



“Working together for a skilled tomorrow”

Certification Policy

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1. INTRODUCTION

INSQA (The Insurance Sector Quality Authority) is dedicated to supporting the transformation imperatives of the nation and promoting the objectives of the National Qualifications Framework (NQF).

INSETA, as delegated by the Quality Council for Trades and Occupations (QCTO), is responsible for the quality assurance of Training Providers implementing learning provision against Insurance and related financial services qualifications and unit standards, registered on the National Qualifications Framework (NQF).

2. PURPOSE

The purpose of the Certification policy is to ensure the credible and consistent certification of accreditation, registration and learning, within the Insurance sector.

3. POLICY STATEMENT

As delegated by the Quality Council for Trades and Occupations (QCTO), Inseta Quality Assurance Division (INSQA) will retain and administer all quality assurance functions for currently registered NQF qualifications ('Legacy Qualifications'). Certification is the responsibility of the Quality Assurance division and all agents within that division are responsible for ensuring the credibility of this process. Processes and systems will be developed to ensure that appropriate resources are used and that the security and the act of certifying ensures the integrity of the qualification.

No costs will be associated with certification.

4. CATEGORIES OF CERTIFICATION

Certification can be broken up into three categories:

4.1 Certification of Accreditation awarded to a Training Provider

4.2 Certification of Constituent Scope for Registered Assessors and Moderators

4.3 Certification of learner achievements by INSQA as recommended by External moderation/ (verification). Certification can only be considered once verification has been conducted and the report signed off by an INSQA verifier, as well as approved and endorsed by the QA Manager and on condition that the learner has met all the rules for achievement of the registered qualification. No certification can take place on a non-endorsed report or a report which indicates outstanding requirements.

5. CERTIFICATE AND AWARD TYPES

- 5.1 INSQA Accredited Learning Provider Certificates and Programme Approval Letter
- 5.2 INSQA Registered Assessor Certificates and letter of scope
- 5.3 INSQA Registered Moderator Certificates and letter of scope
- 5.4 INSQA Learner Statement of Credits
- 5.5 INSQA Learner Certificates for Full Qualifications registered on the National Qualifications Framework (NQF)

6. CERTIFICATION

- 6.1 The certificates printed will include security measures such as a unique numbering system identifiable and auditable by the INSETA.
- 6.2 The certificate department will print the learner information as loaded by the provider onto the SMS on the certificate.
- 6.3 INSQA will certificate learning on a quarterly basis, *dependent on the accurate and timeous upload of all relevant data from the accredited training provider and subject to the rules for achievement being met by the learner.*
- 6.4 INSETA will keep a register of all certificates printed.
- 6.5 This register will be made available to INSETA for monitoring by INSETA Managers and Audit teams, SAQA Monitoring and Audit teams and any relevant person appointed by the INSQA Manager.
- 6.6 The INSQA Manager and CEO sign the register as well as the certificates to validate data.

7. VERIFICATION OF ACHIEVEMENTS

- 7.1 In order for certification to be recommended, a validation of learner achievements needs to be submitted in terms of a verification report which has been signed by the verifier and INSQA Manager as well as National Learner Records Database (NLRD) forms associated with verification report.
- 7.2 Uploads must be concluded by the provider by the date agreed upon in the verification report.
- 7.3 Where a replacement or duplicate certificate is required it still needs to be validated through a verification report and the associated NLRD forms.
- 7.4 The certification department will audit and validate uploaded results against NLRD forms.

8. DESIGN OF CERTIFICATES

- 8.1 Certificates will be designed to make provision for the security elements that include a unique certification number.

8.2 INSETA retains full copyright of the design of certificates.

9. SECURITY OF CERTIFICATES

9.1 INSETA will keep all certificates in a lockable safe

9.2 The INSQA Manager and CEO will have joint access to the storage or retrieval of, and must jointly access, certificates from the safe.

9.3 Unique serial numbers will be used to identify each certificate issued, and will be recorded in the SMS and on the Physical Stock Control Sheet.

9.4 Only the CEO and the INSQA Manager will sign the certificates

10. DAMAGED AND SPOILED CERTIFICATES

10.1 Certificates found to have been damaged on receipt from the printer or during the internal quality check will be recorded on the Certificate Control Register database.

10.2 The damaged and spoiled certificates will be placed in separate packaging and will be identifiable from undamaged certificates

10.3 Reasons for damaged and spoiled certificates will be furnished and recorded on the Certificate Control Register database.

10.4 In the event of excessive damage occurring, the INSQA Manager will put measures in place to minimize and avoid any further damage to certificates and will document and implement such measures

10.5 All certificates spoiled or damaged with the SAQA Hologram affixed will be stored in the safe and recorded on the Physical Stock Control Sheet

11. RE-ISSUE OF CERTIFICATES

11.1 A learner requesting the issuing of a duplicate certificate will submit such application to INSETA via the accredited provider.

11.2 Duplicate certificates will only be printed bi-annually; this being May and November.

11.3 Learners who have lost a certificate will need to submit an affidavit to their training provider who will complete the application for a duplicate and furnish the relevant original verification record.

11.4 The re-issued certificate will be depicted as a duplicate of the original certificate and such wording will appear on the certificate

11.5 The request from training providers requiring duplicate accreditation certificates will be accompanied by an affidavit in respect of the loss of the original or the original, incorrect certificate itself.

12. RESPONSIBILITIES

- 12.1 The accredited training provider is responsible for the timeous and accurate upload of all endorsed learning achievements
- 12.2 The CEO and the INSQA Manager will be the signatories on the certificates and will be responsible for issuing of certificates.
- 12.3 The INSQA Manager will be responsible for the overall control and management of the certificates.
- 12.4 The INSQA Certification Department will be responsible for submitting and verifying information to be printed on certificates.
- 12.5 The INSQA Data Administrator will be responsible for the recording of serial numbers of received, damaged and issued certificates, and the distribution of certificates.
- 12.6 The accredited provider is responsible to collect and distribute certificates accordingly

13. REVIEW

An annual review will be undertaken by INSQA to verify the on-going suitability of divisional policies and procedures.

Addendum: CERTIFICATION PROCESS

The following procedure covers the printing, distribution and security related to the issuing of the following categories of certificates by the INSQA:

Cycle	Provider uploads of data to be completed by month end	Inseta will approve uploads by month end	Certificates for full qualifications will be printed by month end	Certificates for full qualifications ready for distribution by month end
1	February	March	April	May
2	May	June	July	August
3	August	September	October	November
4	November	December	January	February

Certificate Template retrieval

The CEO, INSQA Manager and a representative from certification department will jointly retrieve the certificates from the safe.

Certification of Training Providers

On approval of accreditation of a learning provider by the Manager: INSQA, the following process must be followed:

- The INSQA Accreditation Specialist will be responsible for submitting accurate provider information to the INSQA Data Administrator timeously;
- The INSQA Data Administrator will be responsible for the printing of primary provider accreditation certificates;
- INSQA Data Administrator will register the certificate information on the SMS and the Certification Control Register;
- The INSQA Certification Department will ensure the correct and safe collection of the certificate by courier or hand delivery (to the service provider);
- When the training provider's accreditation status is withdrawn or revoked, the INSQA Consultant will request the certificate be returned to INSQA and accompanying internal records will be maintained to reflect the change in provider status;
- Should there be any changes to be made to any certificate, the incorrect certificate will be returned to INSETA and the INSQA Data Administrator will issue a correct certificate;

- The INSQA Data Administrator will record the status of all incorrect and returned certificates on the SMS.

This process will be monitored by the INSQA Manager and Certification Department.

The INSQA Manager and CEO sign the register as well as the certificates to validate data

Certification of Registered Assessors and Moderators

- Constituent registration certificates will be generated subject to recommendation from the INSQA panel and endorsement from the INSQA Specialist/s.
- INSETA will be responsible for the printing of constituent certificates and letters of scope.
- The certificate and letter of scope printed include security measures such as a unique numbering system identifiable to INSETA.
- INSETA will keep a register of all constituent certificates printed.
- The INSQA Manager and CEO sign the register as well as the certificates to validate data

Issuing of Learner Statement of Credits

The following process guides the generation of Statement of Credits to enable Learners and Providers to print from the SMS System.

- After an endorsed and approved Verification, the Report is signed by the INSQA Manager
- The endorsed report is submitted to the Certification Department who validates the NLRD Upload Forms against the data that would have been uploaded by the Provider prior to verification;
- The Certification Department approves the validated uploads electronically on the SETA Management System (SMS);
- The endorsed credits are moved from the Assessment Tab to the Achievement Tab;
- The Statement of Credits is generated and is available for printing by the learner.

Certification of Learner Certificates for Full Qualifications

- After an endorsed and approved Verification, the Report is signed by the INSQA Manager
- The endorsed report is submitted to the Certification Department who validates the NLRD Upload Forms against the Provider Uploads;

- The Certification Department approves the uploads electronically on the SETA Management System (SMS);
- The endorsed credits are moved from the Assessment Tab to the Achievement Tab;
- The Rules of combination relevant to the qualification to which the provider has linked the learner will be validated electronically and if all rules have been met, the learner will become 'ready for ETQA approval'.
- The learners who are 'ready for ETQA approval' will be certificated in the cycle in which they are 'ready'.

Issuing and Distributing certificates

In relation to all certificates (Training Provider, Learner Certificates, Moderator and Assessor Certificates), the following pertains;

- The INSQA Data Administrator will register the certification information on the INSETA Management System (SMS), and print a sign-off register for the INSQA Manager and CEO to sign in conjunction with the certificates.
- In consultation with the training provider, the INSQA Certification Department will ensure the correct and safe collection of the certificates through courier or hand delivery.
- At collection, the training provider representative will acknowledge and sign for every certificate collected.