DEPARTMENT OF BASIC EDUCATION

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GENERAL AND FURTHER EDUCATION AND TRAINING QUALITY ASSURANCE ACT, 2001 (ACT NO. 56 OF 2001)

APPROVAL OF THE COUNCIL FOR GENERAL AND FURTHER EDUCATION AND TRAINING QUALITY ASSURANCE ("UMALUSI'S") POLICY FOR THE RE-ISSUE OF NATIONAL CERTIFICATES


2. The document referred to in paragraph 1 is available on the Umalusi website:

www.umalusi.org.za

MRS AN MOTSEHEKGA, MP
MINISTER OF BASIC EDUCATION
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POLICY FOR THE RE-ISSUE OF NATIONAL CERTIFICATES

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ABBREVIATIONS AND ACRONYMS

AB  Assessment Body
ABET  Adult Basic Education and Training
CEO  Chief Executive Officer
DBE  Department of Basic Education
DG  Director-General
DHET  Department of Higher Education and Training
FET  Further Education and Training
GENFETQA  General and Further Education and Training Quality Assurance Act
GETC  General Education and Training Certificate
GFETQSF  General and Further Education and Training Qualifications Sub-framework
HEQSF  Higher Education Qualifications Sub-framework
ID  Identity Document
IT  Information Technology
NCS  National Curriculum Statement
NC(V)  National Certificate (Vocational)
<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
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<tr>
<td>NQF</td>
<td>National Qualifications Framework</td>
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<td>NSC</td>
<td>National Senior Certificate</td>
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<td>TVET</td>
<td>Technical and Vocational Education and Training</td>
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CHAPTER 1

DEFINITIONS, OBJECTIVES AND APPLICATION

1. Definitions
The purpose of these definitions is to define the terminology used in developing this policy.

In this policy-
(a) any word or expression to which 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), shall have the meaning so assigned to it, unless the context otherwise indicates-
(b) the singular shall include the plural and vice versa-

“assessment” – means 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” – means a juristic body accredited by Umalusi Council to quality assure internal assessment and conduct external examinations, and includes a department of education;

“candidate” – means 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” - means the formal recognition by Umalusi Council of a qualification or part qualifications awarded to a learner who has successfully completed the qualification registered on the GFETQSF;

“Council” – refers to Umalusi, the Quality Council for General and Further Education and Training; as contemplated in the National Qualifications Framework, 2008 (Act No. 67 of 2008), and the General and Further Education and Training Quality Assurance Act 2001, (Act No. 58 of 2001);

“curriculum” - means a statement which encompasses three components: intended curriculum, enacted curriculum and assessed curriculum;

“Department of Basic Education” - means 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” - means the national department responsible for further education and training in colleges, higher education institutions, and adult education and training centres;

“Director-General” - means the Director-General of the Department;

“Further Education and Training” - means all learning and training programmes leading to qualifications from Levels 2-4 of the National Qualifications Framework (NQF), which levels are above general education and training but below higher education;

“General Education and Training” - means all learning and training programmes leading to a qualification on Level 1 of the National Qualifications Framework, which level is below further education and training;
“General and Further Education and Training Qualifications Sub-framework” - means the Sub-framework of the NQF for General and Further Education and Training that is developed and managed by Umalusi;

“Head of Department” - means the head of a department responsible for education in a province;

“Minister” - means the Minister of Basic Education and Minister of Higher Education and Training;

“moderation” - means a process which ensures that assessment of the outcomes described in the National Qualifications Framework standards or qualifications is fair, valid and reliable, this applies to both external and internal moderation;

“National Senior Certificate” as contemplated in the policy, National policy pertaining to the Programme and Promotion requirements of the National Curriculum Statement, Grades R–12, published in Government Gazette No. 34600 of 12 September 2011;

“National Qualification Framework” (NQF) - means the national qualifications Framework contemplated in the National Qualifications Framework Act, 2008;

“part qualification” - means an assessed unit of learning with a clearly defined purpose that is, or will be, registered as part of a qualification on the NQF;

“Provincial Education Department” - means an education department, contemplated in Section 1 of the Employment of Educators Act, 1998 (Act No. 76 of 1998);
“qualification” - means qualification types and variants as defined on the General and Further Education and Training Qualifications Sub-framework as contemplated in the National Qualifications Framework Act, 2008 (Act No. 67 of 2008);

“quality assurance” - means the process of measuring, evaluating and reporting on quality against standards, and monitoring for ongoing improvement in the qualification, the curriculum/programme, the assessment, the implementation and delivery of the curriculum/programme and the capacity of the institution or assessment body to offer and/or assess the qualification;

“Quality Council (QC)” - means a Quality Council contemplated in sections 24-27 of the National Qualifications Framework Act, 2008 (Act No. 67 of 2008);

“registered qualification” - means a qualification registered on the National Qualifications Framework by SAQA in terms of section 13(1)(h) of the National Qualifications Framework Act, 2008 (Act No. 67 of 2008);

“subject statement/certificate” – means the certificate issued by Umalusi where a candidate has not met the minimum requirements of the qualification but has obtained credits towards the qualification;

“Umalusi” – is the Quality Council for General and Further Education and Training established by the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001). In terms of the National Qualifications Framework Act, 2008 (Act No. 67 of 2008), it is tasked to support the achievement of the objectives of the NQF and to develop and manage the General and Further Education and Training Qualifications Sub-framework.
2. Objectives

(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.

3. Application

(1) This policy applies to candidates who were registered at public, or independent schools, or Technical and Vocational Education and Training Colleges, or Community Colleges and Private Colleges which offer qualifications registered on the GFETQSF.

CHAPTER 2

PURPOSE AND SCOPE

4. 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 requires amendment.

(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.

5. 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 certificates for the following qualifications and other qualifications registered on the General and Further Education and Training Qualifications Sub-framework (GFETQSF):

(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); and
(j) Learning Area Certificate (GETC: ABET).
CHAPTER 3

LEGISLATIVE CONTEXT

6. Underpinning Legislation

(1) The regulations are premised on the following acts-

(a) The Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996);
(b) National Qualifications Framework Act, 2008 (Act No. 67 of 2008) (hereafter referred to as the NQF Act);
(c) General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001) (hereafter referred to as the GENFETQA Act);
(d) South African Schools Act, 1996 (Act No. 84 of 1996); and
(e) Continuing Education and Training Act, 2006 (No. 16 of 2006) (Previously "Further Education and Training Colleges Act").

7. Mandate and responsibilities of Umalusi as Quality Council of the GFETQS

(1) Umalusi’s mandate as the Quality Assurance Council for bands 1-4 of the National Qualifications Framework, is stipulated in-

(a) Section 24 of the NQF Act; and
(b) Sections 16(2) and 16(3) of the GENFETQA Act.

(2) In accordance with section 17A(6) of the General and Further Education and Training Quality Assurance Act, 2001 (Act No. 58 of 2001), the Council must issue certificates to learners who have achieved qualifications or part qualifications.
8. 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.

9. Supplementary documents

This policy must be read in conjunction with the following documents:

(1) Department of Basic Education Regulations

(a) *Regulations Pertaining to the National Curriculum Statement Grades R-12, Government Gazette No. 36041 of 28 December 2012*; and

(b) *Regulations Pertaining to the Conduct, Administration and Management of the National Senior Certificate Examinations, Government Gazette No. 31337 of 29 August 2008.*
(2) Department of Basic Education Policies

(a) Conduct, Administration and Management of the National Senior Certificate Examination, Government Gazette No. 30048 of 6 July 2007;

(b) National Policy Pertaining to the Programme and Promotion Requirements of the National Curriculum Statement Grades R – 12, Government Gazette No. 36042 of 28 December 2012; and

(c) National Protocol on Assessment for Schools in the General and Further Education and Training (Grades R – 12), Government Gazette No. 34600 of 12 September 2012.

(3) Department of Higher Education and Training Regulations


(4) Department of Higher Education and Training Policies

(a) National Policy on the Conduct, Administration and Management of the Assessment of the National Certificate (Vocational), Government Gazette No. 30287 of 12 September 2007;

(b) Policy for the Quality Assurance of Private Adult Learning Centres, Private Further Education and Training Colleges and Accreditation of Private Assessment Bodies, Government Gazette No. 33237 of 28 May 2010;
(5) Acts of other State Departments


(6) Umalusi Regulations, Policies and Directives

(a) Umalusi' regulations, policies and directives as set out below, are binding on the national education system, regardless whether the institutions are public or independent-


(ii) _A Policy for the Management of Qualifications on the General and Further Education and Training Qualifications Framework_, a Sub-framework of the National Qualifications Framework, Umalusi discussion document;

(iii) _Policy for the General and Further Education and Training Qualifications Sub-framework 2014_;

(iv) Requirements for the Approval of Results (v.1): Umalusi Policy;

(v) Standards and Quality Assurance for General and Further Education and Training (September 2014);

(vi) The Policy for the General and Further Education and Training Qualifications Sub-framework (September 2014);

(vii) Policy framework for the quality assurance of assessment (2012);
(viii) Policy for the quality assurance of the processes and procedures of assessment of qualifications registered on the General and Further Education and Training Qualifications Sub-Framework (November 2016);

(ix) 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);

(x) Requirements and specifications for the standardisation, statistical moderation and resulting; National Senior Certificate (NSC) and National Certificate (Vocational) (NC(V)) (2010);

(xi) Credit Accumulation, Exemption, Recognition and Transfer Policy (2015);

(xii) Policy on Recognition of Prior Learning (2015);

(xiii) Policy on printing, storage and handling of certificate; and background paper (April 2015);

(xiv) Regulations for certification, Government Gazette No. 25794 of 2 December 2003, as amended;

CHAPTER 4

RE-ISSUING OF CERTIFICATES

10. 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) In cases where candidates 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. In such cases 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.
11. Re-issue of National Certificates

(1) Re-issues due to administrative errors

(a) Administrative 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 the assessment body submit the following documentation on behalf of the candidate-

(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) 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.

(2) Re-issue due to change of marks

(a) An application will need to be processed by the assessment body within 6 months after certification.

(b) 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.

(c) The candidate is required to contact the assessment body with which they wrote the examination for
assistance and the assessment body submit the following documentation on behalf of the candidate-

(i) application form;
(ii) a copy of the mark sheet;
(iii) a copy of the front page of the answer book as proof of the correct mark;
(iv) a copy of the audit trail on the candidate record indicating the changes effected;
(v) certified copy of ID document or Birth Certificate issued prior to the writing of the examination;
(vi) original Umalusi certificate; and
(vii) 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.

(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 an assessment body official to support such applications.
(3) Re-issues resulting from voluntary changes by the candidate

(a) Gender change

(i) For applications with regard to gender description and gender status, the candidate is required to contact the assessment body with which they wrote the examination for assistance and the assessment body submit the following documentation on behalf of the candidate-

(aa) A completed application form indicating the change requested.

(bb) 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.

(cc) A certified copy of an ID document or Birth Certificate or valid Passport issued prior to the writing of the examination.

(dd) A certified copy of the ID document indicating the new ID number, and names.

(ee) 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 effected the changes to the population register.
(ii) All certified copies should be no more than three months old.

(iii) Umalusi reserves the right to request additional information and/or to interview the candidate to support such applications.

(b) Change of name and/or surname

For applications with regard to name or/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; and
(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 effected the changes to the population register.

(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 the assessment body must submit the following documentation on behalf of the candidate-

(i) application form detailing the change requested;

(ii) a detailed affidavit indicating the change requested and the reason for the request, including 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 valid Passport 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 confirming the changes effected to the population register; and

(vi) 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.
12. Internal Certification Committee

(1) All applications will be assessed by the Internal Certification Committee.

(2) 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.

13. 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, to 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 will not be considered.

14. 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 and submit it to the Internal Certification Committee.
(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).
CHAPTER 5

TRANSITIONAL ARRANGEMENTS AND SHORT TITLE

15. Transitional Arrangements

Until such time the Minister has promulgated the *Policy for the Re-issuing of National Certificates*, the existing Directives on the *Re-issuing of National Certificates*, will apply to candidates who were registered at public, or independent schools, or Technical and Vocational Education and Training Colleges, or Community Colleges and Private Colleges which offer qualifications registered on the GFETQSF. This policy will be applied retrospectively.

16. Short Title

This policy may be cited as the *Policy for the Re-issuing of National Certificates* and will commence on the day of its promulgation in the *Government Gazette*.