

Policy Document ETQA9 : Certification



Table of Contents

Policy Overview	2
ETQA Operational Principles	4
Certificate Specifications	7
Certificate Security and Production	9
Provider Operational Principles.....	12
Policy Maintenance.....	14

Issue Date	28 November2003	Version	0	Page 1 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Policy Overview

Policy Purpose

The purpose of this policy is to inform **THETA staff, providers and constituents** of the certification policy within the THETA ETQA, and its related scope as it related to:

- The printing of pre-designed certificates and learner records of achievement
 - Outsourcing of the printing of certificates
 - The use of the SAQA hologram
 - Certification control measures to minimize fraud in certification
 - Provision of standard documentation for assistance in certification
 - Capacity building interventions for uploading of learner achievements.
-

Legal Basis

In terms of the **ETQA Regulations under the South African Qualifications Authority Act** (R1127 to Act No. 58 of 1995), ETQA's have the responsibility of issuing certificates for Provider Accreditation, Learner Achievements and Registration of Assessors and Moderators.

Policy Statement

The THETA ETQA assumes full responsibility for the issuing of certificates of accreditation to constituent providers and certificates for learning achievements and shall not delegate this responsibility, thus ensuring the integrity of the certification and awards process.

It is the intention of SAQA and THETA that the use of the SAQA and THETA trademarks will be recognized within the market place as a **branded acknowledgement of quality Education and Training**.

Terminology

All terminology used in this policy bears the implicit meaning as stated in the policy document: Glossary of Terms and Acronyms

Continued on next page

Issue Date	28 November 2003	Version	0	Page 2 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Policy Overview, Continued

Appeal

Reasons for Appeal:

A provider, assessor or learner may access the Theta Appeals Procedure should the assessor, provider or learner be dissatisfied with any of the following circumstances relating to the certification of learners:

1. Withholding of learner certification
2. De-registration of a learner

Refer to Appeals policy for process of appeal.

Complaints

Reason for Complaints:

A complaint can be lodged outside of the Appeals policy and process by the Provider, Assessor and Learner with regard to the following:

- Accuracy of information on the Certificate and Statement of Achievement
- Turn around time of the ETQA in the release of Certificates and Statement of Achievement

Printing and release of Certificate and Statement of Achievement shall be done by THETA ETQA within a period of 60 days from receipt of request for certification

Process Step	Accuracy of information	Turn around time in release of Certification
1.	Provider shall submit proof of submission of correct information	Provider shall submit proof of request for certification
2.	Provider shall submit evidence of incorrect printed information	

Issue Date	28 November 2003	Version	0	Page 3 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification

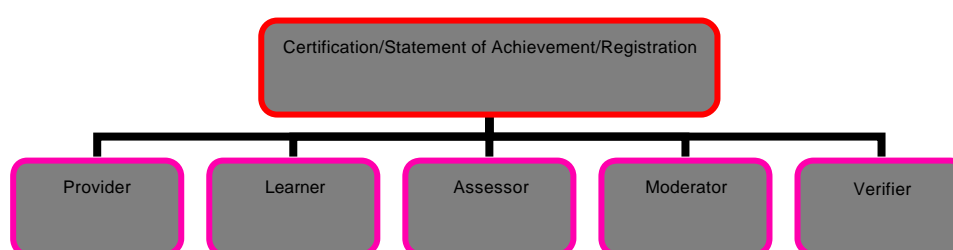


ETQA Operational Principles

Scope of Policy

This policy describes the policy, process and conditions for certification that is covered by the Certification Policy

This policy deals with the Certification process in the following way



Certificate Issue Categories

Certificates and statements achievement issued in accordance with the THETA ETQA mandate will only be issued for the following categories

No	Category	Conditions
1	Provider Achievement	<ul style="list-style-type: none"> Accredited constituent provider will be issued a Certificate
2	Learner Achievement	<ul style="list-style-type: none"> Completed NQF Qualifications for which THETA is accredited to Quality Assure (regardless of what type of learning programme led to the qualification) will be issued a Certificate Learnership achievements which relate to NQF Qualifications and Unit Standards for which THETA is accredited to Quality Assure will be issued a Certificate Completed individual Unit Standards which THETA is accredited to Quality Assure will be issued a Statement of Achievement
3	Assessor / Moderator / Verifier	<ul style="list-style-type: none"> Registration with THETA as an Assessor/ Moderator / Verifier for THETA Unit Standards and Qualifications will be issued a Certificate

Continued on next page

Issue Date	28 November 2003	Version	0	Page 4 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



ETQA Operational Principles, Continued

Exclusions No accreditation certificates will be issued by THETA to constituent providers of another ETQA. Where overlaps of scope exist between the ETQAs, this will be managed in terms of the specific MOU with that ETQA.

Role Players The following role holders will perform functions in respect of the THETA certificate practice

CEO

- Signatory to certificate
- Award certificates to recipients at official events

ETQA manager

- Signatory to certificate
- Manage and oversee database developments that integrate with the SAQA NLRD
- Manage the database linked to the NLRD
- The THETA ETQA manager will be responsible for managing/overseeing database developments that integrates with the SAQA NLRD

ETQA Advisor

- Manage security around the Procured Service Provider
- Manage security around SAQA holograms
- Manage control sheet with hologram and certificate numbers
- Collect holograms from SAQA
- Hand over SAQA holograms to Procured Service Provider to be place in safe and secure storage environment.
- Receive and return spoilt holograms to SAQA

Systems Administrator

- Maintenance of learner data on the SMS

Continued on next page

Issue Date	28 November 2003	Version	0	Page 5 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



ETQA Operational Principles, Continued

Role players (Continued ...)

Procured Service Provider

- Maintain security around pre-printed certificates
- Responsible for printing of all certificates and electronic letters
- Responsible for application and control of SAQA hologram
- Maintain safe and secure storage of certificates and SAQA holograms
- Return spoilt SAQA holograms to ETQA advisor
- Maintain control sheet

ETQA office administrator

- Manage distributing printed certificates
-

Signatories and Signatures

- Due to the large amount of certificates that are printed, electronic signatures of the CEO and ETQA Manager will be attached to the database to form part of the mail merge function when certificates are printed or downloaded for external printing.
 - As part of the risk management function the usage of electronic signatures will be strictly monitored and in accordance with current legislation controlling the legality of their use.
-

Issue Date	28 November 2003	Version	0	Page 6 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Certificate Specifications

Use of SAQA Trademark

THETA shall obtain in writing permission for the usage of the **SAQA name, logo and Hologram** prior to the production of each trademark.

THETA undertakes to:

- Control the trademark usage by THETA
- Monitor and control the trademark usage by its constituent providers

Where the SAQA logo is to appear on printed certificates or statements of achievements, the logo will be used without any alteration and only as originally intended

Only the following certificates and Statements of Achievement will bear the **SAQA logo**:

No	Category	Condition
1.	Provider Accreditation	<ul style="list-style-type: none"> • Provisionally Accredited Constituent Provider • Fully Accredited Constituent Provider
2.	Learner Achievements	<ul style="list-style-type: none"> • NQF Qualification for which THETA is accredited to Quality Assure • Learnership achievements which relate to NQF Qualifications and Unit Standards for which THETA is accredited to Quality Assure • Completed Skills Programmes based on Unit Standards which THETA is accredited to Quality Assure • Achievement of individual Unit Standards which THETA is accredited to Quality Assure
3.	Assessor / Moderator / Verifier	<ul style="list-style-type: none"> • Registration as an Assessor • Registration as a Moderator • Registration as a Verifier

Use of SAQA Hologram

Only the following pre-printed certificates will bear the **SAQA hologram**:

- Full Accreditation as a Constituent Provider
- Full NQF Qualification which THETA is accredited to Quality Assure
- Full NQF Qualification obtained through Learnership which THETA is accredited to Quality Assure

Continued on next page

Issue Date	28 November 2003	Version	0	Page 7 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Certificate Specifications, Continued

Certificate Information

The THETA-issued certificates will meet the SAQA certificate requirements and as such will bear the following information:

- Learner Full Name (First Names followed by Surname)
- Learner Identity Number
- Date of achievement and date of issue
- THETA logo and details
- SAQA hologram or logo as appropriate
- Certificate name and type
- Description of unit standards or qualification achieved
- Credit values where applicable
- Signatories of both the THETA CEO and ETQA manager
- Unique certificate number
- Expiry date where applicable

An additional document will support the issued certificate for accreditation to indicate the specific unit standards or qualifications for which accreditation or learner achievements have been granted. This document will be printed on a separate THETA letterhead.

Issue Date	28 November 2003	Version	0	Page 8 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Certificate Security and Production

Certificate Production

- The THETA ETQA shall procure a recognised and integrity-driven Service Provider to design and thereafter maintain the printing quality of certificates and Statements of Achievements, taking all policy documents and regulations into consideration in the design process
- The THETA shall contract such a Service Provider, on a continuous basis, to conduct the printing function, off-site, of the certificates on behalf of THETA.
- The Procured Service provider will be given controlled access to the THETA database from which the information will be extracted.

The Procured Service provider will ensure all internal policies and procedures for maintaining the control, transportation of certificates, storage facilities and access control over certificates are available to, and approved by the ETQA before commencing design and printing of certificates.

Storage & Control

The following will serve as minimum measures of acceptable control for the Procured Service provider:

- Secure storage facilities
- Access control and integrity of data
- Clearly defined responsibilities with regard to receiving, storage and transportation
- Regular internal audit process as part of risk management

The following will serve as measures of control for the THETA ETQA staff:

- Clearly defined responsibilities with regard to receiving, storage, signatories and postage
 - Maintenance of database linked to the NLRD
 - Regular internal audit process as part of risk management
-

Continued on next page

Issue Date	28 November 2003	Version	0	Page 9 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Certificate Security and Production, Continued

- Off-site Security**
- All certificates shall be stored according to the Procured Service provider policies and procedures. These shall at minimum include a lockable fireproof safe.
 - Security audits will be conducted by THETA ETQA and on request of SAQA on a random basis.
-
- Integrity of Data**
- The integrity of data shall be maintained by both the Service Provider and the ETQA in accordance with the **Management Information Systems (MIS)** policy
 - This shall at minimum include limited access to learner information with password controls.
 - Only a systems administrator will have the responsibility of maintenance of learner data on the database. This will minimise the chance for manipulation and error.
 - All certificates will be posted via registered mail or hand delivered to the responsible person within the Provider environment by THETA.
-
- Application of hologram**
- The procured Service Provider will apply the SAQA hologram on certificates.
 - All pre-printed certificates, record sheets and SAQA holograms will be subjected to the storage and access control policies and procedures of the procured Service Provider and shall also be subject to regular internal audit and monitoring
 - The procured Service Provider will update the control sheet – indicating the certificate number and the matching SAQA hologram number and report this information to the THETA ETQA on a monthly basis
 - The control sheet shall be signed off by both the Learner Support Officer and the ETQA Advisor.
 - The SAQA hologram will be collected from SAQA by the ETQA advisor and handed over to the Procured Service Provider making use of their security policies and procedures and placed in the secure environment immediately after arrival.
 - All new batches of SAQA holograms will have an accompanying record sheet and will be placed in the secure environment immediately after arrival.
 - Records of spoilt SAQA holograms, as well as the SAQA holograms will be returned to the ETQA Advisor for return to SAQA

Continued on next page

Issue Date	28 November 2003	Version	0	Page 10 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Certificate Security and Production, Continued

Provider Accreditation

Provider Accreditation

- The procured Service Provider will be granted limited access to the THETA database to print certificates at the remote site
- The service provider will complete the control sheet with list of the printed certificates and the corresponding certificate numbers as well as the corresponding hologram number
- The Service Provider will attach the hologram to the certificates in accordance with the Service Provider policy and procedure
- The Service Provider will return the printed certificates to the ETQA
- The ETQA administrator will then distribute the certificates to the providers to which the particular learners belong

NQF Qualifications and ETD staff registration

- The procured Service Provider will be granted limited access to the THETA database to print certificates at the remote site.
- The Service Provider will complete the control sheet with list of the printed certificates and the corresponding certificate numbers as well as the corresponding hologram number
- The Service Provider will attach the hologram to the certificates in accordance with the Service Provider policy and procedure
- The Service Provider will return the printed certificates to the ETQA
- The ETQA administrator will then distribute the certificates to the providers to which the particular learners belong

Achievement of individual unit standards, Skills programmes

- The procured Service Provider will be granted limited access to the THETA database to print Statements of Achievement at the remote site.
 - The Service Provider will complete the control sheet with list of the printed Statements of Achievement and the corresponding Statement of Achievement numbers
 - The Service Provider will return the printed Statement of Achievement to the ETQA
 - The ETQA administrator will then distribute the Statement of Achievement to the providers to which the particular learners belong
-

Issue Date	28 November 2003	Version	0	Page 11 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Provider Operational Principles

Process of Certification

The following process of certification will be applicable to all providers authorized to request certification for learner achievements completed as per the ETQA requirements:

No	Provider Accreditation	Learner Certification	Assessor / Moderator / Verifier Registration
1	This certificate will automatically be issued once accreditation process has been successfully completed	Completed Declaration of Competence	Complete Assessor / Moderator / Verifier Registration form
2	N/A	ETQA issues the learners' certificates to the provider for either the: <ul style="list-style-type: none"> • Full qualification • Learnership achievement • Skills Programme Record of achievement 	ETQA issues registration certificate to <ul style="list-style-type: none"> • The provider under who's auspices the Assessor / Moderator / Verifier is operating OR directly to the Independent Assessor / Moderator / Verifier
3	Provider displays certificate to assure all potential clients of accreditation status	Provider passes certificates onto learners	When applicable (see above) Provider passes certificates onto the Assessors / Moderators / Verifiers

Continued on next page

Issue Date	28 November 2003	Version	0	Page 12 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Provider Operational Principles, Continued

Certificate Integrity

All constituent providers will be required to display their current THETA accreditation status in public view. This will ensure that constituent providers, constituent learners and other users are visibly assured of the current accreditation status of the organization or body.

The THETA ETQA will have sole jurisdiction over the issuing of certificates of Qualification or of achievement to constituent learners for those NQF Qualifications and Unit Standards for which THETA is accredited to Quality Assure.

Re-printing of Certificates

Certificate reprints will only be done as a result of faulty issue of certificates by THETA ETQA, in which cases the original certificates must be returned to the ETQA with the accompanying request for re-printing.

Accreditation and Qualification achievements will not be re-printed as a result of learner negligence or loss of certificate. THETA ETQA shall only issue a Statement of Achievement on a THETA authorized piece of stationary

Issue Date	28 November 2003	Version	0	Page 13 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Policy Maintenance

Quality Assurance

This particular process will be monitored annually by the ETQA Department, using the following indicators

Policy Review

An annual review will be done of the policy and position stated herein by the ETQA Manager, and recommendations will be reviewed, documented and implemented.

Continuous Improvement

A yearly audit will be conducted by the ETQA Advisor and Quality Assurors, and random input for the improvement of processes will be obtained from key stakeholders.

The nature of the Audit and Input will be to determine:

- problems encountered in the Appeals Process and Management System of THETA,
- Patterns in the areas and/or reasons of appeals
- Possible improvements in system, documents, staff expertise and turn around times

Non Conformance

Any complaint or report from a provider, assessor, learner or stakeholders that indicates:

- access to the appeals process has been denied, or
 - an appeal has not been handled in the manner prescribed in this policy document
 - appeals records are not documented and kept in the manner prescribed
-

Continued on next page

Issue Date	28 November 2003	Version	0	Page 14 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Policy Maintenance, Continued

Purpose of Continuous Improvement Process

Continuous improvement will be aimed at ensuring the following:

- Creating a streamlined user access to the database with regard to downloading learner record of achievements
- To comply to all SAQA requirements with regard to the logo and Hologram
- To report to SAQA on the use and control of the logo and Hologram
- To create a streamlined process for generation of pre-printed certificates and the record keeping process thereof
- Monitoring the procured service provider with regard to security policies and procedures
- The minimise the generation of fraudulent certificates
- To provide the ETQA with up to date information for reporting purposes around learner achievements

Sources of information	<ul style="list-style-type: none">• Database reports and analysis thereof• Exception reports to indicate areas of improvement• Provider requests and complaints• Yearly / 6 monthly review of reports of monitoring of Service Provider• Reports of Internal Audits carried out on the Procured Service Provider
-------------------------------	---

Continued on next page

Issue Date	28 November 2003	Version	0	Page 15 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Policy Maintenance, Continued

Quality Assurance Best Practice

Certification of learner achievements, provider accreditation, assessor, moderator and verifier registration, is built on the foundation of the quality assurance processes related to:

- Accreditation of providers
- Registration of unit standards and qualifications
- Approval of learning programmes
- Registration of learners on approved learning programmes
- Assessment by registered assessors
- Moderation of assessments within the provider environment
- Capture and validation of learner achievements on the ETQA security management system (SMS) which links to the NLRD
- Verification of moderated assessment by the ETQA across providers
- Analysis and reporting on problem areas between the ETQA and providers

Indicators	Description
<ul style="list-style-type: none"> ○ Number of certificates per Qualification ○ Number of certificates per Skills Programme ○ Number of Statements of achievements ○ Number of Provider Accreditation Certificates <p>Certification control sheet (Quantitative & Qualitative Data): Stats Analysis of number of certificates vs. SAQA holograms allocated</p> <p>Database report on number of certificates requested</p> <ul style="list-style-type: none"> • Stats analysis of how many providers need help in generating learner record of achievements • How many certificates were printed 	<ul style="list-style-type: none"> • Annual Certification Report • Provider capability and need for capacity building around the uploading of learner achievements and the request to enter the Database • The number of learners passing through the system • Feeding information to learnerships and DoL • Time, cost and reaction time

Continued on next page

Issue Date	28 November 2003	Version	0	Page 16 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy

Policy Document ETQA9 : Certification



Policy Maintenance, Continued

Process of Change	<ul style="list-style-type: none">• Evaluate reports• Evaluate complaints and exception report• Draft initial evaluation report and propose changes• Present change for consensus• Initiate change request• Make changes• Re-distribute any information required• Implement and monitor change for efficacy
--------------------------	--

Continuous internal audit process

- The THETA Certification practise will form an integral part of the THETA Quality Management system
 - Certification practices will be subjected to the THETA and SAQA audit processes
 - Maintenance of database is linked to the NLRD
 - Integration of data between the SMS and NLRD
 - Mechanism for tracking of certificates
 - Clearly defined roles and responsibilities.
-

Issue Date	28 November 2003	Version	0	Page 17 of 17
Review Date	28 November 2004	Last Review	12 January 2004	Created by Laetitia Cassidy