Mathematical Literacy (MLMS4)

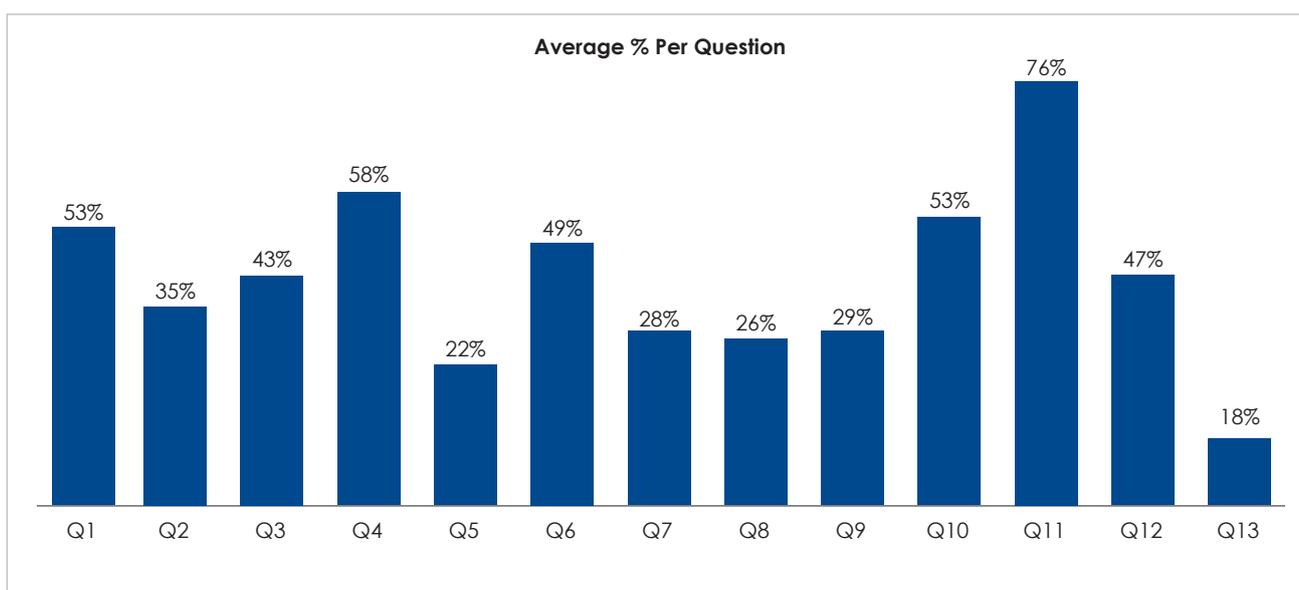


Figure 7E: Candidate performance in MLMS4 per question for 20 scripts

The question paper had 13 questions. The average performance of candidates was 76% in Question 11, which dealt with data handling, including tables, tallies and frequencies, as well as a bar graph. Candidates seemed to understand this question better than Question 13, with the lowest average of 18%. Question 13 dealt with theory.

There were 44 candidates who wrote the examination. The sample taken was for 20 scripts. In that sample, only eight candidates passed and 12 failed. From the sampled scripts, the highest mark obtained was 78% and the lowest was 16%. None of the candidates in the sample obtained 80% and above. No candidates obtained 10% and below.

Table 7F: Mark distribution as a percentage: MLMS4

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	1	6	5	3	1	2	2	0	0

vi) Small, Medium and Micro Enterprises (SMME4)

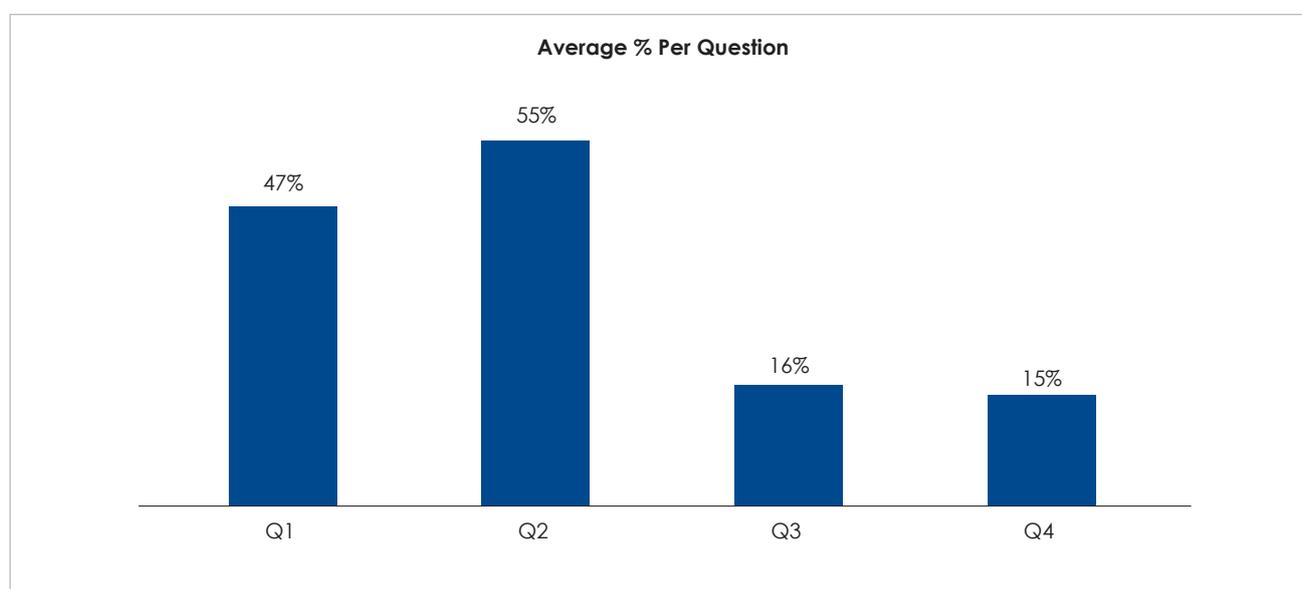


Figure 7F: Candidate performance in SMME4 per question for 11 scripts

Eleven scripts were moderated. The question paper had only four questions. Candidates performed well in Question 2 with an average of 55%, but the performance in Question 4 had the lowest average of 15%. Only 11 candidates wrote the examination. Because of the number of scripts, Umalusi moderated all 11 scripts. In those scripts, only one candidate failed and ten passed. The highest mark obtained was 65% and the lowest was 25%. None of these candidates scored 80% and above or 10% and below. According to Table 7G, most of the candidates obtained between 40 and 49%.

Table 7G: Mark distribution as a percentage: SMME4

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	0	1	0	7	2	1	0	0	0

7.4 Areas of Improvement

The following was noticed:

- a. There was improvement in the quality of marking.

7.5 Areas of Non-compliance

None

7.6 Directives for Compliance and Improvement

None

7.7 Conclusion

It was observed during the verification of marking process that the quality of marking had improved. Few cases of inconsistencies in marking were identified. Most markers in all the learning areas that were verified were mostly consistent in marking. The training of markers that normally takes place before marking starts seems to be helpful in making markers more alert when marking. It was also observed that most questions were focused. There is a gradual decline in the number of broad questions where responses could not be restricted to a certain number since this promotes inconsistencies if the marker has to use their discretion when marking.

CHAPTER 8 STANDARDISATION AND RESULTING

8.1 Introduction

Standardisation is a process that is informed by evidence presented in the form of qualitative and quantitative reports. The primary aim of standardisation is to achieve an optimal degree of uniformity, in a given context, by considering possible sources of variability other than candidates' ability and knowledge. In general, variability may occur in the standard of question papers, the quality of marking and many other related factors. To control variability from one examination sitting to the next, examination results are standardised.

Section 17A (4) of the General and Further Education and Training Quality Assurance (GENFETQA) Act of 2001, as amended in 2008, states that the Council for Quality Assurance in General and Further Education and Training (Umalusi) may adjust raw marks during the standardisation process. In broad terms, standardisation involves the verification of subject structures, the monitoring of mark capturing and the readiness of the computer system used by an assessment body. It also involves the development and verification of norms, as well as the production and verification of standardisation booklets in preparation for the standardisation meetings. During standardisation, qualitative inputs from external moderators, internal moderators, monitoring reports, intervention reports presented by the assessment body and the principles of standardisation inform decisions. The process is concluded with the approval of mark adjustments per learning area, statistical moderation and the resulting process.

8.2 Scope and Approach

The Benchmark Assessment Agency (BAA) presented six learning areas for the November 2020 examinations associated with the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) qualification for standardisation purposes. These were Mathematical Literacy, Life Orientation, Human and Social Sciences, Economic and Management Sciences, Small, Medium and Micro Enterprises, and Language, Literacy and Communication: English. In turn, Umalusi verified the historical averages, and monitored the mark capturing and verification of standardisation, adjustments, statistical moderation and the resulting datasets.

8.2.1 Development of Historical Averages

Historical averages for GETC: ABET examinations were developed using the previous four to six examination sittings. Once that was done in accordance with policy requirements, the BAA submitted historical averages, or norms, to Umalusi for verification purposes. Where a distribution contained outliers, the historical average was calculated with the exclusion of data from the outlying examination sitting.

8.2.2 Capturing of marks

Umalusi followed a three-phased procedure during the verification of the mark capturing process. The first phase involved the BAA completing the self-evaluation questionnaire from Umalusi regarding their preparedness and procedures in place for the capturing of marks, on which a desktop analyses report was instituted. The second phase involved the monitoring of the capturing of marks at the BAA's

capturing centres and the collection of copies of mark sheets. The final phase involved the verification of marks recorded on candidates' scripts against the BAA's standardisation data. The verification of capturing was monitored at the BAA's head offices in Garstfontein, Pretoria.

8.2.3 Verification of datasets and standardisation booklets

The BAA submitted standardisation datasets and electronic booklets in accordance with Umalusi's management plan. The datasets were verified and approved, and the final standardisation e-booklets were approved.

8.2.4 Pre-standardisation and standardisation

The pre-standardisation and standardisation meetings for the GETC: ABET examinations were held on 21 and 22 January 2021. Umalusi was guided by many factors, including qualitative and quantitative information, to reach the standardisation decisions. Qualitative inputs included evidence-based reports presented by the BAA and reports from Umalusi's external moderators and monitors on the conduct, administration and management of the examinations. As far as quantitative information was concerned, Umalusi considered historical averages and pairs analysis in connection with standardisation principles.

8.2.5 Post-standardisation

Beyond standardisation meetings, the BAA submits the final adjusted marks and candidates' resulting files to Umalusi for verification and eventual approval.

8.3 Summary of Findings

8.3.1 Development of Historical Averages

The historical norm used was for combined sessions for June and November cohorts from the previous six examination sittings. Only Mathematical Literacy and Language, Literacy and Communication: English examinations had full data for the previous six sittings, while the other learning areas' norms had a minimum of four examination sittings. The BAA submitted the historical averages for verification, in accordance with Umalusi's management plan. No outliers were identified in relation to all learning area submitted.

8.3.2 Capturing of Marks

The capturing of marks was conducted in accordance with the BAA's management plan. The existing procedural manual provided guidance on the process of mark capturing. The capturing of marks was performed by two permanently employed data capturers who had been trained by the developer of the BAA's electronic examination system. The system end-user manual was provided as evidence of such training. The data capturers signed non-disclosure agreements in their employment contracts.

The BAA employed a double-capturing method to verify the accuracy of the marks captured. The BAA's electronic examination management system has built-in mechanisms or measures to ensure that the captured marks are verified prior to being processed and submitted to Umalusi for the purposes of standardisation. As a security measure, the BAA's capturing systems has built-in controls to ensure that a user cannot capture and verify the same mark sheets or scripts.

The capturing facility was under 24-hour security surveillance and access was controlled with the use of access cards. However, the centre had no generator on standby to mitigate any possible power failures.

8.3.3 Verification of Datasets

The submitted standardisation datasets and electronic booklets for the November GETC: ABET examinations conformed to Umalusi's Requirements and Specification for Standardisation, Statistical Moderation and Resulting Policy. The submission of standardisation datasets and electronic booklets was done in line with Umalusi's management plan. The datasets were verified and approved at the first submission.

8.3.4 Pre-standardisation and Standardisation

The pre-standardisation meetings for the GETC: ABET examinations were held on 21 January 2021, while a standardisation meeting was held on 22 January 2021. Umalusi was guided by many factors, including qualitative and quantitative information.

After Umalusi had satisfied itself about the reliability of the information presented, all the learning areas presented were standardised. Table 8A presents a summary of the standardisation decisions arrived at.

Table 8A: Standardisation decisions for GETC: ABET

Description	Total
Number of learning areas presented	6
Raw marks accepted	4
Adjustments (mainly upwards)	1
Adjustments (mainly downwards)	1
Provisionally standardised	0
Not standardised	0
Number of learning areas standardised	6

8.3.5 Post-standardisation

The standardisation decisions adjustments, statistical moderation and resulting datasets were approved during the first submission.

8.4 Areas of Good Practice

The following was observed:

- a. The BAA submitted the standardisation datasets and booklets timeously.

8.5 Areas of Non-Compliance

None

8.6 Directives for Compliance

None

8.7 Conclusion

The standardisation process was successfully conducted, and both BAA and Umalusi accepted the decisions. The decisions taken on whether to accept the raw marks or to perform slight upward or downward adjustments were based on sound educational reasoning.

CHAPTER 9 CERTIFICATION

9.1 Introduction

Umalusi is mandated by the General and Further Education and Training Quality Assurance Act (GENFETQA) (Act No. 58 of 2001) for the certification of learner achievements for South African qualifications registered on the General and Further Education and Training Qualifications Sub-framework (GFETQSF) of the National Qualifications Framework (NQF).

Umalusi's responsibilities are furthermore defined as the development and management of its sub-framework of qualifications, the quality assurance of assessment at exit points and the certification of learner achievements. Umalusi upholds the certification mandate by ensuring that assessment bodies adhere to policies and regulations promulgated by the Minister of Higher Education and Training for the General Education and Training Certificate as registered on the NQF.

The quality assurance processes instituted by Umalusi in terms of certification ensure that the qualification awarded to a learner complies with all the requirements for the qualification as stipulated in the regulations. The Benchmark Assessment Agency (BAA) is required to submit all learner achievements to Umalusi, as the quality council, to quality assure, verify and check the results before a certificate is issued. The specifications and requirements for requesting certification are encapsulated in the form of directives for certification to which all assessment bodies must adhere.

Several layers of quality assurance have been instituted over the last few years. This has been done to ensure that the correct results are released to the learners, that all results are approved by Umalusi before release and that the certification of the learners' achievements are done in accordance with the approved results.

In order to ensure that the data for certification is valid, reliable and in the correct format, 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. All records of candidates who are registered for the General Education and Training Certificate examinations, including those who only qualify for a learning area in a particular examination cycle, are submitted to Umalusi for certification.

Umalusi verifies all the data received from the BAA. The certification data must correspond with the quality assured results, keeping in mind that all changes to marks must be approved before they are released to students. Where discrepancies are detected, the BAA is obliged to provide supporting documentation and explanations for such discrepancies.

This process serves to ensure that the candidate is not inadvertently advantaged or disadvantaged because of a possible programme and/or human error. It also limits later requests for the re-issue of an incorrectly issued certificate.

This chapter focuses on the overall certification processes and the compliance of the BAA to the directives for certification of the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) qualification as specified in Umalusi's regulations for certification.

9.2 Scope and Approach

The period that is covered in this report is 1 December 2019 to 30 November 2020. All the requests for certification received during this period that were finalised, i.e. feedback provided to the BAA by Umalusi, have been included and addressed in this report. The main examinations covered in this report are the October 2019 and June 2020 examinations.

Certification of learner achievements cannot be pinned to a single period in the year because it is a continuous process whereby certificates are issued throughout the year. The bulk of the certification usually takes place within three months of the release of the results. Throughout the year, certificates are requested as a first issue, duplicate or replacement due to a change in status or re-issue.

This chapter focuses on the shortfalls in terms of compliance with the certification directives by the BAA and how this can affect the quality assurance processes and the certification of learners' achievements.

In addition, this chapter includes statistics on the number of requests, in the form of datasets, that were received, with an indication of the percentage of rejections in the applications due to non-compliance with the directives. The number and type of certificates issued over this period is also provided.

With the processing of requests for certification during the period of reporting, a number of findings were made that are highlighted and expanded on. These findings should not be regarded as a comprehensive list of findings but should be seen as key points that need to be addressed.

9.3 Summary of Findings

Every examination cycle starts with the registration of learners for the academic year. The registration of learners must be done according to an approved qualification structure, listing the required subjects, subject components, pass percentages, combination of subjects, etc. The specification of the qualifications is a very important aspect because it lays the foundations for a credible qualification.

After benchmarking has been conducted on the examinations, all results are submitted to Umalusi for standardisation, statistical moderation and the resulting of learner achievements. All learner records must be submitted to Umalusi for approval before the results can be released. Umalusi approves the results for release to the learners after several quality assurance processes have taken place.

The general principle that must be adhered to is that all results must be approved before release and the request for certification submitted to Umalusi. Any changes to marks must also be submitted for approval. Once a certificate has been issued, marks cannot be corrected by submitting mop-up of datasets. A re-issue must then be requested to correct marks on a certificate that has already been issued.

Once it has been ascertained that the certification of learner achievements has improved, and the candidate information submitted for certification is correct, the certification data can be aligned with the approved results and certification can be performed without any problems. Learning area certificates are then issued to successful candidates. The combination of learning area certificates for possible GETC certification must be attended to.

Figure 9A provides a summary of certificates issued between 1 December 2019 and 30 November 2020.

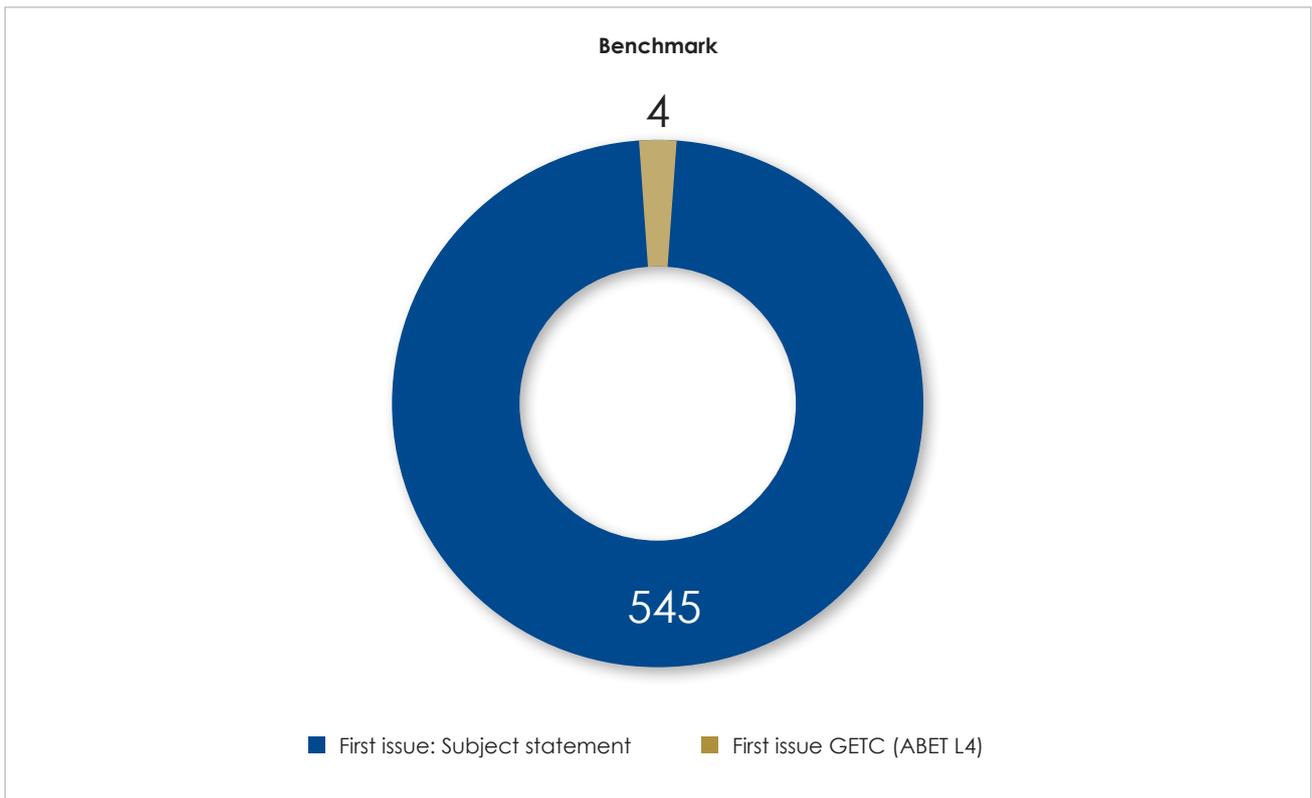


Figure 9A: Certificates issued for the period 1 December 2019 to 30 November 2020

Table 9A: Number of datasets and transactions received during the period 1 December 2019 to 30 November 2020

Assessment body	Number of datasets	Datasets accepted	Percentage accepted	Records submitted	Records accepted	Percentage accepted	Records rejected
BAA	7	5	71.4%	1 594	826	51.8%	768

9.4 Areas of Good Practice

The following was noted as improvement:

- Requests for certification are submitted electronically as prescribed in Umalusi's directives for certification;
- A dedicated unit processes the system administration and certification of learner achievements;
- Only after the standardisation and approval of results of all learner achievements have been processed and completed will the assessment bodies submit the certification request to Umalusi; and
- The requests for certification to Umalusi are closely monitored and a concerted effort is made to certificate all learners who are due to be certified.

9.5 Areas of Non-compliance

No areas of non-compliance were noted. However, the percentage of records accepted with the first submission can be increased and the target should be 100%.

9.6 Directives for Compliance and Improvement

The BAA is complying in terms of the directives for certification. However, the percentage of rejected records for certification is too high and care should be taken to ensure that the records submitted to Umalusi are correct and in accordance with the directives for certification.

9.7 Conclusion

Umalusi will monitor compliance in terms of candidates whose results have been incorrectly submitted for resulting for the GETC: ABET qualification. Marks of some candidates on standardisation were not the same as on the script or mark sheet. The BAA has significantly improved its certification processes. This was evident in the certification data that was submitted.

ANNEXURE 1A—SUMMARY: COMPLIANCE OF QUESTION PAPERS WITH EACH CRITERION

No.	Learning area (question paper)	Compliance per criteria at initial moderation									
		TA	LB	IM	CC	CD	AAG	PRE	MG	Total: (A)	Percentage: (A)
1.	Economic and Management Sciences	M	M	A	M	A	A	M	M	3/8	38
2.	Human and Social Sciences	A	A	A	M	A	A	A	A	7/8	88
3.	Language, Literacy and Communication: English	A	A	A	A	A	A	A	A	8/8	100
4.	Life Orientation	A	M	A	M	A	A	A	A	6/8	75
5.	Mathematical Literacy	M	M	M	M	A	A	A	M	3/8	38
6.	Small, Medium and Micro Enterprises	M	M	M	L	M	M	A	M	1/8	13

KEY:

TA = Technical aspects; LB = Language and bias; IM = Internal moderation;

CC = Content coverage; CD = Cognitive demand;

AAG = Adherence to assessment guideline; PRE = Predictability;

MG = Marking guideline.

A = Compliance in all respects; M = Compliance in most respects;

L = Limited compliance; N = No compliance

ANNEXURE 2A—SUMMARY: COMPLIANCE OF SBA TASKS WITH EACH CRITERION

No.	Learning area (SBA tasks)	Compliance per criteria at initial moderation									
		AAG	CC	CD	LB	FIQ	QST	MA & MG	IM	Total: (A)	Percentage: (A)
1.	Economic and Management Sciences	A	A	A	M	M	A	L	A	5/8	62.5%
2.	Human and Social Sciences	A	A	A	A	M	A	M	A	6/8	75%
3.	Language, Literacy and Communication: English	A	A	A	A	A	A	A	M	7/8	87.5%
4.	Life Orientation	A	A	M	M	M	A	A	A	5/8	62.5%
5.	Mathematical Literacy	A	A	A	M	L	M	M	M	3/8	37.5%
6.	Natural Sciences	A	N	L	M	M	M	M	M	1/8	12.5%
7.	Small, Medium and Micro Enterprises	A	A	A	M	M	A	M	M	4/8	50%

Key:

AAG = Adherence to assessment guideline; CC = Content coverage;
 CD = Cognitive demand; LB = Language and bias; FIQ = Formulation of instructions and questions; QST = Quality and standard of tasks; MA/MG = Mark allocation and marking guideline; AFM = Use of assessment forms and methods; IM = Internal moderation.

A = Compliance in all respects; M = Compliance in most respects;
 L = Limited compliance; N = No compliance

ANNEXURE 5A—SUMMARY: AREAS OF NON-COMPLIANCE DURING THE WRITING OF EXAMINATIONS

Criteria	Nature of non-compliance	Examination centre implicated
Preparation for the examination	No pre-examination audit was conducted and no report was available.	Sikhula Sonke Enterprises, Nchafatso Training Centre and Elson Academy
	No water facilities were available.	Sikhula Sonke Enterprises
	There was no strong room or safe available for the safekeeping of assessment material.	Sikhula Sonke Enterprises, Donkerbos and Algoa Bus
	No copies of dispatch at the examination centre.	Algoa Bus
	Inadequate lighting.	Donkerbos
Invigilators and their training	Chief invigilators were not trained for the current examination.	Sikhula Sonke Enterprises, Algoa Bus and Elson Academy
	Invigilators were not trained.	Sikhula Sonke Enterprises, Algoa Bus, Samancor Eastern Chrome Mine and Elson Academy
	Invigilators were not appointed in writing.	Sikhula Sonke Enterprises and Elson Academy
Preparations for writing	No attendance registers for invigilators.	Sikhula Sonke Enterprises and Samancor Eastern Chrome Mine
	No invigilation and relief timetable.	Sikhula Sonke Enterprises, Euro Steel, Oakley House and Elson Academy
	No examination files available.	Sikhula Sonke Enterprises and Elson Academy
	No seating plan was evident for writing the subject of the day.	Sikhula Sonke Enterprises, Algoa Bus and Elson Academy

Criteria	Nature of non-compliance	Examination centre implicated
Time management of activities during the examination	<p>Candidates were not admitted into the examination room at least 30 minutes prior to the start of the examination.</p> <p>The question paper was not opened in front of the candidates.</p> <p>Question papers were not distributed on time.</p> <p>Invigilators did not check question papers for technical accuracy.</p> <p>Examination did not start at the time indicated on the timetable.</p>	<p>Sikhula Sonke Enterprises, Algoa Bus, Donkerbos and Elson Academy</p> <p>Elson Academy and Oakley House</p> <p>Sikhula Sonke Enterprises, Donkerbos, Elson Academy and Samancor Eastern Chrome Mine</p> <p>Sikhula Sonke Enterprises, Algoa Bus, Elson Academy and Oakley House</p> <p>Sikhula Sonke Enterprises, Donkerbos, Algoa Bus and Samancor Eastern Chrome Mine</p>
Activities during writing	<p>Invigilators were not vigilant during writing.</p> <p>Non-compliance was noted during writing.</p> <p>Candidates were allowed to leave the examination room within the last 15 minutes of the examination session.</p>	<p>Sikhula Sonke Enterprises, Algoa Bus and Elson Academy</p> <p>Sikhula Sonke Enterprises and Elson Academy</p> <p>Algoa Bus, Nchafatso Training Centre and Elson Academy</p>
Packaging and transmission of scripts after writing	<p>The chief invigilators did not complete any situational reports.</p>	<p>Pilanesburg Platinum Mine, Sikhula Sonke Enterprises, Tharisa Mine, Nchafatso Training Centre and Oakley House</p>

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