
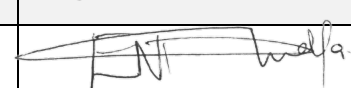


# WHOLESALE & RETAIL SETA

## Certification Policy

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Qualifications and Quality Assurance	pp. 
<b>Policy Sponsor</b>	
<b>Designation</b>	<b>Signature</b>
Chief Operations Officer	

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## 1. BACKGROUND

1.1 As guided by its mandate and delegation from the QCTO, the W&RSETA QQA is responsible to facilitate the certification of learners who have successfully completed their programme.

Such delegation includes but is not limited to:

- Accredite constituent SDP's for specific standards or qualifications registered on the NQF;
- Register constituent assessors and moderators for specific registered standards or qualifications in terms of the criteria established for this purpose;
- Take responsibility for the certification of constituent learners;
- Take responsibility for the certification of learner achievements.
- Maintain a data-base acceptable to SAQA and QCTO;
- Submit reports in accordance with the requirements to SAQA.

1.2 The QQA unit will therefore facilitate certification for qualifications obtained through learnerships, skills programmes and single unit standards that have been successfully completed by learners; and will also generate SDP certificates upon SDP's acquiring accreditation from the W&RSETA.

## 2. PURPOSE

The purpose of this policy is to regulate the W&RSETA certification processes thereby ensuring credibility and integrity of the W&RSETA certificates. It also aims to outline the processes that will be followed in achieving the generation of learner certificates. The certification policy is therefore built on the basic tenets of quality assurance:

- Accreditation of constituent SDP's;
- Registration of constituent assessors and moderators;
- Approval of learning programmes for quality provisioning;
- Monitoring and auditing of constituent SDP's;
- Monitoring, auditing and verification of assessments and moderations;
- Quality assurance of learner achievements.

## 3. SCOPE

The Skills Development Quality Assurance (QQA) staff and/or its representatives are responsible and accountable for managing and overseeing the implementation, maintenance, review and improvement of the W&RSETA certification policy and procedures. Items hereinunder should be read in conjunction with:

- Section 1.4 and 1.5 of the current Service Level Agreement entered into with the QCTO;

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- National Qualification Framework Act (Act No.67 of 2008);
- Skills Development Amendment Act (Act No. 37 of 2008);

#### 4. RELATED INFORMATION AND LEGAL REFERENCE

This policy must be read in conjunction with the following supporting documents

##### 4.1 Internal Documents

- QCTO Service Level Agreement with W&RSETA (1 April 2020 – 31 March 2023)
- W&RSETA Provider Accreditation Policy
- W&RSETA Assessment, Internal and External Moderation Policy

##### 4.2 External Documents

- QCTO Service Level Agreement with W&RSETA (1 April 2020 – 31 March 2023)

##### 4.3 Legal Reference

- Disaster Management Act, 2002: (Act No. 57 of 2002): Determination of alert levels and hotspots
- Department of Higher Education and Training Notice 355 of 2020: Directions for reopening of institutions offering qualifications Registered on the occupational qualifications sub - framework (OQSF) as part of a risk-adjusted strategy for a phased-in return of skills development activities, issued in terms of the Disaster Management Act, 2002 (act no.57 of 2002)
- QCTO Policy on Delegation to DQPs and AQPs (June 2011)
- QCTO Policy for the certification of learner achievements for trades and occupational qualifications on the Occupational Qualifications Sub-Framework (OQSF) – Revised Policy (November 2019)
- Promotion of Access to Information Act, 2 of 2000

#### 5. ACRONYMS & DEFINITION OF TERMS USED

Achievement	Refers to the recognition granted to a learner when all required learning outcomes have been successfully demonstrated
Accreditation	Means the certification, usually for a particular period of time, of a person, a body or an institution as having the capacity to fulfil a particular function in the quality assurance system set up by the South African Qualifications Authority in terms of the Act
Assessment	Means the process of collecting evidence of learners' work to measure and make judgments about the achievement or non-

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	achievement of specified National Qualifications Framework standards and/or qualifications
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
Auditing	Is an event conducted within a specified period and the outcome of which is a summative evaluation of attainment of quality
Duplicate Certificate	A certificate that has already been issued, but is printed as duplicate for the purpose of reporting and payments
(QQA) Qualifications and Quality Assurance	This refers to the Unit /Department within the W&RSETA. This is the unit that will carry out the delegated function of the W&RSETA in terms of section 32 of the NQF Act, SAQA and the Quality Councils (QCs) have the power to delegate any of their functions to a committee, any other body capable of performing the function
Learner	Means an individual who is participating in a learning programme with the purpose of achieving credits for standards and /or qualifications
Learning Programme	Refers to a structured set of learning offerings and related assessment and attainment requirements.
Moderation	Means the process which ensures that assessment of the outcomes described in National Qualifications Framework standards or qualifications, is fair, valid and reliable
Monitoring	Is a continuous process of review of quality that can be conducted internally and/or externally to recommend quality improvements
Outcomes	Refer to the contextually demonstrated end-products of the learning process
National Learners' Records Database (NLRD)	Refers to an electronic information system that assists the South African Qualifications Authority (SAQA) to manage the National Qualifications Framework
Primary focus	Means that activity or objective within the sector upon which an organization or body concentrates its efforts
Provider	Means a body which delivers learning programmes which culminate in specified National Qualifications Framework

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	standards or qualifications, and manages the assessment thereof
Reprint	A certificate for which a learner or provider requests a reprint to be issued. A reprint will include the all existing information as originally issued but will be assigned on new serial number
Qualification	Means the formal recognition of the achievement of the required number and range of credits and other requirements at specific levels of the NQF determined by the relevant bodies registered by SAQA
Quality assurance	Means the process of ensuring that the degree of excellence specified is achieved
Registration	Means the process which ensures that the person who assesses learner competence has the requisite criteria recommended by SGBs for specified NQF registered standards and/or qualifications
Registered Constituent Assessor	Means an assessor who has met the requirements for registration as an assessor of specified NQF qualifications and/ or unit standards and has been registered by the QQA under whose primary focus the standards and qualifications fall
Sector	Means a defined portion of social, commercial or educational activities used to prescribe the boundaries of an Education and Training Quality Assurance Body
Unit Standard	Refers to registered statement of desired education and training outcomes and its associated assessment criteria together with administrative and other information as specified in the regulations
Validation	Means the overall process by which it is determined by an QQA whether or not an assessment is valid, and leading to the acceptance or rejection of assessment results
Verification	Means the process managed by an QQA for externally verifying (checking) moderation processes and confirming or overturning moderation findings
Record of Achievement	Means a list of unit standard that a learner has successfully been find competent against
SDP	Skills Development Provider
QCTO	Quality Council for Trades and Occupations
SAQA	South African Qualifications Authority

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## 6. POLICY PRINCIPLES

6.1 The W&RSETA QQA shall certify a constituent SDP and learner, register constituent assessors and constituent moderators and issue a certificate or registration letter in accordance with the terms and conditions of the delegated functions assigned by the QCTO.

6.2 This policy and its associated procedures are based on adherence to the following principles in respect of accreditation:

6.2.1 The W&RSETA QQA will promote basic values and principles governing public administration as enshrined in section 195 of the Constitution of the Republic of South Africa. In particular:

- High standard of professional ethics must be promoted and maintained;
- Efficient, economic and effective use of resources must be promoted;
- Services must be provided impartially, fairly, equitably and without bias; and
- Transparency must be fostered by providing the public with timely, accessible and accurate information.

6.2.2 Adherence to procedural fairness as required by the Promotion of Justice Act (Act No. 3 of 2003) in terms of:

- Reasonable notice (nature and purpose);
- A chance to make representations;
- A clear statement of the administrative action;
- Advice as to review or internal appeal; and
- Advice as to the right to request reasons.

## 7. CERTIFICATE ISSUING POLICY

7.1 The turnaround time for issuing of a certificate inclusive of the processes of External Moderation and Certification processes shall not exceed 60 days.

7.2 All assessor and/or moderator registration confirmation letters shall be issued by the regional Quality Assurer and will include the following information (a-g):

- a) Assessor or moderator registration number;
- b) Assessor or moderator full name(s) and Surname;
- c) Assessor or moderator ID number;
- d) Assessor or moderator Business or Private Address;

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- e) Start and end date;
- f) Scope;
- g) W&RSETA Name and Logo.

7.3 All certificates issued for the recognition of accredited SDP’s shall be generated by the designated QQA official and reflect the following information (a-l):

- a) SDP’s Registration Name;
- b) SDP QQA accreditation registration Number;
- c) Accreditation Status;
- d) Description of Unit Standards and/ or Qualification for Accreditation;
- e) Date of Expiry of Accreditation;
- f) Date of Issue of Certificate (Date of accreditation);
- g) Signature of W&RSETA CEO;
- h) Signature of Designated Manager;
- i) W&RSETA Name and Logo;
- j) SAQA Name, Logo and Serial Number (Fully accredited SDP's);
- k) Certificate Serial Number;
- l) QQA Registration Number.

7.4 All certificates or records of achievement issued for recognition of learner achievement of full qualifications, skills programmes or unit standards shall be generated by the designated QQA official and reflect the following information within the respective category (7.4.1- 7.4.3).

**7.4.1 Full Qualification Certificate**

The following information shall appear on the Full Qualification Certificate:

- a) Learner’s Full name(s) and Surname;
- b) Learner’s Identification Number;
- c) Title, NQF level, and credits of the Qualification achieved;
- d) Date of Achievement;
- e) Date of issue;
- f) Certificate serial number, in the prescribed format (ETQAXXX/XXXX);
- g) Serial number replaced by the certificate authentication number printed at the back of the certificate, in the prescribed format (QB1/0001/13);

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- h) NLRD number;
- i) W&RSETA Name and Logo;
- j) Signature of W&RSETA CEO;
- k) Signature of Designated Manager;
- l) QQA Registration Number.

### 7.4.2 Skills Programme Certificate

The following information shall appear on the Skills Programme Certificate:

- a) Learner's Full name(s) and Surname;
- b) Learner's Identification Number;
- c) Title, Skills programme code;
- d) Date of Achievement;
- e) Date of issue;
- f) Certificate serial number, in the prescribed format (ETQAXXXX/XXXX);
- g) W&RSETA Name and Logo;
- h) Signature of W&RSETA CEO;
- i) Signature of Designated Manager;
- j) QQA Registration Number.

### 7.4.3 Record of achievement

All Records of Achievements also known as Statement of Results for recognition of learner achievement of unit standards will be approved/generated by the designated QQA official at the head office and shall be submitted to the designated QQA official based at each region office for further dissemination and/or issuing/printing. The following information shall appear on the Record of Achievement:

- a) Date Issued;
- b) Learner's Full name(s) and Surname;
- c) Learner's Identification Number;
- d) Unit Standard Title;
- e) Unit standard Number;
- f) Number of Credits;
- g) Achievement date;
- h) QQA Registration Number;

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- i) Signature of Designated Manager;
- j) W&RSETA Name and Logo;
- k) Regional office stamp with signature of the respective quality assurance official based at the region.

**8. QUALITY ASSURANCE IN CERTIFICATION**

The issuing of a learner certificate/record of achievement and certification processes in its entirety shall conform to the following quality assurance principles:

- 8.1 Accurate capturing of learner information onto the W&RSETA system which links to the NLRD;
- 8.2 Monitoring and auditing the accuracy of the electronic information captured on individual learner records for uploading onto the NLRD;
- 8.3 Verification of moderated assessments and providing support on problem areas;
- 8.4 Confirmation of the details on the certificate by Administrative Personnel before issue;
- 8.5 SDP's are required to report to the Regional Quality Assurance Official on a quarterly basis with regards to learner certificates that have not been collected.

**9. FRAUD PREVENTION MEASURES AND CONTROL**

The W&RSETA QQA shall ensure the integrity, security and control to prevent the issuing of fraudulent certificates by putting in place the following security measures and controls:

- 9.1 All certificates shall be printed in accordance to the recommendations, conditions and specifications of the SAQA document on Certification of Learners by Accredited QQA Bodies and the Policy on Acceptable Usage of SAQA Trademarks by Stakeholders.
- 9.2 All certificates issued by the W&RSETA shall be in the format determined by the W&RSETA and submitted to SAQA and/or QCTO for approval. The cost of printing the certificates shall be borne by the W&RSETA.
- 9.3 All certificates will be issued on a special usage paper and shall bear the W&RSETA name, logo and corporate colours that project the image of the W&RSETA.
- 9.4 All certificates shall be issued against the qualifications and/or unit standards registered on the NQF by the Chief Executive Officer.
- 9.5 Certificates shall contain electronic signatures, the process and controls of which shall be adequate enough to protect unauthorised access to such.
- 9.6 All certificates shall be issued under the following control measures to ensure the security of the certificates:

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- a) All certificates shall be kept in a secure room with limited access.
- b) Sequential serial numbers shall be assigned to all certificates to assist with filing and auditing.
- c) An electronic register shall be kept every time a certificate is printed and shall include the following information:
  - i. Date of generation of certificate;
  - ii. Name of the person that generated the certificates;
  - iii. Number of certificates generated and the serial numbers;
  - iv. Number of certificates cancelled and destroyed, and their serial numbers.

9.7 The W&RSETA QQA shall ensure the integrity of the data by limiting the access to the W&RSETA QQA system for and uploading. Passwords will be issued to all individuals designated to access information on the W&RSETA QQA system.

9.8 A duplicate learner qualification or skill programme certificate shall be auto-generated by the SETA system after the serial number for the certificate has been generated and will only be used for SETA reporting and or final tranche payment purposes only.

**10. CONDITIONS FOR NOT ISSUING A CERTIFICATE**

10.1 Certification shall only be completed once the necessary processes have been completed and correct learner results have been uploaded onto the SETA system.

10.2 A certificate shall not be issued if the following conditions prevail:

- a) Requirements for Accreditation not in place for the programme to be certified;
- b) Lack of timeous communication within 30 days of completion of moderated assessments by the SDP;
- c) Preparing a certification or graduation ceremony before the completion of the verification process and formal receipt of communication from the W&RSETA QQA on the endorsement of Learner Achievements;
- d) Flaws in the assessment and internal/external moderation processes;
- e) Inadequate or inconsistent assessments and moderation results;
- f) Incomplete or inconsistent learner information;
- g) Any irregularities that may be detected as a result of the external moderation process.

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## 11. CERTIFICATE REPRINT

11.1 The W&RSETA shall re-issue a certificate upon written request by the SDP or learner with a full motivation on why a duplicate certificate should be issued. The following components must accompany the written request;

11.1.1 A sworn affidavit must accompany any request for a re-print, clearly stating the reason/s for the re-print request.

11.1.2 A learner reprint request must be accompanied by a certified copy of the learner ID. A unique certificate number will be issued against the learner and the reason for the reprint will be captured on the SETA system.

11.2 The above requests may be approved by the relevant QQA Head upon merit and the provisions of 11.1.1 and 11.1.2 being met.

## 12. APPEALS

12.1 An SDP wishing to appeal against a decision made during external moderation process leading to a non-award of a certificate of the W&RSETA QQA shall make a written submission to the W&RSETA QQA Head to that effect together with reasons for the appeal within one calendar month of such decision being made.

12.2 Should the W&RSETA QQA Head uphold an appeal from an SDP, the W&RSETA QQA shall –

- a) amend the decision accordingly;
- b) record such amendment in all the relevant documentation where the original decision was recorded;
- c) make the necessary amendments to all the relevant documentation; and
- d) Issue revised versions of all relevant documentation.

12.3 Should the W&RSETA QQA Head not uphold the appeal, the SDP may escalate the appeal; within two weeks to the Office of the Chief Operating Officer (COO) of the W&RSETA.

12.4 Should the W&RSETA COO uphold an appeal from an SDP, (Steps a – d under 12.2 will be followed).

12.5 Should the W&RSETA COO not uphold an appeal from an SDP, then the SDP may escalate the appeal within two weeks to the QCTO.

## 13. EXCLUSIONS

All certificates issued by quality assurance partners aside from the W&RSETA.

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**14. REQUEST TO DEVIATE FROM POLICY**

Requests to deviate, in an emergency situation from any provision of this policy may be made to the Accounting Authority in writing. The Chief Executive Officer has powers to grant such request in whole or in part or refuse it. Unauthorised deviations may result in disciplinary action.

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# Policy Approval & Sign-off

## 1. POLICY INFORMATION

<b>Policy Name</b>	
<b>Policy Reference Number</b>	

## 2. RECOMMENDATIONS/ ENDORSEMENTS

Recommended  Not Recommended

Comments...The Governance and Strategy Committee considered the Policy and was satisfied that it was appropriate to be recommended to the Board for approval

Name of Committee ...GOVERNANCE AND STRATEGY COMMITTEE.....

Committee Chairperson ...LUCAS RAMATLHODI.....

 \_\_\_\_\_ 29 / 09 / 2020 \_\_\_\_\_

**Signature**

**Date**

## 3. APPROVAL BY W&RSETA ACCOUNTING AUTHORITY

Approved  Not Approved

Comments.....  
.....  
.....

 \_\_\_\_\_ 04/10/2020 \_\_\_\_\_

**Reggie Sibiyia**

**Date**

**W&RSETA Board Chairperson**

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