

CALL FOR PUBLIC COMMENTS ON THE DRAFT POLICY FOR THE RE-ISSUE OF CERTIFICATES

In terms of Section 24 of the National Qualifications Framework Act, 67 of 2008, Umalusi is the Quality Council for General and Further Education and Training. Umalusi is mandated by the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 Of 2001), to issue certificates to candidates who have successfully achieved qualifications at the exit points in general and further education and training.

In terms of section 27 of the National Qualifications Framework Act, 67 of 2008, Umalusi hereby give notice of the publication of the draft policy on the re-issue of certificates.

The policy may be access at www.umalusi.org.za

If the party is unable to access the document from the website for any reason, please contact Mr Gerhard Booyse at 012 030 0739 for assistance.

All interested persons and organisations are invited to comment on the draft policy on the re-issue of certificates in writing, and to direct their comments to:

The Chief Executive Officer

Umalusi

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Attention: Mr Gerhard Booyse

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Kindly provide the name, address, telephone number, fax number and e-mail address of the person or organisation when submitting comments.

Comments should reach the Umalusi within 30 calendar days of publication of this notice.

A handwritten signature in black ink that reads "John Volmink". The signature is written in a cursive style with a large, looped initial 'J'.

Prof J Volmink

Date: 02/11/2017

Chairperson: Umalusi Council

POLICY FOR THE RE-ISSUE OF NATIONAL CERTIFICATES

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31 October 2017

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Chapter 1

1. Definitions

In this document, any word or expression to which a meaning has been assigned in the National Qualifications Framework Act, 2008 (Act No. 67 of 2008), and the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001), as amended, has the same meaning unless the context otherwise indicates.

Assessment	The process of identifying, gathering and interpreting information about a learner's achievement in order to- (a) assist the learner's development and improve the process of learning and teaching; and (b) evaluate and certify competence in order to ensure qualification credibility; assessment includes national examinations, end-of-term and/or once-off end-of-year examinations in order to ensure a national standard across providers.
Assessment body	A body accredited by the Umalusi Council to conduct internal assessment and external examinations; this includes a department of education or a juristic body accredited by Umalusi.
Basic education	Education and training that takes place in primary and secondary schools, as well as in adult education and training centres.
Candidate	Any person who has registered for and written an examination through an accredited assessment body and who achieved a subject credit in a qualification or the full qualification.
Certification	The formal recognition of a qualification or part-qualification awarded to a successful learner.
Department of Basic Education	The national department responsible for education and training that takes place in primary and secondary

	schools, as well as in adult education and training centres.
Department of Higher Education and Training	The national department responsible for further education and training in colleges, higher education, and adult education and training.
General and Further Education and Training Qualifications Sub-framework	The sub-framework of qualifications developed and managed by Umalusi, Quality Council for NQF levels 1-4, as envisioned in Chapter 2 of the NQF Act.
Minister	The Minister of Basic Education or the Minister of Higher Education and Training, depending on the context.
National Qualifications Framework (NQF)	The comprehensive system, approved by the Minister: HET, for the classification, co-ordination, registration, and publication of articulated and quality-assured national qualifications and part-qualifications. The South African NQF is a single integrated system comprising three co-ordinated qualifications Sub-Frameworks for: General and Further Education and Training; Higher Education; and Trades and Occupations.
Part-qualification	An assessed subject or learning area that is registered as part of a qualification and/or the recognition accorded to the achievement of part of a qualification registered on the Sub-framework.
Qualification	An assessed unit of learning with a clearly defined purpose that is, or will be, registered as part of a qualification on the NQF.
Quality assurance	The process of measuring, evaluating and reporting on quality against standards, and monitoring for ongoing improvement in the delivery and assessment of the qualification, the curriculum/programme, and the capacity of the institution or assessment body to offer and/or assess the qualification.

Subject statement/certificate	The certificate issued by Umalusi where a candidate has not met the minimum requirements of the qualification but has obtained credits towards the qualification.
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2. Acronyms

ABET	Adult Basic Education Training
CEO	Chief Executive Officer
DoB	Date of Birth
GENFETQA Act	The General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001), as amended
GETC	General Education and Training Certificate
ID	Identity Number
IT	Information Technology
NC(V)	National Certificate (Vocational)
NQF Act	National Qualifications Framework Act, 2008 (Act No. 67 of 2008) as amended
NSC	National Senior Certificate

Chapter 2

3. Purpose

1. The purpose of the document is to provide guidelines for the re-issuing of a certificate where the information on the original certificate is not correct.

2. This policy specifies the required documents or evidence for re-issues within the specified timeframes.
3. The policy also describes the responsibility of the requesting assessment body to ensure full compliance of each request before submission to Umalusi for consideration.

4. Scope

1. The changing of personal particulars on a certificate opens the possibility of a qualification being fraudulently allocated to another person. Such an eventuality must stringently be guarded against.
2. The focus of this particular policy is to govern the re-issue of previously issued certificates.
3. A request for a re-issue will only be considered where there is sufficient proof that one or more details on the certificate is incorrect and does not correspond with the valid and true facts.
4. Umalusi issues the following certificates in General and Further Education and Training:
 - a. Senior Certificate (Report 550);
 - b. Senior Certificate (Report 550) as amended;
 - c. National Senior Certificate (Reports 190 and 191);
 - d. National N3 Certificate (Reports 190 and 191);
 - e. Subject Certificate (Report 550 and Reports 190 and 191);
 - f. National Senior Certificate (Schools);
 - g. National Certificate (Vocational) (NC (V)), Level 2 - 4;
 - h. Subject Statement NC(V), NSC and Senior Certificate (as amended);
 - i. General Education and Training Certificate: ABET (GETC: ABET);

- j. Learning Area Certificate (GETC: ABET).

Chapter 3

5. Legal Framework

1. This policy is to be read in conjunction with the following Acts, policies and regulations:
 - a. The General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001), as amended;
 - b. Standards and Quality Assurance for General and Further Education and Training (September 2014);
 - c. The Policy for the General and Further Education and Training Qualifications Sub-framework (September 2014);
 - d. Policy for the management of qualifications on the General and Further Education and Training Qualifications Sub-framework (April 2017);
 - e. Policy framework for the quality assurance of assessment (2012);
 - f. Quality Assurance of Assessment: Policies, Directives, Guidelines and Requirements (July 2006);
 - g. Policy on the quality assurance of resulting: National Senior Certificate (NSC), National Certificate (Vocational) (NC(V)) General Education and Training Certificate (ABET Level 4) GETC (ABET Level 4) (2011);
 - h. Requirements and specifications for the standardisation, statistical moderation and resulting; National Senior Certificate (NSC) and National Certificate (Vocational) (NC(V)) (2010);
 - i. Credit Accumulation, Exemption, Recognition and Transfer Policy (2015);
 - j. Policy on Recognition of Prior Learning (2015);

- k. Policy on printing, storage and handling of certificate; and background paper (April 2015);
- l. Regulations for certification, Government Gazette No. 25794 of 2 December 2003, as amended;
- m. Directives for certification, issued by Umalusi;
- n. Promotion of Administrative Justice Act, 2000, Government Gazette No. 20853 of 3 February 2000

6. Guiding Principles

1. In terms of the *Promotion of Administrative Justice Act, 2000*, Umalusi is required to have a policy in respect of administrative decisions taken. In terms of the re-issuing of certificates, an administrative decision is taken with each request for certification received.
2. This policy for the re-issue of certificates forms the rule-governed basis for each of these administrative decisions.
3. This policy defines the basis for the administrative decisions made by Umalusi in respect of changes requested to certificates already issued by Umalusi.

7. Objectives of this Policy

1. The objective of this policy document is to determine standards for the certification of candidates where the information reflected on the original certificate issued by Umalusi requires amendment by:
 - a. Determining the norms and standards for certification of this special group of certification requests;
 - b. Guiding assessment bodies in the submission of data for certification as required by Umalusi in respect of changes to information on certificates already issued by Umalusi;

- c. Ensuring compliance of candidate and certification data with policies and relevant legislation; and
- d. Evaluating submitted requests and documentation for changes to information on certificates previously issued by Umalusi.

8. Underlying principles for requesting a re-issue

1. The changes to previously issued certificates described below can be requested, based on the submission of the required documentation associated with each type of request.
2. All requests for the correction of information must be accompanied by the return of the original certificate issued by Umalusi.
3. Should a candidate have applied for and received a replacement certificate, in lieu of a document which has been lost or stolen, the assumption is that the candidate has accepted all information on the original certificate as being correct. Therefore, the submission of a replacement certificate is not accepted for a subsequent request to change information on a certificate previously issued by Umalusi.
4. In the event that there is documentary evidence that the assessment body erroneously requested the replacement certificate, only then may changes on a replacement certificate be accepted for consideration. In this instance, the replacement certificate will have to be returned to Umalusi.

Chapter 4

9. Re-issue of National Certificates

9.1 Re-issues due to administrative errors

- a. These errors should be identified and corrected as soon as possible after the candidate received the certificate. The candidate has at least two

opportunities during the registration process and then another two, upon receipt of the examination timetable, and again upon receipt of the Statement of Results, during which to correct such errors.

- b. The errors should be distinguished from changes to personal particulars as a result of changes/corrections made by the Department of Home Affairs on the National Population Register or as a result of a legal process. These changes include, for example, the incorrect spelling of a name or surname, an error in the capturing of an ID number or Date of Birth.
- c. The candidate is required to contact the assessment body with which they wrote the examination for assistance and submit the following documentation:
 - i. Application form detailing the change requested.
 - ii. A detailed affidavit indicating the change requested, the reason for the request, the reason for the error not having been detected and corrected prior to the issuance of the certificate. Information on the affidavit should include the name, surname, ID number/Date of Birth and contact details of the person concerned, affirmation that he/she is the rightful owner of the certificate, and the steps taken to correct the error prior to the issuance of the certificate.
 - iii. Certified copy of ID document or Birth Certificate issued prior to the writing of the examination
 - iv. The original Umalusi certificate
 - v. Affidavit from the assessment body indicating how the error was identified, what steps were taken to address the error and what steps have been taken in an attempt to prevent future occurrences of the same nature.
- d. An ID document or Birth Certificate issued post the writing of the examination *will not* be considered. All copies submitted must be certified copies, which are not older than three months.
- e. Umalusi reserves the right to request additional information and/or to interview the candidate to support such applications.

9.2 Re-issue due to change of marks

- a. It is the responsibility of the assessment body to ensure that the marks submitted at the time of certification have been verified and all mopping-up of the examination cycle has been completed.
- b. The candidate is required to contact the assessment body with which they wrote the examination for assistance and submit the following documentation:
 - i. Application form
 - ii. Payment of requisite fee, if any
 - iii. A copy of the mark sheet
 - iv. A copy of the front page of the answer book as proof of the correct mark
 - v. A copy of the audit trail on the candidate record indicating the changes effected
 - vi. Certified copy of ID document or Birth Certificate issued prior to the writing of the examination
 - vii. The original Umalusi certificate
 - viii. An affidavit from the assessment body indicating how the error was identified, what steps were taken to correct the error and what steps have been taken in an attempt to prevent future occurrences of the same nature. The affidavit must also indicate the name, surname, ID number/Date of Birth and contact information of the individual, the change requested, the reason for the change being requested, an indication of why the change is being requested after the certificate was printed.
- c. All copies submitted must be certified copies, which are not older than three months.
- d. Umalusi reserves the right to request additional information and/or to interview an assessment body official to support such applications.

9.3 Re-issues resulting from voluntary changes by the candidate

1. Gender change

- a. For applications with regard to gender description and gender status, the following documentation is required:
- b. The candidate is required to contact the assessment body with which they wrote the examination for assistance and submit the following documentation:
 - i. A completed application form indicating the change requested.
 - ii. A detailed affidavit indicating the change requested and the reason for the request. Information in the affidavit should include the name, surname, ID number/Date of Birth and contact details of the person concerned, and affirmation that he/she is the rightful owner of the certificate.
 - iii. A certified copy of an ID document or Birth Certificate or other identifying document issued prior to the writing of the examination.
 - iv. A certified copy of the ID document indicating the new ID number, and names.
 - v. A letter from the Department of Home Affairs confirming that it has, on behalf of the person in question, acted in terms of *Section 27(A) of the Births and Deaths Registration Act, 1992*, and has altered the gender description (and the names) of the person concerned.
 - vi. A certified copy of the Government Gazette in which the changes were published.
- c. All certified copies should be no more than three (3) months old.
- d. Umalusi reserves the right to request additional information and/or to interview the candidate to support such applications.

2. Change of name and or surname

- a. For applications with regard to name and surname changes, the following documentation is required:
 - i. Certified copies of the candidate's old and new IDs.
 - ii. A detailed sworn statement (affidavit) by the candidate.
 - iii. The original certificate.
 - iv. A letter from the Department of Home Affairs confirming that it has, on behalf of the person in question, acted in terms of *Section 27(A) of the Births and Deaths Registration Act, 1992*, and has altered the names and/or surnames of the person concerned.

9.4 Re-issues due to corrections on the National Population Register resulting in changed names, ID numbers and Date of Birth

- a. These errors should be distinguished from changes to personal particulars as a result of errors made by an assessment body (spelling or typo error).
- b. The candidate must bring the amendments to the population register to the attention of Umalusi, by making a request for the changes to personal particulars through an assessment body.
- c. The candidate is required to contact the assessment body with which they wrote the examination for assistance and submit the following documentation:
 - i. Application form detailing the change requested.
 - ii. A detailed affidavit indicating the change requested and the reason for the request. The affidavit should include the name, surname, ID number/Date of Birth and contact details of the person concerned, affirmation that he/she is the rightful owner of the certificate.
 - iii. A certified copy of an ID document or Birth Certificate or other identifying document issued prior to the writing of the examination.
 - iv. A certified copy of the ID document indicating the new ID number, and names.

- v. A certified copy of the legal document issued by the Department of Home Affairs indicating the changes effected to the population register.
 - vi. A certified copy of the Government Gazette in which the changes were published.
 - vii. The original Umalusi certificate.
- d. All copies submitted must be certified copies, which are not older than three months.
- e. Umalusi reserves the right to request additional information and/or to interview the candidate to support such applications.

Chapter 5

10. Umalusi Certification Committee

1. In order to assess the requests for changes to previously issued certificates, the Umalusi Certification Committee will assess each such request for completeness in all respects. Any request that does not comply with the specified timeframe and/or requisite documentation will not be considered, and the documentation will be returned to the requesting assessment body for return to the candidate.

11. Umalusi processes and procedures

1. The following procedure is required in an application for a re-issue:
 - a. the request for a re-issue must be made through an assessment body;
 - b. the original certificate must be returned; and
 - c. all required supporting documents and evidence must be provided;

2. A verification process for each of the documents submitted must be undertaken, along with the changes made so that the computerised system used for certification is able to recognise the reasons for re-issue. This helps ensure that fraudulent certificates do not go into circulation.
3. A change to an original certificate will not be considered unless the original certificate (not a replacement) is returned.
4. Supporting documentation with regard to re-issues should reach Umalusi within seven working days after Umalusi has requested the documentation from the assessment body.
5. A change in the surname due to marriage is not allowed.

12. Appeals Procedure

1. The assessment body determines the veracity of the appeal request and completeness of supporting documentation.
2. If the assessment body determines that such appeal falls outside the scope of this policy, the candidate should be advised appropriately on further steps to be taken.
3. If the assessment body determines that the appeal warrants submission to Umalusi, the request is registered on their IT system.
4. The appeal is electronically submitted to Umalusi on a dataset.
5. Umalusi uploads and processes the dataset on the Umalusi IT system, within seven working days of receipt of the dataset.
6. Supporting documentation requested from the assessment body must be submitted to Umalusi within seven working days of its request for such submission.
7. The certification officers assess the supporting documentation submitted as evidence according to the policy.

8. If the supporting documentation provides sufficient proof and evidence as required the application is approved and the certificate is printed and sent to the requesting assessment body.
9. If the application is unsuccessful, the documentation is returned to the assessment body for return to the candidate.
10. An institution, assessment body or person may lodge an appeal to the office of Umalusi CEO within ten (10) working days of the date of receipt of the response.
11. The appeal process shall be in line with the *Promotion of Administrative Justice Act (Act 3 of 2000)*.