

ETQA	<b>Doc Nr</b>	ETQA-P 005
<b>CERTIFICATION POLICY</b>	<b>Rev Status</b>	3 <sup>rd</sup> Issue
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### 1. Background

The ETQA Regulation R 1127 under the South African Qualifications Authority (SAQA) Act no 58 of 1995 mandates the establishment of Sectoral Education and Training Authorities, which shall carry amongst other responsibilities the certification of learners.

Chapter 2, Section 9.2b, of the Regulation makes provision for the ETQA to delegate some of its functions to constituent providers or other body with the prior approval of the Authority, but the ETQA may not delegate its accountability to the Authority. The SAQA Criteria and guideline for ETQA policy document (2001:31-32) further confirms that ETQA may devolve “all” certification responsibilities to its constituent training providers.

It is within this legal framework that the Services SETA Certification policy is developed and implemented for the Services Sector.

### 2. Purpose

The purpose of this policy is to provide guidelines and a policy framework for certification of learners within the Services SETA. Certification in the context of this policy refers to the issuing of a competence certificate in recognition of learner's achievement of a unit standard, skills programme and or full qualification registered on the NQF and for which Services SETA has quality assurance.

The policy further proposes amendments to sections 3, 6 and section 7 of the Services SETA Certification Policy Framework.

### 3. Scope

This policy is applicable to all SETQAA primary focus accredited providers of Education and Training and providers who have programme approval with SETQAA through MoU (Memorandum of Understanding).

The policy provides governance for the delegation of responsibility to the constituent providers for issuing certificates at skills programme level and at band level.

### 4. References

This policy should be read in conjunction with the following documents:

- Government Gazette SAQA Regulation No. 6290
- Government Gazette - ETQA Regulation R1127
- QALA . P011 SETQAA Assessment Policy
- QALA . G002 SETQAA QALA Process
- QALA . G002 SETQAA Moderation Policy
- SAQA - South African Qualification Act no 58 of 1995
- SAQA - Criteria and Guidelines for ETQA (SAQA, 2001)
- Services SETA Certification Policy (Framework)

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## 5. Types of providers / RPL Centers

SAQA defines a provider as a body, which delivers learning programme/s, (which culminates in registered National Qualifications Framework standards or qualifications) and/or manages the assessment thereof. Providers include companies, work-based training centers, and educational institutions . private, state-funded- such as colleges, technikons, non-government, and community based organisations. The following **three** categories of provision are identified by SAQA:

### 5.1. Delivery only

This is a provider who is responsible for delivering education and training and who undertakes formative assessments of these.

### 5.2. Delivery and assessment site

This provider both delivers learning programme/s and manages the assessment thereof.

A provider needs to seek accreditation with the relevant SAQA accredited Education and Training Quality Assurance body.

### 5.3. Assessment only (RPL and Assessment Centers)

This is a provider who is responsible for summative assessments and for assessment in relation to Recognition of Prior Learning (RPL).

## 6. Policy Statement

6.1. The Services SETA recognizes the lead-time between achievement of learning outcomes, the endorsement of such achievements through external moderation and the actual awarding of certificates of competence and the impact this has on employment opportunities, career progression and learning progression of affected learners and seeks to minimize the risk by making amendments to its current certification policy.

6.2. Considering the above, the Services SETA in consultation with the Authority (SAQA) has endorsed the decision to devolve the responsibility of issuing certificates of competence at skills programme level and at qualification level to its constituent training providers who qualify in terms of the provisions of this policy document.

6.3. This concession is **only** applicable to training providers who are accredited by the SETQAA for the learning programme/s against which certification is sought and who have met the SETQAA QALA requirements outlined below.

6.4. SETQAA further recognizes market needs, employer perceptions/concerns on validity of provider certificates and SAQA requirements concerning the usage, management and security of the hologram, hence the Services SETA will issue subsequently a SAQA hologram affixed certificate/s to qualifying learner/s.

## 7. Certification of learner's achievements at Skills Programme Level

7.1. Services SETA defines skills programme/s as a single or cluster of unit standards linked to an occupation or occupational qualification. The main characteristics of a skills programme in the context of this policy document include the following:

- a) Occupationally directed learning

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- b) Credit bearing i.e. aligned to unit standards
  - c) Total number of credits is below 120 credits
  - d) Building block towards attainment of a qualification registered on the NQF
  - e) Delivered by an accredited training provider
  - f) Assessed by a constituent assessor
  - g) Internally moderated by a constituent moderator
- 7.2. The responsibility for certification at skills programme level remains the responsibility of the training provider. The training provider will have to comply with the following requirements as outlined in the QALA procedures documents prior to issuing the certificates:
- a) Submit learner achievements via the approved Services SETA Management Information System (MIS) and;
  - b) Submit a compliant internal moderation report for each batch of learners or project for which certification is sought;
  - c) Submit a pro-forma certificate and certification policy and procedures to the SETQAA for approval.
- 7.3. Upon submission and quality assurance of the above, an endorsement to issue certificates will be issued by the SETQAA to the training providers. Such endorsement will be done in writing and confirm the list of learner names against which certificates may be issued.

## 8. Certification at band level

### 8.1. Phase 1 – Certification at band level by training provider

Band level . is defined as a combination of elective, core and fundamental unit standards, which culminate in a qualification worth 120 credits or more, and which is registered on the NQF in terms of the SAQA Act. The Services SETA shall have two phases of certification at this level as outlined in section 8 of this policy document.

8.1.1. Phase 1 . Certification at band level by training provider

8.1.2. The issuing of certificates of competence against the qualification by the training provider subject to the following conditions:

- a) The provider has been awarded full accreditation status by SETQAA.
- b) The learning programme / RPL instrument has been awarded programme approval status by SETQAA.
- c) A Constituent Assessor has conducted assessments.
- d) A Constituent Moderator has conducted internal moderation of assessments and the assessment decision is upheld.
- e) Learner achievements have been submitted via the Services SETA approved MIS system and are compliant with the SETQAA and SAQA requirements.
- f) External moderation has been conducted on two separate occasions by a SETQAA appointed External Moderator and the final decision has been favorable i.e. endorses learner achievements and provider's implementation of Quality Management Systems.
- g) Where remediation was identified . the provider has attended to these areas, re-moderated, and upheld by SETQAA.

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- h) Services SETA written confirmation of certification status to the training provider to issue certificates for specified qualifications for a specific period (normally 12 months).
  - i) The approval to issue certificates is subject to the training provider completing follow up external moderation visits which will be conducted twice per annum as per the schedule to be issued by the SETQAA on an annual basis.
  - j) Training Provider maintains consistently or improves its implementation of Quality Management Systems endorsed by the SETQAA appointed External Moderator.
  - k) Maintains records of certificates issued in line with the SETQAA policy.
  - l) Certificates comply with the outline of the Services SETA Certification Policy Framework.
- 8.1.3. SETQAA reserves the right to withdraw the provider's permission to issue certificates in the event of any non conformance to the requirements of this policy and its amendments. The SETQAA stakeholder committee must endorse such a decision and communicate their decision with reasons in writing.
- 8.2. Phase 2 – SAQA Hologram Affixed Certificates issued by SETQAA**
- 8.2.1. Whilst SAQA Regulation make provision for the certification function to be devolved to the constituent training providers by the ETQA, SAQA holds the ETQA accountable for this process including the usage of the hologram and the security thereof. SETQAA acknowledges the value carried by SAQA's seal of endorsement through a hologram on NQF aligned qualifications and proudly associates itself with such seal of quality. To affirm the Services SETA and its ETQA's proud association with the quality provisions of the NQF and its principles, SETQAA will issue a certificate of competence to qualifying learners with a SAQA Hologram affixed.
  - 8.2.2. Such Certificate will comply with SAQA requirements for usage of hologram and SAQA logo.
  - 8.2.3. The afore mentioned certificates shall further contain the minimum information prescribed by SAQA in the criteria and guidelines for ETQA.
  - 8.2.4. The certificates shall also bear the signature of the Services SETA Chief Executive Officer and the Senior ETQA Manager.
  - 8.2.5. In the absence of these two Senior Officials . the designated person, who shall be the Deputy Chief Executive Officer and the Registrar/Deputy Senior ETQA Manager, shall be authorised signatories.
  - 8.2.6. Such certificates will only be issued to providers who have met the requirements detailed in section 8.1.2 of this policy.
  - 8.2.7. The SETQAA certificate with the hologram shall be issued within a period not exceeding 3 months after external moderation, which endorses provider's assessment decision.
  - 8.2.8. The SETQAA Registrar shall be the custodian of the SETQAA certification process and shall take full responsibility and accountability both the Services SETA and the Authority (SAQA) for

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- all related activities in line with the provisions of this policy and the applicable legislation.
- 8.2.9. The SETQAA shall ensure that copies of certificates and the electronic database containing the names, surnames, identity number, qualification details, unit standards achieved, training provider, assessor and the date of achievement of qualification and the date of issue of first certificate are forwarded to the Chamber Manager under which such qualification reside.
  - 8.2.10. In addition to this, the SETQAA shall provide the Chamber with statistical information on hologram certificates issued on a monthly basis as well as details of learners approved to be issued certificates by training providers at both qualification and skills programme level.
  - 8.2.11. The SETQAA in conjunction with the Chamber concerned shall sign off the final upload of learner achievements to SAQA for National Learner Record Database purposes.

### 9. Application of policy

This policy is applicable to all SETQAA accredited training providers and constituent learners with effect from 1<sup>st</sup> of April 2009.

### 10. Exclusions

This policy is not applicable to the following areas:

- a) Training providers who have recorded or institutional status
- b) Provisionally accredited providers
- c) Training providers who have not been externally moderated by SETQAA
- d) Training providers who have been externally moderated by SETQAA and had their assessment decision rejected ~~not upheld~~.
- e) Training providers who have been externally moderated by SETQAA and granted areas of remediation and have not yet attended to these or have not yet been externally moderated on such areas.
- f) Certification of Constituent Assessors
- g) Certification of Constituent Moderators
- h) Certification of Constituent Training Providers
- i) Training providers who are still in the process of getting accreditation
- j) Learners who were trained under the historic ~~Industry Training Boards~~ and under the Manpower Training Act.
- k) Learners who were trained by providers who fall within the categories mentioned above.

### 11. Re-issue of certificates

11.1. In the event that a re print of the hologram certificate is required, the learner shall advise the training provider concerned who shall be the liaison between the SETA and the learner. Certificates will be re-printed up to a maximum of 3 times.

11.1.1. The first re-issue shall be done by SETQAA at no cost to both the training provider in addition, the learner.

11.1.2. The subsequent re-issues shall be done at a cost prescribed by the Services SETA and its ETQA.

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11.1.3. The prescribed forms and process will need to be followed.

**12. Non conformance**

All Services SETA Accredited providers of Education and Training and RPL/Assessment Centers shall be required to adhere to the conditions outlined in this policy document.

Non-conformance will result in certification rights being withdrawn from such providers and further disciplinary measures, which may include but not limited to de-accreditation for a defined period shall be applicable.

**13. Glossary of Terms**

Term	Definition
Accreditation	The certification, usually for particular period of time, of a person. A body or institution as having the capacity to fulfill a particular function in the quality assurance system set up by SAQA in terms of the Act.
ACT	Means the South African Qualifications Authority Act, 1995 (Act No. 58 of 1995).
Assessment:	The process of collecting evidence of learners work to measure and make judgments about the achievement or non-achievement of specified National Qualifications Framework standards or qualification.
Assessment only (RPL and Assessment Centers)	This is a provider who is responsible for summative assessments and for assessment in relation to Recognition of Prior Learning (RPL) only.
Authority	South African Qualifications Authority
Certification	Formal recognition of learners achievements of a qualification or unit standard through certification.
Constituent Assessor	Means the person who is registered by the relevant Education and Training Quality Assurance Body in accordance with criteria established for this purpose by a Standards Generating Body to measure the achievement of specified National Qualifications Framework standards or qualifications, and %constituent assessor+ has a corresponding meaning.
External Moderation	Moderation is the process, which ensures that assessment of the outcomes described in the NQF standards and qualifications is fair, reliable and valid. External Moderation is conducted by SETQAA.

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Full accreditation	Full Accreditation is the status attained after SETQAA monitoring has found that a Provider of education and training deliver quality education and training in line with all the criteria specified by SAQA and SETQAA and the provider recorded learner achievements against registered unit standards and qualifications, and SETQAA approved Certificates of competence had been issued to learners.
Internal Moderation	Moderation is the process, which ensures that assessment of the outcomes described in the NQF standards and qualifications is fair, reliable and valid. The provider conducts internal Moderation
Learning programme	Means the combination of courses, modules or units of learning (Learning materials and methodology) by which learners can achieve the Learning outcomes for a qualification.
Monitoring	A visit conducted by the SETQAA to provide guidance and support to the training providers in their implementation of approved Quality Management Systems.
QALA	Quality Assurance of Learner Achievements
Quality Management	Means the combination of processes used to ensure that the Degree of excellence specified is achieved
Quality Management system	Means the combination of processes used to ensure that the Degree of excellence specified is achieved
Qualification	A combination of occupationally directed fundamental, core and elective unit standards linked to specified Exit Level Outcome, which collectively is worth 120 credits or more and is registered on the NQF.



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Provisional Accreditation status:	<p>Provisional Accreditation is the status attained after the SETQAA evaluation has found that a Provider of education and training has met the eight core criteria as specified by SAQA. In addition, all learning programme (s) are aligned with registered NQF unit standards and/or qualifications, <b>but no learner results has been recorded, reported or endorsed by SETQAA yet.</b></p> <p>Skills Programme An occupationally directed programme, which is aligned to one or more unit standards that are registered on the NQF and are collectively worth less than 120 credits.</p>
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