



Services SETA Policies and  
Procedures for the Approval of Pro  
Forma Certificates intended to be  
issued to Learners by Accredited  
Providers

## 1. Pre-amble

The ETQA regulations under the South African Qualifications Authority Act, 1995 (Act No.58 of 1995) states that one of the functions of Education and Training Quality Assurance Bodies, is to ....***take responsibility for the certification of constituent learners;***” .

## 2. Delegating / Outsourcing of Certification responsibilities

The Services SETA will outsource to accredited constituent providers the certification of:

- 2.1 learner achievements
- 2.2 learner records of achievement
- 2.3 unit standards achievement.

## 3. Requirements for Providers re issuing of Certificates/Learner Records of achievement

Providers of education and training wishing to issue certificates to learners must comply with the following requirements:

Requirement	Evidence
Institutional and programme accreditation	Proof of institutional and programme accreditation
Acomputerised record keeping system that incorporates mechanisms to record learner achievements as well as mechanisms to report to the SETQAA on past, present and potential learners	<p>Proof that the record keeping system include the following learner information:</p> <ul style="list-style-type: none"> <li>• Full name(s) and surname of learner</li> <li>• ID number of learner</li> <li>• Contact details</li> <li>• Demographic information (age, race, gender, geographical location, occupation where applicable, disability status where applicable)</li> <li>• Education and training background and experience (prior qualifications, prior and previous learning experiences, learning skills, language skills and preference)</li> <li>• Special learning needs (relevant disabilities or learning difficulties)</li> <li>• Additional learning needs (necessary experience and knowledge of relevant technology)</li> <li>• Resource factors (place and time of learning, access to resources including electricity and technology, financial resources for additional learning or support materials)</li> <li>• Motivation for entering a programme of learning</li> <li>• Programme/s for which the learner is registered</li> <li>• Performance during the programme (internal and continuous assessment)</li> <li>• Achievement during and at the end of the programme (internal and external assessment, final assessment, award achieved)</li> <li>• Internal moderation activities</li> </ul>
A records management system for certification and	Proof of a records management system for

awards	certification and awards
A policy and procedures for the issuing of certificates and awards	Proof of a policy and procedures for the issuing of certificates and awards
Security and integrity of the database	Proof of security and integrity of the database
Personnel capacity, procedures, responsibilities and accountability in certification activities	Proof of personnel capacity, procedures, responsibilities and accountability in certification activities
A policy and procedures for the printing and storage of learner records and certificates	Proof of a policy and procedures for the printing and storage of learner records and certificates
Certification policies and procedures are designed to protect the learner's right to confidentiality	Proof that certification policies and procedures are designed to protect the learner's right to confidentiality
Policy and procedures for requests for duplicate certificates	Proof of policy and procedures for requests for duplicate certificates
Strategy to prevent the issue of fraudulent certificates	Proof of a strategy to prevent the issue of fraudulent certificates
SETQAA approved pro formas of certificates and/or certificates of learner achievements	Proof of SETQAA approved pro formas of certificates and/or certificates of learner achievements
A complete record of all certificates issued	Proof of a complete record of all certificates issued

#### **4. Information that should appear on qualification and/or unit standard certificates**

- 4.1 Registered/accredited name of provider;
- 4.2 Provider logo;
- 4.3 Services SETA logo;
- 4.4 Name of learner
- 4.5 ID number of learner
- 4.6 Name of qualification/unit standards
- 4.7 NLRD registration number
- 4.8 NQF Level
- 4.9 NQF credits
- 4.10 Date Issued
- 4.11 Rector/CEO/Principal/etc signature
- 4.12 Certificate Number

#### **5. Information that should appear on learning programme certificates (courses not aligned to NQF registered qualifications and/or unit standards)**

- 5.1 Registered and/or trading name of accredited provider
- 5.2 SETQAA accreditation number;
- 5.3 Provider logo;
- 5.4 Services SETA logo;
- 5.5 Name of learner
- 5.6 ID number of learner
- 5.7 Name of learning programme
- 5.8 NQF Level
- 5.9 NQF credits
- 5.10 Date Issued
- 5.11 Rector/CEO/Principal/etc signature
- 5.12 Certificate Number

## **6. Provider application to certificate learners**

Providers must apply in writing to the SETQAA for approval to issue certificates to learners on the pre-scribed "Application to certificate learners" form. Pro formas of all the certificates to be issued should be attached to the application form.

## **7. SETQAA procedure for the approval of provider certification of learners**

- 7.1 SETQAA confirm in writing receipt of the application
- 7.2 SETQAA evaluates the application
- 7.3 SETQAA notifies the provider of the evaluation result

## **8. Monitoring of the certification activities**

The **ETQA department** of the Services SETA is responsible to ensure that certificates are not fraudulently issued and will design and implement policies and procedures that effectively monitor the issuing of all certificates issued by approved providers.

## **9. Quality Assurance Mechanisms**

The Quality Assurance Unit of the Services SETA is responsible for the monitoring and auditing of all certificates issued internally and externally and will check for compliance against specified policies and procedures.

## **10. Review mechanism**

The ETQA Committee of the Services SETA should review all SETQAA policies and procedures relating to certification activities annually.



## Application to Certificate Learners

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### Guidelines to completing the application form:

1. Please complete all the sections on the application form in full.
2. Please supply clear headings for all attachments, according to the requirements listed in point 4 of this form.
3. Attach the required documentation to the application form and submit it to:

The ETQA Manager Services SETA  
Unit 1 Roodebloem Office Park  
20 Bella Rosa Street  
Rosenpark  
BELVILLE  
7530

4. Direct all queries to:

Willemien Ehlers at (021) 914 7740 or  
[WillemienE@serviceseta.org.za](mailto:WillemienE@serviceseta.org.za)



I, ..... the undersigned, who hereby warrant that I have the authority to bind the applicant, hereby apply for approval to certificate learners, in the name of

.....  
(registered and/or trading name of accredited provider).

I hereby undertake on behalf of the applicant to be bound by the certification policies and procedures in respect of providers, applied by the ETQA Committee of the Services SETA.

Signed by me, on behalf of the applicant, .....

ID number .....

Position .....

On the .....(date)

1. Name of accredited Provider:

.....

2. SETQAA Accreditation number:

.....

3. Certification activities (please list the certificates you intend to issue to learners and attach each pro forma certificate to your application)

Name of Certificate e.g. NQF 4 Ladies Hairdressing xxx credits	
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
11	
12	
13	
14	

Name of Contact Person: .....

Tel No.: .....

Fax No.: .....

e-mail: .....

#### 4. Please attach proof of the following requirements:

Requirement	Evidence	Attachment
Institutional and programme accreditation	Proof of institutional and programme accreditation	SETQAA accreditation report
A computerised record keeping system that incorporates mechanisms to record learner achievements as well as mechanisms to report to the SETQAA on past, present and potential learners	<p>Proof that the record keeping system include the following learner information:</p> <ul style="list-style-type: none"> <li>• Full name(s) and surname of learner</li> <li>• ID number of learner</li> <li>• Contact details</li> <li>• Demographic information (age, race, gender, geographical location, occupation where applicable, disability status where applicable)</li> <li>• Education and training background and experience (prior qualifications, prior and previous learning experiences, learning skills, language skills and preference)</li> <li>• Special learning needs (relevant disabilities or learning difficulties)</li> <li>• Additional learning needs (necessary experience and knowledge of relevant technology)</li> <li>• Resource factors (place and time of learning, access to resources including electricity and technology, financial resources for additional learning or support materials)</li> <li>• Motivation for entering a programme of learning</li> <li>• Programme/s for which the learner is registered</li> <li>• Performance during the programme (internal and continuous assessment)</li> <li>• Achievement during and at the end of the programme (internal and external assessment, final assessment, award achieved)</li> <li>• Internal moderation activities</li> </ul>	Example of the record keeping system, e.g. sheet on which data is capture
A records management system for certification and awards	Proof of a records management system for certification and awards	Record management system
A policy and procedures for the issuing of certificates and awards	Proof of a policy and procedures for the issuing of certificates and awards	Attach policies and procedures
Security and integrity of the database	Proof of security and integrity of the database	Attach security measures, policies
Personnel capacity, procedures, responsibilities and accountability in certification activities	Proof of personnel capacity, procedures, responsibilities and accountability in certification activities	Detailed organogram
A policy and procedures for the printing and storage of learner records and certificates	Proof of a policy and procedures for the printing and storage of learner records and certificates	Policies and procedures
Certification policies and procedures are designed to protect the learner's right to confidentiality	Proof that certification policies and procedures are designed to protect the learner's right to confidentiality	Confidentiality mechanisms
Policy and procedures for requests for duplicate certificates	Proof of policy and procedures for requests for duplicate certificates	Policies and procedures
Strategy to prevent the issue of fraudulent certificates	Proof of a strategy to prevent the issue of fraudulent certificates	e.g. watermarks
Pro formas of certificates and/or certificates of learner achievements	Proof of pro formas of certificates and/or certificates of learner achievements	Pro formas of certificates