



<b>POLICY NUMBER</b>	<b>IIE011</b>	
<b>POLICY NAME</b>	<b>Student Records Policy</b>	
<b>POLICY VERSION</b>	<b>08</b>	
<b>LEGEND</b>	<b>Including Assessment Storage</b>	
<b>POLICY APPROVAL</b>	<b>Date of Approval</b>	<b>Date of Implementation</b>
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<b>DATE FOR NEXT REVIEW</b>	<b>2028</b>	
<b>RELATED POLICIES</b>	<b>IIE001: Quality Assurance and Enhancement Policy</b> <b>IIE002: Admissions Policy</b> <b>IIE007: Research and Postgraduate Studies Policy</b> <b>IIE008: Information Centre Policy</b> <b>IIE009: Assessment Strategy and Policy</b> <b>IIE010: Qualification Completion, Credit Accumulation and Transfer, Articulation and Recognition of Prior Learning Policy</b> <b>IIE012: Graduation and Certification Policy</b> <b>IIE015: Student Conduct and Discipline Policy</b> <b>IIE023: Intellectual Integrity Policy</b> <b>IIE029: Distance Education Policy</b> <b>IIE030: The IIE Internationalisation Policy</b> <b>IIE031: Governance Policy</b> <b>IIE032: Personal Information, Intellectual Property and Cyber Security Policy</b>	

<sup>1</sup> S28: 2011-11-22 Item 8.6 (whole policy review)

<sup>2</sup> S36: 2014-08-12 Item 8.1.3

<sup>3</sup> Policy was edited, renumbered and Glossary and Roles added.

<sup>4</sup> S48:2018-07-05 item 7.2.3 (whole policy review) version 5 approved by Senate.

<sup>5</sup> Changes made to align with the amendments in the Admissions Policy v31 as it relates to student records – A full review and possible merged with IIE002 will be made in 2022.

<sup>6</sup> S64: 2023/11/13 Amendments include addition of 'retention of summative and formative assessments' due to the removal of these sections from the Assessment Strategy and Policy (IIE009). Updates to accurately reflect changes implemented in the Student Information Management System. Reference to the Research and Postgraduate Studies (IIE007) and the Information Centre (IIE008) Policies and the inclusion of dissertations and theses within the Policy.

<sup>8</sup> Post S70: 2025-12-04 alignment with new Tertiary Operating Model (TOAM)

	<b>IIE033: Policy on the Integration of Artificial Intelligence (AI) in Teaching and Learning Practices</b>
<b>RELATED PROCEDURES</b>	<b>None</b>
<b>POLICY ANNEXURES</b>	<b>Annexure A: Student Information Management System - Student Records Document Categories</b>

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## GLOSSARY AND ROLES

<b>Academic Centre of Excellence</b>	<p>The IIE team responsible for:</p> <ul style="list-style-type: none"> <li>• Quality review of the student learning journey (IQAF)</li> <li>• Design and periodically review of qualifications and associated curricula</li> <li>• Customisation and integration of technology and processes that enhance teaching and learning</li> <li>• Ensuring regulatory compliance</li> <li>• Industry-leading development programmes for academics (Sirius)</li> <li>• Publishing of multiple accredited academic journals and hosting national and international conferences.</li> </ul>
<b>ADvTECH IT</b>	The division at ADvTECH responsible for information and communication technology including the Student Information Management System and other technology to support teaching and learning and academic administration.
<b>Constitution</b>	Constitution of the Republic of South Africa, 1996. <sup>9</sup>
<b>DHA</b>	The national department with a sole mandate to secure and manage identity and status of all South African citizens and managing international migration, i.e., foreign nationals who want to visit, stay or study in South Africa.
<b>Higher Education Qualifications Sub-Framework (HEQSF)</b>	The Higher Education Qualifications Sub-Framework is the qualification framework for higher education. It constitutes level 5 – 10 qualifications on the National Qualifications Framework (NQF). <sup>10</sup>
<b>Learning Management System</b>	A learning management system (LMS) is a digital learning environment or online platform that manages all aspects of teaching and learning, student engagement and support.
<b>OneDrive<sup>11</sup></b>	Microsoft OneDrive is a file hosting service operated by Microsoft. which allows registered users to store, share and synchronise their files.
<b>Personal Information</b>	Information relating to an identifiable, living natural person, including name, contact details, identification number, academic history, and financial records, as defined in the Protection of Personal Information Act (POPIA).
<b>Processing</b>	Any operation or activity concerning personal information, including its collection, receipt, storage, use, dissemination, or destruction.
<b>Senior Certificate (SC)</b>	The Senior Certificate awarded as a final exit qualification to a candidate who has complied with the exit-level outcomes stipulated in the National Education Policy on the Senior Certificate.

<sup>9</sup> S48:2018-07-05 item 7.2.3

<sup>10</sup> Definition amended by item 8.2.2 of S64:2023-11/13.

<sup>11</sup> S64: 2023/11/13

<b>Senior Certificate Amended (SC(a))</b>	A qualification for adults and out-of-school learners equivalent to the National Senior Certificate (NSC) in terms of Examination Circular No. 17 of 2014 of the Department of Basic Education (Policy). This Policy allows adults, who are 21 years and older, who have no previous credits, to write the Senior Certificate examination, which is based on the Curriculum and Assessment Policy Statement (CAPS) of the National Curriculum Statement (NCS), the curriculum offered in schools in South Africa.
<b>Student Information Management System (SIMS)<sup>12</sup></b>	The IIE electronic student management system.
<b>Student Record</b>	Any information, document, or data in any format that relates to a student, from application to alumni stage.
<b>The IIE</b>	The Independent Institute of Education (Pty) Ltd.
<b>Universities South Africa (USAf)</b>	Universities South Africa, formerly known as Higher Education South Africa (HESA), is a membership organisation representing South Africa's universities.

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<sup>12</sup> S64: 2023/11/13

# 1 INTRODUCTION

- (1) Maintaining accurate and complete records of a student's admission, academic progress, assessment and certification is key to providing quality higher education. Students have the right to obtain such records from institutions at any stage in the future.
- (2) In terms of the Higher Education Act (HEA) – Regulations for the Registration of Private Higher Education Institutions (2016: 23 (h)(v) and 25(1) and (2)), institutions are required to, amongst others, maintain full records of each student's admission, academic progress, and assessment of learning in respect of each programme as part of the requirements for ongoing registration. Furthermore, an institution must keep a comprehensive record of the academic achievement of each student enrolled in a registered programme and must make a transcript of their academic record available to an enrolled student or past student on request.
- (3) In terms of the Higher Education Qualifications Sub-Framework (HEQSF), a graduating student is entitled to a full transcript which needs to include information about the syllabus as well as the academic progression of the student.
- (4) Accordingly, the purpose of this policy is to outline The Independent Institute of Education (Pty) Ltd (The IIE) requirements for maintaining, monitoring, and safekeeping of students' full academic and administrative records.

## 2 STUDENT RECORDS

### 2.1 Oversight, Monitoring and Audit

- (1) The Academic Centre of Excellence (ACE) of The IIE and ADvTECH IT are responsible for setting the standards and providing the systems in which the students' records are kept. The Campus Head is responsible for ensuring that the complete student record from application to graduation, in all required forms, is maintained. The Campus Head may delegate the day-to-day management, oversight, and monitoring of all processes involving student records to other staff.
- (2) At each point in the process from application to graduation, adequate procedures must be put in place to ensure follow-up, collection, filing, uploading, and auditing of information in support of a complete record for all applicants and students as required.

- (3) All personal information of a student and their fee payer or guardian or parent, as may be provided to The IIE, shall be handled in accordance with the Constitution<sup>13</sup> and the Protection of Personal Information Act, 2013 (POPIA). In particular, the processing of personal information shall be consistent with POPIA's conditions for lawful processing of personal information. These include purpose specification, processing limitation, ensuring quality of information, accountability, limitations on further processing, correction of information, and retention of records.
- (4) All information required in a student record must be uploaded to the Student Information Management System within five working days of receipt of said information from a student.
- (5) Campuses are required to audit and ensure the completeness of the online record by the end of May each year. The only exception should be the final school leaving certificate of students who completed school in the year before, as they are required to submit the certificate but have not yet received it from the Department of Basic Education.
- (6) National / Head offices are required to verify the outcomes of campus record audits by the end of June each year and to take remedial action as may be required.
- (7) Campuses are required to account to their National / Head offices by the end of October each year on the process of obtaining outstanding documentation.
- (8) Student examination results will not be released to any student who has outstanding fees and/or documentation by the end of November of each year.
- (9) National / Head offices are required to confirm with the Registrar within four months of admission each year that all admissions made in the first or second semester on the campuses for which they are responsible have been correctly captured and to escalate by no later than the end of June or October any erroneous admissions.
- (10) The National / Head offices will begin an audit of admissions by May of each year. However, accountability for ensuring the accuracy of the admissions lies with the campus.

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<sup>13</sup> Section 14 of The Constitution provides for the right to privacy.

### 3 STUDENT FILES

#### 3.1 Hard and Electronic Records<sup>14</sup>

- (1) Student records are captured on the Student Information Management System.
- (2) For admission verification purposes, a comprehensive set of admission documentation must be on the student's record on the Student Information Management System (refer to Annexure A – Student Records Document Categories).
- (3) Full academic and administrative records of all students currently registered or potentially returning students are required on-site and in the Student Information Management System, with only the hard copy files of graduated or non-returning students being stored off-site.

#### 3.2 Security and Storage of Hard Copy Files<sup>15</sup>

- (1) On-site files must be kept in a secure area of the administrative office space, either in a locked cupboard or in an office that is locked after office hours and to which there is limited and controlled access. It is also required that all office areas where student files are stored should be secured with an alarm system. A fire delay door should be provided, where possible.
- (2) All files stored off-site must be boxed and labelled in a structured and organised manner. A record must be kept on site of what files have been moved off-site and where these have been stored. A full record of where all documents are stored needs to be made available to the Registrar as soon as the records are moved off campus.
- (3) Hard copy student records, including enrolment contracts but excluding academic records, which must be retained indefinitely, must be securely stored for a minimum period of seven (7) years. This retention period commences from the date of completion of the qualification to which the enrolment contract pertains, or from the date of the student's de-registration from the institution, whichever occurs first.

#### 3.3 Security and Storage of Electronic Student Records<sup>16</sup>

- (1) Software as a service solution is used for storing of documents. OneDrive, linked to the student identity email accounts, provides a storage platform for safeguarding student data. The Learner Management System platform is used for uploading assessments and assignments, ensuring academic integrity and efficient record management. All other student information is housed within the central Student

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<sup>14</sup> S48:2018-07-05 item 7.2.3 whole section review

<sup>15</sup> S48:2018-07-05 item 7.2.3 whole section review

<sup>16</sup> S48:2018-07-05 item 7.2.3 whole section review

Information Management System. Together, these tools create a secure and integrated ecosystem for managing student data.<sup>17</sup>

## **4 STORAGE AND RETENTION OF ASSESSMENTS<sup>18</sup>**

- (1) Storage and retention of assessments (summative and formative), dissertations, and theses, before and after they are written, must comply with the requirements as outlined in the Assessment Strategy and Policy (IIE009).
- (2) Once all assessment results have been captured and verified, and the moderation process has been completed, the formative assessment scripts are returned to the students and sites are not expected to retain those not collected - it is the responsibility of the student to collect formative work within 10 working days of results being released or the campuses are entitled to discard the work at the end of the semester in question.
- (3) Final examination-type summative assessments and reports/rubrics on portfolios and practical assessments of currently registered students go into storage and must be retained for five years.
- (4) In the case of portfolios and practical assessments, the actual work submitted is returned to the students, five working days after the release of the results.
- (5) Storage arrangements in each brand are the responsibility of the National / Head Offices. Assessments are retained centrally, governed by ACE Operations.
- (6) It is acceptable to destroy these collections of assessments and reports after five years, as long as the final marks/ academic records of the year concerned remain intact and safe. The destruction process must be conducted in accordance with the conditions for the protection of personal information relating to the destruction or deletion of a record.<sup>19</sup>
- (7) Section 4(6) above does not apply to research projects, dissertations, or theses, as these are not destroyed.

## **5 RECORDS OF COURSE MATERIAL, OUTLINES, ASSESSMENTS AND MARKING MEMORANDA**

- (1) The IIE ACE Operations team is responsible for maintaining a full set of course material (including manuals and lecturer guides), formative and summative assessments, and marking memoranda for 10 years. These do not have to be maintained in hard copy.

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<sup>17</sup> S64: 2023/11/13

<sup>18</sup> S64: 2023/11/13 Section reviewed.

<sup>19</sup> S48:2018-07-05 item 7.2.3

- (2) Records of course material, outlines, assessments, and marking memoranda are not kept for more than 10 years.

## ANNEXURE A – STUDENT INFORMATION MANAGEMENT SYSTEM -STUDENT RECORDS DOCUMENT CATEGORIES<sup>20</sup>

DMT	Document Category
DM1	Academic Letters
DM2	Academic Progression Document
DM3	Academic Transcript (Complete)
DM4	Academic Transcript (Current)
DM5	Fee Payer National ID / Passport
DM6	Important Additional Admission Info
DM7	Asylum Seeker Permit
DM8	Birth Certificate
DM9	Bursary / Scholarship
DM10	Company Sponsor Letter
DM11	Conditional Registration Letter
DM12	Contract Amendment
DM13	Current Educational Interventions
DM14	Curriculum Vitae
DM15	Doctor's Note
DM16	Grade 11 Results or Equivalent Results to Date
DM17	Grade 12 Results or Equivalent Results to Date
DM18	Marriage Certificate / DHA
DM19	Other School Leaving Documents (Statement of Results)
DM20	Passport
DM21	Permanent Residence ID
DM22	Police Clearance
DM23	Postgraduate Qualification(s)
DM24	Proficiency Tests
DM25	Proof of Loan / External Bursary
DM26	Proof of Payment (Other)
DM27	Proof of Payment (SAQA)
DM28	Proof of Payment (Study Visa / Permit)
DM29	Proof of Payment (USAf)
DM30	Refugee Document
DM31	SA National ID
DM32	SACE Registration
DM33	South African Qualifications Authority (SAQA) Certificate
DM34	School Leaving Certificate (National Senior Certificate/Senior Certificate) or Grade 12 Equivalent
DM35	Senate Discretion
DM36	Study Visa / Permits

<sup>20</sup> S64: 2023/11/13 Annexure reviewed.

<b>DMT</b>	<b>Document Category</b>
DM37	Undergraduate Qualification(s)
DM38	Universities South Africa (USAf) Certificate
DM39	Valid Visa (SLP)
DM40	Work Permit
DM41	RPL Outcomes Letter
DM42	Plagiarism Letters
DM44	Admissions Office Feedback
DM45	Proof of Payment (Application Fee)
DM46	Proof of Payment (Registration Deposit)
DM47	Other Supporting Application Documents
DM48	South African National Senior Certificate (NSC)
DM49	Legacy CAMS Documents
DM50	2023 Academic Progression Document
DM51	Other Supporting Registration Documents
DM52	RPL Application Supporting Registration Document
DM53	USAf Letters
DM54	Completed Qualification/SLP Certificate (2023)
DM55	Transcript Curriculum Supplement
DM56	Official IIE Academic Transcript 2023
DM57	2024 Academic Progression Document
DM58	Concept Document
DM59	Completed Qualification/SLP Certificate (2024)
DM60	Erroneous Admission FAN Form
DM61	Letter of Completion
DM62	2025 Academic Progression Document
DM63	Completed Qualification / SLP Certificate (2025)
DM64	English Proficiency Result
DM65	Afrikaans Proficiency Result
DM66	isiXhosa Proficiency Result
DM67	isiZulu Proficiency Result
DM68	Sepedi Proficiency Result
DM69	isiNdebele Proficiency Result
DM70	isiSetswana Proficiency Result
DM71	isiSiswati Proficiency Result
DM72	Tshivenda Proficiency Result
DM73	B. Engineering English Proficiency Result
DM74	B. Engineering Mathematics Proficiency Result
DM75	B. Engineering Physical Science Proficiency Result
DM76	Account Verification Status (AVS)
DM77	National Certificate or Statement of Results in relevant discipline OR School Leaving Certificate (National Senior Certificate/Matric Certificate/Senior Certificate), Technical Matric or Grade 12 Equivalent
DM78	A QCTO-recognised qualification across NQF Levels 1-4 in the relevant field of study

<b>DMT</b>	<b>Document Category</b>
DM79	CV indicating minimum 3 years managerial experience in the education and training environment
DM80	Grade 9
DM81	Introductory N4 Certificate
DM82	Letter from Employer
DM83	Proof of N1 and N2 Statement of Results (if applicable)
DM84	SAQA equivalency document for foreign qualifications
DM85	Teacher's qualification NQF Level 06
DM86	2026 Academic Progression Document
Profile Image	Student Photo