Energy and Water Sector Education & Training Authority

Certification Policy
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<th>Version</th>
<th>Date</th>
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Change History
# Table of Contents

1. Preamble ......................................................................................................................... 7
2. Purpose ............................................................................................................................. 7
3. Scope and application ........................................................................................................ 7
4. Legislative and policy contexts ....................................................................................... 8
5. Policy statement ................................................................................................................ 8
6. Responsibilities of the qac administrator ........................................................................ 8
8. Responsibilities of the coo ............................................................................................... 9
9. Responsibilities of the ceo ............................................................................................... 9
10. Responsibility of the qac working group ....................................................................... 9
11. Types of certificates ....................................................................................................... 9
12. Certification of registered assessors and moderators .................................................... 9
13. Issuing of the certificates ............................................................................................... 10
14. Distribution of certificates procedure ........................................................................ 11
15. Lost or destroyed certificates ....................................................................................... 11
16. Security of EWSETA certificates ................................................................................ 11
17. Certificate revocation and suspension in respect of SDPs, Assessors and Moderators ......................................................................................................................... 12
18. Record management ...................................................................................................... 12
19. Reporting of certification .............................................................................................. 12
20. Policy review ................................................................................................................ 12
21. Approval ......................................................................................................................... 13
### Acronyms

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tr>
<td>AQP</td>
<td>Assessment Quality Partner</td>
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<td>CEO</td>
<td>Chief Executive Officer</td>
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<td>DQP</td>
<td>Development Quality Partner</td>
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<td>EWSETA</td>
<td>Energy Sector Education and Training Authority</td>
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<tr>
<td>MIS</td>
<td>Management Information System</td>
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<td>NAMB</td>
<td>National Artisan Moderating Body</td>
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<td>NLRD</td>
<td>National Learner’s Records Database</td>
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<td>NQF</td>
<td>National Qualifications Framework</td>
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<td>QAP</td>
<td>Quality Assurance Partner</td>
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<td>QACD</td>
<td>Quality Assurance and Compliance Department</td>
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<td>QCTO</td>
<td>Quality Council for Trades and Occupations</td>
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<td>QACM</td>
<td>Quality Assurance and Compliance Manager</td>
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<td>SAQA</td>
<td>South African Qualifications Authority</td>
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<td>SDP</td>
<td>Skills Development Provider</td>
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### Glossary of terms

- **Achievement**: The recognition granted to a learner when all required learning outcomes have been successfully demonstrated.
- **Assessor**: A person registered by the relevant Education and Training Body in accordance with established criteria, to measure the achievement of specified NQF standards or qualifications.
- **Assessment Quality Partner**: A body delegated by the QCTO to manage and coordinate the external integrated summative assessments of specified NQF registered trades and occupational qualifications and part qualifications.
- **Certification**: Means the formal recognition of a learner having successful completed a qualification or part qualification.
Foundational Learning  Refers to the competence needed in the two key areas of Communication and Mathematical Literacy in order to deal successfully with occupational learning at NQF Levels 2-4. Its key purpose is to remove barriers to learning and progress in occupational pathways and skills development.

Learner  An individual who is participating in a learning programme with the purpose of achieving a qualification or part qualification.

Learning Programme  A coherent set of courses, leading to a qualification

National Learner’ Records Database  The electronic management information system that facilitates the management of the NQF

Occupational Qualification  Means a qualification associated with a trade, occupation or profession, resulting from work-based learning, developed and quality assured under the auspices of the QCTO and consisting of knowledge, practical skills and workplace experience standards and requires external summative assessments.

Part-qualification  Refers to the achievement and some acknowledgement of some part of a qualification on the sub-framework without having fulfilled the complete requirement for the full qualification

Qualification  Means a national registered qualification

Quality Assurance  The process of ensuring that standards and procedures are adhered to and that delivered products or services meet performance requirements according to the EWSETA, NAMB and QCTO requirements.

Quality Assurance Partner  A body with delegated functions by the QCTO to cater to SAQA legacy qualifications during the transitional period.

Records  Mean the documents that provide objective evidence of activities performed, events occurred, results achieved or statement(s) made. In this context, records are created by EWSETA or received from skills development providers or any person(s) or any entity(ies) associated with EWSETA( for example copy of learner’s Portfolio of Evidence or Statement of Results including reports and other relevant documentation.

Skills Development Provider  A provider recommended by EWSETA for accreditation by the QCTO to offer components of the curriculum of an occupational qualification/s or part qualification/s and conduct internal
Formative and summative assessments. The terms also applies to providers accredited to offer legacy qualifications.

**Statement of Results**
A document issued by the skills development provider for theoretical and practical skills modules completed and successfully assessed. If a learner leaves a skills development provider before completing all modules, a statement of results will assist in re-admission at a later stage.

**Tripartite Agreement**
Means and agreement entered between EWSETA, DHET (NAMB) and the QCTO.

**Unit Standard**
A coherent and meaningful outcome of learning or training that is formally recognised

**Verification**
The process managed by the relevant body for externally verifying (checking) the authenticity of processes to confirm or overturn the findings.
1. Preamble

1.1 EWSETA is a statutory body established in terms of the Skills Development Act, 1998 (Act 97 of 1998 as amended) and has delegated authority by SAQA to quality assure and accredit skills development providers on legacy qualifications registered on the NQF falling within its primary focus area during the transitional period.

1.2 Due to the change in the education landscape with the introduction of the three sub-frameworks, QCTO as one of the sub-frameworks has delegated quality assurance functions to EWSETA in terms of Section 32 of the NQF Act No 67 read with Section 32 of the SDA (2) 37 of 2008 as a Quality Assurance Partner to manage quality assurance processes for the accreditation of skills development providers which includes the recommendation for the certification of learners who have successfully completed a learning programme to achieve a qualification or part qualification.

1.3 One of the key components of EWSETA’s quality assurance system is the issuing of certificates to qualifying learners who have successfully demonstrated competency against the qualification or part qualification. This document specifies policy requirements and associated procedures for the issuing of certificates to SDPs and learners.

2. Purpose

In the context of maintaining EWSETA’s reputation as a quality assurer of the highest national standing, the purpose of this policy is to define the requirements, process and procedures on the operation and management practices of certification.

3. Scope and Application

This policy applies to:

i) All skills development providers accredited by EWSETA.

ii) All learners who have demonstrated competency against qualifications successfully completed.

iii) EWSETA employees responsible for the issuing, printing and disseminating of records of achievements and certificates including uploading of relevant information to SAQA to be registered on the NLRD.
4. Legislative and policy contexts

This policy is developed and guided by the following legislative and policy frameworks including relevant documents.

- QCTO Policy on Accreditation of Skills Development Providers, QCTO SDP – 001/13 dated 20 February 2013
- QCTO Certification policy, QCTO CERT-001/13 dated 20 February 2013

5. Policy Statement

5.1 This policy provides guidelines in relation to the operation and management practices of EWSETA in relation to the conditions for certification, the process of issuing and distribution of certificates for legacy qualifications.

5.2 It provides for the role of EWSETA in the awarding of certificates by the QCTO against an occupational qualification and/or part qualification.

5.3 This policy does not address the requirements for the certification of learners who have successfully completed trade testing against a trade-related qualification or part qualification.

6. Responsibilities of the QAC Administrator

6.1 The Administrator must recognise that EWSETA is responsible with regards the accuracy of all information to be contained in the certificate. The Administrator is therefore responsible for:

- Verifying learner achievement information from SDPs;
- Issuing of the record of achievements after receipt of learner achievement information from the SDPs.
- Issue certificates to learners who have successfully completed a qualification (legacy)
7. Responsibilities of the QACM

7.1 The QACM must ensure that the certification process is properly maintained by:

- Verifying, approving and signing of certificates of skills development providers and learners within a period of three (3) months from the date of application to certification.

- Recommending to the QCTO/NAMB the certification of learners who have successfully completed occupational/trade-related qualifications or part qualification that fall within the scope of energy and water sector.

8. Responsibilities of the COO

The COO is responsible for:

- Co-signing the approved accreditation certificates of skills development providers;

9 Responsibilities of the CEO

The CEO is responsible for signing-off learner certificates for legacy qualifications.

10 Responsibility of the QAC Working Group

- Receiving and reviewing reports of records and certificates of achievement

11 Types of certificates

11.1 There are three types of certificates issued by EWSETA. These are certificates issued in respect of legacy qualifications to:

a) Accredited skills development providers.
b) Competent learners.
c) Assessors and Moderators registered with EWSETA.

12 Certification of registered assessors and moderators

12.1 The certification of registered assessors and moderators must be issued if assessors and moderators meet the requirements in terms of Section 14 of the Assessment and Moderation Policy and Procedure (QACPOL2.01).

12.2 Skills development providers wishing to register their assessors and moderators must obtain Application Forms for Assessors and Moderators from EWSETA's website or from the nearest EWSETA provincial office.

12.3 Submit with supportive documents including duly signed Service Level Agreement between the individual assessors and moderators to EWSETA offices.
12.4 The QACD will verify and confirm compliance in writing to an applicant SDP within 3 working days.

12.5 The certificates will be issued to the SDP within 21 working days after receipt of the QACM approval.

13 Issuing of the certificates

13.1 Prior to the issuing of the certificate, the Administrator must:
   a) Ensure that learner achievement is valid and properly recorded.
   b) Confirm the learner's statement of results with the SDP
   c) Ensure that the assessor or moderator is qualified and is registered in accordance with EWSETA's requirements.

13.2 The certificates shall be issued in the following standard format:

a) Skills Development Providers:
   i) Skills Development Provider Name
   ii) Skills Development Provider Accreditation Number
   iii) Accreditation Period (Start and End dates):
   iv) Electronic security bar code (legacy qualifications)
   v) Signature of the Chief Operations Officer of EWSETA
   vi) Signature of the Quality Assurance & Compliance Manager of EWSETA.

b) Learner Certificate (Full qualification)
   i) Full name of the learner (first name(s) followed by surname)
   ii) Identity number of the learner (as it appears on the Barcoded ID)
   iii) Description of the registered qualification achieved by the learner (Title, SAQA ID number, level and credits)
   iv) Date of issue of certificate
   v) Electronic security barcode
   vi) EWSETA logo
   vii) Signature of the QACM
   viii) Signature of the CEO

c) Assessor/Moderator Certificate
   i) Full name the assessor/moderator (first name(s) followed by surname)
   ii) Identity number of the assessor/moderator (as it appears on the Barcoded ID)
   iii) Assessor/Moderator unique registration number
   iv) Description of the registered qualifications or unit standard(s) qualified to assess/moderate (Title, SAQA ID number, level and credits)
   v) Date of issue of certificate
vi) Electronic security barcode
vii) EWSETA logo
viii) Signature of the QACM
ix) Signature of the CEO

14 Distribution of certificates Procedure

14.1 Upon printing the certificate, an Administrator must ensure that the complete and accurate certificates are distributed to the relevant person or SDP for whom the certificate is being issued;

14.2 Make available to all relevant parties the terms and conditions regarding the issuing of certificates and the mode of distribution.

15 Lost or destroyed certificates

15.1 If a previously issued certificate that has been lost, destroyed or stolen, the learner must apply supported by an Affidavit duly signed by the Commissioner of Oaths as per Addendum X the provisions to EWSETA will re-issue a replacement certificate to the applicant.

15.2 A duplicate certificate will be re-issued only twice at a price to be determined by EWSETA. NEED to be benchmarked with other SETAs.

15.3 In case of a request to re-issue of an assessor or moderator certificate, a Statement of Results from ETDP must accompany an application for re-issue at a price determined by EWSETA.

15.4 A receipt for the price paid must be dated, stamped and issued.

16 Security of EWSETA Certificates

16.1 EWSETA will keep all certificates in a physically secure environment through restricted access to the certificates stored in a locked EWSETA safe.

16.2 The QACM will control access to the EWSETA certificates. No unauthorised person can gain access to the safe.

16.3 The QACM must ensure that administrative and management procedures for certificate are applied at all times in accordance with the provisions of this policy.

16.4 The QACM shall retain responsibility of all aspects of the certification even if parts of the service is outsourced to sub-contractors and ensure that the latter is bound to implement any controls required by EWSETA.

16.5 In case there is a breach of security measures, the QACM shall investigate and act in a timely and coordinated manner in order to respond quickly to incidents and to limit
the impact of breaches to security. All incidents must be reported as soon as possible after the incident.

16.6 Continuous monitoring shall be conducted to ensure safety of the certificates and to enable the QACM to detect, register and react in a timely manner upon any unauthorised and/or irregularities.

17 Certificate revocation and suspension in respect of SDPs, Assessors and Moderators

17.1 The QACM must ensure that certificates are revoked or suspended in a timely manner based on authorised and validated revocation or suspension request or report made by any person or organisation recognised by EWSETA based on the following reasons:

17.1.1 Proof of irregularity
17.1.2 Death
17.1.3 Any other reason as may be determined by the QACM and the QAC working group.

17.2 Reports and requests for revocation and suspension must be authenticated and checked to be from an authorised, reliable recognised source.

17.3 The QACM must table the matter to the QAC working group prior to revocation or suspension upon receipt of an official request for revocation or suspension within 2 working days.

18 Record Management

All documentation, certificates, duplicate certificates, registers and reports must be kept in a safe and secure environment.

19 Reporting of certification

EWSETA’s QAC working group must report quarterly on the management of their certification process.

20 Policy Review

This policy shall be reviewed at least after five (5) years. Any changes and/or amendments made must be clearly recorded and be duly approved by Management.
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<th>Mr. Shannon Davids</th>
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