



Working together for a skilled tomorrow

GUIDELINES FOR WRITING OF FISA AND EISA

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List of Acronyms

AQP - Assessment Quality Partner

SDP – Skills Development Provider

DQP - Development Quality Partner

LIMS – Learner Information Management System

NQF - National Qualifications Framework

QCTO - Quality Council for Trades and Occupations

INSETA – Insurance Sector Education and Training Authority

FISA – Final Integrated Summative Assessments

EISA - External Integrated Summative Assessment

OQSF- Occupational Qualification Sub-Framework

Glossary of Terms

Assessment

The process of collecting evidence of candidates' work to measure and make judgements about the competence or non-competence of the candidates against specified National Qualifications Framework (NQF) occupational standards or qualifications and part qualifications.

Assessment Centre

A centre accredited by the QCTO for conducting or hosting External Integrated Summative Assessments for specified NQF registered occupational qualifications and part qualifications.

Assessment Quality Partner

A body delegated by the QCTO to develop assessment instruments and manage the external integrated summative assessments of specific NQF registered occupational qualifications and part qualifications.

Assessment Site

Any venue selected as suitable (QCTO Accredited) to conduct the external integrated summative assessments for specified registered occupational qualifications and part qualifications.

Final Integrated Summative Assessment (FISA)

A compulsory assessment component requirement for the certification of candidates on historically registered qualifications. It is a competency assessment based on the application of knowledge and skills in order for the learners to display the required abilities that were learnt.

External Integrated Summative Assessment (EISA)

A component of the assessment process and refers to the culmination of the summative process when candidates are subjected to a final sitting at the end of the learning cycle for an integrated externally conducted assessment.

Verification

The process managed by the INSETA for externally checking moderation processes and confirming or overturning moderation findings.

Candidate

An individual on whom the assessment instruments/question papers set by an Assessment Quality Partner will be administered on.

Examiner

An individual appointed by an Assessment Quality Partner, who is responsible for setting/compiling of assessment papers that are fair, reliable and valid; and the drawing of appropriate and complete assessment memorandum.

1. PREAMBLE

The Quality Council for Trades and Occupations (QCTO) is responsible for the development, maintenance and quality assurance of qualifications within its sub-framework. The QCTO has delegated the function of development of Assessment instruments and implementation of the FISA and EISA assessments to the SETA Quality Assurance Partners. FISA will take place several times annually until all candidates have been exited from historical qualifications.

Final Integrated Summative Assessment (FISA) of historical qualifications and External Integrated Summative Assessment (EISA) of QCTO qualifications will be conducted at Accredited Assessment Centres or at approved assessment sites; to ensure standardised assessments for determining the required competence for award of qualifications. These assessments will be used to engender public trust in the Insurance Sector education system and to drive the attainment of improved quality of educational standards across the insurance sector.

2. PURPOSE

The purpose of this document is to outline the criteria applied by INSETA for the implementation of secure, reliable and objective external centralised summative assessments that will lead to certification of candidates; in line with the QCTO Assessment Policy. This document is also based on the QCTO Policy on Guidelines for the implementation of Final Integrated Summative Assessment (FISA). FISA will be implemented with effect from November 2018.

3. APPLICABILITY

According to the above-mentioned FISA Implementation guidelines, learners qualifying for the certificate must comply with the following two components to be awarded the qualification (and associated Learnerships):

a) First Component:

Learners must be declared “Competent” in their POE or summative assessments (as per usual assessment practices currently in place) – which must be upheld by the QAP’s external moderation processes; and

b) Second Component:

Learners must Pass or be declared “Competent” in the FISA.

4. ROLES AND RESPONSIBILITIES

A. Responsibilities of the INSETA

To administer and manage the FISA and EISA across accredited SDPs with learners enrolled against insurance-specific qualifications (legacy and occupational) the on date(s) set by the INSETA. INSETA will oversee, support, monitors and evaluate the assessment-related work in the sector.

1. In respect of each qualification or part qualification falling within its scope, INSETA will:

- a) source Invigilators, Assessors/Markers and Moderators for each assessment including the continuous training of invigilators.
- b) ensure standardization of FISA and EISA through the development of a national standardization assessment instrument criteria.
- c) request SDPs to submit tested and approved FISA instruments developed by their Subject Matter Experts (SMEs) which will be used for item banks from which FISAs will be select assessment instruments.
- d) procure service provider(s) to develop EISA instruments which will be vetted by Subject Matter Experts (SMEs) in the various sub-sectors for which occupational qualifications will be developed. The various EISA instruments will be used as item banks from which EISAs will be selected.

- e) Courier assessment instruments to Accredited Assessment Centres before a start of each assessment session.
- f) conduct Verification on the summative assessments conducted by SDPs to ensure that candidates are ready for FISA/EISA.
- g) make recommendations to QCTO for the issuing of certificates on completion of successful FISA/EISA Verifications.

II. In respect of accredited SDPs with learners whose competence must be assessed against qualifications or part qualifications, INSETA will:

- a) provide criteria, guidelines and procedures for learner registration for assessments.
- b) provide criteria and guidelines on security processes required to curb irregularities before, during and after the assessments.
- c) provide criteria and guidelines for capturing learner achievements according to the QCTO's LIMS requirements.
- d) ensure that candidates are not assessed or moderated by the facilitator responsible for their training.
- e) monitor the performance of the Accredited Assessment Centres.
- f) report to the QCTO on the performance of Assessment Centres in the form and manner required by the QCTO.

III. In the event of de-accreditation of an Assessment Centre, the INSETA shall arrange an alternative Accredited Assessment Centre for candidates already enrolled for assessments.

IV. INSETA will manage communication regarding the implementation of FISA and EISA by providing clarity on the following:

- a) Type of assessments to be written; i.e. FISA/EISA
- b) Date(s) of FISAs/EISAs
- c) Candidate entry requirements for FISA/EISA
- d) Security of FISA/EISA
- e) Conditions under which FISA/EISA must implemented
- f) Dealing with irregularities
- g) Marking/Assessing of FISA/EISA
- h) Moderation of marking/assessing
- i) Communication of assessment results to SDPs

- j) Components required for certification
- k) Re-Assessment in case of non-achievement of either component (and period of validity of results)

B. Responsibilities of the Skills Development Providers

The SDPs must understand the implementation of FISA/EISA as a quality assurance measure by the QCTO, which forms a compulsory component of a learner's final results to be awarded a certificate upon completion of a full qualification. The SDPs must:

- I. implement Summative Assessments to get learners ready for FISA/EISA
- II. coordinate Verification with INSETA
- III. register learners who qualify to sit for EISA/FISA
- IV. communicate assessment timetables to learners registered for FISA/EISA.

C. Responsibilities of Assessment Centre

Accredited Assessment Centres will:

- I. allocate a person responsible (who will be called "Head Invigilator/Assessment Centre Manager" for the purpose of this document) to lead the implementation of assessments at the Accredited Assessment Centre and act as liaison with INSETA
- II. confirm to INSETA the availability of suitable assessment venues in line with criteria set out in its accreditation award and MoA with INSETA.
- III. provide safe and quiet assessment venues that are big enough to accommodate the number of candidates comfortably.
- IV. confirm to INSETA that the packages containing assessment instruments were received sealed from the Courier Service.
- V. ensure the security of assessment instruments from the time they are delivered to the Assessment Centre to the time the assessments are written.
- VI. ensure that Invigilators open assessment papers in the assessment rooms in front of the candidates.
- VII. implement assessments in line with the schedule communicated by INSETA.
- VIII. courier to INSETA all completed assessment instruments together with the signed list of candidates who submitted their scripts after every assessment session.
- IX. submit a report on assessments conducted in each cycle, which will include reporting of invigilation, irregularities and recommendations to improve the system.

5. INTEGRITY OF ASSESSMENTS

5.1 Development of Assessment Instruments

- I. Assessment instruments and tools will only be developed by subject Matter Experts contracted by INSETA, who:
 - a) are not SDPs and
 - b) are not employed by SDPs that are AQPs for any occupational qualification for which assessment instruments/papers are developed
- II. INSETA will procure SMEs who will develop EISA instruments for occupational qualifications
- III. For the implementation of FISA, INSETA will request INSETA-Accredited SDPs to share their existing approved summative assessment instruments according to the qualifications for which they have scope for.
- IV. INSETA will source Subject Matter Experts (SMEs) to build item banks from assessment instruments received from SDPs; to be used for future implementation of FISAs in the sector
- V. INSETA will enter into a confidentiality contracts with the SMEs that have developed assessment instruments and tools to ensure the integrity of assessments.

5.2 Distribution of Assessment Papers

- I. INSETA Staff sending assessment instruments to Accredited Assessment Centres must advise the recipients of the impending delivery and follow-up to confirm successful delivery
- II. The Head Invigilator/Assessment Centre Manager must delegate a representative if not available to sign for and receive the packages in person.
- III. Packages containing completed assessment instruments must be clearly addressed to the Head Invigilator/assessment Centre Manager at the Assessment Centre and labeled "Private and Confidential"
- IV. Packages containing assessment instruments must NOT be labeled as containing "examination material"
- V. Packages containing assessment instruments must be transported ONLY by a courier service contracted by INSETA, two days before the assessment session
- VI. No Assessment instruments are to be sent through Post Office Box
- VII. Assessments instruments for different assessments or qualifications must be sent in separate tracked security bags
- VIII. Each security bag must have a window on the front through which one can see the name and level of the qualification for which examination is written

- IX. The number of papers in the bag must be indicated on the front of the security bag
- X. The Head Invigilator/Assessment Centre Manager must advise INSETA of the receipt of the assessment papers.

6. PREPARATION OF ASSESSMENT VENUES

The following preparations must be made:

- a) Invigilators must be at the exam site at least 30 minutes before commencement of an examination.
- b) Before the session starts, invigilators must familiarise themselves with the instructions to candidates as set out on the question papers and ensure that these are complied with.
- c) The Invigilator must make all announcements to candidates in English.
- d) Check whether all the question papers, as well as all accessories such as graph paper, are present.
- e) Count out enough examination books and place a question paper in each book.
- f) Check and confirm to the candidates, the correct duration of the assessment as reflected on the question paper, as the time indicated on the papers may differ that on timetable received by candidates.
- g) It is important that invigilators remain vigilant and discreet always while supervising the examination writing.

Please Note: *Candidates must never be treated as if they are already guilty of violating the examination rules. Courtesy and consideration towards candidates is non-negotiable. INSETA will regard complaints in this connection in a serious light.*

- h) the following Invigilator behaviour is not acceptable:
 - Unnecessary talking or reading of books/newspapers
 - Reading examination papers in detail
 - Reading students' answer papers while they are writing or after they have handed them in.
 - Having refreshments

7. IDENTIFICATION OF CANDIDATES WRITING FISA/EISA

- a) As candidates enter the examination room, the invigilator must stand at the door and check the photo on each candidate's ID document, passport or driver's license

- b) All backpacks, large ladies' handbags, books, documents, must be placed in the front of the examination room. Only students writing open-book examinations may be in possession of books
- c) The Invigilators is to emphasize that no valuable items or money should be left in the bags placed in the front of the examination room
- d) Cell phones and other electronic communication devices must be switched off (not simply set them on "mute") and be placed on the writing surfaces in front of the candidates, face down.

Please Note: The Invigilator must not ask the students to place cell phones on the Invigilator's table or leave them in their bags at the front of the room. INSETA will not take responsibility for claims regarding lost or stolen cell phones.

8. REGISTRATION OF LEARNERS

- I. INSETA will conduct Verifications on Summative Assessments conducted by Skills Development Providers for historical qualifications.
- II. Once the Verifications have been endorsed and learner achievements have been quality assured by the QCTO, INSETA will advise the Skills Development Providers to register learners who have been found competent on the INSETA Learner Management System to register for FISA.

9. WRITING OF FISA/EISA

I. Invigilation

- a) INSETA will recruit, train and allocate Invigilators for each Assessment Centre, Invigilators must not be employees of the Assessment Centres where the EISA/FISA is conducted.
- b) INSETA will conduct induction and training of the Invigilators, outlining Policies and Procedures relating to writing of assessments and the importance of adhering to same.
- c) Candidates must be allocated seats and must not choose where they want to sit – a sitting plan must be drawn out of the learner list and submitted as part of the post assessment report.
- d) The number of Invigilators will be determined by the number of candidates registered for the EISA/FISA sitting at each Assessment Centre site: a ratio of 1/20 is recommended.

- e) The Head Invigilator/Assessment Centre Manager is being responsible for strict control and management of assessment instruments, mark sheets, attendance registers, irregularities report(s) and for maintaining the integrity and credibility of the examination process.

II. Responsibilities of Invigilators

The INSETA Assessments Specialist in collaboration with Head Invigilator from the Accredited Assessment Centres; will provide specific leadership and oversight to the invigilators; in all matters related to the implementation of EISA/FISA.

Invigilators must ensure that:

- a) candidates are seated at their allocated desks at least 15 minutes before the scheduled start of the exam
- b) there are no unauthorised persons in and around the assessment room
- c) no unauthorised material is allowed into the assessment room
- d) any display material in the exam room, e.g. wall charts, which might assist or distract candidates are removed or covered for the duration of the exam
- e) there is a working clock at the front of the examination room positioned so it is clearly visible to all candidates.
- f) candidates do not talk to each other during the assessment session
- g) candidates are not left alone at any time during the assessment
- h) surplus question papers are not removed from the assessment room until the end of an assessment session
- i) they have a small supply of spare pens and paper for the candidates' use
- j) daily conduct reports is compiled for submission to the Head Invigilator.

III. Candidates Who Arrive Late for Assessment

- i) Candidates may arrive up to half an hour (30 minutes) late
- ii) A candidate who turns up late may not be reprimanded or disadvantaged in any way and must be allowed to sit where the other candidates will not be disturbed
- iii) Access to the examination site must be denied to a student who turns up more than half an hour late

Please note: No extra writing time to answer the question paper may be granted to students who arrived late.

IV. Irregularities and Complaints

The Accredited Assessment Centre must address irregularities relating to the EISA/FISA which include, but are not limited to:

- a) a candidate cheating, copying or accessing assessment instruments in advance
- b) a candidate bribing, blackmailing, threatening or harassing an assessor or others involved in the assessment process and
- c) any party that falsifies documents or evidence for access before or during an assessment.

If a student is caught communicating by means of his/her electronic device and the invigilator is very sure of her/his case, this must be regarded as an attempt to act dishonestly and reported to the Head Invigilator who must in turn report to INSETA.

The INSETA will address irregularities relating to the EISA/FISA which include, but are not limited to:

- a) Accredited Assessment Centre staff member not declaring a conflict of interests, such as, but not limited to a family or business relationship with a learner;
- b) Accredited Assessment Centre staff member taking bribes or responding to threats in such a manner that advantages one learner over another;
- c) Accredited Assessment Centre staff member demonstrating bias (e.g. w.r.t. race, class, gender, educational background, ethnicity or religion) that unduly influences assessment or moderation decisions;
- d) Accredited Assessment Centre not making appropriate arrangements for candidates with disabilities or language disadvantages.

An Inseta standard irregularity report template/form will be made available to each assessment centre for every assessment session for the management and reporting of irregularities.

10. DEALING WITH DISRUPTIONS DURING ASSESSMENT SESSIONS

I. Fire

10.1.1 In the event of fire which cannot be put out with the available extinguishers, candidates must leave their scripts as they are on the desks and leave the site through the nearest safe exit as quickly as possible, but in an orderly fashion.

10.1.2 In such an event the examination will be cancelled and moved to the first free day after the examination period.

10.1.3 If the fire can be put out in time without undue disruption for the candidates, the examination will be continued and, subject to the recommendation of the Head Invigilator and approval by INSETA, extra writing time may be granted.

II. Riotous disruption

Should any disruption of an assessment session occur because of disorderly behaviour in or outside of the assessment room:

- a) Candidates must be requested to close their examination books immediately and keep them on the desks in front of them, while they remain in their seats
- b) If possible, the doors to the examination room must be closed immediately to keep rioters out
- c) Should rioters succeed in gaining access to the site, the action described above must be adhered to as far as possible and physical or violent contact between students and rioters must be avoided as far as possible. The Head Invigilator will determine whether the examination can continue or be cancelled.

11. SECURITY OF CANDIDATES' INSTRUMENTS AFTER WRITING OF ASSESSMENTS

- a) Under the Head Invigilator's supervision, all papers must be packaged together with the signed list of candidates who submitted their scripts and couriered to INSETA
- b) INSETA will courier the assessment scripts to the Marking Centre(s) contracted with INSETA
- c) The contracted Marking Centre will be responsible for the security of assessment papers until they are couriered back to INSETA after marking and moderation.

12. DEALING WITH MISSING ASSESSMENT INSTRUMENTS OF A CANDIDATE(S)

- a. The Head Invigilator must inform INSETA immediately if candidates' scripts are determined to be missing
- b. When a candidate's assessment paper is lost, destroyed or suspected stolen, liaison should be undertaken with the following key staff before a course of action is decided:
 - INSETA
 - Head of the Assessment Centre
 - QCTO
 - Invigilator
- c. The affected candidate(s) should be notified in writing once a course of action has been determined.
- d. The following questions should be asked to inform the final decision:
 - What number of candidates is affected?
 - Is it one lost paper or an entire cohort or part of a cohort?

- What percentage of the overall assessment does the component of the unit represent?
- What other items of assessment have already been completed?
- Does the assessment cover aspects of the unit that have not been previously covered in other summative assessment?
- Does the unit assessor feel that there has been sufficient rigour in the assessment process to determine a final grade without re-assessment?

The following principles should apply in reaching the final decision as determined by the relevant Assessment Centre,

INSETA and the QCTO:

- 12.1.1 The option decided upon should be applied equally to all candidates in a cohort (if more than one candidates are affected)
- 12.1.2 Candidates should not be unreasonably disrupted or disadvantaged
- 12.1.3 Candidate may be required to submit an alternative item of assessment
- 12.1.4 The unit must be assessed with appropriate rigour as before if reassessment is the decision.

13. THE INSETA ASSESSMENT/MODERATION PROCESS

- I. INSETA will source and contract Marking Centres for the implementation and management of the marking process. The INSETA-contracted Marking Centres will be responsible for the sourcing and supervision of Subject Matter Experts who will mark/assess and moderate the learner scripts.
 - a) Marking Memoranda will be couriered to Marking Centres together with the candidates' assessment scripts
 - b) Marking Centre will ensure that all recruited Markers and Moderators have relevant experience and are trained in marking and moderation processes to ensure the integrity of the process and security of assessment scripts
 - c) Marking Centre will engage the marking teams in a preparatory exercise prior to the commencement of marking
 - d) Marking Centre Management will provide oversight of the marking process at the Marking Centre
 - e) Marking Centre management will be responsible for strict control and management of candidates' answer scripts and mark sheets during the marking

- f) Marking Centre will be responsible for the compilation of marking and moderation reports
 - g) The same marking team members that marked the answer scripts for a qualification will be responsible for the re-mark process for the same qualification
- II. A candidate may apply for the re-marking or re-checking of his or her examination scripts within twenty- one (21) days of the official release of results
- III. The re-mark, re-check and viewing of scripts will be subject to an administration fee set by the Marking Centre, payable by the candidate before commencement of the remarking of the script.

14. COMMUNICATION OF LEARNER RESULTS FOR CERTIFICATION

The INSETA is responsible for the quality assurance and finalization of assessment results. The following process must be followed:

- I. INSETA submits recommendations of learner results for certification to the QCTO relating for a first issue, any other requests for re-issues or replacements of learner certificates must be done by learner directly with QCTO.
- II. Requests for occupational and historical qualifications must be submitted within 21 working days after QCTO verification and approval.
- III. Following the approval of results by the QCTO, the latter commences the certification of learners for occupational qualifications in line with the QCTO Certification Policy.
- IV. INSETA is responsible for the Verification of learning for historical qualifications and submission of recommendations of learner achievements to the QCTO.
- V. INSETA is responsible for the certification of learners for historical qualifications after the learner achievements have been quality assured by the QCTO.
- VI. INSETA is responsible for the collection of the certificates for occupational qualifications from the QCTO and their distribution to the SDPs.

Please Note: The QCTO maintains the right to reject a recommendation for certification by the INSETA for non-compliance to the rules of combination and qualification requirements, certification requirements outlined in the SDA, regulations or QCTO policies and directives.