2020

Report on the Quality Assurance of the Independent Examinations Board November 2020 GETC: ABET Examinations

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Quality Council for General and Further Education and Training

REPORT ON THE QUALITY ASSURANCE OF THE INDEPENDENT EXAMINATIONS BOARD 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 Independent Examinations Board (IEB). As a results, 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 December 2020 to scrutinise evidence presented on the conduct of the November 2020 GETC: ABET examinations. Having studied all the evidence at hand on the management and conduct of the November 2020 GETC: ABET examinations administered by the IEB, Umalusi is satisfied that, apart from isolated instances of irregularities, there were no systemic irregularities reported that may have compromised the overall integrity and credibility of the examinations. The EXCO approved the release of the IEB results of the November 2020 GETC: ABET examinations. However, the IEB is required to:
   i. Block the results of the candidates and centres implicated in irregularities, pending the submission of evidence and a detailed report to Umalusi for verification and approval; and
   ii. Address the directives for compliance and improvement and submit an improvement plan by 26 February 2021.

The EXCO commended the IEB for conducting successful examinations.

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; and areas of non-compliance; and provides 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 Independent Examinations Board (IEB). Where applicable, comparisons are made with the November 2018 and/or November 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 GETC: ABET qualification is offered at (CLC) of the community education and training colleges (public centres), adult education and training learning sites (private centres) and Correctional Services centres. The quality assurance processes of Umalusi made provision for a sample from each type of centre/site.

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 assessment bodies to cancel the June 2020 examinations and merged it with the November 2020 examinations.

The IEB conducted the November 2020 GETC: ABET examinations in seven 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 IEB are to:

 a) Develop and internally moderate examination question papers and their accompanying marking guidelines and submit them to Umalusi for external moderation and approval;
 b) Develop and internally moderate SBA tasks and their accompanying marking guidelines biennially and submit them to Umalusi for external moderation and approval;
 c) Manage the implementation and internal moderation of internal assessment;
 d) Conduct, administer and manage the writing and marking of examinations;
 e) Manage irregularities;
 f) Report to Umalusi on the conduct, administration and management of examinations;
 g) Have an IT system that complies with the policies and regulations, in order to be able to submit all candidate records according to the certification directives; and
 h) 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 initial moderation indicated that there was a decline in the overall compliance of question papers and their corresponding marking guidelines, from 79,7% in November 2018, 56,3% in November 2019 to 55% 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 purpose of external moderation of SBA tasks is to ensure that common standards, in terms of the quality of SBA tasks, are maintained. All candidates registered to write the GETC: ABET examinations through the IEB are required to complete common SBA tasks. Although the compliance levels with most criteria showed improvement at initial moderation when compared to the SBA tasks of 2019, there is still a challenge in the quality of internal moderation.

The IEB provides all AET learning centres with common assessment tasks of all eight learning areas for implementation. The responses of students to the common assessment tasks are filed in SBA portfolios and are internally moderated by the IEB 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 IEB 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 IEB has shown some improvement in the moderation of SBA.

The purpose of verifying the state of readiness of the IEB to conduct the November 2020 GETC: ABET examinations was, largely, to:
1. Gauge the level of preparedness of the IEB 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 IEB 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 IEB systems.

The audit of the state of readiness confirmed the readiness of the IEB to administer the November 2020 GETC: ABET examinations. Umalusi noted that the IEB 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. 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 an overall improvement in the overall compliance. The overall compliance of 18 examination centres monitored in November 2020 was 72.6%. In November 2019, the overall compliance of 26 centres was 83.3%, and 76.4% for the 12 centres monitored in November 2018.

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 IEB for the marking and moderation of the November 2020 GETC: ABET examinations. The IEB appointed sufficient personnel who are adequately qualified and experienced for the marking process.

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 was to verify:
1. Planning prior to the conducting of the marking process;
2. The adequacy of resources at the marking centre;
3. Security provided at the marking centre; and
4. The management of irregularities identified from marked scripts.

Umalusi monitored the marking centre to ensure that marking 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 IEB showed improvement in the 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 that the registration of students and the processing of the certification of student achievements for the examinations that were reported on, were carried out according to the required directives and guidelines.

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 IEB 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
EAS	Examination Authoring System
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
IEB	Independent Examinations Board
NQF	National Qualifications Framework
OHS	Occupational Health and Safety
PoA	Portfolio of Assessment
PoE	Portfolio of Evidence
QAA	Quality Assurance of Assessment
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
A4EMSC	Economic and Management Sciences
A4HSSC	Human and Social Sciences
A4CENG	Language, Literacy and Communication: English
A4LIFO	Life Orientation
A4MATH	Mathematical Literacy
A4NTSC	Natural Sciences
A4SMME	Small, Medium and Micro Enterprises

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CHAPTER 1 MODERATION OF QUESTION PAPERS

1.1   Introduction

Umalusi conducts the external moderation of examination question papers and their corresponding marking guidelines for every examination cycle. This is to ensure that quality and standards are maintained in all the examinations of the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET).

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

To maintain public confidence in the national examination system, 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.

The purpose of external moderation is to evaluate whether the Independent Examinations Board (IEB) has the capacity to develop and internally quality assure question papers that meet the set standards and requirements.

1.2   Scope and Approach

The IEB conducted the GETC: ABET examinations in seven learning areas, as indicated in Table 1A.

Table 1A: Learning areas assessed by the IEB in November 2020

No.	Learning area	Code
1.	Communication in English	A4CENG
2.	Economic and Management Sciences	A4EMSC
3.	Human and Social Sciences	A4HSSC
4.	Life Orientation	A4LIFO
5.	Mathematical Literacy	A4MATH
6.	Natural Sciences	A4NTSC
7.	Small, Medium and Micro Enterprises	A4SMME

The IEB is expected to appoint examiners and internal moderators with requisite learning area knowledge to set and moderate question papers before they are submitted to Umalusi for external moderation.

The IEB presented question papers, together with their accompanying marking guidelines, for all seven learning areas for external moderation in preparation for the November 2020 GETC: ABET examinations.

The IEB used the Examination Authoring System (EAS) for the first time to develop the Mathematical Literacy and Communication in English question papers and their corresponding marking guidelines. The IEB supplied passwords to allow Umalusi moderators, trained in the use of the EAS, to gain access to the system. The safety and security of the question papers and corresponding marking guidelines were at all times paramount. Both Umalusi and the IEB moderators adhered to strict security measures to ensure the safety of the question papers and corresponding marking guidelines.

Umalusi employed external moderators, all of whom have learning area expertise, to scrutinise and carefully analyse the question papers and marking guidelines of seven learning areas developed by the IEB. Umalusi conducted moderation using an off-site moderation model.

Umalusi assigned one external moderator per question paper to moderate and approve the November 2020 GETC: ABET question papers and corresponding marking guidelines. Umalusi used the Instrument for the Moderation of Question Papers, developed by Umalusi, to evaluate the compliance of each question paper and marking guideline with the following eight criteria:
  a. Technical aspects;
  b. Language and bias;
  c. Internal moderation;
  d. Content coverage;
  e. Cognitive demand;
  f. Adherence to assessment guidelines;
  g. Predictability; and
  h. Marking guidelines.

Each criterion has a set of quality indicators against which each question paper 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 criteria);
  ii. Limited compliance (met 50% or more, but less than 80% of criteria);
  iii. Compliance in most respects (met 80% or more, but less than 100% of criteria); or
  iv. Compliance in all respects (met 100% of the criteria).

Umalusi evaluated question papers and corresponding marking guidelines based on an overall impression of how the requirements of all eight criteria were met.
A decision was then made on the quality and standard of the question paper and corresponding marking guidelines.

A decision may be one of following:
  a) Approved: If the question paper and accompanying marking guideline meet all criteria;
  b) Conditionally approved—resubmit: If the question paper and accompanying marking guideline meet most of the criteria; and
  c) Rejected: If the quality and standard of the question paper and accompanying marking guideline are totally unacceptable.

1.3   Summary of Findings

The following findings summarise the evidence verified by Umalusi during the moderation of question papers and accompanying marking guidelines. The findings are based on the evidence observed at

initial moderation and finally when the question papers and their corresponding marking guidelines were approved.

1.3.1 Overall Compliance of Question Papers at Initial Moderation

Umalusi analysed the question papers and accompanying marking guidelines submitted by the IEB for the initial 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 initial moderation.

Table 1B: Compliance of question papers at initial moderation

		Compliance frequency (56 instances)			
		None	Limited	Most	All
1.	Technical aspects	0	0	5	2
2.	Language and bias	0	0	2	5
3.	Internal moderation	0	2	3	2
4.	Content coverage	0	0	4	3
5.	Cognitive demand	0	0	2	5
6.	Adherence to assessment guidelines	1	2	1	3
7.	Predictability	0	0	0	7
8.	Marking guidelines	0	1	2	4
		1	**5**	**19**	**31**
	Total		**25**		**31**
	Percentage		**45%**		**55%**

Table 1C compares the number or percentage of question papers that were compliant in all respects with each criterion at initial moderation over a period of three years (2018, 2019 and 2020) at initial moderation level.

Table 1C: Percentage of question papers that were compliant in all respect with each criterion at initial moderation over three years

		Percentage compliance over three years		
		2018	2019	2020
1.	Technical aspects	75	50	29
2.	Language and bias	88	63	71
3.	Internal moderation	88	63	29
4.	Content coverage	75	63	43
5.	Cognitive demand	88	50	71
6.	Adherence to policy	75	38	43
7.	Predictability	88	88	100
8.	Marking guidelines	63	38	57

Figure 1A compares the overall percentage compliance of question papers over three years.
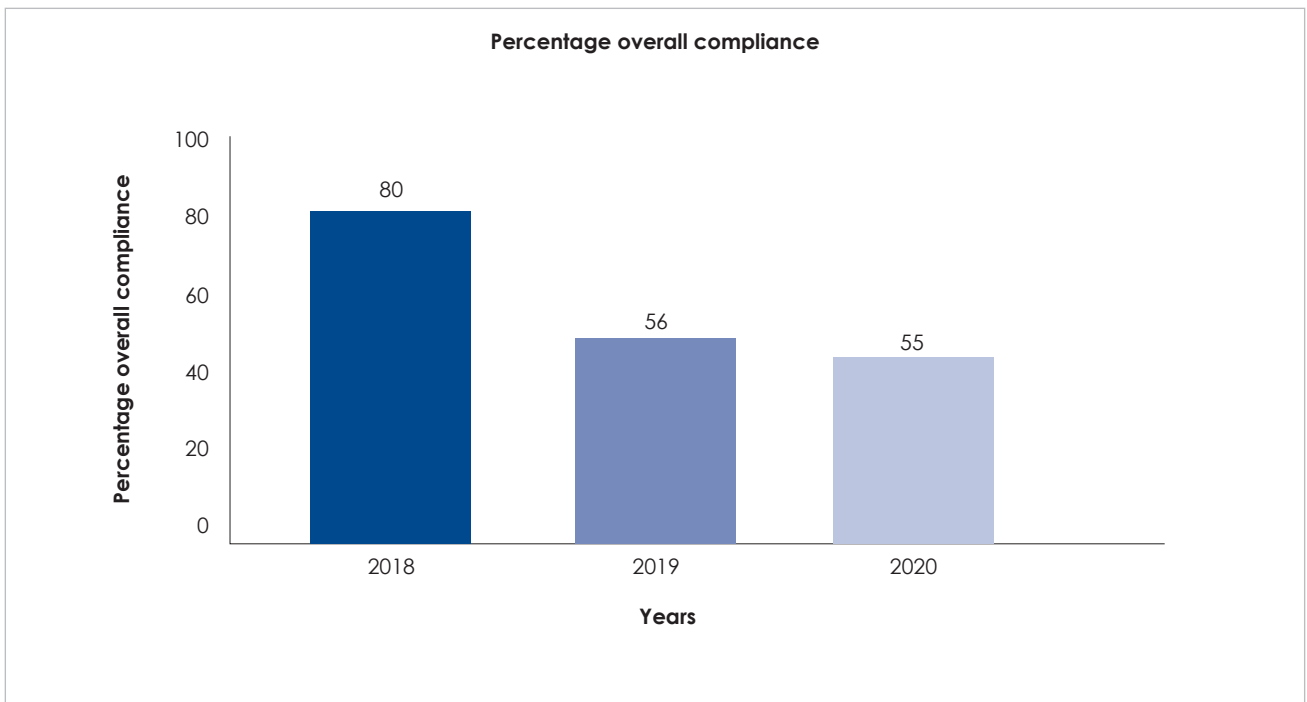
Figure 1A: Overall compliance percentage of question papers over three years

Figure 1A indicates a decline in the overall compliance level of question papers and their corresponding marking guidelines at initial moderation over three years.

1.3.2 Compliance of Question Papers with Each Criterion

Compliance per criterion for question papers indicates their adherence to the set minimum standards in all respects for each of the criteria used to moderate question papers. The following comments on compliance with each criterion were based on the initial moderation level. Compliance in all respects refers to satisfying all the quality indicators within a criterion. The discussion below summarises the findings.

When question papers were approved, all challenges identified during initial moderation had been addressed and all question papers and their corresponding marking guidelines were fully compliant with the criteria.

Following is a detailed discussion of the levels of compliance per criterion at initial moderation of the question papers and at approval.

a) Adherence to Technical Aspects
This criterion requires that all question papers and marking guidelines comply with the minimum standards listed below. Each question paper and corresponding marking guideline should:
  i.   Be complete, with analysis grid, marking guideline and answer sheet, where required, as well as addenda, where required;
  ii. Have a cover page containing all relevant details, such as name of the learning area, time allocation and clear, unambiguous instructions to candidates;
  iii. Be reader friendly and have the correct numbering system;
  iv. Have appropriate fonts used consistently, and mark allocation clearly indicated;
  v.   Be completed in the time allocated;

vi. Have a similar mark allocation as in the marking guideline;

vii. Have appropriate quality of illustrations, graphs, tables, figures etc.; and

viii. Adhere to the format requirements of the assessment guidelines.

In November 2020, two question papers (A4HSS and A4MATH) complied with this criterion in all respects at initial moderation. Three question papers (A4CENG, A4EMSC and A4LIFO) complied with this criterion in most respects, and two question papers (A4NTSC and A4SMME) were rejected. Some shortcomings were identified in the five question papers. In A4CENG, the cover page needed to be corrected to reflect the correct examination period as November 2020, and the time allocated as three hours. As for A4EMSC, the numbering of Question 6.3 appeared as 6.2.3, which was not consistent with the marking guideline. Question 13 in A4LIFO had words in the advertisement in the small box that were blurred and needed to be improved.

The A4NTSC question paper was rejected at initial moderation because it did not meet the minimum requirements in the user guide. The assessment criteria were not specified per question. As for A4SMME, which was also rejected, unit standards 10006 and 10007 had deviations of ±4, which was above Umalusi's standard of ±3. The cognitive demand level 2 was 44, which was above the assessment body's 40. Some 57% of the questions allowed alternative answers, which would create challenges in marking. Sections B and C consisted entirely of four case studies, yet only Section C should have done so. Section B should contain "source" questions with shorter-type questions testing the learners' understanding and analysis of the source provided.

Four question papers complied in all respects with this criterion at initial moderation in November 2019, compared to only two in November 2020.

This represents a 50% decline in the quality and standard of question papers. In addition, two question papers were rejected at initial moderation in 2020, while none were rejected in November 2019. However, all the shortcomings were addressed upon approval of the question papers.

b) Language and Bias

This criterion evaluates whether the language used in the question paper and marking guideline is appropriate for the learning area and level of candidates; whether the correct language registers are used; and whether the question papers and corresponding marking guidelines are free of bias in terms of gender, race, culture, region and province.

In November 2020, five question papers (A4EMSC, A4HSS, A4MATH, A4NTSC and A4SMME) complied in all respects with this criterion. Two question papers (A4CENG and A4LIFO) complied in most respects with this criterion. No question paper had limited compliance with this criterion in November 2020, while in November 2019, A4LIFO had limited compliance. This shows that the level of compliance is consistent with that of the previous year, November 2019. In A4CENG, language, grammar and punctuation were corrected on page 2, paragraphs 1 to 6. Question 7(c) was rephrased to correctly capture the reference to the text. Question 10(a) was also rephrased to avoid confusion. Question 10(c) was incomplete and needed to be completed. In questions 3, 4, 5, 6, 8 and 13, language and grammar needed to be edited. The language in the extract in Question 11 was a bit too complex for the required level and needed to be simplified. The identified challenges were all fixed by the time the question papers were approved.

c) Internal Moderation

This criterion evaluates whether internal moderation was conducted; whether the internal moderator's

recommendations were taken into account; and whether the internal moderator's report was complete and of appropriate quality, standard and relevance.

In November 2020, only two question papers (A4HSS and A4MATH) complied in all respects with this criterion at initial moderation. Three question papers (A4EMSC, A4LIFO and A4SMME) complied in most respects with this criterion, and two question papers (A4CENG and A4NTSC) had limited compliance. Compared to November 2019 where five question papers complied with this criterion in all respects, this shows a significant decline in the quality and standard of internal moderation.

In A4EMSC, there was no indication that the internal moderator had made any comments or recommendations about this criterion as it just reflected "compliance in all respects". Engagements between the internal moderator and examiner could not be established. As for A4LIFO, the internal moderator's report did not address specific issues of the question paper. The internal moderator just made general comments that were not specific. In A4SMME, the standard deviations of ±3 were not followed.

Umalusi made many changes to the question paper A4CENG, which suggested that internal moderation was not of appropriate quality, standard and relevance. In A4NTSC, the analysis grid was not adequately completed.

Questions 2.2 and 2.3 had no specific outcome or assessment criteria indicated, while in Question 8.2, Unit Standard 7507 assessed Specific Outcome 7, which does not exist. In fact, the unit standard only goes up to Specific Outcome 5 and Assessment Criteria 2. Specific columns that were missing in the analysis grid included alternative response, time allocation per question and assessment criteria per question. The challenges identified at initial moderation were addressed. The question papers were all fully compliant when they were approved.

d) Content Coverage

This criterion checks whether a sufficient sample of the prescribed content was covered in each question paper. Umalusi, through this criterion, verifies whether:

    i. All unit standards are sufficiently covered;
    ii. The spread of specific outcomes and assessment standards is appropriate;
    iii. Questions are within the broad scope of the assessment guidelines;
    iv. The question paper, as a whole, reflects appropriate levels and depth of learning area knowledge;
    v. Examples and illustrations are suitable, appropriate, relevant and academically correct;
    vi. Questions are of a good quality;
    vii. There is a correlation between mark allocation, level of difficulty and time allocation;
    viii. The question paper allows for the testing of skills; and
    ix. The quality of questions is appropriate.

In November 2020, three question papers (A4CENG, A4HSSC and A4MATH) complied with this criterion in all respects at initial moderation. Four question papers (A4EMSC, A4LIFO, A4NTSC and A4SMME) complied in most respects with this criterion. In November 2019, five question papers complied with this criterion in all respects. This shows a significant decrease in compliance with this criterion from the previous examination cycle.

The problems identified in A4EMSC included the time allocation per question, which was not indicated. Also, the correlation between mark allocation, level of difficulty and time allocation could not be

determined. The examiner and internal moderator for A4LIFO should use only the IEB User Guide, instead of using the Curriculum and Assessment Policy Statement (CAPS) document for Grade 9. In addition, in Question 4.4, candidates would easily answer the question without even looking at the picture provided. In A4NTSC, the analysis grid did not include time allocation, nor did it specify the assessment criteria in all the questions. Questions 2.2 and 2.3 did not have any specific outcome. For A4SMME, the deviations from the set levels of weightings in the user guide should not be more than ±3. Sections B and C consist of all choice questions and all the answers have alternative answers.

Umalusi recommended Section B to have more "source" questions with shorter-type questions testing learners' understanding and analysis of the source provided. This will help reduce the large number of alternative answers. At the time of approval of the question papers, the shortcomings had been adequately addressed, rendering the question papers fully compliant.

e) Cognitive Demand
The cognitive demand criterion evaluates the spread of questions among different cognitive levels in each question paper. The cognitive demand of choice questions is checked to establish whether the questions are at equivalent levels. Question papers are checked to determine whether they have questions that assess different skills, as well as to allow candidates to be creative in formulating responses.

Five question papers (A4CENG, A4HSS, A4LIFO, A4MATH and A4NTSC) complied in all respects with this criterion at initial moderation in the November 2020 examination cycle. In November 2019, four question papers complied in all respects with this criterion. Comparatively, this is a 25% increase in compliance with this criterion from the previous year, which is commendable. Two question papers (A4EMSC and A4SMME) met this criterion in most respects, against four in November 2019.

In A4EMSC, the problem related to the cognitive level, which was 31:45:24, instead of 30:40:30. Umalusi recommended that the cognitive levels be balanced with those in the user guide and that any deviations should be ±3. As for A4SMME, the cognitive demand level 2 was 44 instead of 40. This should be brought within the tolerance range of ±3. The challenges identified at initial moderation were fully addressed and the question papers were fully compliant when they were approved.

f) Adherence to Assessment Guidelines
This criterion evaluates the adherence of question papers and corresponding marking guidelines to policy. The criterion verifies whether each question paper is in line with the assessment guideline of the assessment body and the requirements of Umalusi. Question papers are checked to ensure that they reflect the prescribed specific outcomes and assessment standards, and that the weighting and spread of content of the specific outcomes and assessment standards are appropriate as per the assessment guideline.

Three question papers (A4CENG, A4HSS and A4MATH) complied in all respects with this criterion at initial moderation in November 2020. Only one question paper (A4LIFO) complied in most respects with this criterion, while two (A4EMSC and A4SMME) had limited compliance with this criterion. Question paper A4NTSC was non-compliant with this criterion. In November 2019, three question papers complied in all respects with this criterion at initial moderation. This compares one-to-one with the November 2020 examination cycle. While three question papers complied in most respects and two had limited compliance with this criterion in November 2019, not a single question paper was deemed non-compliant. The one non-compliant question paper in November 2020 shows that there was a decline

in the quality and standard of question papers. In fact, this non-compliant question paper (A4NTSC) in November 2020 had complied in all respects with this criterion in November 2019.

Among the shortcomings that were identified in the question papers, in the case of A4LIFO, unit standards 14661 and 14664 were erroneously recorded as 15661 and 15664, respectively. Question 1.9 was captured as Unit Standard 15091 instead of Unit Standard 14656. A few questions had content not prescribed for Adult Education and Training (AET) Level 4. As in the case of A4SMME, the cognitive demand and weighting figures differed from the ones recommended in the user guide. The analysis grid in A4NTSC was incomplete. Non-existing unit standards were assessed, and the assessment criteria were also not provided. These challenges were all sorted out and the question papers were compliant when they were approved.

g) Predictability

This criterion checks whether there are questions in a current examination question paper that were repeated from previous years' question papers, making them predictable. Question papers are also checked to determine whether they contain an appropriate degree of innovation, as well as to ensure that question papers are not predictable.

In November 2020, all seven question papers (A4CENG, A4EMSC, A4HSSC, ALIFO, A4MATH, A4NTSC and A4SMME) complied, in all respects, with this criterion at initial moderation. This shows 100% compliance, which is a 12.5% increase from the November 2019 level. In November 2019, seven out of the eight question papers complied in all respects with this criterion at initial moderation. This was an 87.5% compliance level.

h) Marking Guidelines

This criterion evaluates the compliance of the marking guidelines that accompany each question paper. The criterion checks the correctness and accuracy of marking guidelines, clarity of marking instructions, allocation of marks in accordance with those of the question paper, and that the marking guidelines make allowance for relevant, alternative responses.

In November 2020, four question papers (A4MATH, A4EMSC, A4NTSC and A4HSSC) complied with this criterion in all respects at initial moderation. Two question papers (A4SMME and A4LIFO) complied with this criterion in most respects. One question paper (A4CENG) had limited compliance with this criterion. In November 2019, three question papers complied in all respects with this criterion. This shows a 33% improvement in compliance with this criterion from the previous year.

Some challenges were identified in question papers that did not achieve full compliance with this criterion. In A4CENG, Section A, page 1 had answers that were quotations from the text, but did not have quotation marks. This was sorted out. On page 2, questions 7(c) and 10(b) were edited for language and correctness of the answer, respectively. In Section B, Question 2(b) had an incorrect answer, which was corrected. The answer for Question 6 had to be adjusted due to the changes that had been made to the question paper.

In A4LIFO, the answer for Question 3 was corrected to become "D". The answers for Question 4 were augmented with more options. In Question 5.4, there was a discrepancy between the question paper and the marking guideline.

The answer for Question 6.4 did not fit and therefore needed to be changed. In Question 6.5, more suggestions were added to the answer. In questions 7 and 8, more responses were added, and marks

allocated and spread evenly between the answers. As for A4SMME, the dates on the question paper and the marking guideline needed to be matched as it was 29 May 2020 and June 2020, respectively. The answers in case studies needed to have alternative responses. Questions 4, 5, 6 and 7 needed to be reworded in order to have specific answers. After all the challenges were addressed, the question papers were approved, with full compliance.

1.4   Areas of Improvement

One area of improvement was noted in the moderation of question papers: Two question papers (A4MATH and A4HSSC) had consistently been approved at initial moderation in 2019 and 2020. This level of compliance needs to be maintained.

1.5   Areas of Non-compliance

The following areas of non-compliance were noted during the moderation of question papers:
    a. After two consecutive years (2018 and 2019) of approval at initial moderation, A4NTSC was rejected in November 2020. The identified shortcomings included the incomplete analysis grid in terms of alternative responses, time allocation and assessment criteria per question. In addition, Unit Standard 7507 assessed Specific Outcome 7, which did not exist; and
    b. Too many language, grammar and technical errors were identified in the marking guidelines of A4CENG, A4LIFO and A4SMME. In A4SMME, 57% of the answers had alternative answers, which made it challenging to mark. In A4LIFO, Unit Standard 14661 and 14664 were erroneously recorded as 15661 and 15664, respectively In A4EMSC and A4LIFO, there was no evidence of effective internal moderation.

1.6   Directives for Compliance and Improvement

The IEB is required to ensure that:
    a. The shortcomings in A4NTSC are urgently investigated;
    b. The examiners and internal moderators adhere to the US, AC, and cognitive demand levels as stipulated in the User Guides;
    c. Internal moderation is improved particularly in A4EMSC and A4LIFO; and
    d. Ongoing training of examiners and internal moderators is conducted.

1.7   Conclusion

The findings of the external moderation process indicate that there has been a steady decline in the quality and standard of compliance of question papers over the three years (2018, 2019 and 2020) from 58%, 56% and 55%, respectively. This trend needs to be harnessed before it becomes entrenched. Internal moderation needs to be improved to ensure that Umalusi does not reject any question papers at initial moderation. The ongoing training of examiners and internal moderators is strongly encouraged.

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 guidelines of the assessment bodies.

Umalusi conducts the moderation of SBA tasks and corresponding marking guidelines to ensure that SBA tasks are:
   a. Representative of an adequate sample of the curriculum;
   b. Representative of relevant conceptual domains; and
   c. Representative of 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 Independent Examinations Board (IEB) are required to complete common SBA tasks.

2.2 Scope and Approach

The shelf life of the SBA tasks for the IEB is two years. The SBA tasks of the three learning areas will expire at the end of the November 2020 examination cycle. The IEB developed and internally moderated SBA tasks for three learning areas for implementation in the 2021 and 2022 examination cycles. Table 2A indicates the learning areas in which the IEB submitted SBA tasks to Umalusi for external moderation.

Table 2A: SBA tasks submitted for external moderation

No.	Learning area	Code
1.	Economic and Management Sciences	A4EMS
2.	Natural Sciences	A4NTSC
3.	Small, Medium and Micro Enterprises	A4SMME

The IEB 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 consist 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 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 criteria);
ii. Limited compliance (met 50% or more, but less than 80% of criteria);
iii. Compliance in most respects (met 80% or more, but less than 100% of criteria); or
iv. Compliance in all respects (met 100% of the criteria).

Umalusi 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 moderation of the SBA tasks. 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 the levels of compliance of SBA tasks, per criterion.

2.3.1 Overall Compliance of SBA Tasks at Initial Moderation

The IEB submitted the SBA tasks for three learning areas to Umalusi for external moderation. During initial moderation, the SBA tasks for one learning area was approved, the second learning area was conditionally approved, and the third one was rejected and required resubmission.

Table 2B indicates the compliance of SBA tasks, per criterion, at initial moderation.

Table 2B: Compliance of SBA tasks at first moderation

		Compliance frequency (24 instances)			
		None	**Limited**	**Most**	**All**
1.	Adherence to assessment guidelines	0	0	1	2
2.	Content coverage	0	1	0	2
3.	Cognitive demand	0	1	0	2
4.	Language and bias	0	0	1	2
5.	Formulation of instructions and questions	0	0	2	1
6.	Quality and standard of SBA tasks	0	0	0	3
7.	Mark allocation and marking guidelines	0	0	1	2
8.	Internal moderation	0	0	2	1
	Total	**0**	**2**	**7**	**15**
			9		**15**
	Percentage		**37%**		**63%**

The overall level of compliance was 62.5% for the November 2020 SBA tasks (three learning areas) and corresponding marking guidelines, compared with the 67% overall compliance for November 2019 (four learning areas) at initial moderation. Figure 2A compares the percentage overall compliance of SBA tasks over two years.
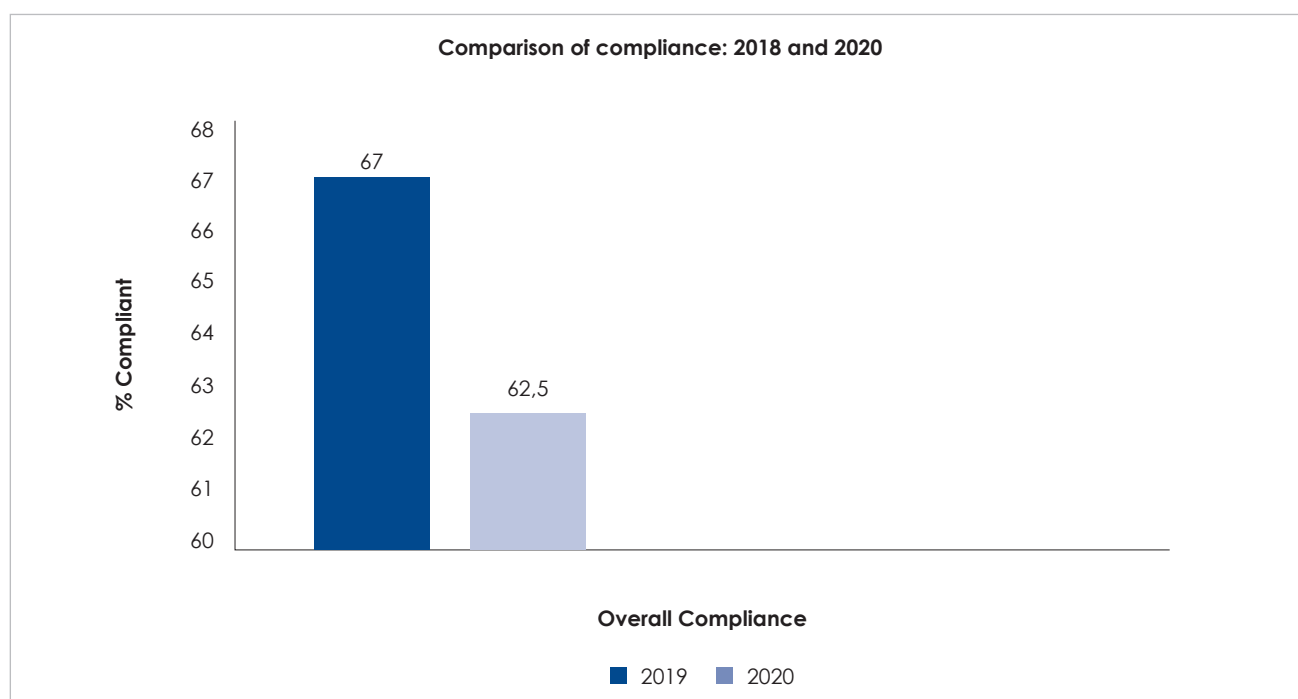
Figure 2A: Comparison of overall compliance in 2019 and 2020

Table 2C compares the percentage of SBA tasks that were compliant in all respects with each criterion at initial moderation over a period of two years (2019 and 2020).

Table 2C: Percentage of SBA tasks and marking guidelines that were fully compliant with each criterion at initial moderation in 2019 and 2020

No.	Criteria	November 2019	November 2020
1.	Adherence to assessment guidelines	75%	67%
2.	Content coverage	75%	67%
3.	Cognitive demand	75%	67%
4.	Language and bias	75%	67%
5.	Formulation of instructions and questions	50%	33%
6.	Quality and standard of SBA tasks	25%	100%
7.	Mark allocation and marking guidelines	75%	67%
8.	Internal moderation	75%	33%

The following section discusses compliance of all SBA tasks and corresponding marking guidelines for three learning areas 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 level. 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 were 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 the two learning areas Economic and Management Sciences (A4EMSC) and Small, Medium and Micro Enterprises (A4SMME) adhered to the requirements and were compliant in all respects in this criterion. The SBA tasks of one learning area, Natural Sciences (A4NTSC), were compliant in most respects at initial moderation as the tasks were not in line with the current assessment guidelines.

Overall compliance with this criterion compared well with the adherence in 2019, as illustrated in Figure 2B.
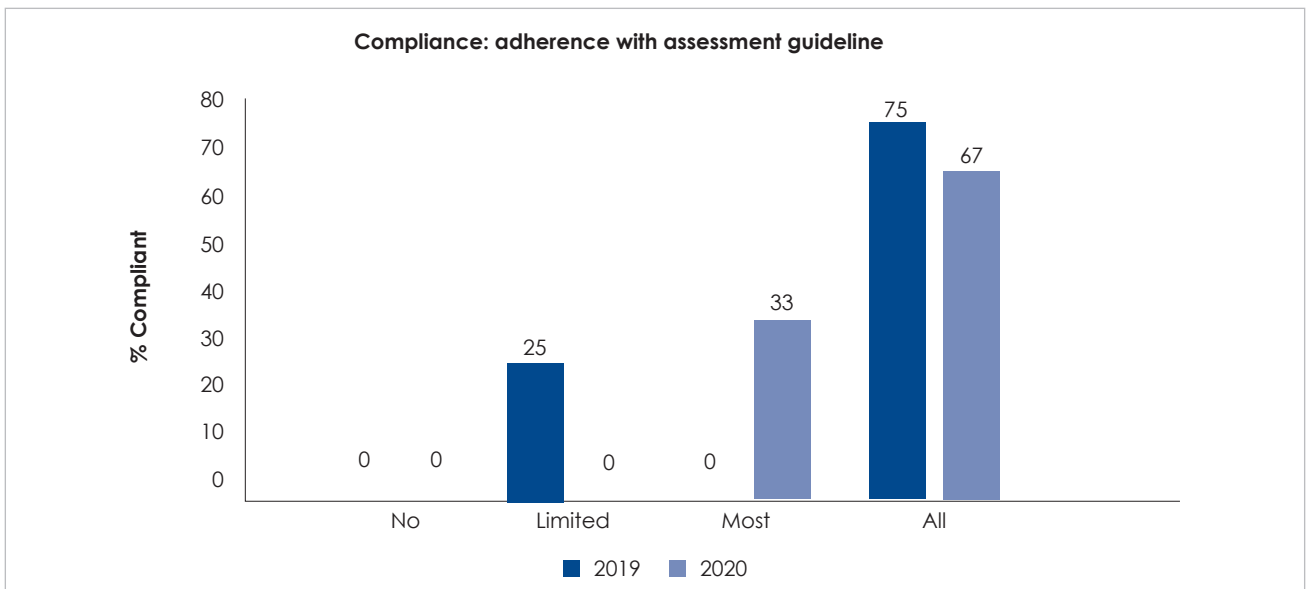
Figure 2B: Comparison of compliance with adherence to assessment guidelines in 2019 and 2020

The challenges identified at initial moderation were addressed. The SBA tasks were fully compliant when they were approved.

b) Content Coverage

Umalusi evaluated whether all tasks cover the content as prescribed by the IEB'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 assessment guidelines.

The SBA tasks for two learning areas complied fully with all the requirements of this criterion. The learning area A4NTSC had SBA tasks that showed limited compliance.

The contributing factors were:
  i.   Unit standards used were non-existent;
  ii. Tasks did not address the prescribed specific outcomes and assessment criteria in the assessment guideline;
  iii. A detailed breakdown of assessment criteria per task was not provided; and
  iv. Weighting of the unit standards was not in line with the requirements of the assessment guideline.

Figure 2C compares the compliance of SBA tasks with this criterion over two years.
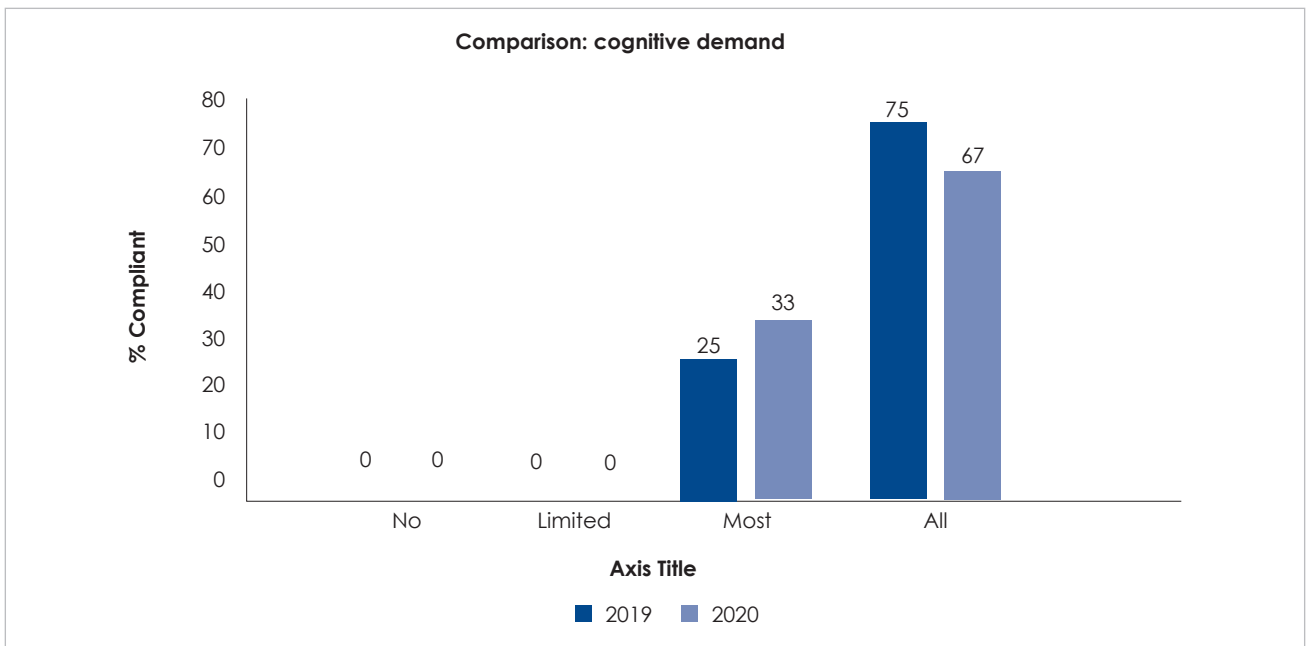
Figure 2C: Comparison of compliance with cognitive demand in 2019 and 2020

c) Cognitive Demand

This criterion checks whether all SBA tasks assess a range of cognitive skills, as prescribed in the assessment guidelines of the assessment body. Furthermore, this criterion checks if all SBA tasks provided 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.

The SBA tasks for two learning areas (A4EMSC and A4SMME) complied in all respects with this criterion. The SBA tasks of A4NTSC showed limited compliance.

Umalusi identified the following challenges:
  i.   All tasks did not meet the prescribed weighting of the assessment guidelines;
  ii.   The assessment body submitted an inaccurate analysis grid with incorrect data;
  iii. The distribution of cognitive levels was inappropriate; and
  iv. The choice of questions was not of equivalent level of difficulty.

These identified challenges were addressed in the last moderation before the approval of SBA tasks.

Figure 2D shows the comparison of SBA tasks for 2019 and 2020 for this criterion.
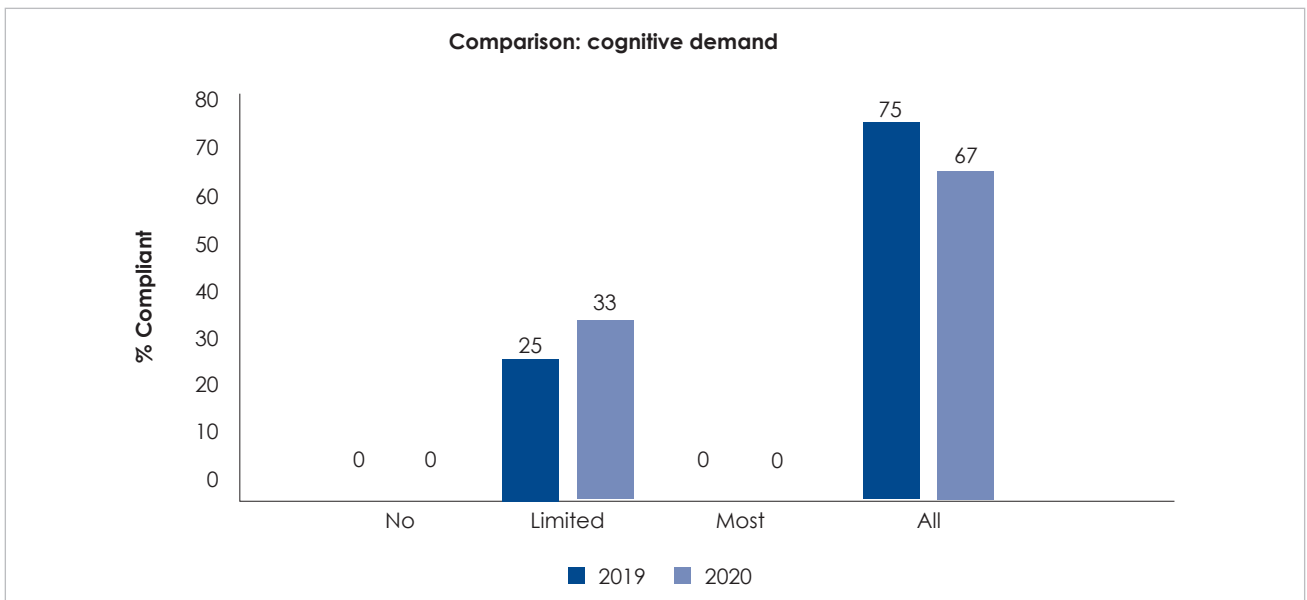
Figure 2D: Comparison of compliance with cognitive demand in 2019 and 2020

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 is not offensive, is free of bias of any nature and is appropriate for National Qualifications Framework (NQF) Level 1 students. The expectation is that all SBA tasks will comply in all respects with this criterion.

Two learning areas (A4NTSC and A4EMSC) complied in all respects with this criterion. Diligent editing was done in these two learning areas. The learning area A4SMME, however, complied in most respects as there were grammatical errors in the language instructions of the rubric. There were elements of ambiguity that may have resulted in variant interpretations. All SBA tasks of all learning areas were free of any bias.

Figure 2E compares compliance with this criterion at initial moderation in 2019 and 2020.
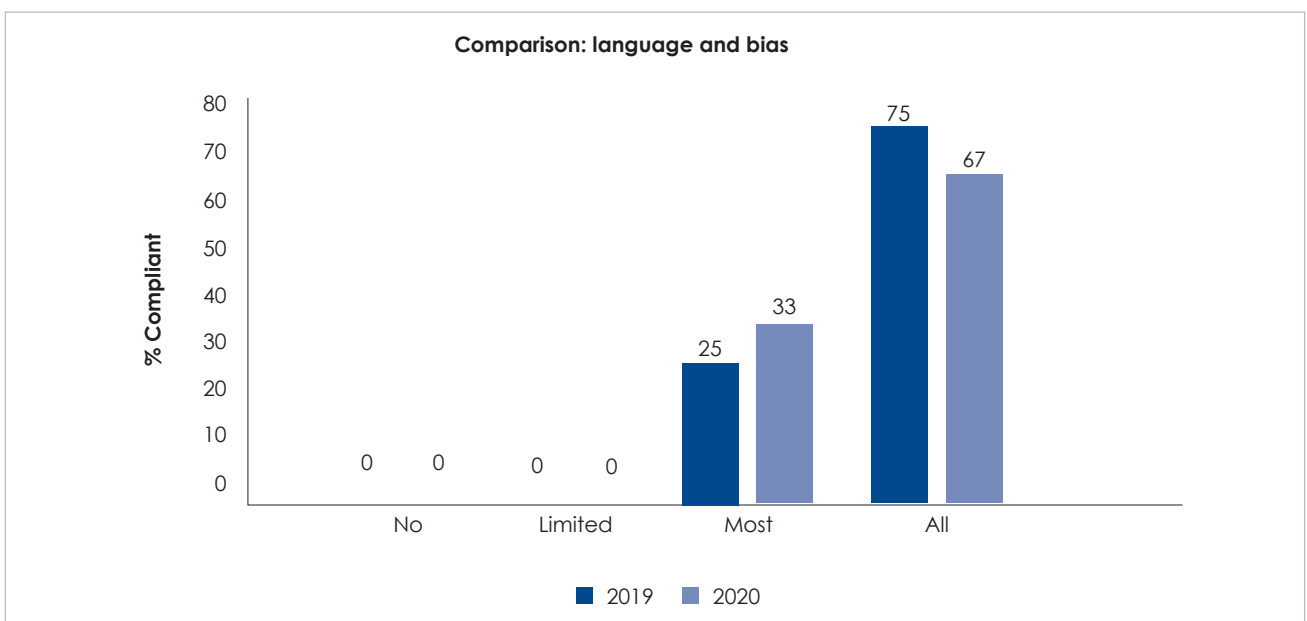
Figure 2E: Comparison of compliance with language and bias in 2019 and 2020

e) Formulation of Instructions and Questions

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

The A4NTSC learning area complied in all respects with this criterion. Two learning areas (A4EMSC and A4SMME) complied in most respects.

The contributing factors were:
    i.   Some questions were not used in the right context;
    ii.   Some questions were ambiguous and vague; and
    iii. Some questions were poorly formulated.

These factors were addressed at the last moderation for approval. Figure 2F compares the compliance level with this criterion of the SBA tasks of 2020 with that of 2019.
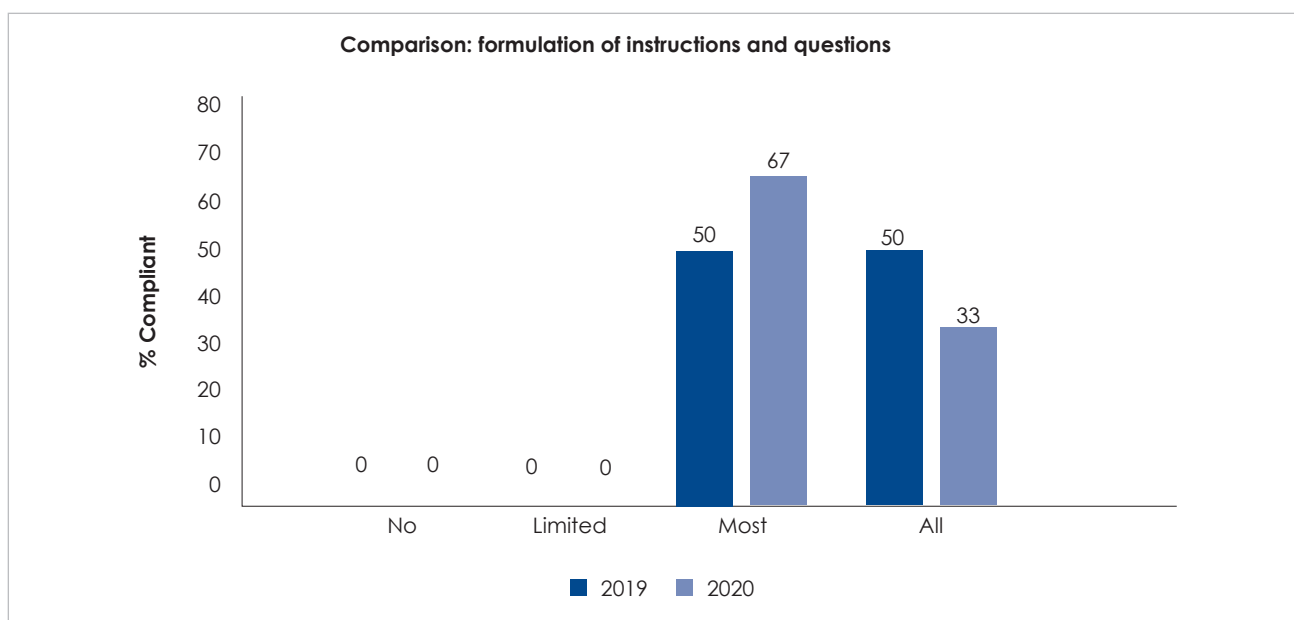
Figure 2F: Comparison of compliance with formulation of instructions and questions in 2019 and 2020

f) Quality and Standard of SBA Tasks

This criterion checks whether SBA tasks are of a good quality and an 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.

The SBA tasks for all three learning areas complied fully with the requirements of this criterion at initial moderation. All SBA tasks were of a good quality and standard. Tasks were pitched at the level of the candidates. There was a balance of skills, knowledge and values in all the SBA tasks for November 2020. Figure 2G compares the compliance levels of 2020 and 2019 with this criterion at initial moderation.
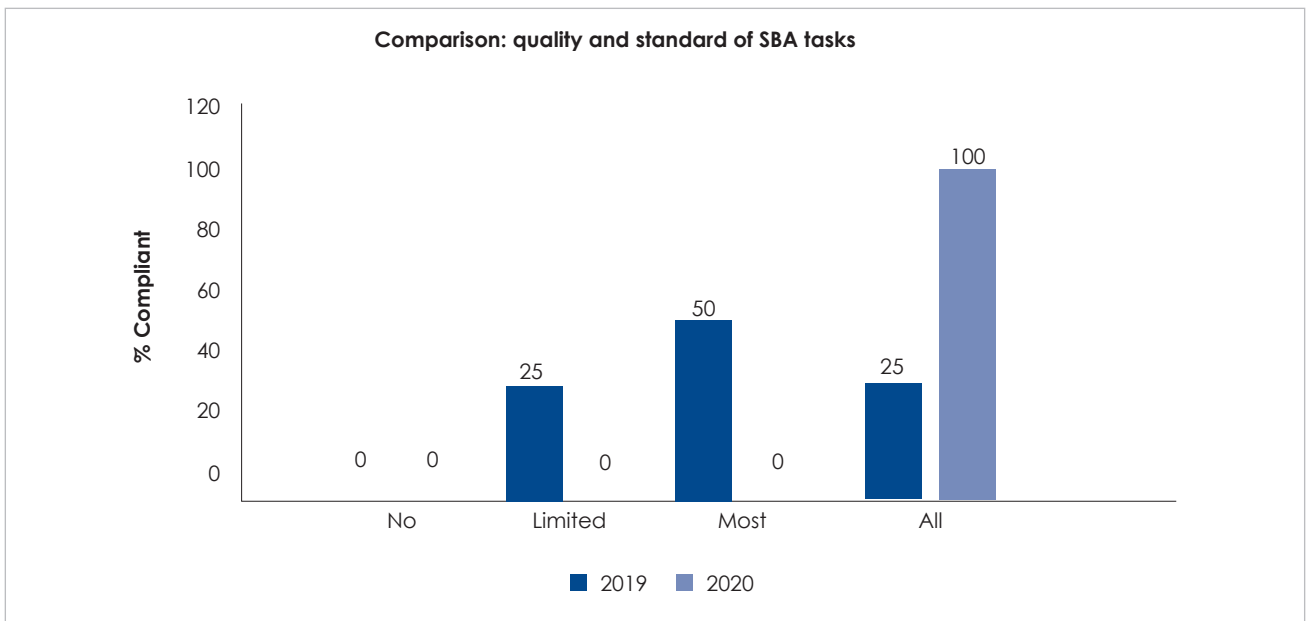
Figure 2G: Comparison of compliance: quality and standard of SBA tasks in 2019 and 2020

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, the expectation is that all tasks meet this criterion in all respects.

The analysis of the moderation results at initial moderation revealed that the SBA tasks for two learning areas (A4NTSC and A4EMSC) complied fully with the requirements of this criterion, while one learning area (A4SMME) was compliant in most respects.

Challenges identified in attaining compliance with the mark allocation and marking guidelines criterion included:

i. Rubrics did not make provision for alternative responses;
ii. Terms of reference were not clearly stipulated in each task;
iii. There was no mark correlation between the rubric and analysis grid; and
iv. There was no mark correlation between the rubrics and the tasks.

The comparison of compliance levels with this criterion in 2019 and 2020 is illustrated in Figure 2H.

Comparison: mark allocation and marking guidelines
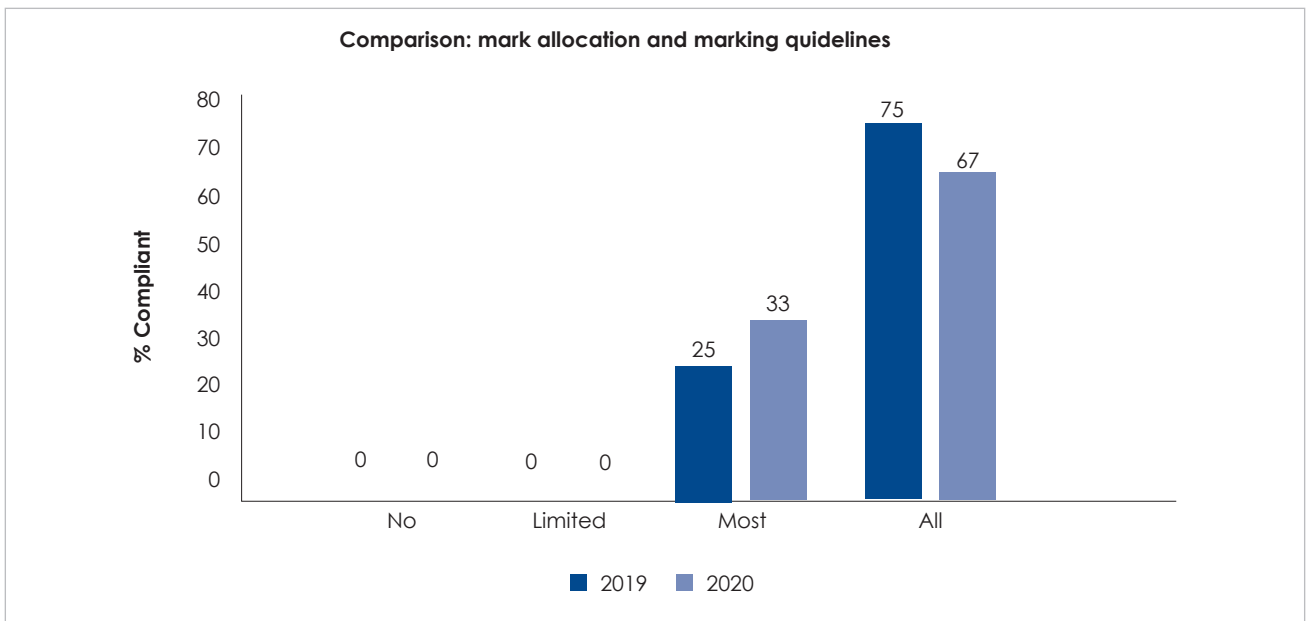
Figure 2H: Comparison of compliance with mark allocation and marking guidelines criterion in 2019 and 2020

h) Use of Assessment Methods and Forms

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 the 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.

It is also expected that the history of the development of the SBA tasks, along with all internal moderation reports, will be provided to Umalusi for external moderation. In addition, there should be evidence that examiners implemented any recommendations made by the internal moderators.

The A4EMSC complied in all respects with this criterion. The SBA tasks for two learning areas (A4NTSC and A4SMME) complied in most respects with this criterion. Umalusi noted that internal moderation was not rigorously and meticulously conducted. Additionally, internal moderation was not of a good quality and standard. Figure 2I compares compliance levels for this criterion in 2019 and 2020.
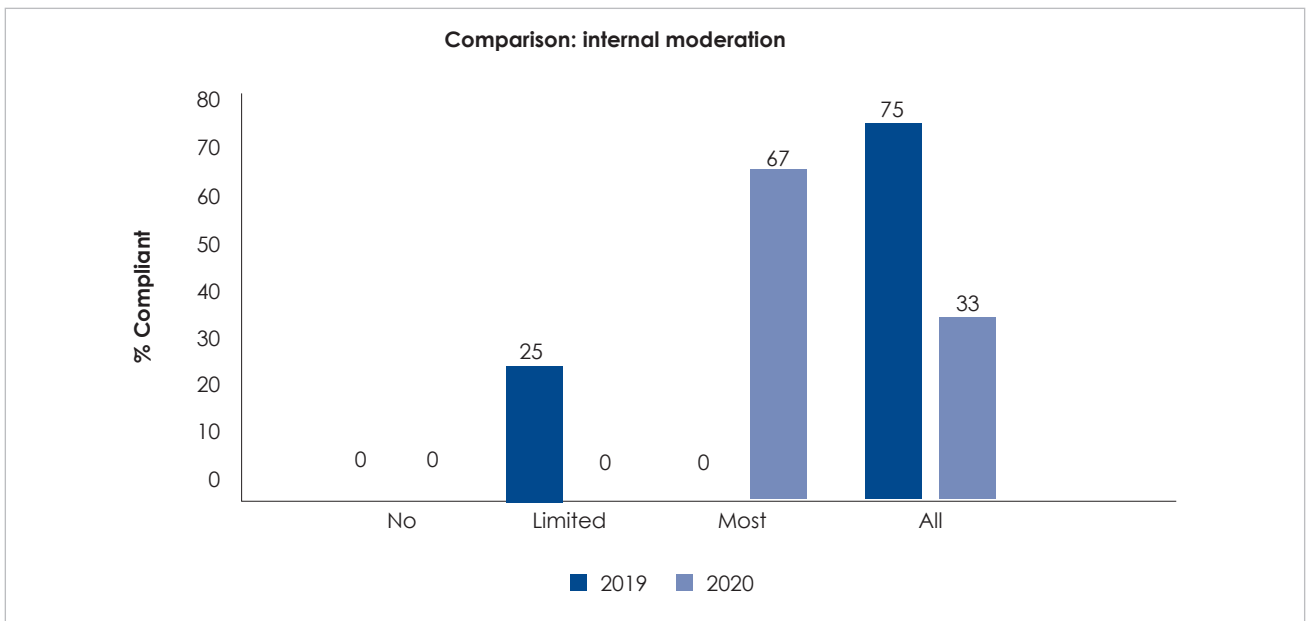
Figure 2I: Comparison of compliance with the internal moderation criterion in 2019 and 2020

2.4 Areas of Improvement

The IEB complied adequately in the following areas:

a. Most SBA tasks showed adherence to assessment guidelines when they were submitted for external moderation;

b. Content was adequately covered in the SBA tasks for the two learning areas at initial moderation; and

c. There was an improvement in the compliance of SBA tasks with most criteria at initial moderation.

2.5 Areas of Non-compliance

Umalusi identified the following areas of non-compliance:

a. SBA tasks submitted for external moderation contained unit standards that were non-existent and not prescribed;

b. The weighting of specific outcomes and assessment criteria were not in line with the assessment guidelines;

c. Some questions were poorly formulated;

d. Cognitive levels were not distributed appropriately;

e. The analysis grid was inaccurate and incorrect; and

f. The internal moderation of SBA tasks submitted for external moderation was of a poor quality.

2.6 Directives for Compliance and Improvement

The IEB is required to ensure that:

a. SBA tasks and their marking guidelines are edited to ensure that language errors that might compromise the quality of tasks are eliminated;

b. An analysis grid is complete and accurate to verify compliance with the cognitive demand criteria of SBA tasks;

c. All the unit standards collectively meet the cognitive demand as prescribed; and

d. All unit standards are assessed as per the requirements of the assessment guidelines.

2.7　Conclusion

Site-based assessment forms the basis of internal assessment in the GETC: ABET qualification. The SBA tasks provide the platform on which students use their responses to develop portfolios of evidence. Umalusi externally moderated SBA tasks to ensure that common standards were maintained and to verify the credibility of the 50% that the internal assessment contributes towards the final pass mark. The main challenge in the setting and moderation of SBA tasks is ensuring that the SBA tasks address the different unit standards, related specific outcomes, and assessment standards and cognitive weightings, as prescribed in the assessment guidelines of each learning area. Umalusi evaluated the five tasks per learning area using a moderation instrument containing criteria and quality indicators as a guide. The approved SBA tasks were fully compliant with all set criteria.

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 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 guideline 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 assessment body conducted internal moderation of SBA portfolios 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 final results, the implementation of SBA is internally moderated and externally verified.

3.2   Scope and Approach

External moderation of the SBA portfolios for the Independent Examinations Board (IEB) was conducted on-site at the Holy Family College in Parktown, Johannesburg, from 21 to 23 November 2020. Moderation was conducted simultaneously with the quality assurance of marking processes.

A sample was selected from each of the seven learning areas submitted by the IEB for the November 2020 GETC: ABET examinations. Umalusi moderators evaluated 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 assessment guideline;
 b.   Internal moderation;
 c.   Structure and content of SBA portfolios;
 d.   Implementation of SBA tasks;
 e.   Performance of students;
 f.   Quality of marking; and
 g.   Overall qualitative evaluation of sample.

Umalusi's moderation focused on the quality and standard of the SBA portfolios internally moderated by the IEB 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 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 SBA portfolios.

3.3.1   Moderated Samples

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

Table 3A: SBA portfolio samples moderated

No.	Learning area	Name of AET centre	No. of SBA submitted	No. of SBA moderated
1.	Communication English	Frances Vorweg School	5	1
		Festive Clayville MW	5	1
		Rietspruit Crushers MW	5	5
		FH Chamberlain Trading (Pty) Ltd	2	2
		West Coast District Municipality	2	2
		Chili Pepper IT Solutions (Pty) Ltd	2	1
		Mo Afrika Ikusasa Lethu	5	1
		Siyanda Bakgatla Platinum Mine	3	3
		Toyota Boshoku MW Durban	2	1
		Sibanye Gold Beatrix Mine	3	1
		Transnet Pipeline Alrode	3	1
		Carnival City	3	3
		Kriel Colliery	2	1
		Sizanani Secunda	3	1
		Makro Woodmead	2	1
2.	Economic Management Sciences	FH Chamberlain Trading (Pty) Ltd	1	1
		Mo Afrika Ikusasa Lethu	5	1
		The Diepsloot Foundation	5	1
		St Georges Life Campus	3	1
		Cullinan Development Centre	4	1
		Mash Computer Trading STD Client	3	1
		SAADA House	5	1
		Armscor ABET Centre	1	1

No.	Learning area	Name of AET centre	No. of SBA submitted	No. of SBA moderated
3.	Human and Social Sciences	St Georges Life Campus	2	1
		Mash Computer Trading STD Client	3	1
		SAADA House	3	1
		The Diepsloot Foundation	4	2
		Mo Afrika Ikusasa Lethu	5	2
		Mo Afrika-Tladi	1	1
		Frances Vorweg School	5	1
		Kriel Colliery	5	1
		Assured Vocational Skills	4	1
		Department of Energy-Project Literacy	1	1
		Cape Town Skills Facilitators	3	1
		Siphakane Mosselbay Municipality	6	2
		West Coast District Municipality	2	1
4.	Natural Sciences	Cape Town Skills Facilitators	5	1
		Department of Energy-Project Literacy	1	1
		Mash Computer Trading STD Client	2	1
		SAADA House	5	1
		Imana Foods SA (Pty) Ltd	3	1
		Sibanye Gold Beatrix Mine ABET Centre	5	1
		Sibanye Gold Driefontein Training Centre	5	2
		Sibanye Gold Kloof Mine	5	1
		Circle Way College	4	1
		Herzia	2	1
		Sishen Iron Ore Campus	4	1
		St Georges Life Campus	2	1
		Siphakame	3	1

No.	Learning area	Name of AET centre	No. of SBA submitted	No. of SBA moderated
5.	Life Orientation	St Georges Life Campus	4	1
		SAADA House	5	1
		Circle Way College	2	1
		Mash Computer Trading STD Client	2	1
		Kriel Colliery-Zibulo	5	1
		Glencore Xstrata Eastern Mine	5	1
		Cape Town Skills Facilitators	1	1
		PPC Lime Limited-Lime Acres	2	1
		Sizanani Secunda	5	1
		Frances Vorweg School	5	1
		The Diepsloot Foundation	5	1
		Mo Afrika Ikusasa Lethu	1	1
		Saldanha Bay Municipality-Siphakame Skills Development	2	1
		FH Chamberlain Trading (Pty) Ltd	2	1
6.	Mathematical Literacy	Kriel Colliery-Zibulo	5	2
		Cape Town Skills Facilitators	3	2
		Frances Vorweg School	5	1
		Afrimat Glen-Douglas Dolomite Centre	3	2
		Steinweg Bridge Johannesburg-SEI	5	1
		Steinweg Bridge Durban-SEI	3	1
		Sibanye Gold Driefontein Training Centre	5	2
		Sibanye Gold Beatrix Mine Abet Centre	4	2
		Beatrix ABET Centre	5	2
7.	Small, Medium and Micro Enterprises	SAADA House	5	5
		Cape Town Skills Facilitators	5	1
		Frances Vorweg School	5	2
		Glencore Xstrata Eastern Mine	4	2
		The Diepsloot Foundation	5	2
		Cullinan Development Centre	2	2
		Siphakane Mosselbay Municipality	5	1
		Mo Afrika Ikusasa Lethu	1	1
Total		**82**	**296**	**109**

Table 3B shows that, in 2020, Umalusi moderated a sample of 109 students' PoE, more than 76 PoE in 2018 and 76 PoE in 2019, and four facilitators' portfolios of assessment (PoA), three more than in 2019 and four more than in 2018.

Figure 3A compares the moderation samples of 2018, 2019 and 2020.
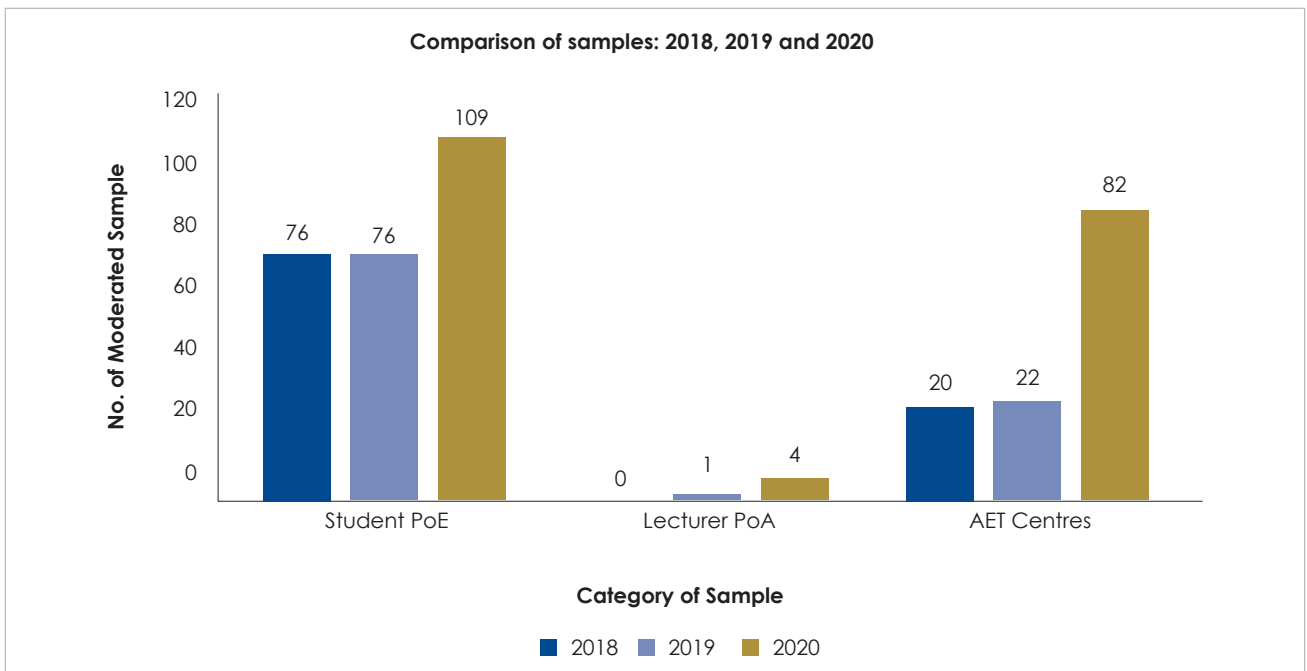
Figure 3A: Comparison of moderated samples in November 2018, 2019 and 2020

Figure 3A indicates an increase in the number of student portfolios and AET centres. In 2018 and 2019, the number of student portfolios remained constant. However, in 2020, there was a significant increase in the number of SBA portfolios and AET centres. Of significance is that the number of PoA also increased from one to three.

Umalusi moderated more than one SBA portfolio in the following learning areas: A4CENG, A4HSSC, A4NTSC (Sibanye Gold Driefontein Training Centre), A4MATH and A4SMME.

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

The Umalusi instrument made provision for the moderation of one facilitator portfolio and one student 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: Quantitative analysis of portfolios moderated

No.	Criteria	Criterion compliance (504 instances)			
		None	Limited	Most	All
1.	Adherence to assessment guidelines	45	28	7	4
2.	Internal moderation	1	1	38	44
3.	Structure and content of SBA portfolios	2	19	45	18
4.	Implementation of assessment tasks	4	35	0	45
5.	Performance of students	4	9	14	57
6.	Quality of marking	8	19	9	48
	Total	**64**	**111**	**113**	**216**
	Percentage	**13%**	**22%**	**22%**	**43%**

Of the 84 SBA portfolios moderated, there were 64 (13%) instances of non-compliance, 111 (22%) instances of limited compliance, 113 (22%) instances of compliance in most respects and 216 (43%) AET centres with compliance in all respects.

Figure 3B shows the overall compliance level in 2018, 2019 and 2020.
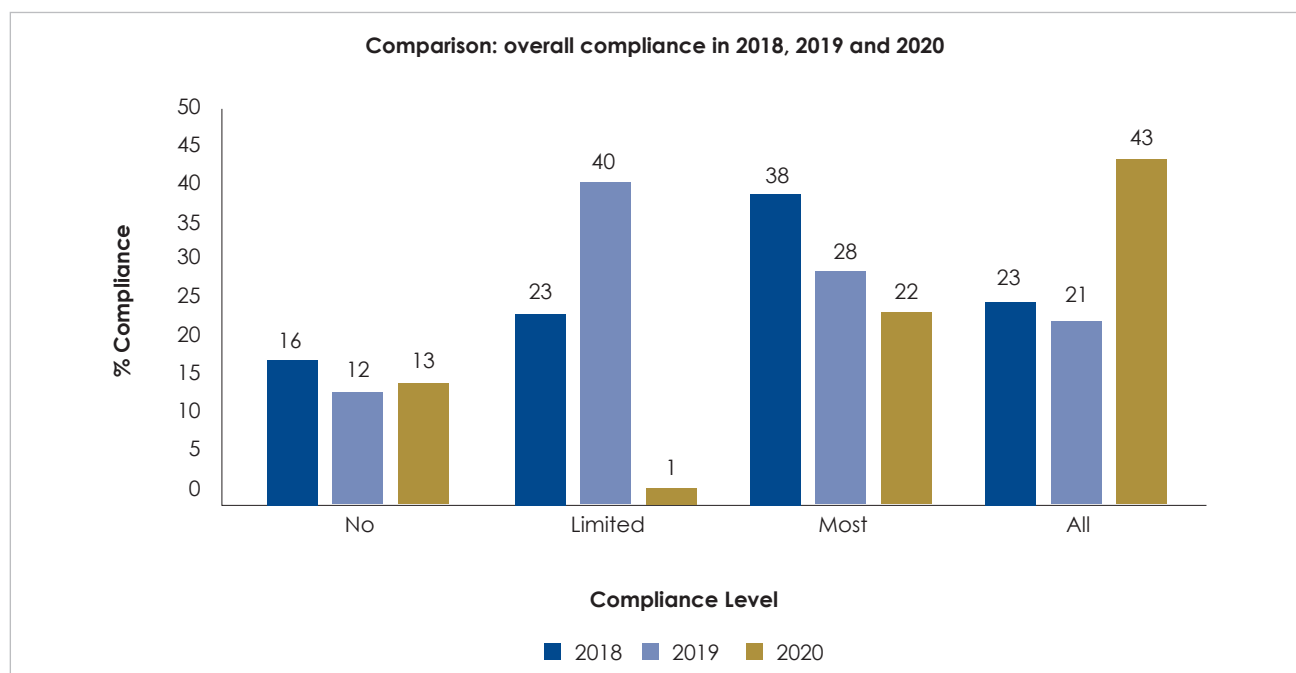
Figure 3B: Comparison of percentage of overall compliance in 2018, 2019 and 2020

Figure 3B indicates that compliance in all respects improved by 22% from 21% in 2019 to 43% in 2020.

The section below is a summary of the key findings per criterion.

3.3.3 Compliance of Adult Education and Training Centres with each Criterion

The section below is a summary of the key findings per criterion.

a) Adherence to Assessment Guideline

This criterion checks the student and facilitator portfolios to ensure that the content adheres to the assessment guidelines of the assessment body. The assessment guidelines prescribe the various assessment and planning documents that should be included in all facilitator portfolios.
The guideline also prescribes the documents required in the students' portfolios, which includes the assessment plan. The facilitator is expected to comply with the assessment guidelines for the content of the SBA portfolios and the implementation of the SBA tasks.

The assessment body has a history of not submitting the PoA for each lecturer per AET centre. Furthermore, the assessment body does not provide assessment plans in order to determine the dates on which the tasks were executed. Umalusi has noted that the facilitators' guides containing assessment tools are provided to Umalusi on request. This has proved to be a time-consuming exercise.

Some 56% of the sample shows an increase in non-compliance with this criterion. The following challenges were identified as reasons for non-compliance:

    a. Assessment plans (with timeframes) were not submitted;
    b. Mark sheets were not submitted;
    c. Rubrics were not provided to students; and
    d. Incomplete mark sheets were submitted.

There was a slight increase in the number of PoA that were compliant in all respects with this criterion in 2020, when compared to 2018 and 2019. Only 8% of the AET centres submitted PoA containing all relevant documents. Two AET centres (Frances Vorweg School and The Diepsloot Foundation) submitted PoA across all learning areas.

A total of 5% showed compliance in most respects for the following reasons:

    i. PoA that were submitted were incomplete;
    ii. Rubrics that were provided to the students were adapted (Frances Vorweg School, A4LIFO);
    iii. Facilitators' documents were in a plastic sleeve; and
    iv. No timeframes were provided for the assessment plan.

There was 31% of portfolios that showed limited compliance with this criterion. Other challenges identified included, among others:

    1. PoA were not submitted;
    2. No assessment plans were submitted;
    3. Rubrics were not provided to students;
    4. Students were not provided with corrections or rubrics (A4MATH);
    5. A working mark sheet and mark sheet were not provided;
    6. The mark sheet was blank (Assured Vocational Skills Institute, A4EMSC); and
    7. There was no breakdown of marks (A4EMSC).

In the sample of the moderated SBA portfolios, 56% of AET centres showed non- compliance with this criterion. The challenges identified were that: PoA were not submitted; and no mark sheets were provided.

Figure 3C indicates the comparison of compliance with adherence to assessment guidelines in November 2018, 2019 and 2020.
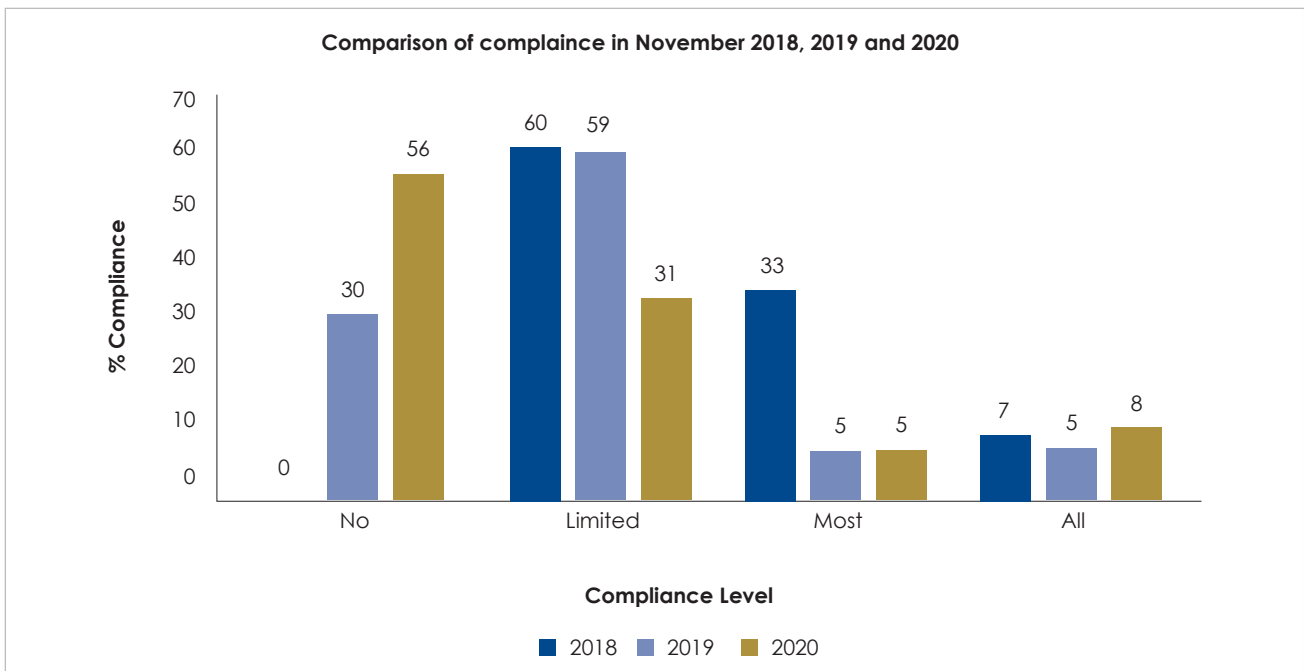
Figure 3C: Comparison of compliance with adherence to assessment guidelines in November 2018, 2019 and 2020

When compared with compliance in November 2018 and 2019, there was a slight increase in portfolios that were fully compliant (8%) in 2020.

b) Internal Moderation

This criterion verifies evidence of internal moderation of SBA portfolios and the quality of such internal moderation by the assessment body. The expectation is that there would be internal moderation reports that contain constructive and relevant feedback from the moderator to both facilitators and students.

The external moderation process was conducted simultaneously with the assessment body's internal moderation, standardisation of the marking guideline and verification of the marking processes. Moreover, the relevance of feedback and input from the internal moderators does not serve any intended purpose of improving the quality of teaching and learning. Umalusi noted the quality and standard of internal moderation as acceptable.

Some 52% of the portfolios moderated complied in all respects with this criterion. There was an improvement of 47% when compared to 2019 in adherence to the requirements of this criterion. The overall compliance for the sample was 52%, compared to 32% compliance in 2018 and 5% in 2019.

Two learning areas showed non-compliance with the internal moderation criterion. These were A4LIFO at Glencore Xstrata Eastern Mine, and A4SMME at Mosselbay Municipality and Cape Town Skills Facilitators. External moderation could not be conducted as these AET centres submitted 2017 SBA tasks.

Umalusi noted the following reasons that were most common in cases of non-compliance:
   i.   There was no evidence of feedback to the lecturers and students (A4LIFO and A4CENG);
   ii. There was no meaningful feedback to the students on the quality of their performance (Frances Vorwerg School, A4CENG);

iii. There was no evidence of moderation at assessment level (Orvhovelani, A4LIFO);
iv. Comments were vague and lacked detailed feedback (A4CENG);
v. Only two tasks were internally moderated (SAADA House, A4LIFO);
vi. No evidence of internal moderation (Glencore Xstrata Eastern Mine, A4SMME);
vii. Internal moderation was incomplete (FH Chamberlain Trading (Pty) Ltd, A4NTSC); and
viii. The breakdown of marks was problematic in A4CENG at Festive Clayville Centre, which resulted in making external moderation challenging.

Figure 3D compares compliance with this criterion in November 2018, 2019 and 2020.
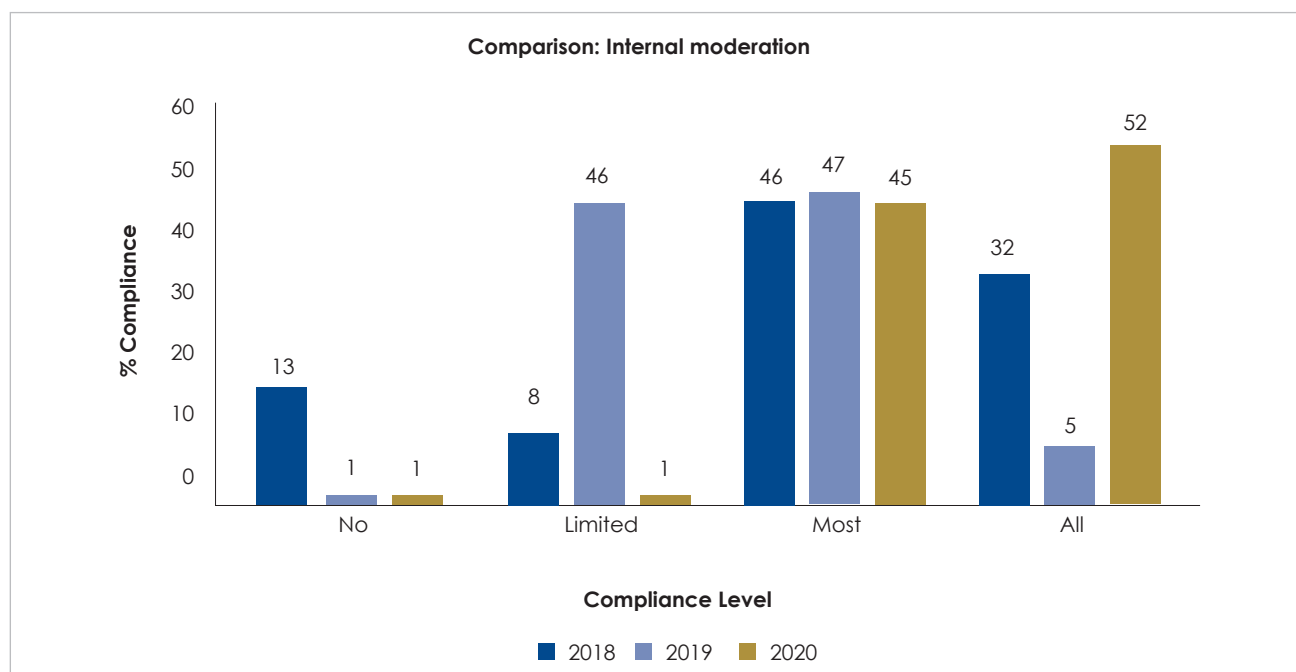
Figure 3D: Comparison of compliance with internal moderation in November 2018, 2019 and 2020

When compared to 2018 and 2019, compliance in all respects increased by 20% and 47% in 2018 and 2019, respectively, while compliance in most respects decreased slightly in 2018, 2019 and 2020. The non-compliance remained constant in 2019 and 2020, but decreased from 2018. Overall compliance increased slightly from 77% in 2018 to 79% in 2019.

c) Structure and Content of SBA portfolios

The structure and content criterion checks that students' portfolios contain the relevant documents indicated in the quality indicators. The expectation is that the students' SBA portfolios will be neat and presentable, with all tasks filed in an orderly manner; and will reflect that tasks were properly marked and internally moderated.

The portfolios of the candidates should have the following documentation to indicate validity, authenticity, relevance and currency of evidence:
i. Student's information;
ii. Copy of identity document (ID);
iii. Authenticity form, duly completed and signed;
iv. Assessment plan;
v. Marked tasks or answer scripts;
vi. A record of scores and marks; and
vii. Evidence of internal moderation.

Umalusi noted that the non-adherence to the structure and content of SBA portfolios was due to the non-submission of the relevant documents.

These documents are:
    a. Non-submission of ID;
    b. ID copies not certified;
    c. Assessment plans not provided;
    d. Declarations of authenticity forms not completed and not signed; and
    e. Tasks were marked, but not signed or dated.

Students at four AET centres (A4MATH) submitted their ID, although they were not certified.

All PoE presented were neat and well structured, except for A4LiFO at Circle Way College. However, PoE for the learning area A4EMSC were damaged due to the leaking roof of the moderation venue. Figure 3E compares compliance with this criterion in November 2018, 2019 and 2020.
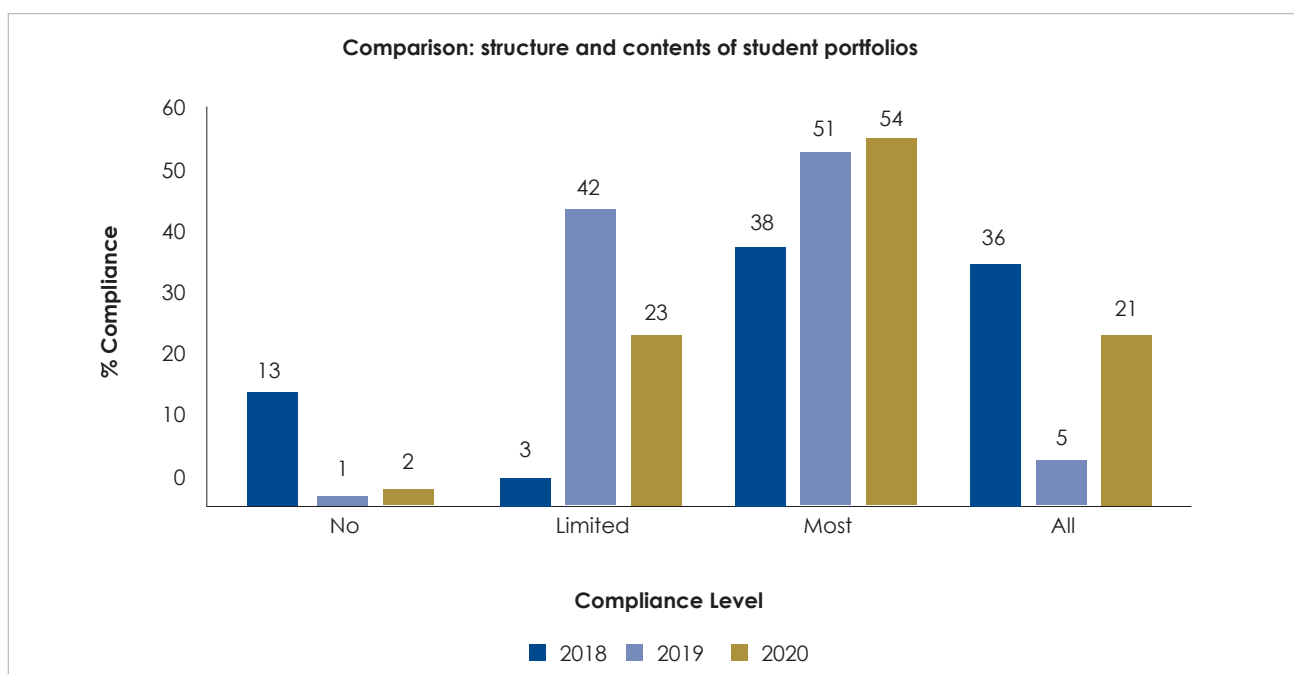
Figure 3E: Comparison of compliance with the structure and content of portfolios in November 2018, 2019 and 2020

Figure 3E indicates an increase in the portfolios that were compliant in most respects from 2018 to 2020. Furthermore, there was an increase in the number of portfolios that were fully compliant.

d) Implementation and Assessment of SBA Tasks

This criterion checks whether all prescribed tasks have been completed and assessed according to the assessment plan contained in a student portfolio. The expectation is that the SBA tasks are completed and assessed according to the assessment plan.

The non-compliance of the two learning areas that were compliant with this criterion were A4LIFO at Glencore Xstrata Eastern Mine, and A4SMME at Cullinan Development Centre and Cape Town Skills Facilitators AET centres. These AET centres submitted 2017 SBA tasks and made it challenging for external moderation to be conducted.

The absence of an assessment plan resulted in 42% of the sample complying in limited respects with this criterion. Umalusi could not verify the dates on which SBA tasks were completed.

In addition, the student portfolios that did not contain the prescribed number of tasks were in the A4EMSC and A4NTSC (Department of Energy-Project Literacy) learning areas. In the learning area A4EMSC, there was evidence of incomplete tasks and of not all tasks being submitted.

In the learning areas that had limited compliance with this criterion, there was no evidence that the tasks were done according to the assessment plan, and there were no dates on which the tasks were done.

Figure 3F compares compliance with this criterion in November 2018, 2019 and 2020.
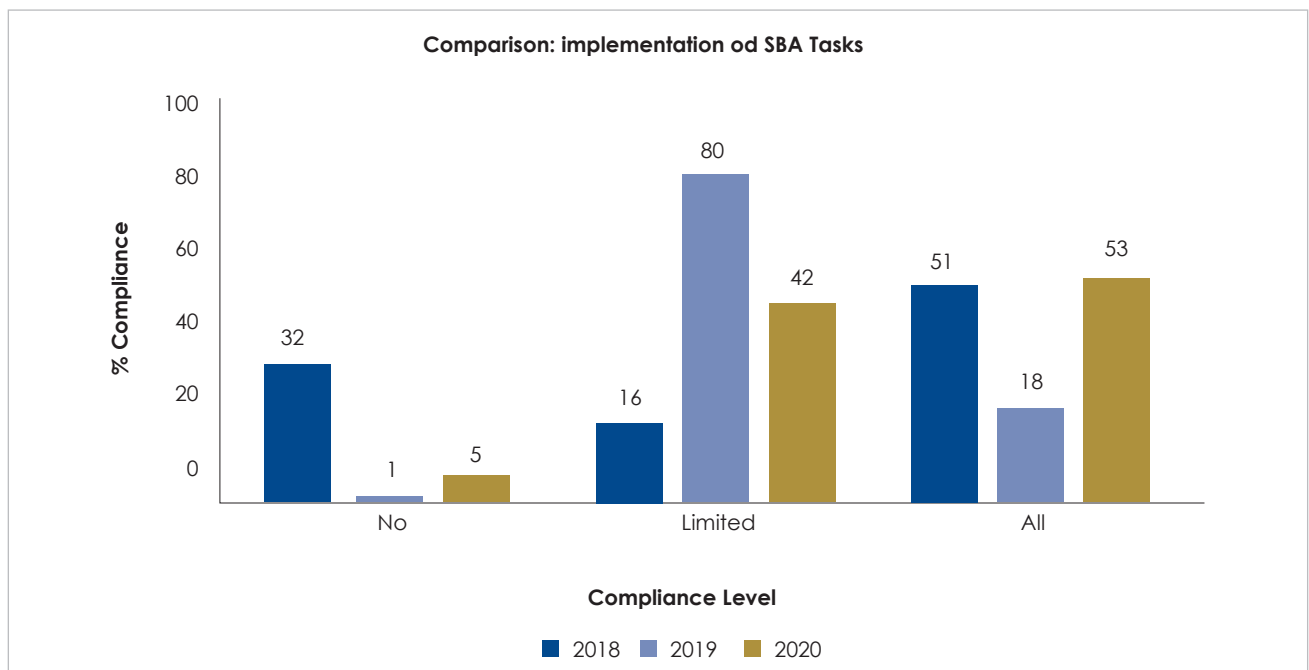
Figure 3F: Comparison of compliance with implementation of SBA tasks in November 2018, 2019 and 2020

When compared with compliance in November 2018 and November 2019, there was an increase of 10% in compliance in all respects. Full compliance was rated at 53%. Figure 3F shows the comparison in compliance levels in November 2018, 2019 and 2020.

e) Performance of Students
This criterion evaluates the performance of students against the following three quality indicators:
   i.   The student interprets the assessment task correctly;
   ii.   The student's responses meet the expectations and demands of the assessment task; and
   iii. The student is able to respond to all the questions (at different levels of difficulty) as set in the task.

The expectation is that students' performance is compliant in all three areas.

Compliance with this criterion showed that 68% of the SBA portfolios were fully compliant. This was a significant improvement on the performance in 2018 and 2019. Students were able to interpret tasks well and respond to all questions. All students in the A4MATH and A4LIFO (PPC Lime-Lime Acres and Frances Vorwerg School) learning areas exceeded the expectations.

Although students seemed to have interpreted the questions well, 18% met this criterion in most respects. Tasks 2 and 3 of A4SMME appeared to have been the most difficult and students were unable to respond and perform well. There was also no evidence of tasks in the learning area A4EMSC.

Some 11% of the students met this criterion with limited compliance for the following reasons (among others): Misinterpretation of questions and instructions, a common challenge in all those learning areas with limited compliance; and responses that did not meet the expectation of questions.

Some 5% of the sample showed non-compliance with this criterion. In addition to the challenges mentioned, Umalusi noted that:
   a. There was inconsistent marking of students' responses;
   b. Students struggled with interpreting tasks and found them overwhelming;
   c. Students were not able to interpret tasks (A4NTSC);
   d. There was strong evidence that students copied from the marking guidelines at SAADA House (A4EMSC and A4SMME); and
   e. Students responding in pencil and with different handwriting (A4LIFO: Cape Town Skills Facilitators and Mash Computers Trading Standard Client).

Figure 3G compares compliance with this criterion in November 2018, 2019 and 2020.
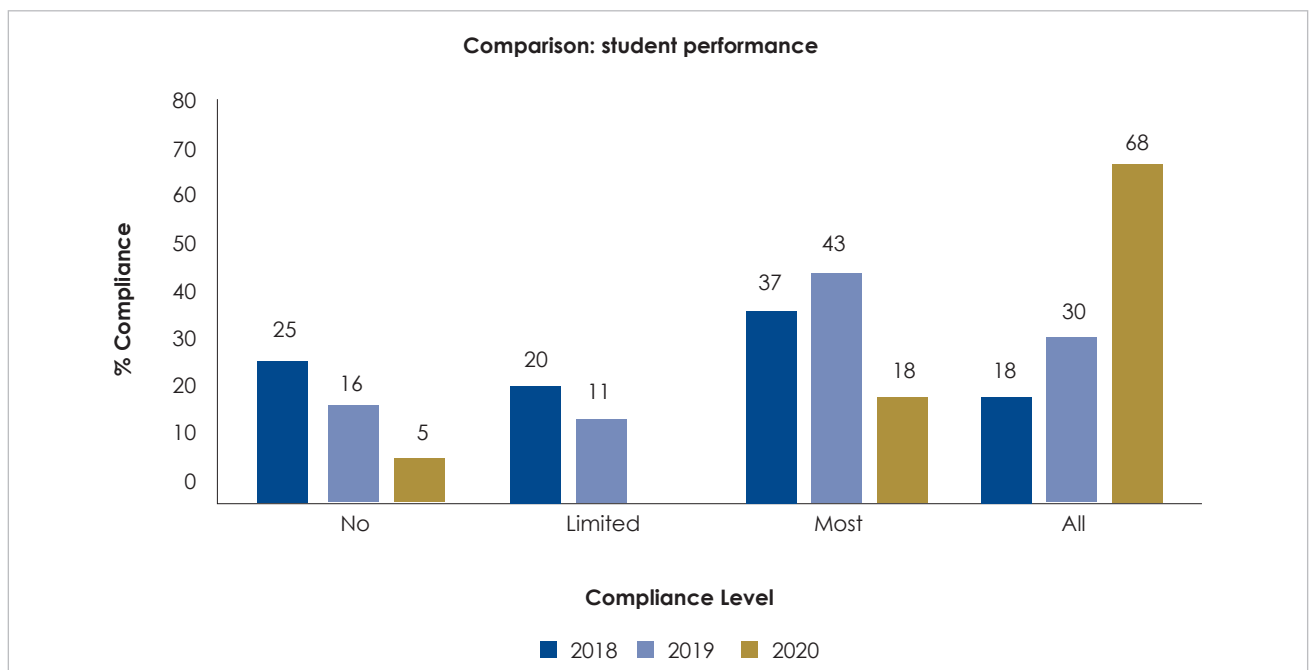
Figure 3G: Comparison of compliance with student performance in November 2018, 2019 and 2020

There was a significant improvement in student performance in 2020, compared to the past two years (2018 and 2019). The number of students who could not perform well has decreased gradually since 2018.

f) Quality of Marking

This criterion checks whether marking was accurate and consistent with the marking guidelines. The expectation is that marking should be accurate and consistent; that totalling, recording and the transfer of marks to the mark sheet are accurate; and that the final mark allocated is in line with the performance of the student.

The quality and standard of marking has proved to be challenging over the past two years. However, Umalusi noted a decline in the quality of marking from 2019. It is, however, at acceptable levels. There is room for improvement if the assessment body trains the lecturers in the marking process.

Great diligence was exercised in 58% of the sample that was fully compliant with this criterion. Lecturers adhered to the marking guideline and were also consistent with the marking guideline.

Despite most lecturers being consistent in marking, irregularities observed were mainly in awarding marks for tasks that were not contained in students' PoE, as well as students copying from the marking guideline. These resulted in inflated marks.

Umalusi noted the following challenges:
   i.   Incorrect conversion and transfer of marks (The Diepsloot Foundation, A4SMME, and St Georges Life Campus);
   ii. Incorrect marking guideline, which disadvantaged students (A4EMSC);
   iii. Rubrics not contained in the PoE (A4CENG);
   iv. Rubrics that were adapted;
   v.   Tasks were marked without using rubrics;
   vi. Poor quality of marking; and
   vii. Non-adherence to the marking guideline.

Some 11% of the sample met this criterion with limited compliance.
The reasons are:
   a. Marking inconsistent with the marking guideline (A4MATH, all AET centres);
   b. Marks inflated;
   c. Lenient marking (A4SMME);
   d. Ticks not in line with mark allocation (A4EMSC);
   e. Responses in pencil with different handwriting (A4LIFO);
   f. Marks cannot be accounted for; and
   g. Marks cannot be justified for oral work (A4CENG, A4EMSC).

Some 10% of the sample that did not comply with this criterion revealed the following challenges, among others:
   1. The incorrect recording, totalling, conversion and transfer of marks (A4SMME);
   2. Marks being incorrectly awarded for all students at SAADA House (A4SMME);
   3. Marks being awarded for responses not related to the learning area; and
   4. Marks not being in line with student performance (A4SMME and A4LIFO).

Figure 3H shows a comparison of compliance with this criterion in 2018, 2019 and 2020.
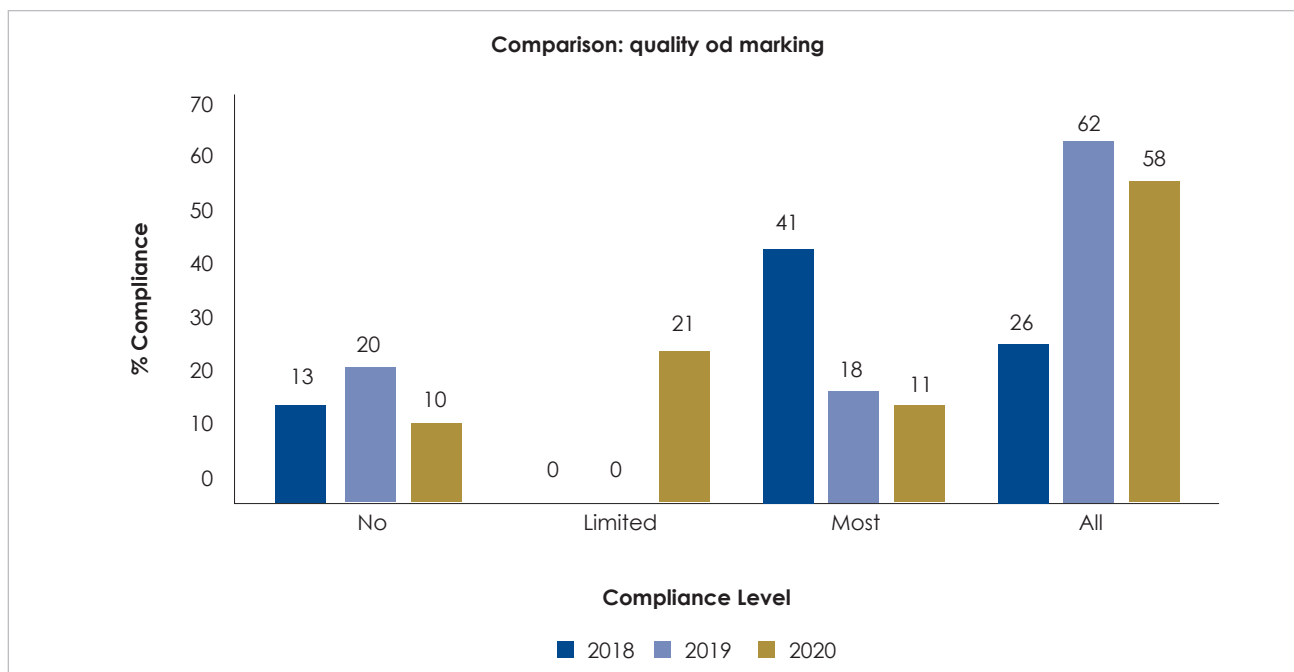
Figure 3H: Comparison of compliance with quality of marking in November 2018, 2019 and 2020

Poor marking was identified as a concern in 2018 and 2019. This has remained a concern in 2020, although there was improvement in the quality of marking.

Instances of non-compliance decreased by 10% and those of limited compliance increased by 2% in November 2019, when compared with performance in November 2018. Compliance in all respects improved by 12%.

3.4   Areas of Improvement

The following areas of improvement were identified during the moderation of SBA portfolios:
  a. The overall compliance of SBA portfolios and AET centres improved when compared with that of November 2018 and 2019;
  b. More lecturer PoA were submitted and complied with the requirements of the assessment guidelines;
  c. There was an improvement in the submission of the required documents;
  d. More SBA portfolios of more AET centres were moderated in 2020 than in 2018 and 2019. This was because of a change in approach and sampling strategy; and
  e. SBA Irregularities have decreased significantly.

3.5   Areas of Non-compliance

The following areas of non-compliance were identified:
  a. Facilitators did not submit the PoA in most centres;
  b. Internal moderation was conducted on the day when SBA was supposed to be submitted to Umalusi for external moderation
  c. Students' Portfolio of Evidence did not have assessment plans;
  d. Rubrics were adapted;

e.   Poor quality of marking in some centres; and

f.   There was evidence of cheating because students copied from the marking guidelines. This was declared an irregularity.

3.6   Directives for Compliance and Improvement

The IEB is required to ensure that:

a.   All facilitators' Portfolio of Assessment are submitted for external moderation;

b.   Internal moderation is conducted prior to external moderation; and

c.   the training of centres in the implementation of SBA is strengthened to ensure compliance with the requirements.

3.7   Conclusion

This chapter reported on the findings of the external moderation of SBA portfolios. The levels of compliance for the November 2018, 2019 and 2020 examinations were compared to check if the implementation and moderation of SBA had improved. Although the IEB has shown improvement in monitoring the management and verification of moderation of SBA portfolios, there is still more to be done to improve the quality of implementation and moderation of SBA.

Any non-compliance poses a risk in terms of the credibility of the SBA mark, which contributes 50% towards the final mark per learning area. It is recommended that the IEB strengthens training and support to AET centres and improves monitoring of the implementation of SBA.

CHAPTER 4 MONITORING THE STATE OF READINESS TO CONDUCT EXAMINATIONS

4.1   Introduction

As part of its mandate, Umalusi evaluates the level of preparedness of assessment bodies to conduct the national examinations. In keeping with this mandate, Umalusi annually undertakes the external risk management-based audit to determine the state of readiness (SOR) of the Independent Examinations Board (IEB) to conduct the November 2020 General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) examinations.

The verification focused specifically on potential risks related to the examinations. The main objectives of the audit were to:
   a.   Evaluate the level of preparedness of the IEB to conduct the combined November 2020 GETC: ABET examinations;
   b.   Evaluate the systems that IEB has in place to ensure the delivery of credible examinations; and
   c.   Track the progress made in addressing the directives for compliance and improvement, if any, issued in respect of the November 2020 examinations.

4.2   Scope and Approach

The risk management-based approach is one of Umalusi's critical quality assurance processes intended to enhance the systems used for the conduct, administration and management of national examinations by timeously identifying the areas likely to impact negatively on the delivery of credible examinations, and the findings thereof to be highlighted for purposes of putting mitigation strategies in place prior to the commencement of examinations. The following process was implemented:

a) Desktop Evaluation
Umalusi used the self-evaluation reports submitted by the IEB to conduct a desktop analysis of each process of the examination cycle.

b) Risk Analysis and Feedback
Umalusi developed a risk profile of the IEB, based on the submitted self-evaluation reports. This process identifies areas of potential risk, which may compromise the delivery of credible examinations.

c) Evidence-based Audits
Unlike the previous years, Umalusi did not conduct on-site verification visits due to the unprecedented global outbreak of the COVID-19 pandemic. Thus, the evidence-based verification audits were performed through remote analysis of the submitted self-evaluation report, supported by evidence received from the IEB.

4.3   Summary of Findings

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

4.3.1 Management

Regardless of the challenges constituted by the COVID-19 pandemic, the audit outcomes on the SoR found that the IEB had sufficient staff and financial resources to conduct, manage and administer the November 2020 GETC: ABET National Qualifications Framework (NQF) Level 1 examinations.

4.3.2 Registration of Candidates and Examination Venues

a) Registration of Candidates
While the IEB embarked on the registration process of candidates for the November 2020 GETC: ABET examinations, only 106 candidates were registered. This was a drastic decline of 480 registered candidates compared to the 586 candidates that registered in 2019.

b) Examination Venues
The IEB had 64 examination centres that applied to write the November 2020 examinations and entered candidates. The audit of examination centres had not yet been conducted at the time of Umalusi's verification. There was a procedure in place that the IEB could adopt to conduct the auditing of centres and which would inform the desktop audit to be conducted after the centres had confirmed their registration. Umalusi found that there was a drastic decrease of 46 centres when compared to the 110 centres in the November 2019 examination cycle.

4.3.3 Printing, Packaging and Distribution of Examinations

a) Printing and Packaging
The IEB entered into a contractual agreement with a private service provider for the printing, packaging and distribution of the November 2020 GETC: ABET examination materials. Security measures were put in place, which included audio-visual cameras that were used to secure examination question papers and related materials while printing was in progress.

The printing and packaging of the examination materials was closely monitored under 24-hour surveillance. Furthermore, all personnel entrusted with the handling of examination materials signed confidentiality forms.

b) Distribution of Examination Material
A distribution management plan was in place and was aligned in accordance with the printing plan. Strict security measures were established to distribute question papers and collect answer scripts across all examination venues. To strengthen security of the examination material, the IEB used padlocks with combination codes to seal the packaged examination question papers.

4.3.4 Management of Internal Assessment

Guidelines and policy for the implementation and moderation of internal assessment
was in place, but not submitted as part of the required evidence. The site-based assessment (SBA) moderation management plan, indicating dates and activities, was also not submitted for Umalusi to analyse.

The IEB had no system in place to ensure the implementation of Umalusi's findings after moderation had been conducted on internal assessment. However, the IEB's sampling strategy was well presented.

4.3.5 Monitoring of Examinations

The IEB developed feasibility plans to monitor the November 2020 GETC: ABET examination. The IEB administered the training of invigilators. There was a plan in place for the training of sub-invigilators. All the chief invigilators signed confidentiality forms as part of accountability.

The IEB communicated examination-related and COVID-19 protocols to the chief invigilators in order to address the health and safety measures and restrictions relating to social distancing in the examination centre.

4.3.6 Management of Examination Irregularities

The IEB has established a well-structured and fully functional Examination Irregularity Committee (EIC), responsible for the handling of examination irregularities. Effective management strategies for the implementation of possible irregularities were in place.

4.3.7 Selection and Appointments of Markers

Criteria on the appointment of marking personnel were submitted, but do not specify qualifying requirements in terms of the following:
    a. Qualifications of applicants;
    b. Qualification in the learning area applied for;
    c. Teaching experience in NQF Level 1;
    d. Teaching experience in the learning area; and
    e. Whether the applicant is currently teaching the learning area at NQF Level 1.

Furthermore, one marking centre was established and subjected to the COVID-19 protocols developed by the IEB for the marking of the November 2020 GETC: ABET examinations.

4.3.8 Systems for Capturing Examination and Assessment Marks

The IEB uses internal permanent staff members to capture marks for the GETC: ABET qualification. The management plans that detail the capturing process were available. The capturing plan has been incorporated and has taken into consideration the restrictions imposed by the novel COVID-19.

4.4 Areas of Improvement

Notwithstanding the challenges constituted by the COVID -19 pandemic, the audit outcomes on the state of readiness, found that the IEB was ready and sufficiently prepared to guarantee the delivery of credible combined November 2020 GETC: ABET examinations

4.5   Areas of Non-compliance

The folowing was noted as a concern:
    a. The non-submission of desktop audits of examination centres and guidelines/policy for the implementation and moderation of internal assessment remain an area of non-compliance.

4.6   Directives for Compliance and Improvement

The IEB is required to ensure that:
   a. The evidence for each of the key indicators is submitted for verification in line with the self-evaluation requirements.

4.7   Conclusion

The findings extracted from the IEB's self-evaluation report revealed that the IEB was able to present adequate evidence to support its level of preparedness to conduct, administer and manage the November 2020 GETC: ABET examinations.

CHAPTER 5 MONITORING OF WRITING AND MARKING OF EXAMINATIONS

5.1 Introduction

Umalusi monitored the writing of the combined November 2020 General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) examination, managed by the Independent Examinations Board (IEB). The examination cycle commenced on 28 October 2020 and ended on 5 November 2020. This was followed by monitoring of the marking phase at Holy Christian Family College on 21 November 2020. The collected data, which was gathered from the 18 sampled writing centres and one marking centre, is used to provide a summary of the findings, as outlined in the two sections in this chapter:

a. Monitoring of the writing of the examinations; and
b. Monitoring of the marking.

5.2 Scope and Approach

The IEB conducted the November 2020 GETC: ABET examination at 64 centres. Umalusi monitored 18 predetermined samples of examination centres from the population of examination centres. Umalusi evaluated the levels of compliance at the centres using an instrument for monitoring the writing of examinations and an instrument for monitoring the marking centres.

Umalusi adopted the following approach to assess compliance levels as determined in the criteria for the writing and marking phases at the monitored centres:

a. Collecting and verifying data using the monitoring instruments during the monitoring visits;
b. Conducting interviews with the chief invigilators and the marking centre managers at the centres; and
c. Reporting and recording observations during the visits.

Table 5A provides information on the number of examination centres Umalusi monitored per province during the November 2020 GETC: ABET examinations.

Table 5A Number of examination centres monitored per province

Province	EC	FS	GP	KZN	LP	MP	NC	NW	WC	Total
Number of sampled centres	2	1	5	2	3	1	-	-	4	**18**

KEY:

EC = Eastern Cape; FS = Free State; GP = Gauteng; KZN = KwaZulu-Natal;
LP = Limpopo; MP = Mpumalanga; NC = Northern Cape; NW = North West;
WC = Western Cape.

5.3 Summary of Findings

Table 5B reflects the average compliance levels of the centres monitored per key monitoring area.

Table 5B: Summary of compliance (percentage) to criteria of examination centres monitored

Key monitoring area	Average compliance per sample
Preparation for the examination	66.3%
Invigilators and their training	58.3%
Preparations for writing	70.7%
Time management of activities during the examination	64.5%
Activities during writing	86.3%
Packaging and transmission of scripts after writing	88.8%
Average percentage	**72.6%**

5.3.1 Monitoring of the Writing of the Examination

The following information summarises the findings aligned with the key monitoring areas of the writing phase of this examination cycle.

a) Preparations for the Examinations

A courier service delivered the examination materials, including question papers, a week before the commencement of the examinations and collected them again once the examination had been concluded. Upon receipt of the examination materials, question papers were securely kept at nine centres. The security of assessment materials was highly compromised at these nine centres. Neither a strong room nor a safe was available in six centres and two centres kept the material in the bedrooms of private houses. Only one centre brought the examination material straight to the examination venue.

A conducive environment for the writing of the examinations was observed in all the centres except one, where the examination was conducted at one of the invigilator's homes. The environment was not conducive, and the furniture was not appropriate or adequate to cater for the candidates.

b) Training of Invigilators

Fifteen examination centres had evidence of the chief invigilators' training, and three centres had no evidence of training. At 12 of centres, chief invigilators appointed invigilators in writing.

Some 88% of the centres complied with this criterion, while 11% did not have evidence of signed attendance registers.

c) Preparation for Writing

The following was reported with regard to the preparation for writing:
    i.   Sixteen examination centres had examination files;
    ii.   Candidates were not seated according the seating plan at two centres;
    iii.   The examination timetables were available in all the monitored centres;
    iv.   The monitored centre did not have a relief timetable for invigilators; and
    v.   Question papers were opened in front of candidates in all the centres.

d) Time Management

Out of the 18 sampled centres monitored by Umalusi, only nine centres complied with the criteria for the management of time. The monitored centres did not perform well in this key monitoring area with an average compliance score of 64.5%. Nine centres scored 100% in this key monitoring area. Four

centres scored between 80 and 99%, while five had scores that were less than 80%. The lowest score was 31%. Among the nine centres that did not comply with this criterion, areas of non-compliance recorded included candidates who did not sign the attendance registers, examination rules not being read for the candidates, the question paper not being checked for technical accuracy, and candidates not being given the regulated reading time.

e) Activities during the Writing Session

The invigilators did not clarify any aspect of the question paper. The candidates were not allowed to leave the examination room without an escort, except at one centre. No unauthorised personnel other than the invigilators were in the examination room during the examination session. The invigilators were vigilant and did not engage in any activities not related to the invigilation of the examination, except at one centre where invigilators kept on being interrupted by their cell phones.

Question papers were checked for technical accuracy and the correctness of the information on the cover page was verified at all the centres but one. In another centre, the reading time was interrupted by the signing of the register and examination rules were not read to candidates. It was observed that candidates in three centres were in possession of cell phones. However no irregularities were declared or reported.

f) Packaging and Transmission of Examination Scripts after Writing

The average compliance level of examination centres in this key monitoring area was 89%. Eleven centres achieved 100% and three centres scored between 90 and 99%. Only four centres scored below 90%.

In all the centres, scripts were collected from the candidates at the end of the examination session. Only authorised personnel were in the packing room. Invigilators used the sequence in the mark sheets for the packaging of scripts. The scripts were sealed in the official IEB satchel, which was provided with a pin code at all the centres. The packaging was done in the presence of Umalusi monitors.

Situational reports were written as part of the normal assessment body examination report. The assessment body arranged for the courier service to collect the scripts from all the examination centres as per the pre-set schedule.

g) Monitoring by the Assessment Body

Out of the 18 sampled examination centres that were monitored by Umalusi, the assessment body only monitored seven at the time through an audio-video device. The mode of monitoring was a preventative measure adopted to mitigate the possible impact of COVID-19 on the administration of examinations.

5.3.2   Monitoring of the Marking of the Examination

Umalusi monitored the IEB marking centre for the marking of GETC: ABET examination scripts housed at Holy Family College. The marking of examinations commenced on 21 November 2020 and ended on 22 November 2020.

a) Preparations and Planning for Marking

The marking centre was conducive and furnished with suitable desks and chairs. The security measures were of an acceptable standard since surveillance cameras were installed and there was an intercom at each entrance door to the marking venues. One full-time employee, with in-depth

knowledge and extensive experience in marking, was appointed as marking centre manager. A detailed management plan, lists of marking personnel, marking guidelines, irregularity forms and script control sheets were verified.

All marking personnel were appointed by the IEB prior to the commencement of the marking session and a list of appointed marking personnel was in place and verified. An additional marker (reserve) was also appointed for each learning area in the event that an appointed marker failed to report for duty.

Marking personnel were provided with the marking guidelines and had an opportunity to interact and engage in discussions to ensure that everyone was conversant with the guidelines, and any uncertainties were clarified. The IEB ensured that suitably qualified and experienced internal moderators and examiners were timeously appointed for each learning area to conduct the training and standardisation of the marking guidelines. Pre-marking was conducted. Script controllers were trained in the handling and controlling of the script movement.

The IEB acquired the services of a reputable catering company to supply all marking personnel with food. All marking personnel were provided with pre-packed breakfasts and lunches to avoid congestion in the dining room and to adhere to COVID-19 social distancing protocols.

The norm time was fixed at nine hours a day, including tea breaks and lunchtime.
Table 5C outlines the details of the total number of marking personnel, the learning areas and number of scripts received.

Table 5C: Detail of personnel appointed for marking

Learning areas	Scripts	Examiners	Internal moderator	Markers	Examination assistance
Communication in English	268	1	1	17	2
Economic and Management Sciences	74	1	1	5	2
Human and Social Sciences	115	1	1	5	2
Life Orientation	121	1	1	9	2
Mathematical Literacy	239	1	1	15	2
Natural Sciences	171	1	1	8	2
Small, Medium and Micro Enterprises	87	1	1	7	2

b) Marking Centre Resources

The immediate surrounding at the centre was clean with sufficient and spacious marking rooms to enable social distancing as per COVID-19 protocols. There were water and toilet facilities with proper lighting in the marking venues. The marking centre was conducive for marking with no noise. The marking centre had reliable photocopying facilities. However, the centre manager was required to use her personal cell phone and laptop for communication purposes.

The majority of appointed markers were from Gauteng and were not provided with accommodation. The two moderators who were from outside Gauteng were accommodated at a hotel.

The marking centre fully complied with the minimum occupational health and safety (OHS) requirements. A COVID-19 committee was appointed prior to the start of the marking session to ensure that all protocols were observed and all regulations adhered to. Provision was made for an isolation room to ensure that all personnel with COVID-19 symptoms were kept there until the necessary measures could be taken. However, during this marking session, no personnel showed any symptoms of COVID-19. Sanitisers were placed at the entrance of each marking venue.

c) Security Measures Provided

Boxes of scripts were moved to the respective marking venues in the morning. The examiners and the centre manager verified that the markers had been provided with the correct boxes of scripts.

All scripts were packaged in boxes with the name of the learning area and the number of scripts on each box. Scripts were kept in the control room at the IEB offices from the end of the examination sessions. The control room was protected by an alarm system and the dispatch manager kept the keys to the control room. There was a 24-hour surveillance camera and alarm systems that were connected to a 24/7 security company.

The dispatch team transported the scripts from the IEB offices to the marking centre on 20 November 2020 using unmarked vehicles. The scripts were kept in a boardroom that was protected by an alarm system and cameras. All marked scripts were kept in their respective marking venues until marking had been concluded. They were then transported back to the IEB's offices for safekeeping.

The examination assistants were provided with training to ensure that all scripts were accounted for. Each marker signed a script control sheet and reconciliation was done at the end of the session to ensure that no script was missing. The examination assistants ensured that the correct number of scripts allocated to markers was returned. No lost scripts were reported for this marking session.

Security measures were in place at the marking centre. The security was visible and tight from the gate. All visitors were expected to identify themselves and register their names with the security official at the gate prior to gaining access to the marking centre. Details of vehicles were recorded in a register. Markers were expected to sign the attendance register daily.

d) Handling of Irregularities

The IEB has a well-constituted Examination Irregularity Committee (EIC). The committee comprises IEB assessment specialists and executive management, as well as a representative from Umalusi. Examiners were trained on the procedures to be followed should an irregularity be detected. As a consequence, all markers were aware of what constituted irregularities. No irregularities were reported by the time the Umalusi monitor left the marking centre.

5.4   Areas of Improvement

Umalusi observed the following areas of good practices:
   a. Three examination writing centres were monitored through the audio-visual cameras that had been installed, and viewed from a central point by the IEB; and
   b. In one writing centre with a low enrolment, the chief invigilator performed the duties of relief invigilator.

5.5   Areas of Non-Compliance

The following areas of non-compliance were noted and recorded:
   a. One chief invigilator was not appointed in writing, while, in another centre, the appointment letters of both the chief invigilator and the invigilators were not filed;
   b. There was a lack of security for the storage of examination materials at nine centres where materials were stored in wooden cupboards, and two centres stored materials in an unsecured bedroom at a private house that was near the school;
   c. Candidates were in possession of cell phones at three examination centres, while at two centres, the invigilators also had their cell phones with them, which caused an interruption when invigilating;
   d. In one centre, the examination was conducted from an invigilator's home. The environment was not conductive to writing; and
   e. Candidates were not seated in accordance with the seating plan in two centres, and candidates were admitted late at two centres.

5.6   Directives for Compliance and Improvement

The IEB is required to ensure that:
   a. All personnel responsible for the conduct, administration and management of the examinations must be trained to improve their levels of compliance. This was indicated in 2018 and 2019;
   b. Evidence of the appointment and training of chief invigilators is available at examination centres; and
   c. All examination materials are stored safely.

5.7   Conclusion

Generally, a decline of 10.7% in the average compliance level of all sampled centres monitored for the writing of examinations was recorded, representing a decrease from 83.3% in November 2019 to 72.6% in November 2020. There was a decline in all key monitoring areas, except for the invigilators and their training, which displayed an improvement of 1.6% from 56.7% in November 2019 to 58.3% in November 2020.

As with the November 2020 examinations, there was general compliance with the marking procedures. The marking centre was well managed and all the necessary documents were available. All the marking centre activities were implemented as per the management plan. Nothing was found that could compromise the integrity and credibility of the marking of the November 2020 GETC: ABET examinations.

CHAPTER 6 AUDIT OF APPOINTED MARKING PERSONNEL

6.1   Introduction

Umalusi audits the selection, appointment and training of marking personnel to ensure that the quality and standard of the 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 2019 GETC: ABET examinations.

6.2   Scope and Approach

Umalusi requested the IEB to submit information on the selection and 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 done from 21 to 22 November 2020 at Holy Family College, the IEB marking venue, during the marking process.

In conducting the audit, Umalusi verified the following documents:
   a.   Application forms;
   b.   Qualifications of applicants;
   c.   Appointment criteria;
   d.   Appointment (acceptance) letters; and
   e.   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 Independent Examinations Board (IEB), 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 IEB. 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 IEB selected and appointed 80 marking personnel, comprising examiners, internal moderators and markers, from the pool of contract workers. Table 6A shows the number of marking personnel appointed by the IEB, 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	Internal moderators	Examiners	Total
Communication in English	293	18	1	1	20
Economic and Management Sciences	74	4	1	1	6
Human and Social Sciences	115	5	1	1	7
Life Orientation	121	8	1	1	10
Mathematical Literacy	240	16	1	1	18
Natural Sciences	171	8	1	1	10
Small, Medium and Micro Enterprises	89	7	1	1	9
Total	**1 103**	**66**	**7**	**7**	**80**

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.   Be familiar with the assessment systems of the IEB;
  ii. Have experience in teaching at adult education and training (AET) levels 1 to 4;
  iii. Have teaching experience in the learning area and at the level they wish to mark or be strongly recommended by their training manager or centre coordinator. Such recommendation or motivation should be made in writing; and
  iv. Be willing to share knowledge and/or experience gained during marking with their colleagues in their organisations.

The criteria did not specify qualifying requirements in terms of qualifications of applicants, qualifications in the learning area applying for, teaching experience specifically in National Qualifications Framework (NQF) Level 1 (it includes other levels), and whether the applicant is currently teaching the learning area at NQF Level 1.

b) Examiners and Internal Moderators

The IEB has a pool of examiners and internal moderators who are contracted to develop and moderate AET question papers and site-based assessment (SBA) tasks and 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 fully and all applicants attached the required documents.

6.3.3 Qualifications and Learning Area Specialisation

The IEB indicated that personnel who would be involved in the November 2020 GETC: ABET marking would be selected from the IEB's database. According to the IEB, all the individuals in its database have the required qualifications. The section below discusses the findings on the verification of qualifications and learning area specialisation of markers, examiners 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	MSc (Leadership)	Not indicated
2.	Economic and Management Sciences	Higher Certificate in ABET	BEd (Economics)	Economics in 1/4
3.	Human and Social Sciences	Assessor and Moderator	STD	Not indicated
4.	Life Orientation	ABET Certificate	Advanced Diploma in Education	Not indicated
5.	Mathematical literacy	Assessor and Moderator	BCom Hons (Marketing)	Mathematics indicated in 2/16
6.	Natural Sciences	Assessor and Moderator	BA Hons (Risk Management)	Not indicated
7.	Small, Medium and Micro Enterprises	Facilitator Certificate	BA Hons (Education)	Not indicated

Although most markers had the required qualifications to teach in the AET sector, some markers were in possession of qualifications that were not a requirement to teach or facilitate teaching and learning (a Law degree, assessor and moderator training, an honours degree in Risk Management, etc.).

b) Examiners and Internal Moderators
Examiners and internal moderators are in possession of suitable qualifications and subject specialisations in each learning area.

6.3.4 Teaching/Facilitation Experience

The following are the findings in relation to the internal moderators.

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	3 years	23 years	15/18
2.	Economic and Management Sciences	5 years	11 years	4/4
3.	Human and Social Sciences	2 years	17 years	5/5
4.	Life Orientation	3 years	23 years	8/8
5.	Mathematical literacy	6 years	24 years	15/16
6.	Natural Sciences	3 years	20 years	7/8
7.	Small, Medium and Micro Enterprises	6 years	12 years	7/7

Communication in English and Natural Sciences had markers who were not teaching or facilitating the learning areas in 2020. They last taught or facilitated the respective learning areas in 2019.

b) Examiners and Internal Moderators

Examiners and internal moderators had the required experience in teaching or facilitation that ranged from 15 to 25 years, including experience in assessment per learning area.

6.3.5 Marking Experience

The section below discusses the findings on the verification of marking experience of the 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	1 years	21 years	One not indicated
2.	Economic and Management Sciences	3 years	9 years	One not indicated
3.	Human and Social Sciences	0 years	5 years	Two novice markers
4.	Life Orientation	1 years	12 years	
5.	Mathematical literacy	0 years	12 years	One novice marker
6.	Natural Sciences	0 years	18 years	One novice marker
7.	Small, Medium and Micro Enterprises	1 years	8 years	

There were three learning areas (A4HSSC, A4MATH and A4NTSC) where novice markers were accommodated during the appointment of marking personnel. In two learning areas (A4CENG and A4EMSC), markers did not indicate their marking experience.

b) Examiners and Internal Moderators

Examiners and internal moderators had a marking experience of between 15 and 20 years.

6.4   Areas of Improvement

Umalusi noted that the IEB contracts examiners and internal moderators for three years. This ensures consistency and stability in the marking process.

6.5   Areas of Non-compliance

The following was noted as a concerns:
   a. Criteria for the appointment of marking personnel were not in the details;
   b. There was no evidence of qualifications in the learning area applied for in five learning areas; and
   c. Information provided regarding the teaching or facilitation and marking experience of appointed markers was not complete in three learning areas.

6.6   Directives for Compliance and Improvement

The IEB must ensure that the:
   a. Criteria for the appointment of marking personnel are clearly laid out;
   b. Evidence of qualifications (specialisation) in the learning area applied for should be included for verification; and
   c. Information regarding the teaching or facilitation and marking experience of applicants is completed in full.

6.7   Conclusion

Umalusi conducted the audit of the appointed marking personnel for the marking of the November 2020 GETC: ABET examinations of the IEB. Umalusi found that the process of recruiting and appointing marking personnel was properly conducted. Most appointed marking personnel met the requirements set by the IEB. Qualifications (specialisation) in the learning area applied for was not included as a criterion for appointment. The IEB is required to include this requirement to ensure that it attracts applicants with 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 Independent Examinations Board (IEB) comprises two processes: the standardisation and approval of the marking guidelines, and the verification of marking of 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 has 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 that 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 IEB conducted the standardisation of marking guidelines and the marking of scripts for the November 2020 General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) examinations at Holy Family College, Johannesburg, from 21 to 23 November 2020. Marking guidelines for the seven learning areas assessed by the IEB were standardised.

Umalusi conducted on-site monitoring of the standardisation of marking guideline meetings and verified the marking of the candidates' scripts. Umalusi deployed one moderator per learning area to monitor the standardisation of marking guideline meetings and to conduct verification of marking. Umalusi sampled a minimum of ten scripts per learning area for the verification of marking. The process included remarking scripts to check adherence to the approved marking guidelines, the accuracy of mark allocation and totalling, and the transfer of marks. Umalusi also verified the quality of internal moderation.

Umalusi reported the findings using the quality assurance instrument for monitoring the standardisation of marking guidelines, which is based on the following criteria:

    a. Attendance of internal moderators, examiners and markers at marking guideline meetings;

    b. Verification of question papers;

    c. Preparation for the standardisation of marking guideline meetings;

    d. Standardisation of the marking guidelines' process;

e. Training at the standardisation of marking guidelines meetings; and

f. Approval of the final marking guidelines.

Umalusi moderators attended the standardisation of marking guideline meetings to monitor the proceedings, provide guidance, take decisions where necessary and approve the final marking guidelines.

After the standardisation of marking guideline meetings, Umalusi verified the marking in all eight learning areas. Umalusi selected samples of scripts for verification while the marking process was in progress. The selected samples were from different examination centres and representative of different levels of achievement. On-site verification of marking enabled markers to implement Umalusi's recommendations immediately, while marking was in progress.

Umalusi 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

The section below summarises the findings on the standardisation of marking guidelines and the verification of marking conducted by Umalusi on the IEB processes.

7.3.1   Standardisation of Marking Guidelines

Umalusi attends the standardisation of marking guideline meetings, among other things, to check attendance, preparations and the rigour with which the meetings are conducted. This section reports on the findings of the standardisation of marking guideline meetings 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.

In preparation for the marking of learners' examination scripts, the IEB appoints examination assistants who are responsible for checking the accuracy of totaling, recording and transferring candidates' marks. Examination assistants also check that all responses are marked, and assist with general administrative work.

Internal moderators, examiners and markers attended the standardisation of marking guideline meetings for all seven learning areas assessed by the IEB in November 2020.

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	21
2.	Economic and Management Sciences	7
3.	Human and Social Sciences	9
4.	Life Orientation	11
5.	Mathematical Literacy	22
6.	Natural Sciences	13
7.	Small, Medium and Micro Enterprises	2

Communication in English (21) and Mathematical Literacy (22) had the highest number of marking personnel. Small, Medium and Micro Enterprises (2) had the lowest number of marking personnel, with only the internal moderator and examiner in attendance. It must be noted that there was an increase in the number of appointed marking personnel in all the learning areas except for Small, Medium and Micro Enterprises.

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 during external moderation.

During the standardisation of the marking guidelines, one of the responsibilities of Umalusi's moderators is to verify that the question paper written by candidates is the one approved by Umalusi during the external moderation process. This was done in all seven learning areas at the beginning of the process. Umalusi's moderators confirmed that all seven question papers were the final versions 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.

It has become the norm that the IEB sends question papers and their respective marking guidelines to all marking personnel for each learning area. Marking personnel are required to check the accuracy and correctness of the marking guidelines. This is done by checking each response against each question in the question paper. Marking personnel are required to include alternative responses that have been omitted, correct responses that were incorrect and provide clarity on marking instructions where necessary. This process was done in preparation for the discussions that took place during the standardisation of marking guideline meetings.

The rotational system used by Umalusi, whereby different external moderators attend different standardisation of marking guideline meetings, helps to ensure that there are always robust discussions. Furthermore, Umalusi's system of rotating external moderators who attend standardisation meetings also ensures that internal moderators and examiners from the assessment body always come prepared for the process to avoid a negative report, which can impact on their future engagements.

d) Standardisation of 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 rigor of discussions per group, as well as decisions taken during the discussions.

The standardisation of marking guidelines meetings for A4CENG, A4MATH, A4SMME A4HSSC and A4LIFO were chaired by internal moderators. The meeting for the A4EMSC learning area was the only one that was chaired by a marker. The assessment body officials indicated that they had given this responsibility to a marker as a way of building capacity.

Marking personnel started by confirming whether they had all received the written examination question papers and corresponding marking guidelines sent to them after candidates had written the examination. Dummy scripts were marked before discussions were held to determine the accuracy in marking and interpretation of the questions and of the marking guidelines.

After marking the dummy scripts, marking personnel in each learning area engaged in discussions. In instances where there were alternative responses, participants were encouraged to bring them to the fore for thorough discussions before a decision was taken to accept or reject the alternative responses.

Alternative and additional responses were included in A4CENG, A4MATH, A4EMSC, A4LIFO, A4NTSC and A4SMME. A trend was observed in A4HSSC where a sizable number of candidates were answering all three questions in Section B and yet they were required to choose only two. In this regard, a decision was made for markers to mark all three questions in the event a candidate would have responded to all three. The marker would then consider the highest mark of any two of the answered questions. Considering the above, it can be said that 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 was conducted in the use of the amended marking guidelines. The achievement of common understanding and interpretation of the marking process was also verified.

Marking personnel marked one dummy script each before they discussed their findings. After the initial marking of one script each, the various learning area groups held discussions to standardise the marking. At this point, the discussions sought to find common ground in instances where markers had, for example, marked different responses correct. In such a case, motivation for accepting different responses was required for any response to be accepted. In other words, the discussions were a form of standardising the marking guidelines, which would be used during the actual marking. The marking of the second script was also aimed at establishing consistency of marking.

f) Quality of the Final Marking Guidelines
This criterion checks the quality of the standardised marking guideline, i.e. accuracy, correctness, inclusion of alternative responses and allowing for consistent accuracy in marking.

At the end, both the assessment body marking personnel and Umalusi must come to an agreement after satisfying themselves of all the amendments that will have been made. Umalusi approved the marking guidelines for all seven learning areas. These are the ones that were used as the final documents during the marking process. The finalisation of this process is indicated by Umalusi appending a signature on the final marking guideline. All marking guidelines used at the marking centre were the ones bearing the signatures of Umalusi.

g) Approval of the Final Marking Guidelines

For each learning area, Umalusi's moderators approved all amendments made to the marking guidelines; and all marking guidelines were approved as the final document, which was to be used during the marking process.

7.3.2   Verification of Marking

Umalusi conducts verification of marking to evaluate the quality of marking and internal moderation of scripts. This section reports on the findings of the verification of marking in terms of compliance with each criterion.

a) Adherence to Marking Guidelines

This criterion checks whether markers have interpreted and applied the approved marking guidelines consistently. Furthermore, it verifies whether candidates' responses have been credited, based on the merit of the examination item and the expected response in the marking guideline.

Umalusi discovered that markers adhered to the marking guidelines in five learning areas (A4EMSC, A4MATH, A4NTSC, A4SMME and A4HSSC). Consistent application of the marking guideline is credited to conducting marking immediately after the standardisation of marking guidelines and training of markers. Markers applied the marking guidelines as approved without changes or additions during the marking process. Deviations were within the acceptable tolerance range.

The inconsistent application of the marking of Section C on essay writing in A4CENG proved to be problematic on the first day of marking. Markers failed to use the rubric correctly. Umalusi noted errors in the marking of Question 10 in A4LIFO. The support of internal moderators and Umalusi's intervention addressed the marking issues in the two learning areas.

b) Quality and Standard of Marking and Moderation

Umalusi measured the quality and standard of marking in markers' adherence to the marking guidelines, the correct allocation of marks per item, variations in marks between markers, internal moderators and Umalusi's moderators, and the accurate totalling and transfer of marks.

Umalusi discovered that markers adhered to the marking guidelines in five learning areas (A4EMSC, A4MATH, A4NTSC, A4SMME and A4HSSC). The consistent application of the marking guideline is credited to conducting marking immediately after the standardisation of marking guidelines and training of markers. Markers applied the marking guidelines as approved without changes or additions during the marking process. Deviations were within the acceptable tolerance range.

The inconsistent application of marking of Section C on essay writing in A4CENG proved to be problematic on the first day of marking. Markers failed to use the rubric correctly. Umalusi noted errors in the marking of Question 10 in A4LIFO. The support of internal moderators and Umalusi's intervention addressed the marking issues in the two learning areas.

c) Alleged Irregularities

This criterion verifies whether the marking personnel were trained and were able to identify possible suspected irregularities. The criterion also verifies the ability of the marking personnel to manage identified irregularities.

Umalusi's moderators and the marking personnel were vigilant in identifying possible irregularities. Irregularities were suspected in A4MATH and A4CENG where candidates had similar responses. At Centre 1120, 15 candidates in A4MATH had similar correct responses in terms of method and working in Question 1 (A: a; B: e and f), Question 3 (C: c), Question 4 (A: a and b) and Question 5 (C: a, iii). The previous examinations were marred with similar irregularities in at least one centre.

In A4CENG, two candidates had similar responses with almost word-for-word repetition in Centre 11465. Similar responses were observed in Question 1(a and b), Question 7(a, b and c), Question 8 (a and b), questions 9 to 13 of Section A and Question 4 of Section B.

d) Performance of Candidates

This criterion analyses the overall performance of candidates and their performance per question. The analysis of performance presented in this chapter is limited to the sample of scripts verified by Umalusi, per learning area.

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 to advise curriculum providers regarding teaching and learning.

i) Communication in English (A4CENG)

The verification of marking was conducted on a sample of 20 scripts. The question paper consisted of three questions.
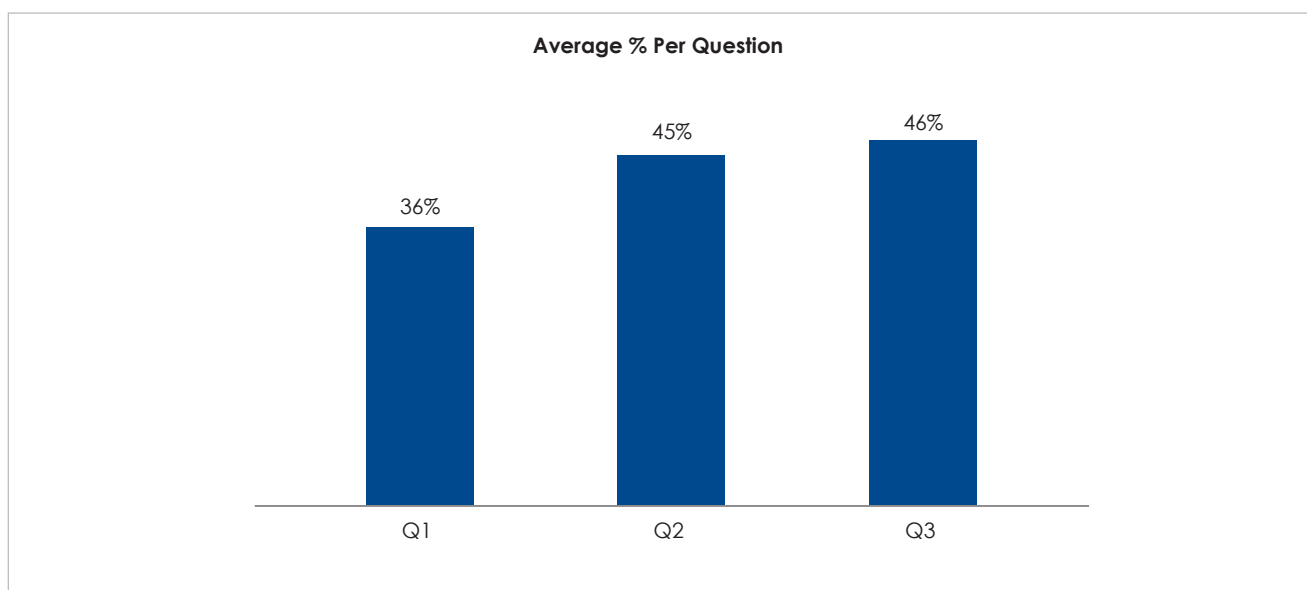

Figure 7A: Candidate performance in A4CENG per question for 20 scripts

According to Figure 7A, candidates performed the poorest, at 36%, in Question 1, which was based on comprehension. Question 3, on essay writing, performed the best at 46%. Umalusi has noted a 2-3% declining trend in performance in Question 1 since November 2018.

Table 7B: Mark distribution in A4CENG

Mark distribution									
0-9 %	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	1	2	6	7	0	2	2	0	0

From a sample of 20 scripts, 11 candidates passed and nine failed. Table 7B marked the highest score at 72% and the lowest at 13%. Unlike in November 2018 and 2019, the number of passes dropped by 15%. No distinctions and scores below 10% were recorded.

ii) Economics and Management Sciences (A4EMSC)

The verification of marking was conducted on a sample of 20 scripts. The question paper consisted of ten questions.
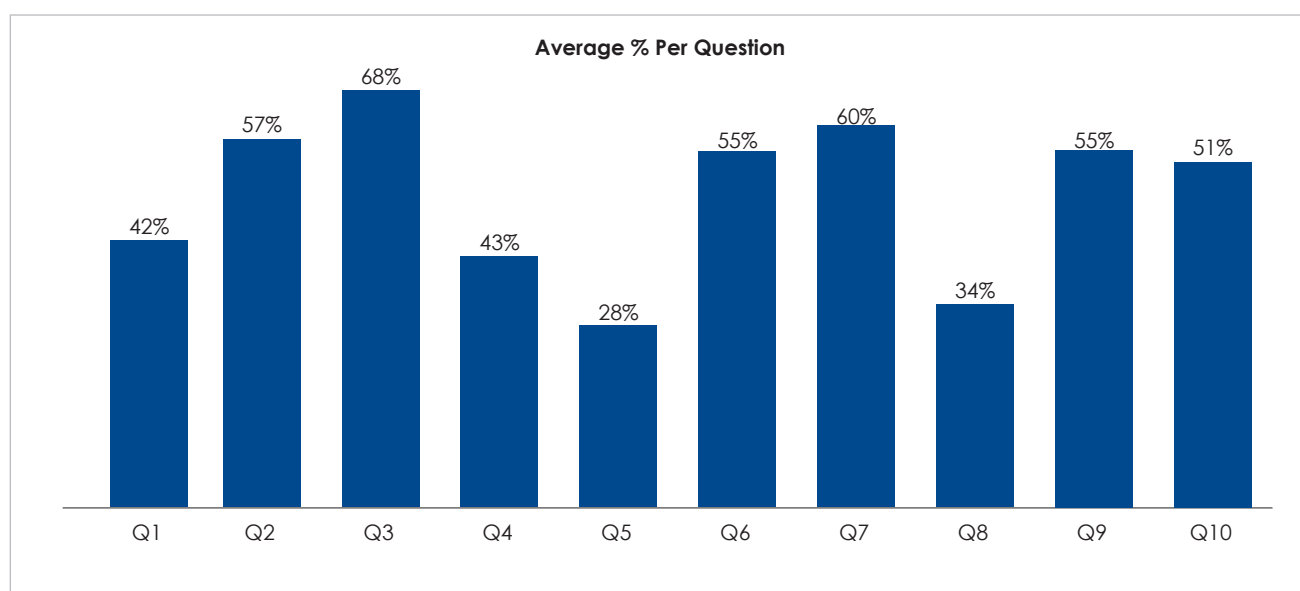
Figure 7B: Candidate performance in A4EMSC per question for 20 scripts

Figure 7B recorded the poorest performance in Question 5 at 28% and the best performance in Question 3 at 68%. Question 3 assessed a large scope of content through true or false items. Question 5 recorded the poorest performance at 28%. This question assessed the calculation of gross profit percentage and liquidity ratio. Despite the underperformance in Question 5 compared with the previous examinations, there has been a 7% improvement compared with November 2019.

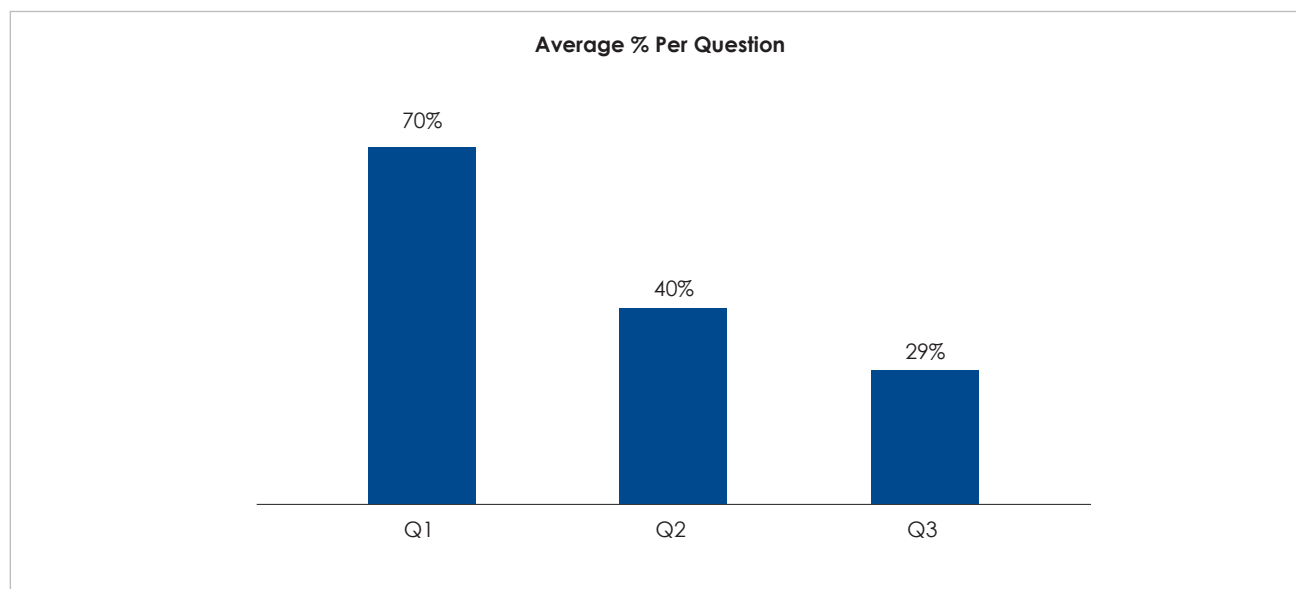**Table 7C: Mark distribution in A4EMSC**

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

Based on Table 7C, 14 out of 20 candidates passed the examination and only six failed. There is a 20% improvement in the performance and quality of candidates when compared to November 2019 and 2018. One candidate obtained a distinction at 83% and another one earned a mark of 9%.

iii) Human and Social Sciences (A4HSSC)

The verification of marking was conducted on a sample of 20 scripts. The question paper consisted of three questions.

Figure 7C: Candidate performance in A4HSSC per question for 20 scripts

According to Figure 7C, Question 1, based on short objective questions across the curriculum, performed the best at 70%. Question 3, on essay writing, performed the poorest at 29%. This performance is similar to previous examinations, with a further drop of 18% in November 2019.

Table 7D: Mark distribution in A4HSSC

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	1	2	2	6	7	2	0	0	0

Table 7D reflects that 15 out of 20 sampled candidates passed and five failed. The pass rate dropped by 25% when compared to the November 2019 examinations. Furthermore, the quality of performance declined in this examination. The highest mark obtained was 61% and the lowest was 16%.

iv) Life Orientation (A4LIFO)

The verification of marking was conducted on a sample of 20 scripts. The question paper consisted of 13 questions. In the sample, candidates did not choose to answer Question 8, as reflected in Figure 7D.

Average % Per Question
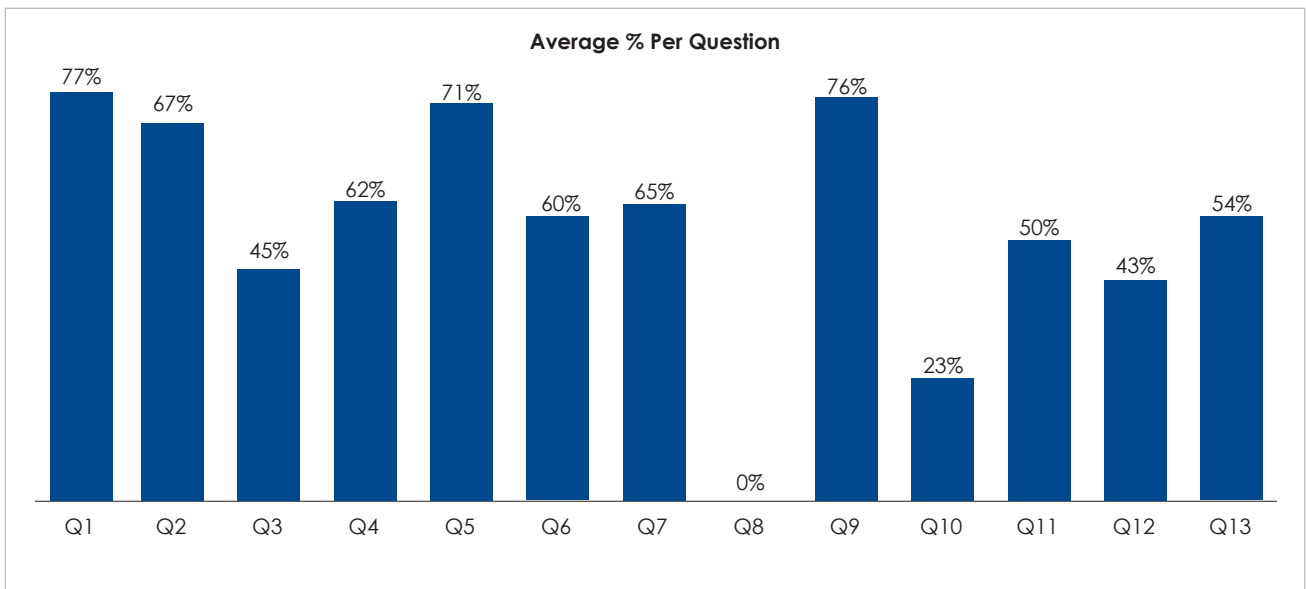
Figure 7D: Candidate performance in A4LIFO per question for 20 scripts

Figure 7D recorded Question 1, which tested content through multiple choice questions (at the lowest cognitive level), with the highest performance at 77%. This was followed by Question 9 at 76%. The lowest performing question, at 23%, was Question 10, based on time management. This was a further drop of 21% compared with the performance in the November 2019 examination.

Table 7E: Mark distribution in A4LIFO

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

Based on Table 7E, 15 out of 20 candidates passed and five failed. Unlike the previous examinations, the pass performance declined by 15% compared with the November 2019 examination. Three distinctions were recorded. The highest mark obtained was 84%. The quality passes improved from November 2019. The lowest mark obtained was 19%.

v) Mathematical Literacy (A4MATH)

The verification of marking was conducted on a sample of 20 scripts. The question paper consisted of five questions.

Average % Per Question
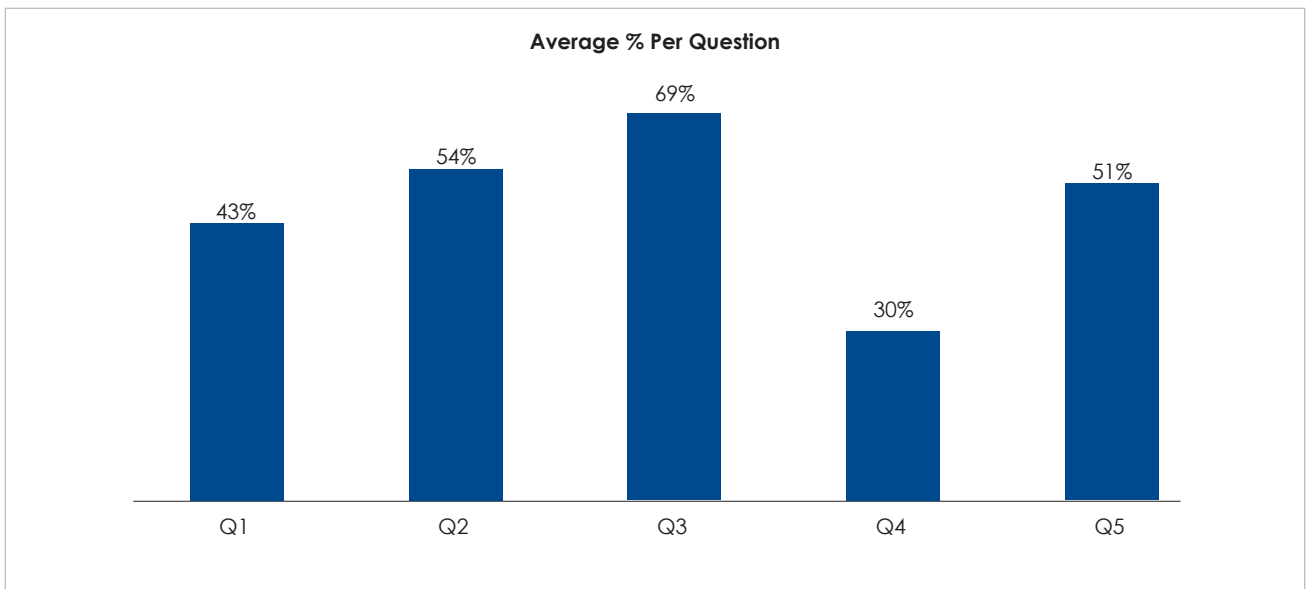
Figure 7E: Candidate performance in A4MATH per question for 20 scripts

Figure 7E recorded Question 4, based on measurement and geometry, as having the lowest performance at 30%. Question 3, on data handling and probability, obtained the highest performance at 69%. This was in contrast to the previous examinations, where the question assessing probability performed the lowest.

Table 7F: Mark distribution in A4MATH

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	2	0	2	4	6	2	2	2	0

According to Table 7F, 16 out of 20 candidates passed and four failed. The pass performance improved by 5% from November 2019. The quality of performance showed significant improvement with two distinctions. One candidate scored 83% as the highest mark obtained, while another obtained the lowest mark of 14%.

vi) Natural Sciences (A4NTSC)
The verification of marking was conducted on a sample of 20 scripts. The question paper consisted of eight questions.
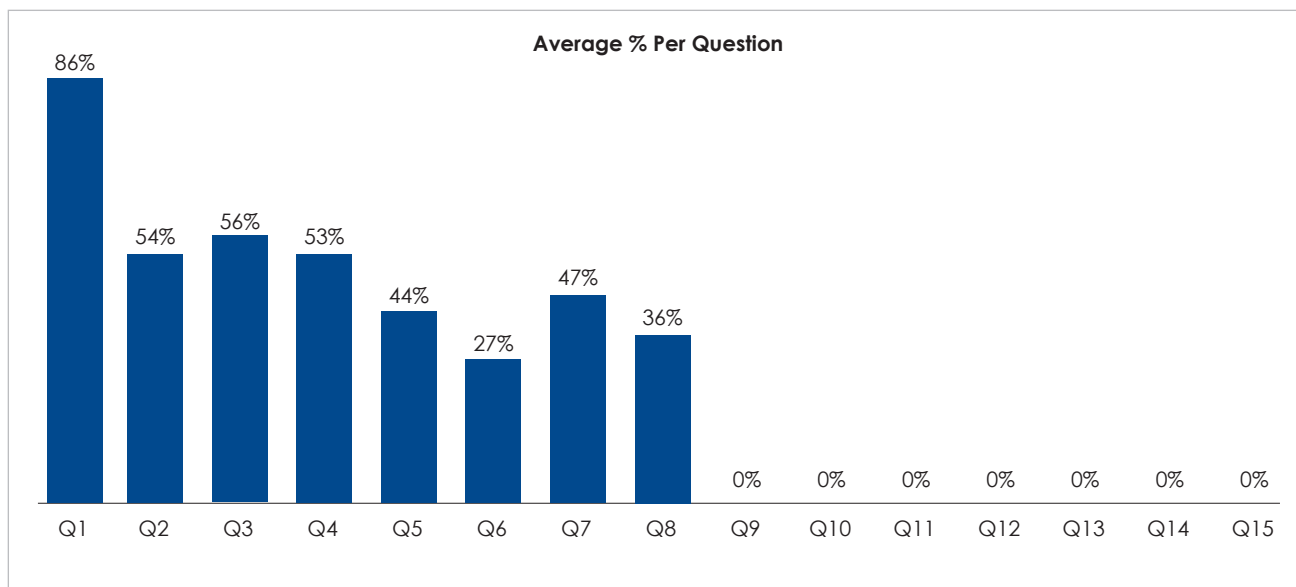
Figure 7F: Candidate performance in A4NTSC per question for 20 scripts

In Figure 7F, Question 6, on neutralisation of acids, performed the lowest at 27%. Candidates failed to respond to questions requiring analysis and synthesis. Question 1, which comprised multiple choice items, performed the highest at 86%. In the previous examinations, the performance of Question 1 remained the highest.

Table 7G: Mark distribution in A4NTSC

Mark distribution									
0-9%	10-19%	20-29%	30-39%	40-49%	50-59%	60-69%	70-79%	80-89%	90-100%
0	1	3	11	5	0	0	0	0	0

According to Table 7G, five out of 20 sampled scripts passed and 15 failed. The lowest mark obtained was 19% and the highest was 48%. There was a significant drop (65%) in performance compared to the November 2019 examination.

vii) Small, Medium and Micro Enterprises (A4SMME)
The verification of marking was conducted on a sample of 20 scripts. The question paper consisted of seven questions.
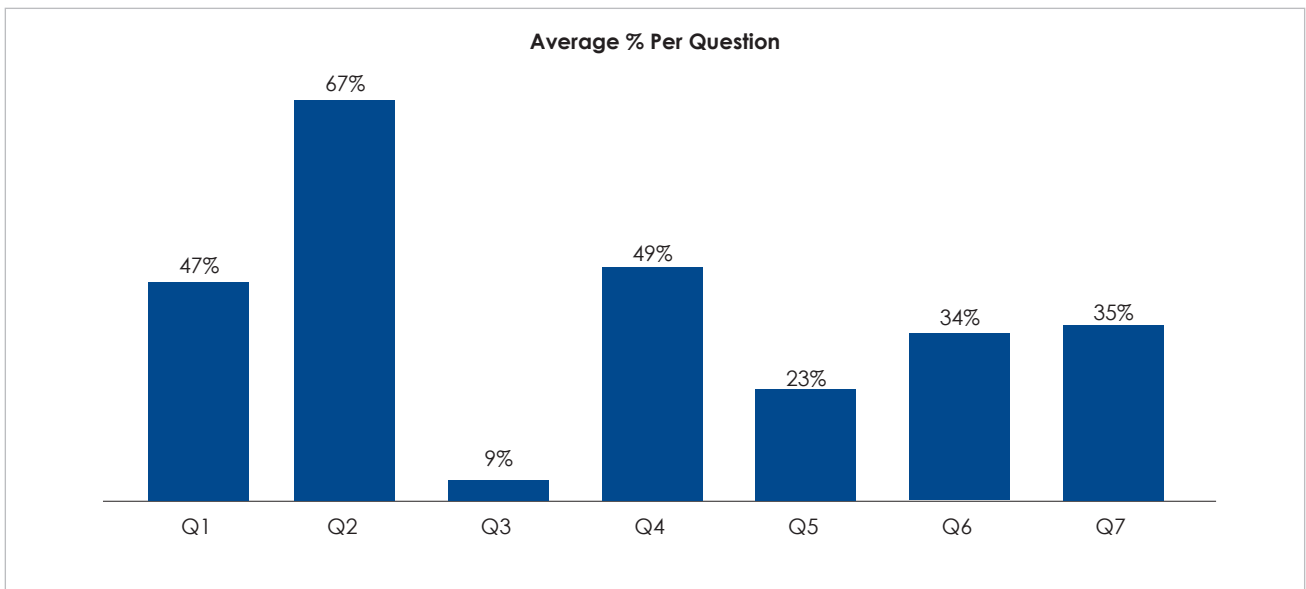
Figure 7G: Candidate performance in A4SMME per question for 20 scripts

In Figure 7G, Question 3 recorded the lowest performance at 9%, like the November 2019 examination. Question 2 performed the highest at 67%. Both questions were short objective questions based on content across the curriculum.

Table 7H: Mark distribution in A4SMME

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

According to Table 7H, eight out of 20 candidates passed and 12 failed. A drop of 20% was observed when compared to the November 2019 examination. One candidate obtained the lowest score of 5%. The highest mark obtained was 76%, recording one distinction. The quality of performance declined when compared to the November 2018 examination.

7.4   Areas of Improvement

The following was noted:
    b.   There was a great improvement in the quality of internal moderation in November 2020 compared with that of November 2019.

7.5   Areas of Non-compliance

The following area of non-compliance was identified:
    c.   Poor application of rubrics in the marking of essays and transactional pieces in A4CENG.

7.6   Directives for Compliance and Improvement

The IEB is required to act on directives for compliance and improvement by doing the following:
    a.   Strengthen the training of language-marking personnel on the correct application of marking rubrics for marking essays and transactional pieces; and

b. Adjust the marking rubrics for the assessment of essays and transactional pieces by separating content and language, each with its own criteria.

7.7   Conclusion

The standardisation of marking guideline meetings is intended to improve the quality of the marking guidelines for the eight learning areas. The purpose is also to ensure that all possible alternative responses are included so that candidates are not unfairly disadvantaged by rigidity in the marking guidelines. The process served its intended purpose. In all the learning areas, the process ran smoothly and no major challenges were encountered.

Verification of marking revealed adherence in the application of the approved marking guidelines by marking personnel in the seven learning areas. Through internal and Umalusi moderation, errors were corrected to validate the performance results and identify possible irregularities. Coaching throughout the marking strengthened and heightened the standard of marking. The IEB conducted the marking for November 2020 in a manner that was fair, valid and reliable.

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. 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. In general, variability may occur in the standard of question papers, 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 Independent Examinations Board (IEB) presented seven learning areas for the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET) examinations for standardisation. In turn, Umalusi performed the verification of historical averages, monitoring of mark capturing and verification of standardisation, adjustments, statistical moderation and the resulting datasets.

8.2.1   Development of Historical Averages

In 2020, historical averages for the GETC: ABET examinations were developed using the previous six examination sittings. Once that has been done in accordance with the policy requirements, the IEB submitted historical averages or norms to Umalusi for verification. Where a distribution contains outliers, the historical average was calculated, excluding data from the outlying examination sitting. Finally, Umalusi considered the historical averages during the standardisation process.

8.2.2 Capturing of Marks

Umalusi verified the capturing of examination marks to determine the reliability of the conduct, management and administration of the capturing process. Umalusi also monitored the capturing of marks to establish whether the capturing was accurate and credible. The verification of the capturing of the GETC: ABET examination marks included, among others, the management of the capturing system and the verification of the systems, including security systems, in place. Furthermore, marked scripts were verified against data submitted for standardisation and resulting. Umalusi monitored the captured marks at the IEB offices.

8.2.2 Verification of Datasets and Standardisation Booklets

The IEB submitted standardisation datasets and electronic booklets in accordance with Umalusi's management plan. The datasets were verified and approved, as a result of which final standardisation booklets were printed.

8.2.3 Pre-standardisation and Standardisation

The pre-standardisation and standardisation meetings for the GETC: ABET examinations were held on 7 December 2020. Umalusi was guided by many factors, including qualitative and quantitative information, to reach its standardisation decisions. The qualitative inputs included Umalusi's external moderator reports referencing the conduct, administration and management of the examinations, as well as the IEB's internal moderator reports on the marking of candidates' scripts. As far as quantitative information was concerned, Umalusi considered historical averages and pairs analysis, together with the standardisation principles.

8.2.4 Post-standardisation

Beyond standardisation meetings, the IEB submitted the final adjustments and candidates' resulting files for verification and eventual approval.

8.3 Summary of Findings

8.3.1 Standardisation and Resulting

a) Development of Historical Averages

The historical averages for the GETC: ABET examinations were developed using the previous six examination sittings. For that to happen, the IEB was required to submit the historical averages for verification, in accordance with Umalusi's management plan. Where outliers were found, the principle of exclusion was applied and, as a result, the norm was calculated using four examination sittings.

Table 8A outlines the learning area with an outlier for the October/November 2020 GETC: ABET examinations.

Table 8A: Learning areas with outliers

Learning area code	Learning area	Outlying year
61943001	Mathematical Literacy	2017

b) Capturing of Marks

The capturing of marks took place in line with the IEB's management plan and the procedural manual on capturing. The data capturers had been trained to use the system: the training manual was provided as evidence of training. The data capturers signed declarations of confidentiality prior to the commencement of the capturing process.

The IEB employed a double-capturing method to verify the accuracy of the captured marks. The IEB's electronic examination management system has built-in measures to ensure that captured marks are verified before they are processed and submitted to Umalusi for standardisation. The system has been designed to ensure that a user cannot capture or verify what they have captured.

The capturing facility is equipped with an alarm system and is under 24-hour security surveillance. A generator is on standby to mitigate any possible power failures. All the marks verified by Umalusi were successfully verified against the submitted standardisation and resulting data.

c) Electronic Datasets and Standardisation Booklets

In preparation for the standardisation processes, Umalusi, requests all assessment bodies to submit datasets in order to verify the system's "dry runs" before running live data on production. The aim is to ensure proper alignment of the examination computer systems and to ensure compatibility of data and formulae used for data processing. The 2020 approach of the norm development, based on six examination sittings, required system adjustments of the IEB, which was not possible to make in time for dry run datasets.

The submitted standardisation datasets and electronic booklets for the November 2020 GETC: ABET Level 4 examinations conformed to the Requirements and Specification for Standardisation, Statistical Moderation and Resulting Policy.

8.3.2 Pre-standardisation and Standardisation

The qualitative input reports, i.e. IEB's external moderator reports, standardisation principles, as well as the norm and previous adjustments, were used to determine the adjustments per learning area.

8.3.3 Standardisation Decisions

The qualitative reports produced by external moderators, monitoring reports presented by the assessment body, together with the principles of standardisation, informed the decisions. Table 8B outlines the summary of the standardisation decisions taken.

Table 8B: Standardisation decisions for the November 2018 GETC: ABET

Description	Total
Number of learning areas presented	7
Raw marks	2
Adjusted (mainly upwards)	3
Adjusted (downwards)	2
Not standardised	0
Number of learning areas standardised	7

8.3.4 Post-standardisation

The adjustments, statistical moderation and resulting files were submitted and approved on first submission.

8.4 Areas of Good Practice

The following areas of good practise were observed:
a. The IEB presented standardisation booklets free from error;
b. Sampled marks on scripts were successfully verified against submitted data;
c. There were high levels of compliance in capturing examination marks; and

d. The adjustments, statistical moderation and resulting files were submitted and approved on first submission.

8.5 Areas of Non-Compliance

None

8.6 Directives for Compliance

None

8.7 Conclusion

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 slight upward or downward adjustments were based on sound educational reasoning. The majority of the IEB's proposals corresponded with those of Umalusi, which is a clear indication of a maturing examination system.

CHAPTER 9 CERTIFICATION

9.1 Introduction

Umalusi is responsible 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), mandated by its founding amended General and Further Education and Training Quality Assurance (GENFETQA) Act of 2001 (Act No. 58 of 2001). Umalusi upholds adherence to policies and regulations promulgated by the Minister of Higher Education and Training for the General Education and Training Certificate: Adult Basic Education and Training (GETC: ABET).

Certification is not just the issuing of a certificate at the tail end of the process, but the culmination of an examination process with different steps conducted by an assessment body, in this instance, the Independent Examinations Board (IEB).

This process commences with the registration of students and ends with the writing of the examination. After the candidates have written the examination, administered by the assessment body, examination scripts are marked, marks are processed, and only after quality assurance and approval by Umalusi, are students presented with individual statements of results. These are preliminary documents that outline the outcomes of the examination, issued by the assessment body. The examination marks need to be finalised and it needs to be verified that all the marks have indeed been captured and processed before certification can take place. The statement of results is, in due course, replaced by the final document: a certificate issued by Umalusi.

To ensure that the data for certification is valid, reliable and in the correct format, Umalusi publishes directives for certification that all assessment bodies must adhere to when they submit candidate data for the certification of a specific qualification. All records of candidates who registered for the GETC: ABET examinations are submitted to Umalusi for certification by the IEB.

Umalusi verifies all the data received from the IEB. This data must correspond with the quality-assured results. All changes in marks must be approved before results are released to learners. Where discrepancies are detected, the IEB is obliged to supply supporting documentation and explanations for such discrepancies. This process serves to ensure that a 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. The issuing of the GETC: ABET learning area certificates and confirmation of those candidates who have not qualified for any type of certificate closes the examination cycle.

The rest of the chapter serves to inform interested parties of the current state of the certification of learner achievement for the GETC: ABET: a qualification at NQF Level 1 for candidates registered to write the examinations through the IEB as the assessment body.

9.2   Scope and Approach

The GETC: ABET provides an opportunity for candidates to accumulate credits towards the qualification across several examinations. Each examination is certified, and the candidate receives a learning area certificate for those learning areas passed, or a GETC: ABET, should they qualify for such.

The IEB conducts multiple examinations during the year, as they have made provision for examinations on request. Each of these examination sessions are quality assured and standardised by Umalusi.

The candidate records submitted for certification for the period 1 November 2019 to 1 December 2020, compared to the data submitted for the approval of the results, were used to inform this report.

9.3   Summary of Findings

The registrations for the GETC: ABET are processed using an Excel spreadsheet that is uploaded (imported) to the IEB's examination information technology (IT) system. There are sufficient control mechanisms in place to verify the correctness of the entries for both the National Senior Certificate (NSC) and the GETC: ABET registrations.

The IEB submitted datasets during the period 1 November 2019 to 1 December 2020 for certification in a three-month cycle. The following were the results of the records on the datasets.
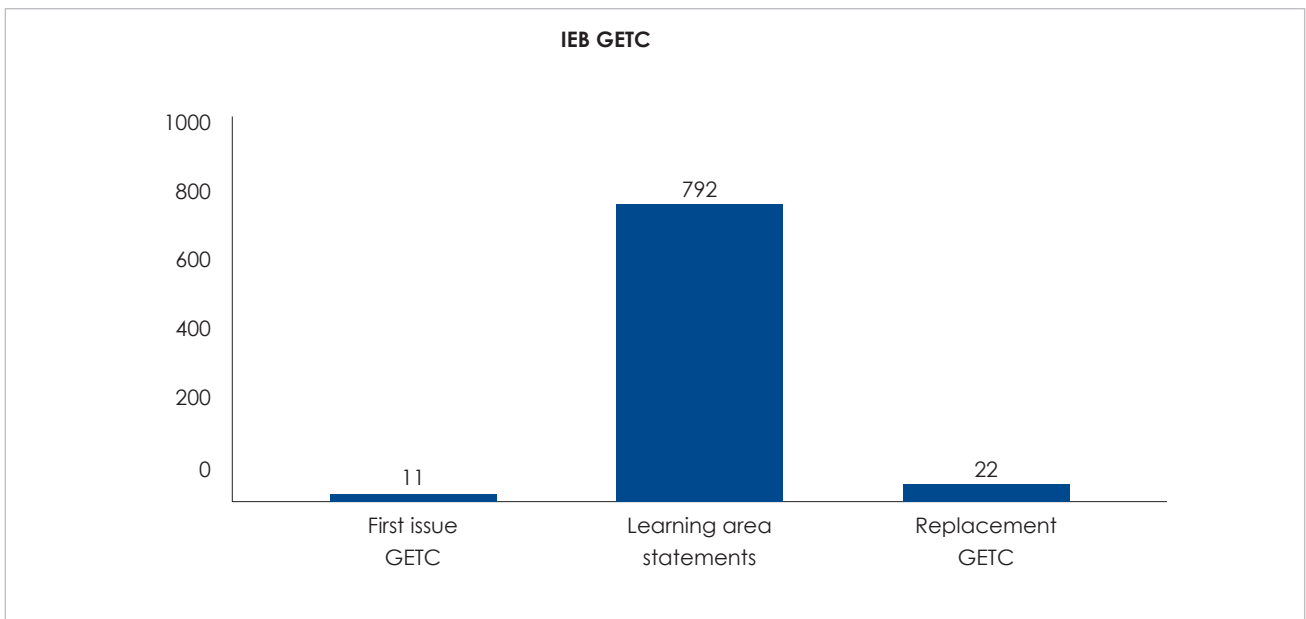
Figure 9A: Certified results for the period 1 November 2019 to 1 December 2020

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

Number of datasets	Number datasets accepted	Percentage accepted	Number of records submitted	Number of records accepted	Percentage accepted	Number rejected
95	93	97.9	1 993	1 235	62.0	758

9.4   Areas of Good Practice

The following was noted:
   a. The assessment body has a good registration system in place;
   b. Several verification processes are in place to ensure the correctness of the examination entries.
   c. Principals are required to sign a declaration of accuracy to confirm the quality of the registration data. This declaration must be submitted to the IEB.

A request for certification is submitted electronically, as prescribed in the directives for certification. A dedicated unit processes the system administration and certification of learner achievements. The certification request will be submitted to Umalusi after the standardisation and resulting of all learner achievements have been processed and completed. 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

None.

9.6   Directives for Compliance and Improvement

None.

9.7   Conclusion

The IEB, as the assessment body, is assisting the adult community to acquire learning area certificates and to achieve a certificate. The registration of learners and the processing of the certification of learner achievements are done according to the required directives and guidelines.

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

No.	Learning area (question paper)	Compliance per criteria at first moderation									
		TA	LB	IM	CC	CD	AAG	PRE	MG	Total: (A)	%: (A)
1.	Economic and Management Sciences	M	A	M	M	M	L	A	A	3/8	37.5
2.	Human and Social Sciences	A	A	A	A	A	A	A	A	8/8	100
3.	LLC: English	M	M	L	A	A	A	A	L	4/8	50
4.	Life Orientation	M	M	M	M	A	M	A	M	2/8	25
5.	Mathematical Literacy	A	A	A	A	A	A	A	A	8/8	100
6.	Natural Sciences	M	A	L	M	A	N	A	A	4/8	50
7.	Small, Medium and Micro Enterprises	M	A	M	M	M	L	A	M	2/8	25

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)	%: (A)
1.	Economic and Management Sciences	A	A	A	A	M	A	A	A	7/8	87.5
2.	Natural Sciences	M	L	L	A	A	A	A	M	4/8	50
3.	Small, Medium and Micro Enterprise	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 3A—AREAS OF NON-COMPLIANCE WITH THE SBA PORTFOLIOS

No.	Criterion	Nature of non-compliance	Sampled AET centres that showed non-compliance
1.	Adherence to assessment guidelines	Non-submission of PoA and other relevant documents.	All AET centres, except Frances Vorwerg School and The Diepsloot Foundation
2.	Internal moderation	No evidence of internal moderation	Glencore Xstrata Eastern Mine (A4LIFO), Mosselbay Municipality, Cape Town Skills Facilitators, Glencore Xstrata Eastern Mine (A4SMME), Orvhovelani , SAADA House and FH Chamberlain Trading (Pty) Ltd (A4LIFO)
3.	Structure and contents of student portfolios	Non-submission of relevant documents	All AET centres
4.	Implementation of SBA tasks	Submitted 2017 SBA tasks. Did not submit the required number of tasks.	Glencore Xstrata Eastern Mine (A4LIFO), Cullinan Development Centre and Cape Town Skills Facilitators (A4SMME), A4EMSC and A4NTSC (Department of Energy-Prolit)
5.	Student performance	Marking guideline was given to students. Students writing in pencil and different handwriting	SAADA House (A4EMSC and A4SMME), Cape Town Skills Facilitators and Mash Computer Trading Standard Client (A4LIFO)
6.	Quality of marking	Inflated marks	Across all AET centres, except in A4MATH

ANNEXURE 4A—EXAMINATION CENTRES MONITORED DURING THE WRITING AND MARKING OF EXAMINATIONS

No.	Province	Centre	Date	Learning area	Candidates
1.	Eastern Cape	4U Development Training	29/10/2020	Communication in English	8
2.		Chieta Tsholomngqa Prolit	04/11/2020	Natural Sciences	3
3.	Free State	Beatrix AET Centre	04/11/2020	Natural Sciences	32
4.	Gauteng	Festive Clayville	29/10/2020	Communication in English	6
5.		Mash Computer Training	02/11/2020	Literacy	2
6.		Mo-Africa Ikusasa Lethu	30/10/2020	Economic and Management Sciences	35
7.		Orhovelani Education Centre	03/11/2020	Life Orientation	2
8.		Transet Pipeline Alrode	19/10/2020	Communication in English	2
9.	KwaZulu-Natal	C. Steinweg Bridge	02/11/2020	Mathematical Literacy	3
10.		Imana Foods SA (Pty) Ltd	02/11/2020	Mathematical Literacy	7
11.	Limpopo	Glencore Eastern Mines	03/11/2020	Life Orientation	18
12.		Makombandlela Day Care	02/11/2020	Mathematical Literacy	6
13.		Saada	05/11/2020	Small, Medium and Micro Enterprises	16
14.	Mpumalanga	Kriel Collery-Zibulo	29/10/2020	Communication in English	8
15.	Western Cape	Hertzlia	29/11/2020	Communication in English	4
16.		Pepclo Nalithuba	29/10/2020	Communication in English	7
17.		Siphakame Skills Development	05/11/2020	Small, Medium and Micro Enterprise	6
18.		Siphakame (White City Multi-Purpose Centre)	29/10/2020	Communication in English	2
Marking centre monitored					
1.	Gauteng	Holy Christian Family College	21/11/2020		

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