



HEALTH AND WELFARE SECTOR EDUCATION AND TRAINING AUTHORITY

CERTIFICATION GUIDELINES

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1. ABBREVIATIONS

CEO	Chief Executive Officer
CIPC	Companies and Intellectual Property Commission
DQP	Development Quality Partner
ETDPSETA	Education, Training and Development Practices Sector Education and Training Authority
ETQA	Education and Training Quality Assurance
HWSETA	Health and Welfare Sector Education and Training Authority
ID	Identity document
MOU	Memorandum of understanding
NGO	Non-Governmental Organization
NLRD	National Learner Record Database
NQF	National Qualification Framework
POE	Portfolio Of Evidence
QALA	Quality assurance of learner achievement
QCTO	Quality Council for Trades and Occupations
QMS	Quality Management System
RPL	Recognition of Prior Learning
SAQA	South African Qualification Authority
SDA	Skills development Act
SDL	Skills development levies (Act)
SETA	Sector Education and Training Authority
SDP	Skills Development Provider
SMS	SETA management system

2. DESCRIPTION OF TERMS

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 within the quality assurance system set up by SAQA.
Accreditation scope	Means the list of qualifications and or skills programmes for which a skills development provider is accredited for.
Accreditation site visit	Means a visit that is conducted by the HWSETA to verify claims made by a training provider in the letter of intent and the accreditation application file, which enables the HWSETA to gather evidence for accreditation.
Achievement	Means the recognition granted to a learner when all required learning outcomes have been successfully demonstrated.
Appeal	Means a process of seeking a review of a decision already made, from higher authority.
Applicant skills development provider	Means a skills development provider who is in the process of applying for accreditation or programme approval with the HWSETA.
Assessment	Means the process in which evidence is gathered and evaluated against agreed criteria in order to make a judgment of competence for developmental and/or recognition purposes.
Assessor or constituent Assessor	Means a person who is registered by the relevant ETQA body to measure the achievement of specified National Qualifications Framework standards or qualifications.
Audit	Means the process undertaken to measure the quality of services that have already been delivered.
Code of Conduct	Means a set of conventional principles and expectations considered binding on any person/s or organization/s registered, approved and/or accredited by the HWSETA.

Education and Training Quality Assurance	Means a body accredited in terms of section 5 (1)(a)(ii) of the SAQA Act, responsible for monitoring and auditing achievements in terms of national standards or qualifications, and to which specific functions relating to the monitoring and auditing of national standards or qualifications have been assigned in terms of section 5 (1)(b)(i) of the Act.
Extension of scope	Means the addition of qualification(s), skills programmes and/or unit standard(s) after approval of the initial application.
Facilitator	Means an individual who facilitates learning processes and activities and manages and administers assessment: educator, teacher, trainer, mentor etc.
Full cycle of training	Means the process whereby the skills development provider has recruited, registered, trained learners, assessed, moderated and verified learners achievements through HWSETA verification process which led to certificates and or statement of results being issued.
Learning programmes	Means a combination of courses, modules or units of learning by which learners can achieve learning outcomes.
Moderation	Means the process which ensures that assessment of the outcomes described in the NQF standards and qualifications is fair, reliable and valid.
Moderator	Means a person who has achieved competence against the moderator standard, certified by the ETDP SETA and registered by an ETQA.
Monitoring	Means a systematic continuous observation process and recording of activities to ensure quality compliance to set criteria and agreed developmental areas for improvement purpose.
National learner record database	Means an electronic information system that assists the South African Qualifications Authority (SAQA) to manage the National Qualifications Framework.
Non-governmental organization	Means an organization set up by ordinary citizens, (primarily run by volunteers or funded by governments, foundations or businesses) that is not part of a government or established for profit making purposes.

Organizations	Means legally established entities in line with CIPC requirements and in good standing (which may include but not limited to national and provincial government departments and agencies, institutions, NGOs, companies, centres and consultancies).
Policy	Means a statement of intent implemented as a set of procedure or protocol.
Programme approval	Means a secondary accreditation of an SDP through an MOU signed between the ETQAs.
Quality assurance	Means the process of ensuring that the specified degree of excellence is achieved.
Quality management system	Means the combination of policies and processes used to ensure that the specified degree of excellence is achieved.
Recognition of prior learning	Means the comparison of the previous learning and experience of a learner, howsoever obtained, against the learning outcomes required for a specified qualification, and the acceptance for purposes of qualification of that which meets the requirements,
Registered qualifications	Means qualifications registered by SAQA on the National Qualifications Framework.
Registered unit standards	Means unit standards registered by SAQA on the National Qualifications Framework.
Scope of accreditation	Means the list of qualification/s and/or skills programme/s for which a skills development provider is accredited.
Scope of registration	Means the list of qualification/s, skills programme/s and/or unit standard/s for which an assessor or moderator is registered.
Skills programme	Means the bundling of unit standards from the same qualification that addresses an identified need and allows for progression/ completion of a full qualification.
Skills development provider	Means an organization that is accredited or approved to deliver learning programmes.

3. REGULATORY FRAMEWORK

- 3.1 NQF Act 67 of 2008;
- 3.2 SDA Act 97 of 1998 (as amended by the SDL Act 9 of 1999, Skills Development Amendment Act 31 of 2003, Skills Development Amendment Act 37 of 2008, Higher Education Laws Amendment Acts 26 of 2010); and
- 3.3 Sub-regulation 9(1) (a) of the Education and Training Assurance bodies regulation, 1998 (No.R1127 of 1998).

4. PURPOSE

The purpose of these guidelines is to:

- 4.1 communicate clear certification requirements to relevant parties;
- 4.2 ensure compliance by accredited SDPs; and
- 4.3 ensure standardization and consistency of the certification process;

5. SCOPE AND RESPONSIBILITIES

- 5.1 The HWSETA shall ensure that SDPs comply to the guidelines as presented;
- 5.2 Accredited and approved SDPs shall comply with the guidelines as presented; and
- 5.3 Learners shall familiarize themselves with the content of these guidelines.

6. CERTIFICATION CRITERIA

- 6.1. The HWSETA shall issue certificates to:
 - 6.1.1. Primary accredited SDPs;
 - 6.1.2. Secondary accredited SDPs (programme approvals);
 - 6.1.3. Learner found competent against HWSETA qualifications; and
- 6.2. Statement of results are issued to HWSETA endorsed competent learners by SDPs.

7. REQUIREMENTS FOR ISSUING CERTIFICATES

7.1 Accredited SDPs certificates

7.1.1 Accredited SDPs shall be issued with accreditation certificates that contain the following information:

- 7.1.1.1 HWSETA name and logo;
- 7.1.1.2 Provider's name;
- 7.1.1.3 Accreditation number;
- 7.1.1.4 Date of accreditation;
- 7.1.1.5 Date of certificate issue;
- 7.1.1.6 Expiry date;
- 7.1.1.7 HWSETA signatories;
- 7.1.1.8 HWSETA encrypted hologram; and
- 7.1.1.9 Certificate serial number.

7.1.2 An accreditation letter and an accreditation report with the list of accredited qualification electives, shall be issued with all accreditation certificates;

7.1.3 The above documents (clause 7.1.2) shall be scanned and emailed to SDPs before being couriered or collected from the HWSETA offices.

7.2 Secondary accredited SDPs (programme approvals) certificates

7.2.1 Secondary accredited (Programme approval) SDPs shall be issued certificates that contain the following information:

- 7.2.1.1 HWSETA name and logo;
- 7.2.1.2 Provider's name;
- 7.2.1.3 Primary ETQA accreditation number;
- 7.2.1.4 Date of accreditation;
- 7.2.1.5 Date of certificate issue;
- 7.2.1.6 Expiry date;
- 7.2.1.7 HWSETA signatories;
- 7.2.1.8 HWSETA encrypted hologram; and
- 7.2.1.9 Certificate serial number.

7.2.2 A programme approval letter, report with approved qualification electives shall be issued with the certificate; and

7.2.3 The above documents (clause 7.2.2) shall be scanned and emailed to SDPs before being couriered or collected from the HWSETA offices.

7.3 Learner certificates

7.3.1 Learners found competent for full qualifications shall be issued HWSETA endorsed certificates with the following information:

- 7.3.1.1 HWSETA name and logo;
- 7.3.1.2 Learner name;
- 7.3.1.3 Identification number;
- 7.3.1.4 Qualification ID, Title, NQF Level and credits;
- 7.3.1.5 Date of achievement;
- 7.3.1.6 Date of issue;
- 7.3.1.7 HWSETA signatories;
- 7.3.1.8 Certificate number; and
- 7.3.1.9 HWSETA encrypted hologram.

7.3.2 Learner certificates shall be issued to the SDP who conducted training when the following was complied with;

- 7.3.2.1 learners were uploaded onto the SMS;
- 7.3.2.2 training was conducted by the HWSETA registered Assessor/s;
- 7.3.2.3 100% assessments were conducted by the same Assessor/s;
- 7.3.2.4 50% moderations were conducted;
- 7.3.2.5 the HWSETA conducted verification and endorsed competent learners results;
- 7.3.2.6 assessor/s and moderator/s were linked to learners on SMS; and
- 7.3.2.7 learners competency was updated on SMS.

7.4 Statement of results

7.4.1 Skills development providers shall issue statement of results to competent and HWSETA endorsed learners;

7.4.2 Statement of results shall be issued when the following are complied with:

- 7.4.2.1 learners were uploaded onto the SMS before commencement of training;
- 7.4.2.2 training was conducted by the HWSETA registered Assessor/s;
- 7.4.2.3 100% assessments were conducted by the same Assessor/s;
- 7.4.2.4 50% moderations were conducted;
- 7.4.2.5 the HWSETA conducted verification and endorsement competent learner results;
- 7.4.2.6 assessor/s and moderator/s were linked to SDP; and

7.4.2.7 HWSETA has approved the printing of statement of results by the SDP.

7.4.3 The HWSETA statement of results shall bear the following:

10.3.3.1 HWSETA name and logo;

10.3.3.2 Learner name and ID number;

10.3.3.3 Unit standard ID, Title, NQF level and credits;

10.3.3.4 Date of issue; and

10.3.3.5 ETQA Executive Manager signature.

8. INTEGRITY AND SECURITY FEATURES ON CERTIFICATES

8.1 All HWSETA issued certificates shall bear signatures of the ETQA Executive Manager and CEO to ensure the integrity of the certificates;

8.2 All learner certificates shall have the silver HWSETA hologram designed for this specific purpose;

8.3 Passwords for system access shall be issued to all individuals designated to update information on the database for certification purposes;

8.4 As another security feature, the HWSETA certificates shall be identified by the green, red and gold colours with special embossed, rough textured paper; and

8.5 The HWSETA accreditation letters shall be identified by the special HWSETA embossed, cream rough textured paper with gold HWSETA name, logo and footer.

9. FRAUD PREVENTION MEASURES AND CONTROL

9.1 To avoid fraudulent certificates issued, accredited and approved SDPs shall be given access to upload learner details on the SMS before the commencement of training for smooth learner certificate generation at the end of training;

9.2 The Provincial Manager shall verify submissions and supporting documents before recommending approval from the Learner Achievement Manager, HWSETA Executive Manager and CEO;

9.3 Uploading of learner information by the SDPs and staff designated to work on the SMS shall be closely monitored;

9.4 Certificates information shall be verified to ensure validity and accuracy of the information captured;

- 9.5 Fraudulent certificates shall be reported to the HWSETA and punitive measures shall be taken against culprits;
- 9.6 Re-issued certificates shall be recorded and a database thereof kept by the Learner Achievement Manager;
- 9.7 All copies of signed certificates shall be kept in a secured room with limited access;
- 9.8 Holograms, accreditation certificates, letterheads, blank certificate templates shall be kept in a lockable safe;
- 9.9 A certificate issue register shall be completed and signed when certificates are collected by SDPs or couriered;
- 9.10A certificate control register shall be completed every time a certificate is printed and shall include the following information:
 - 9.10.1 Date of Print;
 - 9.10.2 Name of the official who printed the certificates;
 - 9.10.3 Number of certificates printed and the certificate numbers
 - 9.10.4 Number of certificates cancelled and destroyed, and their certificate numbers
- 9.11 A register shall be completed and signed every time a hologram is used and must include the following:
 - 9.11.1 Date of print;
 - 9.11.2 Number of holograms used and the certificate numbers;
 - 9.11.3 Number of holograms destroyed and their certificate numbers;
 - 9.11.4 Name of the person that used the holograms and signature;
- 9.12 SDPs shall keep record of all issued statement of results on file indefinitely and shall be required to provide such copies to learners if requested;
- 9.13 SDPs shall keep the learner PoEs for a period of 5 (five) years

10. CERTIFICATE RE-ISSUE

- 10.1 Certificates shall be re-issued if:
 - 10.1.1. certificates are lost;
 - 10.1.2. certificates are damaged;
 - 10.1.3. learners marital status has changed;
 - 10.1.4. learner names or identity details have changed; and
 - 10.1.5. erroneous certificates were issued.

10.2. The following documents shall be submitted for certificate re-issue application:

10.2.1. Fully completed certificate re-issue application form;

10.2.2. Recently certified copy of ID or accreditation letter; and

10.2.3. Affidavit signed and stamped by police official;

10.2.4. Recently certified previous ID copy (for changed ID number or names); and

10.2.5. The original damaged certificate.

11.RECORDS MANAGEMENT

11.1SDPs shall keep and maintain soft and hard copies of certificates and or statements of results indefinitely;

11.2Access to copies of certificates and or statement of results shall be controlled;

12.RELATIONSHIP WITH OTHER DOCUMENTS

12.1. The certification guidelines shall be read in relation to the following:

12.1.1. Certification policy;

12.1.2. Certification procedure and flow chart;

12.1.3. Accreditation policy;

12.1.4. Assessment, moderation and verification policy; and

12.1.5. RPL guidelines.