



PROCEDURE NUMBER	PDIIIE 015	
PROCEDURE NAME	Student Conduct and Discipline Procedure	
LEGEND	Previously known as the (1) Student Code of Conduct Procedure (2) Student Code of Conduct, Dispute, Grievance and Disciplinary Procedure v12 (2021) IIE 021 reintroduced and named Safety Policy ¹	
Version	02	
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RELATED POLICIES	IIE001: Quality Assurance and Enhancement Policy IIE002: Admissions Policy IIE006: Work-Integrated Learning Policy IIE007: Research and Postgraduate Studies Policy IIE008: Information Centre Policy IIE009: Assessment Strategy and Policy IIE011: Student Records Policy IIE015: Student Conduct and Discipline Policy IIE016: Student Representation Policy IIE019: Community Engagement and Citizenship Policy IIE020: Official Documentation, Marketing and Advertising Policy IIE023: Intellectual Integrity Policy IIE026: Student Support and Professional Development Policy IIE030: The IIE Internationalisation Policy IIE031: Governance Policy IIE032: Personal Information, Intellectual Property and Cyber Security Policy	
PROCEDURE ANNEXURES	PDIIIE021 Safety Guidelines, Procedures, Protocols, and Annexures	

¹ S66: 2024/09/11 Item 8.3.2

² S65:2024/04/18 Item 8.2.5 Whole policy review

	<p><u>Annexures</u> Annexures 1-4: Complaints Resolution Process: Mediation and Conciliation</p> <p><u>Annexures A-FF: Disciplinary Process:</u></p> <p><u>Protocols</u> Protocol A: Information Centre Protocol Protocol B: Computer Venue Protocol Protocol C: Uniform and Professional Conduct Protocol for the Bachelor of Business Administration Protocol D: The IIE Code of Ethics for Teaching Experience Protocol E: Fair Usage Protocol</p>
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GLOSSARY AND ROLES

Academic Centre of Excellence (ACE)	The IIE team responsible for: <ul style="list-style-type: none"> • Quality review of the student learning journey (IQAF). • Design and periodic review of qualifications and associated curricula. • Customisation and integration of technology and processes that enhance teaching and learning • Ensuring regulatory compliance. • Industry-leading development programmes for academics (Sirius). • Publishing of multiple accredited academic journals and hosting national and international conferences.
Aggravating factors	Factors presented by the Complainant or Prosecutor that could increase the severity of the penalty to be laid down after the Respondent has been found guilty of misconduct.
Appeal	A formal request with reasons to reconsider the outcome of the disciplinary hearing, including the penalty, or a penalty where the right to a disciplinary hearing was waived. Grounds for appeal can include claims of procedural error, new evidence, the severity of the penalty, or the overall merit of the case.
Appeals Committee	The duly constituted institutional committee that handles appeals in terms of this Policy.
Appellant	The person appealing against the outcome or the penalty.
Balance of probabilities	The standard of proof which would find that the version of an event as presented by one party is more likely to be true, based on the preponderance of evidence, than the version presented by the other party. (See reasonable suspicion later for the standard of proof for an initial investigation.)
Brands	The IIE's brands are Emeris and IIE Rosebank.
Campus	A site of learning – physical or virtual. Any institutional building, grounds, or any other place, including a virtual space, where the institution ordinarily conducts its business, or does so for a specific event or period.
Campus Head	Head of the campus (physical or virtual). The Campus Head is normally the Disciplinary Officer.
Charge	An official statement accusing the student/Respondent of the alleged misconduct.

Complainant	The person who lays the complaint/brings the charges or makes the allegation against the Respondent.
Complaint	An allegation made by a person against another person (normally a student). The complaint may be an allegation of misconduct or an allegation of conduct that requires the intervention of a third party.
Conciliation	This is an alternate dispute resolution method in which the third party, referred to as a Conciliator, is appointed to settle the dispute by persuading the parties to reach an agreement. The result from this process is a settlement agreement, not necessarily a consensus.
Conciliator	The person responsible for the conciliation process.
Common law	A body of unwritten law based on legal precedents or principles established by courts.
Constitution	Constitution of the Republic of South Africa, 1996
Delegate	A person delegated by a Campus Head to conduct a search and “designated person” shall have the same meaning.
Disciplinary Committee	The duly constituted committee that hears and decides on all cases of alleged misconduct.
Disciplinary Committee Members	The two staff members, or Independent Contractors and two students (see below) to make up the Committee with the Chair.
Disciplinary hearing/hearing	A formal process in which the Disciplinary Committee hears and decides on all cases of alleged misconduct.
Disciplinary Officer	The person on a campus or in a division formally responsible for student complaints and discipline and the management and implementation of this Policy. This is normally, but not always, the Campus Head or equivalent.
Dispute	A disagreement.
Expulsion/Expelled/Exclusion	Permanent ejection/barring of the student from The IIE and its premises.
Grievance	A cause for a complaint, normally unfair behaviour.
IIE Assist	IIE Assist is utilised for all students’ queries and complaints across Tertiary. Logged on Brands' public-facing websites and managed via a Case Management System.
Independent Contractor	A person performing contracted duties on or for the campus concerned, but not employed by The Independent Institute of Education.
Interpreter	The person requested by the Respondent to interpret the disciplinary proceedings for him/her in any of the 11 official South African languages.

Investigating Officer (IO)	The person(s), including any external person or entity, designated by the Disciplinary Officer to conduct and/or provide support in the investigation of a complaint or allegation and to make the recommendation on how to proceed and to act further as required in terms of this Policy or as requested by the Campus Head/Disciplinary Officer.
Learning environment	This refers to any space (physical or digital) where the campus carries out its educational activities and associated curricular, co-curricular and extracurricular activities.
Lecturer	The person responsible for the facilitation of student learning and the marking of student work.
Mediation	An alternate dispute resolution method where the third person acts as a go-between to help students who have a dispute arguing to solve their problem themselves. The Mediator does not make the decision for the students; the students decide what their dispute is about and how they want it settled. The Mediator's task is to manage the process so that the students can reach an agreement or consensus.
Mediator	Any person, including a skilled external person, who does not have a conflict of interest in the matter, who has been requested to assist with mediating a dispute or complaint.
Minor	Means a person under the age of eighteen (18) years.
Misconduct	Wrongful, improper, or unlawful behaviour committed intentionally or at least without regard for the reasonably accepted consequences of one's acts.
Mitigating factors	The factors that could positively influence/soften a penalty, presented by the Respondent/Respondent's Representative after the Respondent has been found guilty of the alleged misconduct.
Natural Justice	The concept of natural justice includes the right to a fair hearing, the opportunity to present a case, and to a decision by an unbiased party.
Next most senior person	This is the person to whom someone reports. In the context of this Policy, it refers to the person who would take on a task or function if the person who should be doing it is unable to do so for any reason.
Penalty/Sanction	The punishment decided and imposed in terms of this Policy.
Prohibition	Prohibition from entering the Institution precinct means that a student must not enter the specified area of the Institution for the period the prohibition applies and subject to any conditions imposed. A prohibition penalty is only imposed where it is

	considered necessary to protect any person or the Institution's property.
Prosecutor	The person who leads the case against the Respondent to the Disciplinary Committee.
Reasonable suspicion	This standard of proof applies to an investigation prior to making the decision to proceed with a disciplinary hearing. Reasonable suspicion means that a reasonable conclusion has been reached that an event may have occurred, which, taken together with rational inferences, would suggest that a formal disciplinary hearing should be instituted.
Registrar	The Registrar of The IIE.
Representative	The person (another student, a staff member, or an independent contractor of The IIE) who supports, advises, and represents either the Respondent or the Complainant at their request throughout any process outlined in this Policy.
Respondent	Person or group against whom a complaint is laid or an allegation is made, or who is formally charged with misconduct.
Restitution	It is a requirement to make restitution to the Institution or the person who has suffered loss and can only be imposed to require a student to "make good" damage caused by their misconduct and does not extend to providing compensation. Restitution may be by making a payment or undertaking certain actions.
Scribe	A person appointed by the Disciplinary Officer to record the hearing and take detailed notes of all investigative discussions, meetings, and Committee proceedings.
South African Police Services (SAPS)	The policing service of South Africa
Staff	A person in the employ of The IIE normally, but not necessarily, employed on the campus concerned.
Statement	A statement is a formal description of events supported by an explanation or interpretation of the meaning or impact of the events that can be made verbally or in writing.
Student	Any person currently registered for a full qualification or short learning programme or other course of study at The IIE.
Student Information Management System (SIMS)	The IIE system for academic management used for admissions and all student records.
Student Support Team (SST)	Members of the staff of a campus, division, or team who can be approached for advice and direction on a complaint. These will include, but are not necessarily limited to, the Counsellor, Student Wellness Manager,

	Head of Operations/Head of Academics and Teaching and Learning (T&L) Specialist.
Student Wellness Manager (SWM/)	Person responsible for student wellness on a campus.
Suspension	Formal instruction from the Disciplinary Officer, campus disciplinary panel or Campus Head or equivalent to the student indicating that some or all rights and privileges of the student are withheld. This can be for a specific period, or until a specific action has been taken and/or until the disciplinary process has been finalised.
The IIE	The Independent Institute of Education.
this Policy/this Code	Student Conduct and Discipline Policy (IIE015).
Verbal Statement	A statement not committed to writing but on which notes are taken by another person. The record of the statement is then normally signed and dated by the person making the statement.
Verdict	The formal finding/official decision of the Disciplinary Committee on the matters they are considering.
Weapon	Any object that is used intentionally and unlawfully to inflict harm or damage.
Witness	A person who has direct knowledge of the events, and who gives testimony of the facts to the Investigating Officer and/or the Disciplinary Committee.
Work-Integrated Learning (WIL)	Work-Integrated Learning is a purposeful, organised, supervised, and assessed educational activity that integrates theoretical learning and its practical application. It thus encompasses curricular, pedagogic and assessment practices across a range of academic disciplines that integrate formal learning with real-world workplace application.
Written Statement	Written statements (handwritten or printed) signed and dated by the person making the statement.

1 INTRODUCTION

- (1) The Student Conduct and Discipline Policy (IIE015) and all other rules of The IIE apply to all students during their studies (including any students from external providers being taught out):
 - a) irrespective of their mode of study or registration type;
 - b) in person or online or using any other means of communication or engagement;
 - c) on The IIE premises;
 - d) at The IIE sponsored or organised events on or off campus;
 - e) carrying out activities associated with The IIE;
 - f) representing The IIE; and/or
 - g) under conditions in which they can be associated with The IIE.

- (2) The purpose of this document is to:
 - a) Outline the procedures for student complaints resolution through:
 - i. The mediation and conciliation process, and
 - ii. The disciplinary and the appeals process.

 - b) Outline the various IIE Protocols, i.e.,
 - i. Information Centre Protocol;
 - ii. Computer Venue Protocol;
 - iii. Uniform and Professional Conduct Protocol for the Bachelor of Business Administration in Hospitality Management Students;
 - iv. The IIE Code of Ethics for Teacher Experience; and
 - v. The Fair Usage Protocol.

- (3) These procedures and protocols are based on IIE015 and related policies.

- (4) Any conduct that undermines the safety and well-being of a person, or the safeguarding of the premises, platforms, or processes of The IIE, will be handled in such a manner as to restore safety. The IIE will co-operate with others in society charged with the maintenance of the above, including but not limited to the South African Police Services (SAPS).

- (5) Any investigation under the Code shall not be bound by the rules of evidence for court proceedings.

- (6) Decisions are made on the balance of probabilities (based on the facts; it is more likely than not that the alleged act did occur).

- (7) All parties involved in an investigation shall be treated with respect, dignity, and impartiality.

- (8) Any investigation under the Code shall have due regard for confidentiality, subject to legal requirements for disclosure and the need for a full investigation.

- (9) All personal information collected should be handled in accordance with the Constitution and the Protection of Personal Information Act, 2013 (POPIA). In particular, the processing of personal information should 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.
- (10) Should any investigation reveal apparent or suspected criminal conduct, The IIE may report the matter to the South African Police Services (SAPS).

A STUDENT COMPLAINTS RESOLUTION PROCESS

B1 General Process and Principles

- (1) All complaints must be logged onto the IIE Assist. If any campus does not have access to the IIE Assist, an email address for this purpose will be provided.
- (2) Individual students may opt to use the complaints process to seek to resolve a dispute with another student, or a staff member or lecturer, or The IIE without escalating the matter further to the disciplinary process that may apply to the Respondent. The choice must be offered to the Complainant when the matter is first reported but the decision rests with the Complainant.
- (3) If a complaint is directed against a student by a lecturer or a staff member, only level 2 of this procedure can be used if the disciplinary process is not immediately used.
- (4) If an area of dispute or grievance is provided for in another policy, such as the Assessment Strategy and Policy (IIE009), that specific policy takes precedence until all its provisions have been exhausted, or that policy refers to this one for a particular matter, such as those handled in the Intellectual Integrity Policy (IIE023).
- (5) Complaints by students must be dealt with in a supportive environment free of victimisation or intimidation of anyone connected with the complaint, either during or subsequent to a complaint resolution procedure.
- (6) Informal and early resolution of complaints is encouraged and may include mediation or conciliation by a third party if agreed to by both the Complainant and the person against whom the complaint has been laid.
- (7) Except with the explicit permission of the Registrar, no complaint will be handled that deals with an event that occurred three months or more prior to the complaint being laid and which has not reoccurred since the first occurrence.
- (8) Any student involved in these processes may have a representative as defined above who is able to support, guide and advise them on any part of the process but in the case of the complaints process may not speak on behalf of the student concerned, but can be present in all interactions to assist the student.

- (9) The complaint resolution process will be conducted in accordance with the principles of natural justice and restorative practise, and includes, for both parties:
- a) Assurance of the absence of bias in decision-making by the involvement of persons who have no vested interest or bias in relation to the matter to be decided.
 - b) An opportunity to suggest who should be involved in the decision-making and what outcome would be viewed as having resolved the matter.
 - c) Absolute clarity on the process to be followed and regular feedback to all parties involved.
 - d) An opportunity to be heard on all elements of the matter.
 - e) Sufficient time for both parties to prepare their statements or positions or contributions.
 - f) Appropriate confidentiality without hindering resolution of the complaint and without limiting the right of the Institute to take further action as may be required to protect individuals or the Institute or to deal with possible violations of the law.
 - g) Timeous handling of complaints to enable clear resolution without undue delay.

B2 People/Structures and Roles in Complaints and Disciplinary Process

Person/Committee	Role/Task
Respondent	<ol style="list-style-type: none"> a) Presents personally/through representative, his/her case at the disciplinary investigation meeting (if opted to do so) or disciplinary hearing. b) Answers questions from Complainant, Investigating Officer or Chair of Disciplinary Committee. c) May question personally/through representative, the Complainant and witnesses at the disciplinary hearing. d) May confer with representative at reasonable times before/during the hearing. e) Cross-questions the Complainant and his/her witness/es as each is presented. f) May exercise his or her right to appeal a decision in terms of this Policy.
Disciplinary Officer (DO)/Campus Head	<ol style="list-style-type: none"> a) The person formally responsible for student complaints and discipline and the management and implementation of this Policy. b) Gives consent/and is accountable in the case of official functions convened by the educational brand of The IIE to alcohol to be served or used. The Campus Head must be notified and given a copy of the medical prescription for a dependence-producing substance. c) Can give written consent to a student to advertise, distribute, or display a banner, placard, notice, circular, letter, or pamphlet on The IIE campus or to advertise goods, offer goods for sale, fundraise, or collect money on the campus.

Person/Committee	Role/Task
	<ul style="list-style-type: none"> d) Serves notice of hearing on student concerned within two working days of having received a recommendation to this effect from the Investigating Officer (IO). e) May suspend (within one working day of receipt of complaint) a student from access to The IIEs campus, if so recommended by the Investigating Officer (IO). f) Serves notice of hearing on student concerned within two working days of having received a recommendation to this effect from the IO. g) Coordinates and ensures that the alleged misconduct is investigated. h) Designates the Investigation Officer (IO) to conduct the investigation of a complaint or allegation and to make a recommendation on how to proceed. The Disciplinary Officer (DO) may carry out the investigation. If the Campus Head is likely to be the key witness, the Managing Director (MD) or General Manager (GM) will appoint the Investigating Officer (IO). i) Appoints the Chair of the Disciplinary Committee. j) Appoints the Scribe to record the hearing and take detailed notes of all investigative discussions, meetings and Committee proceedings. k) Appoints the Prosecutor, who is the person who will present the case against the Respondent. This may be the DO or the IO, or another person. The IO will then normally be called as a witness to explain the investigation process if he/she is not the Prosecutor. l) The student support team member can indicate that a more skilled mediator is required and through the DO, source one. m) The member of the student support team that has managed the Complaints Resolution 1 process should ensure that it is resolved or finalised within five working days of the complaint being raised, failing which, the matter is to be escalated to the DO. n) Authorises extensions to a time frame of no more than five working days (after which the matter needs to be escalated to another level) and only for reasons such as the availability of relevant staff/independent contractors, or students and or assessments, or holidays, or illness. o) The DO or a person nominated by the DO or the Registrar/Deputy Registrar/ Registrar's delegate, will follow the Complaints Resolution 2 process: p) The investigation (seeking additional information on the matter) during the Complaints Resolution 2 process shall not go beyond people listed by the parties as being

Person/Committee	Role/Task
	<p>relevant to the resolution unless the DO has informed both parties that he/she will be speaking to people not listed.</p> <p>q) If the complaint cannot be resolved at level 2, if for instance, the Complainant or Respondent does not agree with the remedial action or penalty proposed, the disciplinary process is the remaining recourse. The Complainant will then need to log a formal complaint on the Student, to the DO, for handling in terms of the Disciplinary Code.</p> <p>r) Within five working days of the complaint having been concluded, the DO shall check that the full details have been recorded on the IIE Assist and on the student's record on the Student Information System.</p> <p>s) If a student appealed the outcome, and the Campus Head is in receipt of the Notice of Appeal, the Campus Head may provide a written response to the arguments made in the appeal and submit this to the Office of the Registrar (OoR).</p> <p><u>Disciplinary Process:</u></p> <p>t) Whenever misconduct is alleged, or if any person has reason to believe that misconduct in terms of this Code is being or has been committed, a complaint must be logged on the IIE Assist and the relevant staff member will assign the query to the relevant Campus Head or Disciplinary Officer. After receiving the complaint, the Campus Head or DO must initiate the investigation of the matter by selecting an Investigating Officer (see Annexure B – Designation of Investigation Officer) who may be the Disciplinary Officer.</p> <p>u) The Prosecutor, who may be the IO, who may in fact be the DO, is the person who asks questions on behalf of the Complainant.</p> <p>v) The Campus Head, in consultation with the DO, shall constitute for every site of delivery and for students registered in the distance mode who are not registered at a campus for examination purposes, a Disciplinary Committee comprising of the following members:</p> <p>w) The DO or their nominee as chair.</p> <p>x) Two staff members/independent contractors.</p> <p>y) Two students selected by the Chairperson from the ³Student Representation Committee (SRC) /equivalent committee or the Academic Forum. Students do not necessarily have to be selected from the same campus at which the alleged offence occurred.</p>

³ S55: 2020-12-02 Item 8.2.7 Amended terms: SLB changed to CLC and Student Forum to Academic Forum

Person/Committee	Role/Task
	<ul style="list-style-type: none"> z) Prosecutor - This may be the DO or the IO or another person. aa) DO or someone delegated by that person supervises the witnesses for the Respondent and the Complainant, who will ideally wait in different rooms, to ensure appropriate conduct prevails. bb) If the Respondent disputes the content of a written statement, it is held over until the DO can contact the author and request them to present themselves for cross-examination. If the author is unavailable or unwilling the written statement must be disregarded. cc) The DO shall keep a record of all students' disciplinary hearings (Annexure X) duly signed as being an accurate record by the Chairperson. dd) The DO shall place a copy of the outcome of the disciplinary process/hearing (verdict and penalty) on the student's file on the Student Information Management System. ee) The DO shall issue the student with a letter on the outcome of the disciplinary hearing/process and copy the letter to the parents(s) / guardians/fee-payer. ff) The DO shall make available a copy of the recordings of the disciplinary proceedings to the student (respondent) or complainant, if requested. gg) Any appeal on grounds of procedural error or new evidence, the merits of the case or the penalty must be logged on the IIE Assist, for the DO, within five working days of the Appellant having received the written outcome of the disciplinary hearing in terms of Section 9.4 (3) of this Code.
<p>Chairperson of Student Disciplinary Committee</p>	<ul style="list-style-type: none"> a) Chairs disciplinary hearings (hearing can also be chaired by DOs nominee) and ensures that a record is kept. b) Selects two students from the Student Representation Committee (SRC)/equivalent committee or the Academic Forum to sit on the Campus Disciplinary Committee. The students do not necessarily have to be selected from the same campus at which the alleged offence occurred. c) Chairs the Disciplinary Hearing according to the proceedings (see section 9.3 and records essential details in the Disciplinary Case Book. d) Opens the hearing, introduces everyone present, explains their roles, advises that it is a disciplinary hearing, that the proceedings will be recorded, and confirms with the Respondent/Complainant and interpreter(s) that due process has been followed leading to the disciplinary hearing.

Person/Committee	Role/Task
	<ul style="list-style-type: none"> e) Explains the disciplinary proceeding process and reminds the Respondent of his/her rights during the process. f) Puts the charge(s) to the student who has the opportunity to plead. If the student pleads guilty, the Chairperson gives both parties an opportunity to present mitigating and aggravating factors, after which the disciplinary committee will deliberate an appropriate penalty which will be imposed by the Chairperson. g) Imposes appropriate penalty. h) Informs the student (Respondent) that they will also receive a written outcome (see Annexure Y or Z) of the disciplinary hearing, with reasons for the verdict reached), within two working days. i) Informs the Respondent of their right to appeal. j) Shall decide, in collaboration with the Disciplinary Committee, the best possible action should a student fail to cooperate during the disciplinary hearing. k) Decides how many times to try and reconnect a call, should technology fail, before postponing a hearing – which can only be postponed once should technology fail.
Chairperson of Appeals Committee	<ul style="list-style-type: none"> a) The Chairperson of the Appeals Committee/ Registrar/ Deputy Registrar/ Registrar's delegate must ensure that the secretary of the Disciplinary Appeals Committee (DAC) provides the appeal documentation to the Campus Head for a written response within 24 hours of the DAC – in the case when the Campus Head has not had access to this documentation. b) Uses the Disciplinary Appeals Case Book (see Annexure X) to record the proceedings of the Disciplinary Appeals Committee meeting and shall convey the decision of the Disciplinary Appeals Committee to the Campus Head (to forward to the Appellant) within two working days of the Appeals Committee having reached a decision. c) Shall keep a record of all appeals considered and their outcomes – these must be filed with the OoR. d) Introduce panel and everybody present as part of a Disciplinary Appeals Committee and explain their roles. e) Sends findings of the Disciplinary Appeals Committee to the Campus Head/Disciplinary Officer, within two working days of the Appeals Outcome, to forward to the Appellant.
Complainant	<ul style="list-style-type: none"> a) Lays the complaint/brings the charges or makes the allegation against the Respondent. b) In Mediation and Conciliation:

Person/Committee	Role/Task
	<ul style="list-style-type: none"> i. Logs the complaint on the IIE Assist and resolves the complaint with the Respondent facilitated by the Mediator (Level 1) or Conciliator (Level 2). ii. Logs a complaint on the IIE Assist within 10 working days of the date of completion of Level 1, with the request that the matter is handled in terms of the Level 2 Conciliation process or the Disciplinary Procedure. <p>c) Allocates rights and responsibilities to the representative and will inform the IO accordingly.</p> <p>d) In the Disciplinary Process:</p> <ul style="list-style-type: none"> i. Attends disciplinary investigation session (if required/opted to attend) as arranged by IO. ii. Attends the disciplinary hearing – presents evidence and cross/re-examines the witnesses and/or Respondent / Respondent Representative. iii. Complainant and interpreter(s) confirm that due process has been followed leading to the disciplinary hearing. iv. Answers questions from Respondent / Respondent representative/Chair of disciplinary hearing. <p>Note: This should be the person who best understands the charges and has the ability/has been trained/coached on how to present the case at a disciplinary hearing. The Complainant may for e.g., be the Head of Department, Campus Head or the person who conducted the investigation.</p>
Interpreter	<ul style="list-style-type: none"> a) Interprets disciplinary proceedings for the Respondent. b) The person requested by the Respondent to interpret the disciplinary proceedings for him/her in any of the official 11 South African languages.
Investigating Officer (IO)	<ul style="list-style-type: none"> a) Investigates alleged misconduct; reviews allegations and supporting evidence. b) On receipt of the complaint and designation as IO, the IO is required to conduct a very limited evaluation in a period of no more than one working day, which should be limited in scope to only ascertaining whether or not there is sufficient evidence to: <ul style="list-style-type: none"> i. Recommend to the Campus Head that the matter not be pursued as there is insufficient evidence in the complaint to suggest that the matter could result in a disciplinary enquiry. In this case, the Complainant

Person/Committee	Role/Task
	<p>should be informed in writing and referred to the complaints procedure (see Annexure L).</p> <ul style="list-style-type: none"> ii. Consult with the Complainant about attempting the complaints resolution process first; iii. Proceed to a formal investigation; iv. Proceed to a formal disciplinary investigation and recommend suspension (if applicable). <p>c) In any discussion about the matter during the investigation:</p> <ul style="list-style-type: none"> i. The IO may ask questions of clarity from the Complainant or Respondent. ii. The IO may speak to witnesses identified by the Respondent or Complainant at this point, recognising that both the Respondent and Complainant can add additional witnesses if the matter proceeds to a hearing if they so wish. <p>d) Upon conclusion of the investigation, the IO shall refer the file of evidence to the Campus Head/Disciplinary Officer with a recommendation, based on the balance of probabilities, that the event as described by the Complainant did occur as described, that:</p> <ul style="list-style-type: none"> i. The matter may not be pursued on the basis of insufficient grounds for proceeding against the Respondent; in which case the Campus Head/Disciplinary Officer will inform the person(s) having raised the allegation (Annexure M: Conclusion of Investigation: Withdrawal Based on Insufficient Grounds for Proceeding Against the Student - Recommendation A). The case can only be re-opened if additional corroborating evidence is produced by this person within 48 hours of the decision being communicated to the Complainant by the Campus Head or DO; or ii. A minor penalty be imposed subject to the Respondent accepting this penalty without a verdict of guilty being filed against the person, failing which the matter would proceed to a disciplinary hearing (Annexure N: Conclusion of Investigation: Recommendation of Investigating Officer – Recommendation B) iii. A penalty be imposed as a result of a student admitting guilt during or upon conclusion of the investigation and the student waiving, in writing,

Person/Committee	Role/Task
	<p>his/her right to a formal disciplinary hearing (Annexure O: Admission of Guilt and Waiver of Hearing by Respondent) AND (Annexure P: Notice of Penalty- Student Admitted Guilt During Investigation Phase and Waived Right to Hearing – Recommendation C);</p> <p>iv. The student be formally charged with misconduct as; on the balance of probabilities that the conduct did occur and was of sufficiently a serious nature that if the Respondent is found guilty a penalty of suspension or expulsion may follow, and/or the student has not admitted guilt and waived right to hearing (Annexure Q: Notice to Respondent/Complainant on Outcome of Disciplinary Investigation (Recommendation D) or (Recommendation E) and then the following (or together with the following).</p> <ul style="list-style-type: none"> ○ Annexure S: Notice of Disciplinary Hearing – (Respondent). ○ Annexure T: Notice to Attend a Disciplinary Hearing – Complainant. ○ Annexure U: Notice to attend a Disciplinary Hearing (Witness) ○ Annexure V: Notice to Attend a Disciplinary Hearing – Disciplinary Committee. ○ Annexure W: Notice to Attend a Disciplinary Hearing – Interpreter. <p>v. The student be suspended and formally charged with misconduct as on a balance of probabilities the conduct did occur and warrants suspension under the Policy and such conduct was of a serious nature that if the Respondent is found guilty a severe penalty including suspension and expulsion may be imposed (Annexure G: Notice of Suspension) and Annexure Q: Notice to Respondent/Complainant on Outcome of Disciplinary Investigation) and then the following (or together with the following):</p> <ul style="list-style-type: none"> ○ Annexure S: Notice of Disciplinary Hearing – Respondent). ○ Annexure T: Notice to Attend a Disciplinary Hearing – Complainant.

Person/Committee	Role/Task
	<ul style="list-style-type: none"> ○ Annexure U: Notice to attend a Disciplinary Hearing (Witness) ○ Annexure V: Notice to Attend a Disciplinary Hearing – Disciplinary Committee. ○ Annexure W: Notice to Attend a Disciplinary Hearing – Interpreter. <p>e) The IO will normally be called as a witness to explain the investigation process if he/she is not the Prosecutor.</p> <p>f) The IO may make a recommendation to the Campus Head within one working day of receipt of complaint that the student be suspended from access to The IIE campus if the alleged misconduct poses a threat of:</p> <ul style="list-style-type: none"> i. Disruption of activities on the campus of The IIE; ii. Injury to a person; iii. Damage to property; iv. Interference with witnesses or the Complainant, any student or staff/independent contractor or other official of The IIE; or v. Theft of property of The IIE or any other person on The IIE’s campuses. <p>g) Makes a recommendation, within two working days of receipt of complaint, to the Campus Head, on how to further proceed with the case. This will be based on the preliminary review of the allegations and supporting evidence.</p> <p>h) Sends a notice of investigation to the student within two working days of receipt of complaint providing the student the option to present his/her case to the IO for information gathering purposes/or to submit any supporting evidence/or to submit a written statement in response to the allegations.</p> <p>i) May (if required) send a notice of investigation to the complainant within two working days of receipt of complaint, indicating the need to clarify/verify any aspect of the allegation(s).</p> <p>j) Creates and maintains a complete file of evidence.</p> <p>k) May present the case at the disciplinary hearing (IO becomes the Complainant); presents evidence and cross/re-examines the witnesses and/or Respondent / Respondent’s Representative.</p>
Mediator	<p>a) Assists with dispute and grievance resolution, e.g., Student Support Team member or SST. Externally trained mediators can be used when required.</p>

Person/Committee	Role/Task
	<p>b) Meets the Respondent and Complainant and then together seek to achieve the resolution that both the Respondent and Complainant will agree to.</p>
<p>Registrar / Deputy Registrar/ Registrar's delegate</p>	<p>a) The Registrar or relevant Deputy Registrar/ Registrar's delegate is responsible for ensuring the constitution of the Appeals Committee in accordance with section 10.1.</p> <p>b) The Registrar or Deputy Registrar/ Registrar's delegate is responsible for ensuring that members of the Central Academic Team (CAT) carry out their roles as per this Policy.</p> <p>c) Campuses may consult with the Registrar or the Deputy Registrar/ Registrar's delegate on matters that are being handled on campus, but the person with whom they consulted may then not be part of an Appeals Committee on the same matter.</p> <p>d) Gives permission for a complaint to be handled that dealt with an event that occurred three months or more prior to the complaint being laid and which has not re-occurred since the first occurrence.</p> <p>e) Receives the complaint in Complaint Resolution Level 2 if such a complaint is an institutional matter and directs it to the relevant person or other person.</p> <p>f) The DO or a person nominated by the DO or the Registrar/ Deputy Registrar/ Registrar's delegate, will follow this process during the Level 2 Complaint Resolution Process.</p> <ul style="list-style-type: none"> i. Discuss options for resolution with all parties concerned. ii. Consider all relevant matters and, where appropriate, make further enquiries with due regard to the privacy and dignity of the Complainant and the Respondent. iii. The investigation (seeking additional information on the matter) shall not go beyond people listed by the parties as being relevant to the resolution unless the DO has informed both parties that he/she will be speaking to people not listed. iv. The investigation will only be of a scope limited to gaining information to make a recommendation. v. The person doing the investigation is always entitled to consult with the Registrar, Deputy Registrar/ Registrar's delegate, or other appropriate senior person from CAT, or the brand national team on technical matters related to the policy. vi. The following outcomes are possible:

Person/Committee	Role/Task
	<ul style="list-style-type: none"> • Recommend a solution to the parties and record their agreement or not as above. This may include some form of appropriate logical penalty or redress action on the part of the Respondent. • Recommend to the Campus Head, or Registrar, or relevant Deputy Registrar the appointment of a trained Mediator if so agreed by all parties. • Recommend that a more formal process be followed within the disciplinary code. <p>g) Only the Registrar can provide written approval to a student expelled from The IIE's campus to be re-enrolled on any campus of The IIE.</p> <p>h) Ensures that training is arranged on this Policy for at least two of the Campus Disciplinary Committee members to attend.</p> <p>i) Is part of the Disciplinary Appeals Committee.</p> <p>j) Once the Registrar/Deputy Registrar/ Registrar's delegate receives all relevant documents related to an Appeal from the Campus Head, s/he shall cause the Disciplinary Appeals Committee to meet within three working days of receipt of the documents concerned (see Annexure DD).</p> <p>k) Considers recommendation from the person doing the investigation for the appointment of a trained mediator if so agreed by all parties.</p>
Respondent	a) Involves herself or himself in the complaint resolution process directly with the complaint or with the mediator where applicable.
Representative	<p>a) Supports, advises and represents either the Respondent or the Complainant at his/her request throughout any process outlined in this Policy.</p> <p>b) Supports, guides and advises the complainant or respondent on any part of the process, but in the case of the complaints process may not speak on behalf of the student concerned, but can be present in all interactions to assist the student.</p> <p>c) Assists the student during the disciplinary investigation and or hearing. May re-examine any witness if requested to do so by the represented student.</p> <p>d) The student representative participates in the DAC meetings.</p>
Office of the Registrar	a) Will approach any campus for a student representative from its Student Representation Committee (SRC)

Person/Committee	Role/Task
	<p>/equivalent committee, or the Academic Forum who is in at least their second year of study. The student may be selected from any IIE campus – not necessarily from the same campus at which the alleged offence occurred – with a view to ensuring that the student representative has no personal conflict of interest in terms of the case, i.e., the Respondent and the Student Representative should not have a personal relationship.</p> <p>b) Must file a copy of the decision of the Appeals Committee.</p> <p>c) Files the Disciplinary Appeals Case book submitted by the Chair of the DAC.</p>
Prosecutor	<p>a) The Prosecutor (<i>who may be the Investigating Officer, who may in fact be the Disciplinary Officer</i>) presents the case against the Respondent.</p> <p>b) If the student pleads not guilty, the Prosecutor (who may be the Complainant or the Investigating Officer) proceeds with presenting evidence supporting the charges through cross-examining the Complainant and/or any of his/her witnesses and/or submitting into evidence any written statements.</p> <p>c) Prosecutor may re-examine any witness.</p>
Scribe	Records the proceedings of the Disciplinary Hearing using an electronic device and takes detailed minutes of the meeting.
Student Support Team Member	Engages with the Respondent when required to do so and resolves or finalises the dispute within five working days of it being raised. Captures outcome on the IIE Assist and annotates student's Student Information System record or other appropriate record of both parties.
Witnesses	<p>a) Has direct knowledge of the events. S/he gives testimony of the facts to the Investigating Officer and/or the Disciplinary Committee.</p> <p>b) Answers questions from the Complainant, IO, Respondent / Respondent Representative or Chair of disciplinary hearing.</p> <p>c) May not discuss the matter while the hearing is in progress – even if they have given evidence - as they may still be recalled.</p>
IIE Group Legal Manager/ Committee Secretary/ Group Legal Advisor	<p>a) Chairs DAC meeting.</p> <p>b) Communicates outcome of DAC meeting to CP.</p> <p>c) Keeps record of all appeals considered and their outcomes.</p>
Disciplinary Committee (DC)	Hears and decides alleged misconduct cases. Decisions taken by majority vote.
Disciplinary Appeals Committee (DAC)	Considers notice of appeal, record of disciplinary proceedings and then hears and decides on appeal.

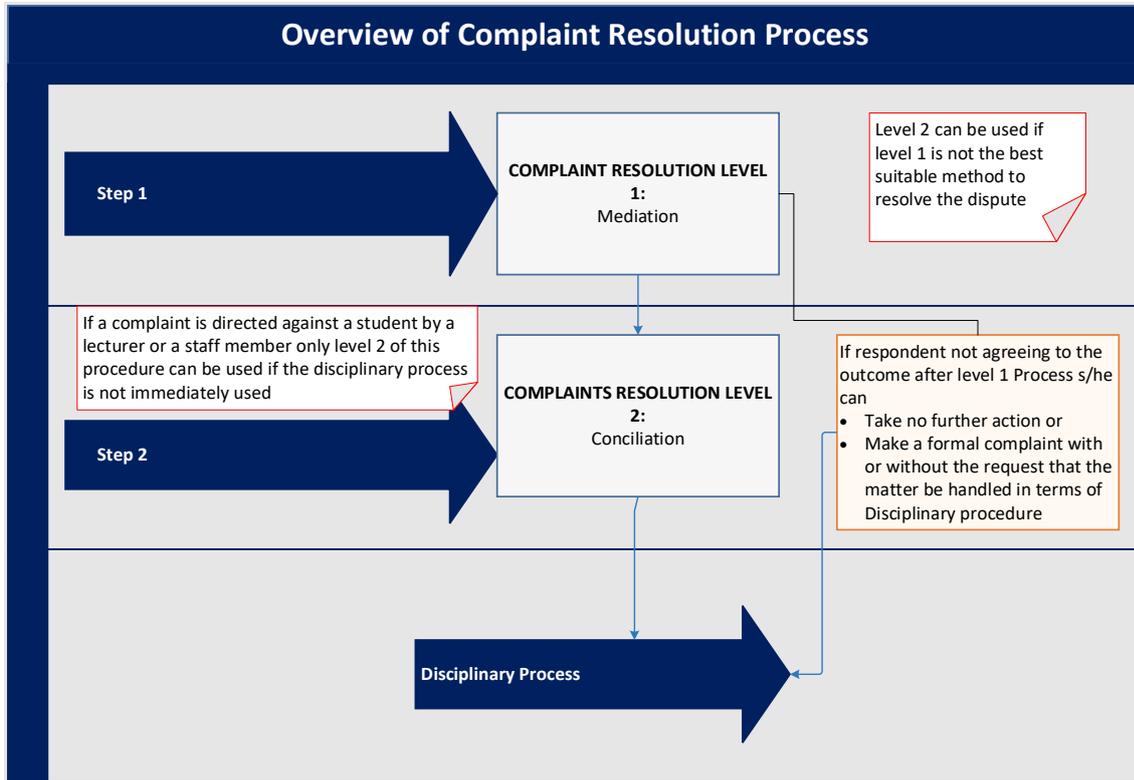
B3 Composition of Structures Involved in the Disciplinary Process

Structure	Composition
Disciplinary Committee (DC)	a) The Disciplinary Officer or his/her nominee as chair. b) Two staff members/independent contractors per faculty. c) Two students selected by the Chairperson from the Student Representation Committee (SRC)/equivalent committee or the Academic Forum. Students do not necessarily have to be selected from the same campus at which the alleged offence occurred. d) Prosecutor. <i>(Please note section 4.2 of the IIE015 Policy on how the Disciplinary Committee is constituted for students registered in the Distance Mode).</i>
Disciplinary Appeals Committee (DAC)	a) The Group Legal Manager of The IIE (Chair)/the Company Secretary (Chair) or Group Legal Advisor (Chair). b) The Registrar/Deputy Registrar/ Registrar's delegate. c) A student representative. – The Office of the Registrar will approach any campus for a student representative from its Student Representation Committee (SRC)/equivalent committee, or the Academic Forum who is in at least their second year of study. The student may be selected from any IIE campus - not necessarily from the same campus at which the alleged offence occurred – with a view to ensuring that the student representative has no personal conflict of interest in terms of the case, i.e., the Respondent and the Student Representative should not have a personal relationship. If the committee is sitting during a period in which the student forum or liaison body representatives are not available a student in their third year of registration may be substituted.

B COMPLAINT RESOLUTION PROCESS: MEDIATION AND CONCILIATION

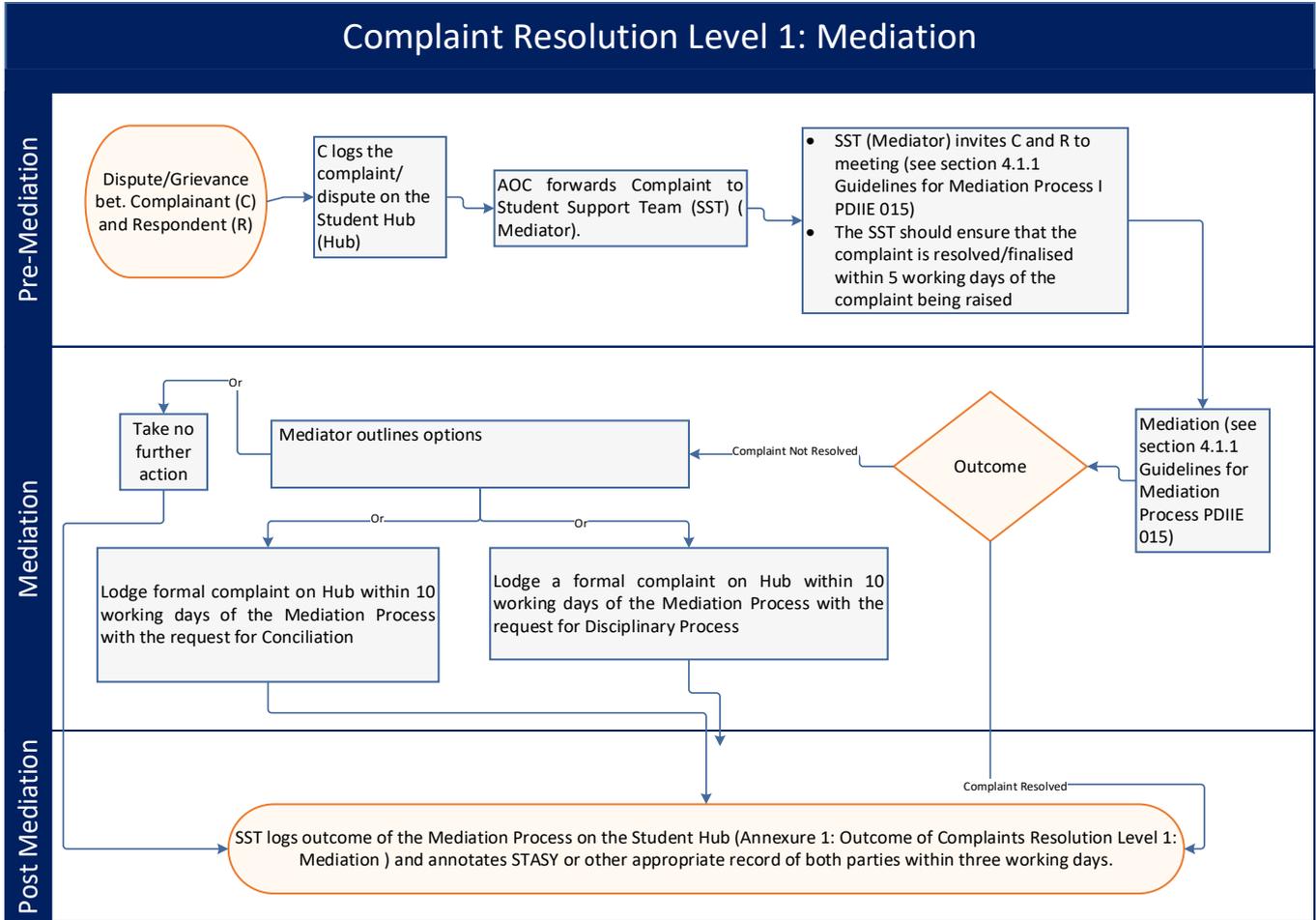
C1 Overview of Complaint Resolution Process

The following is an overview of the Complaints Resolution Process:



C2 Student Complaint Resolution Process

Step 1: Complaint Resolution Level 1: Mediation



1.1 Guidelines for the Mediation Process

(1) Preparing for conciliation or informal mediation

- a) Mediator to ensure that participants in the Mediation process understand the facts and issues.
- b) Mediator to assist Complainant and Respondent to decide what is the least and most that each one of them can expect in resolution of the dispute or complaint.
- c) Mediator needs to determine from the Complainant and Respondent:
 - i. What they regard as not negotiable.
 - ii. What the other side cares about.
 - iii. What is in both their interests.
- d) Discuss options for resolution with all parties.
- e) Considering all relevant matters.
- f) Facilitating the parties to reach a consensus or agreement.

(2) Mediation process

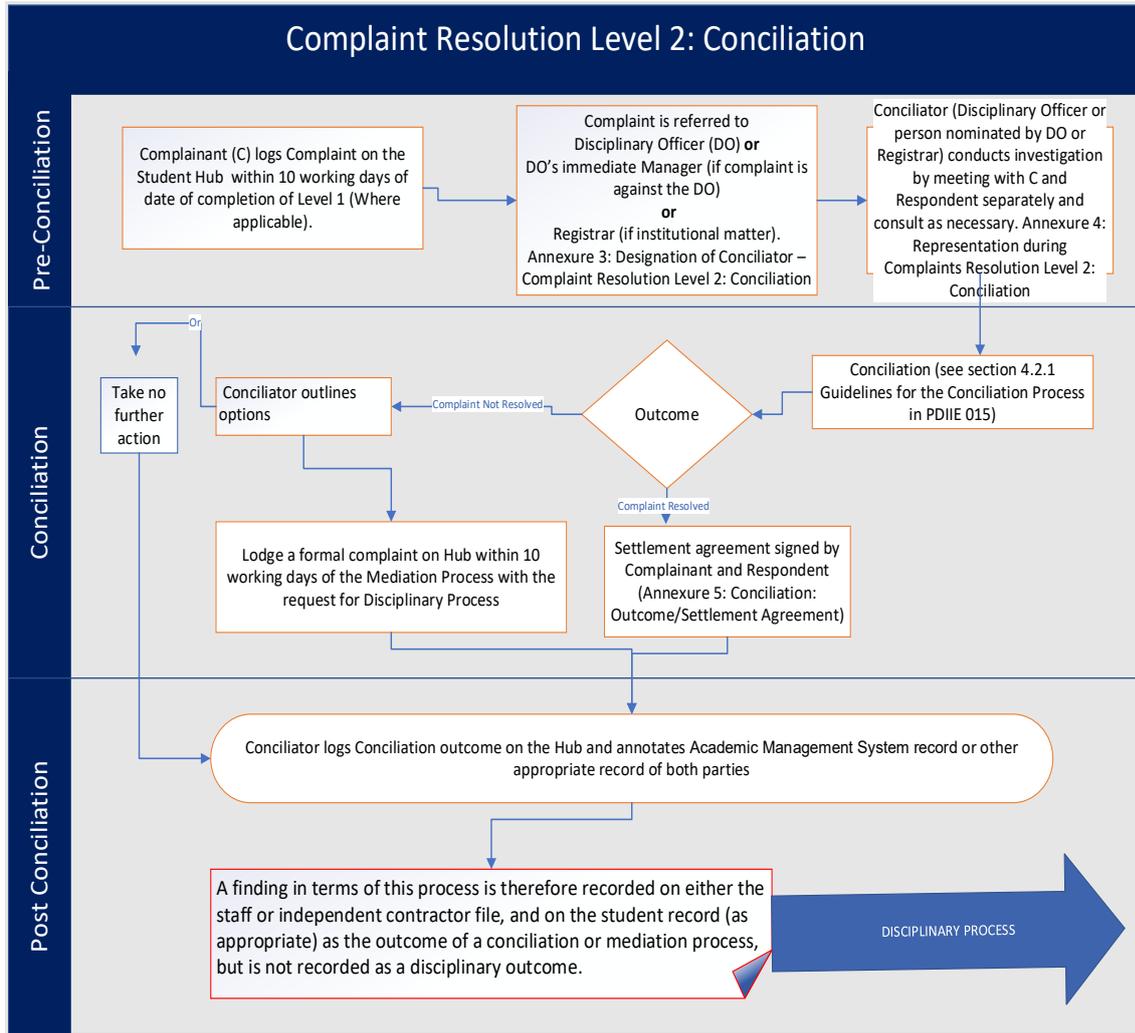
- a) Help the parties to build a good rapport with each other during the Mediation process.
- b) Advise the parties not to:
 - i. Be accusatorial and to speak about what they would like (e.g., I feel, or I think...) and to be considerate of what the other side would like.
 - ii. Make unfair or unreasonable or unrealistic demands.
 - iii. Become abusive, over-emotional or threatening.
- c) With the parties, brainstorm solutions or options to solve the problem.
- d) Where necessary, advise parties to offer to give something away in exchange for something from the other side.
- e) Determine the way forward and reach an agreement through:
 - i. helping parties identify common interests;
 - ii. moving the process if the other side does not consider offering a compromise;
 - iii. making the agreement or solution as fair as possible; and
 - iv. using objective criteria to measure compliance with the agreement.

RESPONDENT	
I _____ hereby choose to be bound by the abovementioned outcome of the Complaint Resolution Level 1 process.	
_____ Signature [Insert Name]	_____ Date

COMPLAINANT	
I _____ hereby choose to be bound by the abovementioned outcome of the Complaint Resolution Level 1 process.	
_____ Signature [Insert Name]	_____ Date

MEDIATOR	
_____ Signature [Insert Name]	_____ Date
[Insert Designation (e.g., SST)]	

Step 2: Complaint Resolution Level 2: Conciliation



2.1 Guidelines for the Conciliation Process

(1) Introduction

- a) The Conciliator welcomes the parties and ensures that they are all comfortable and allows them to introduce themselves.
- b) The Conciliator lays the foundation for the process by explaining the rules (e.g., no abusive language, interruption, threats, use of cell phone, etc.), including explaining that s/he will not take sides.

(2) Telling the story

- a) Each party tells what happened. The party bringing the complaint tells her or his or their side of the story first. No interruptions are allowed.
- b) Then the other party tells his or her or their version of the facts.
- c) The Conciliator is advised to take notes under each step in the process.

(3) Identifying the facts and issues

- a) The mediator attempts to identify facts and issues agreed upon by the parties.
- b) This is done by listening to each side, summarising each party's views and asking if these are the facts as each party understands them.

(4) Identifying alternate solutions

- a) Everyone thinks of possible solutions to the problem.
- b) The Conciliator makes a list and asks each party to explain their feelings about each solution.

(5) Revising and discussing solutions

- a) Based on the expressed feelings of the parties, the Conciliator revises possible solutions and attempts to identify a solution to which both parties can agree.

(6) Reaching agreement or settlement

- a) The Conciliator helps the parties reach an agreement with which both can live. If the parties cannot reach an agreement, the Conciliator identifies the best possible solution in their view as a settlement for the dispute.
- b) The agreement or settlement should be written down (see Annexure 5).
- c) The parties should also discuss what will happen if either of them breaks the agreement.

Annexure 2: Designation of Conciliator – Complaint Resolution Level 2: Conciliation

(Printed on brand letterhead)

CONCILIATION

Designation of Conciliator – Complaint Resolution Level 2: Conciliation

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., Rcpta042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of Conciliator]

Dear Mr/Ms *[Insert Name of Conciliator]*

This letter serves to inform you of your appointment as a Conciliator between the Complainant, ***[Insert Name of Complainant]***, and Respondent, ***[Insert Name of Respondent]***. For ease of reference, I have attached a copy of the complaint to this e-mail.

You are required to meet with the Respondent and Complaint separately and then together and seek to achieve a resolution that both will agree to.

You are also requested to communicate the outcome to me, and I will ensure that both parties are formally notified of the outcome.

Kindly confirm acceptance of this appointment via e-mail to ***[State E-Mail Address of Campus Head/Disciplinary Officer]***.

Yours faithfully

[Insert Name]

Campus Head/ Disciplinary Officer

Annexure 3: Representation during Complaint Resolution Level 2: Conciliation

(Printed on brand letterhead)

CONCILIATION

Representation during Complaint Resolution Level 2: Conciliation

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other format of use to Brand

[Insert Date]

[Insert Name of Disciplinary Officer/DO'S Immediate Manager/Registrar/Deputy Registrar]

Dear Mr/Ms *[Insert Name of Disciplinary Officer/DO'S Immediate Manager/Registrar/Deputy Registrar]*

- (1) Please be informed that I have elected to be represented by the following person during the Conciliation process.

Name of representative		
Designation (please tick)	<input type="checkbox"/>	Student
	<input type="checkbox"/>	Independent Contractor
	<input type="checkbox"/>	Staff member

[Insert Name and Surname]

Date

Please tick below

Complainant	<input type="checkbox"/>
Respondent	<input type="checkbox"/>

I, the undersigned hereby acknowledge that I have agreed to represent and/or support _____ during the Complaint Resolution Level 2 process.

Name of Representative		
Designation (please tick)	<input type="checkbox"/>	Student
	<input type="checkbox"/>	Independent Contractor
	<input type="checkbox"/>	Staff member

[Insert Name and Surname]

Signature

Date

RESPONDENT

I _____ hereby confirm to be bound by the abovementioned settlement agreement from the Complaint Resolution Level 2 process.

Signature
[Insert Name]

Date

COMPLAINANT

I _____ hereby confirm to be bound by the abovementioned settlement agreement resulting from the Complaint Resolution Level 2 process.

Signature
[Insert Name]

Date

CONCILIATOR

Signature
[Insert Name]

Date

Please tick below

(a) Disciplinary Officer or Campus Head	
(b) Immediate Manager of the Disciplinary Officer	
(c) Registrar	
(d) Other (Please specify)	

C3 Student Complaint to External Parties

1 DEPARTMENT OF HIGHER EDUCATION AND TRAINING

- (1) **DHET Complaint Form:** DHET requires complainants (i.e., students, account payers, parents, guardians, etc.) to complete a DHET's Complaints Form (see Annexure 2) when lodging a complaint with the Directorate: Registration of Private Higher Education Institutions.
- (2) **Annexure A:** A pre-condition for lodging the complaint with the DHET is that the complainant should ensure that they have requested the Institution to complete Annexure A of the DHET's Complaint Form, which the complainant will submit together with the Form to the Directorate.
- (3) **Annexure A** of the DHET's Complaints Form must be completed by the Institution as proof that the student made every attempt to resolve the grievance with the Institution.
- (4) Annexure A of the DHET's Complaints Form must be completed by the Institution as proof that the student made every attempt to resolve the grievance with the Institution.
- (5) Annexure A of the DHET's Complaints Form must be completed by the Institution as proof that the student made every attempt to resolve the grievance with the Institution.

PROCESS FOR LODGING A COMPLAINT WITH RESPECT TO REGISTRATION AT A PRIVATE HIGHER EDUCATION INSTITUTION

Kindly note the following:

1. Before you lodge a complaint with the Directorate: Registration of Private Higher Education Institutions ("the Directorate") of the Department of Higher Education and Training ("the Department"), please ensure that you have made every attempt to resolve the grievance with the institution in line with the institution's grievance policy.
2. Kindly note that you are required to attach **Annexure A** which must be completed by the Head of the Institution or a person in an equivalent position and attached to this form. **Complaints will not be processed if you do not complete Annexure A.**
3. A complaint will be processed within **12 to 16 weeks** but delays may be experienced due to the nature of the investigation or due to circumstances beyond the control of the Directorate.
4. Should you not receive a response from the Directorate **after 8 weeks**, please contact Ms Maria Mphaho, Personal Assistant, at Mphaho.M@dhet.gov.za.
5. Complaints on Private Colleges must be lodged with the Directorate: Private Colleges for the attention of Ms Monica Motloi, Deputy Director at Motloi.M@dhet.gov.za.
6. Complaints on the Institute for Certified Bookkeepers (ICB), Damelin Correspondence College (Pty) Ltd, INTEC College (Pty) Ltd, SETAs and other Private Skills Providers must be lodged with the Quality Council on Trades and Occupations (QCTO) for the attention of Mr MacPherson at MacPherson.R@qcto.org.za, Director at the QCTO.

Kindly complete the following with respect to the formal lodging of the complaint and attach the supporting documents where required.

Date of Lodging the Complaint		
Name and Surname of Complainant if not the Student. Indicate if Parent, Guardian/Other.		
Surname of Student		
Name of Student		
Student Number		
Contact Details		
Name of Institution		
Is it a registered Private Higher Education Institution?	Yes	No
Date of Enrolment		
Programme enrolled for		
Is it an approved higher education programme?	Yes	No
Comments:		
Nature of the complaint.		
What steps did you take to resolve the complaint with the institution and what is the final outcome? Kindly complete and attach <u>Annexure A</u>.		

How would you like the Department to assist?
What remedy are you seeking?
Signature

Annexure A

This declaration must be signed by the Registrar/Head of the Institution or a person in an equivalent position as proof that the student did indeed lodge a complaint with the Institution, that the Institution investigated the complaint and made a final ruling.

Surname	
Name	
Student Number	
Programme Enrolled on	
Nature of Complaint	
Remedy/Recourse Sought	
Final Ruling	
Other	

I hereby declare that the above information is correct.

Name and Surname of Compiler/Registrar/Head/Executive Member:

Designation:

Signature: _____ Date: _____

INSTITUTION'S STAMP

This form was updated on 26 July 2022.⁴

⁴ DHET form first published on 19 March 2022

2 BRITISH ACCREDITATION COUNCIL (BAC)

- (1) BAC has a formal student complaints procedure for all accredited providers which is covered in the Accreditation Handbook.
- (2) BAC promises to try to help the student resolve a dispute with a BAC-accredited provider, but there are some things that the student will have to do before BAC can take up the case:
- (3) The student needs to show that they have read the provider's Terms and Conditions in relation to the complaint and that they made a satisfactory effort to try and resolve the complaint with the institution directly through the provider's complaints procedure.
- (4) BAC can only pursue a complaint if the student provides written and signed authorisation to do so. Formal letters of complaint are posted to BAC's London office.
- (5) BAC will only consider complaints that are directly relevant to the standards for accreditation (see the Accreditation Handbook for details).
- (6) BAC, requires the following from a student lodging a complaint:
 - a) A full description of all circumstances leading to the complaint being made.
 - b) A signed statement authorising BAC to contact the institution on the student's behalf.
 - c) All documentation relating to the complaint being made, including, but not limited to:
 - i. enrolment letters
 - ii. any receipts for payments made to the institution
 - iii. any visa letters sent and received (if relevant to the complaint)
 - iv. any correspondence between you and the institution which relates to this complaint (this should include documentary evidence that the provider's own complaints procedure has been used and exhausted)
 - v. the provider's terms and conditions and/or refund policy, if you have access to this
 - vi. any other relevant documentary evidence
 - vii. students to ensure that they retain copies of all submitted documents as it will not be possible for BAC to return them
- (7) The BAC Complaints Process appears in Chapter 10: COMPLAINTS of the BAC's Accreditation Handbook which is available at <http://www.the-bac.org/wp-content/uploads/2021/04/Accreditation-Handbook-2019-webcompressed.pdf>

C DISCIPLINARY PROCESS

D1 Schedule of Possible Penalties

Offence	First offence (not serious with mitigators)	Second offence (not serious)	First serious offence	Second or subsequent offences of more serious nature
Taking into an assessment venue or have in his/her possession whilst in the venue, any books, memoranda, notes, devices, or any paper whatsoever, except such answer books or other books or papers or devices as have been authorised by the Invigilator or for an open book assessment ⁵ .	If no evidence that the student has used or attempted to use these. Written warning. Mark for assessment disallowed.	Suspension Mark for assessment disallowed.	Evidence that the student has used the material or was trying to conceal it. Suspension, final written warning or expulsion. Mark for assessment disallowed.	Suspension or expulsion. Mark for assessment disallowed.
Falsifying documents (e.g., medical certificates)	This is always considered as serious.	This is always considered as serious.	Final written warning or suspension or expulsion and negation of all benefits that came from the document.	Expulsion and negation of all benefits that came from the document.
Compromising the privacy of any individual, including stalking (in person or virtually) ⁶ .	Always considered as serious.	Always considered as serious.	Suspension or final written warning.	Expulsion

⁵ S51: 2019-07-11 Item 7.2.6 (b).

⁶ S51: 2019-07-11 Item 7.2.6 (b).

Offence	First offence (not serious with mitigators)	Second offence (not serious)	First serious offence	Second or subsequent offences of more serious nature
Assault	Always serious	Always serious	Final written warning or suspension or expulsion.	Expulsion
Harassing or threatening or bullying or causing any of these actions towards any other person on or off-campus in any manner including in person or using any digital means or media ⁷ .	If there are significant mitigating circumstances such as the incident being isolated or severe provocation then warning, final written warning or suspension.	Final written warning or suspension or expulsion.	Final written warning or suspension or expulsion.	Expulsion
Fraud other than documentary fraud (already covered)	Restitution and final written warning.	Restitution and suspension.	Restitution and suspension or expulsion.	Restitution and expulsion.
Damage to property	Restitution ⁸ and written warning.	Restitution and final written warning or suspension.	Restitution and suspension.	Restitution and expulsion.
Presence in a restricted area	Written warning	Final written warning.	Suspension	Expulsion
Conduct that brings The IIE and/or its staff members or ICs into disrepute including when engaged in work-integrated learning or any activity in which he/she represents The IIE or can be identified as a student of The IIE. This includes but is not limited to; refraining from misconduct and conducting oneself in accordance with the appropriate conventions of the context concerned ⁹ .	Written warning and restitution which may include an apology on the same medium.	Final written warning and restitution.	Restitution and final written warning.	Restitution and suspension or expulsion.

⁷ S51: 2019-07-11 Item 7.2.6.

⁸ S51: 2019-07-11 Item 7.2.6

⁹ S51: 2019-07-11 Item 7.2.6

Offence	First offence (not serious with mitigators)	Second offence (not serious)	First serious offence	Second or subsequent offences of more serious nature
Bring, or be in possession of, or consume alcohol within the precincts of The IIE campus except in the case of official functions convened by the educational brand of The IIE that has consent to serve or allow the use of alcohol, or with the written permission of the Campus Head. OR Be drunk, inebriated or under the influence of alcohol or any other substance on campus under any conditions or at any time ¹⁰ .	Written warning and rehabilitation which may include an apology.	Final written warning and rehabilitation	Final written warning/and or suspension (for a short period e.g. one week or two weeks) and rehabilitation.	Suspension (for a longer period e.g. one week or two weeks) and rehabilitation. Or Expulsion
Using any illegal drugs, or have in his/her possession or control, or supply or attempt to supply, or dispose of or attempt to dispose of any illegal drugs to any person within the precincts of any campus or event or facility of The IIE.	Verbal warning and requirement for rehabilitation programme.	Final written warning or suspension and requirement for rehabilitation.	Suspension and requirement for rehabilitation or expulsion.	Expulsion

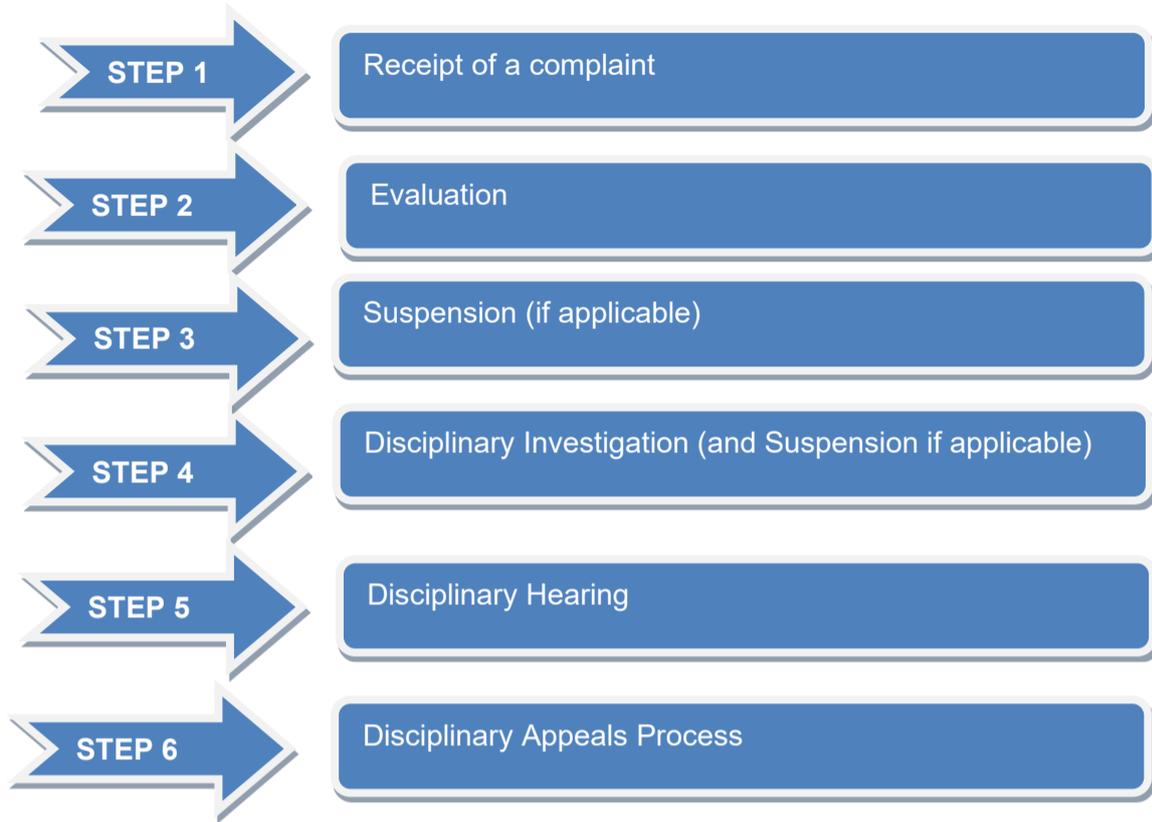
¹⁰ S51: 2019-07-11 Item 7.2.6

Offence	First offence (not serious with mitigators)	Second offence (not serious)	First serious offence	Second or subsequent offences of more serious nature
Selling prohibited substances	Always serious	Suspension or expulsion.	Suspension or expulsion.	Suspension or expulsion.
Bringing within the precincts of The IIE's campus or any other facility in use at the time by The IIE, or have in his/her possession or control, or supply or dispose of to any other person within the precincts of The IIE campus, or any other facility in use at the time by The IIE, any firearm or any object which is capable of being used for the infliction of bodily harm of any kind.	Final written warning only if there was no risk to any other person.	Suspension or expulsion.	Expulsion	
Plagiarism	In line with the Intellectual Integrity Policy (IIE023)	In line with the Intellectual Integrity Policy (IIE023)	In line with the Intellectual Integrity Policy (IIE023)	In line with the Intellectual Integrity Policy (IIE023) Third Offence: Handled in terms of the Student Conduct and Discipline Policy (IIE015) – the penalty could include exclusion from the course.
Collusion including offering a bribe or other inducement	Verbal warning or disallowing assessment result.	Final written warning and disallowing result.	Final written warning or suspension or expulsion.	expulsion
Cheating	Always serious	Always serious	Final written warning or suspension or expulsion or failure or disallowing result.	Suspension or disallowing results for module or assessment or expulsion.

Offence	First offence (not serious with mitigators)	Second offence (not serious)	First serious offence	Second or subsequent offences of more serious nature
Commencing with any research or performing any steps in the research process without obtaining any required ethics clearance or other permissions.	Verbal warning and disallowing project.	Final written warning and disallowing project.	Suspension or expulsion.	Expulsion
Misrepresenting (or falsifying) research results or not taking due care in recording or storing data and results.	Always serious	Always serious	Expulsion	Expulsion

D2 Overview of Disciplinary Process

The following is an overview of the disciplinary process:

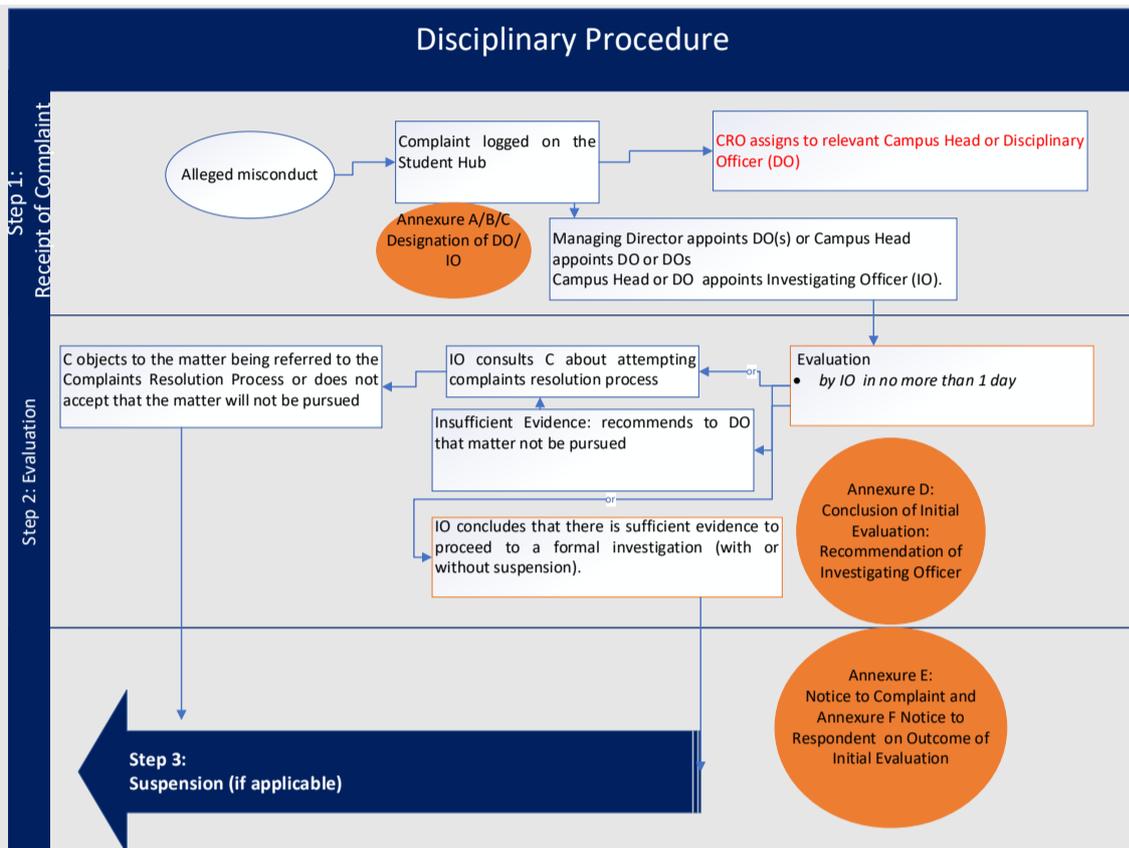


D3 Disciplinary Procedure

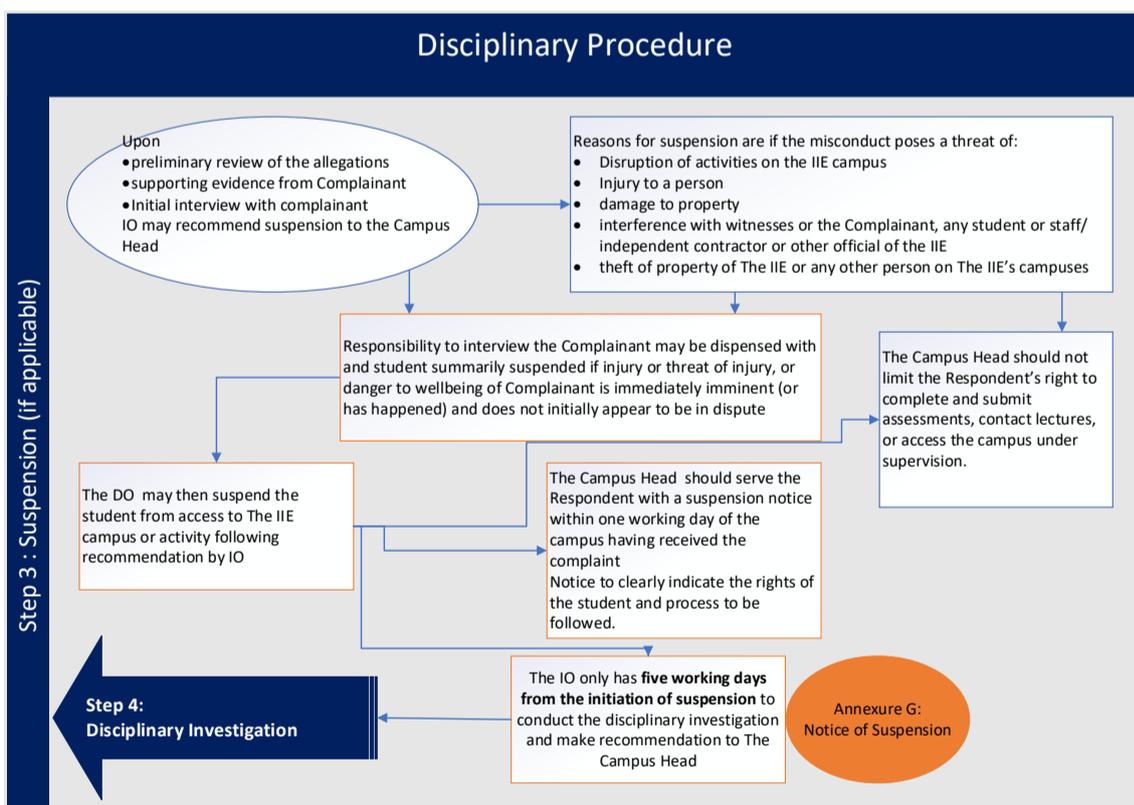
The specific procedures are labelled numerically under each step. Where applicable reference is made to the annexure/template to be used.

Step 1: Receipt of Complaint

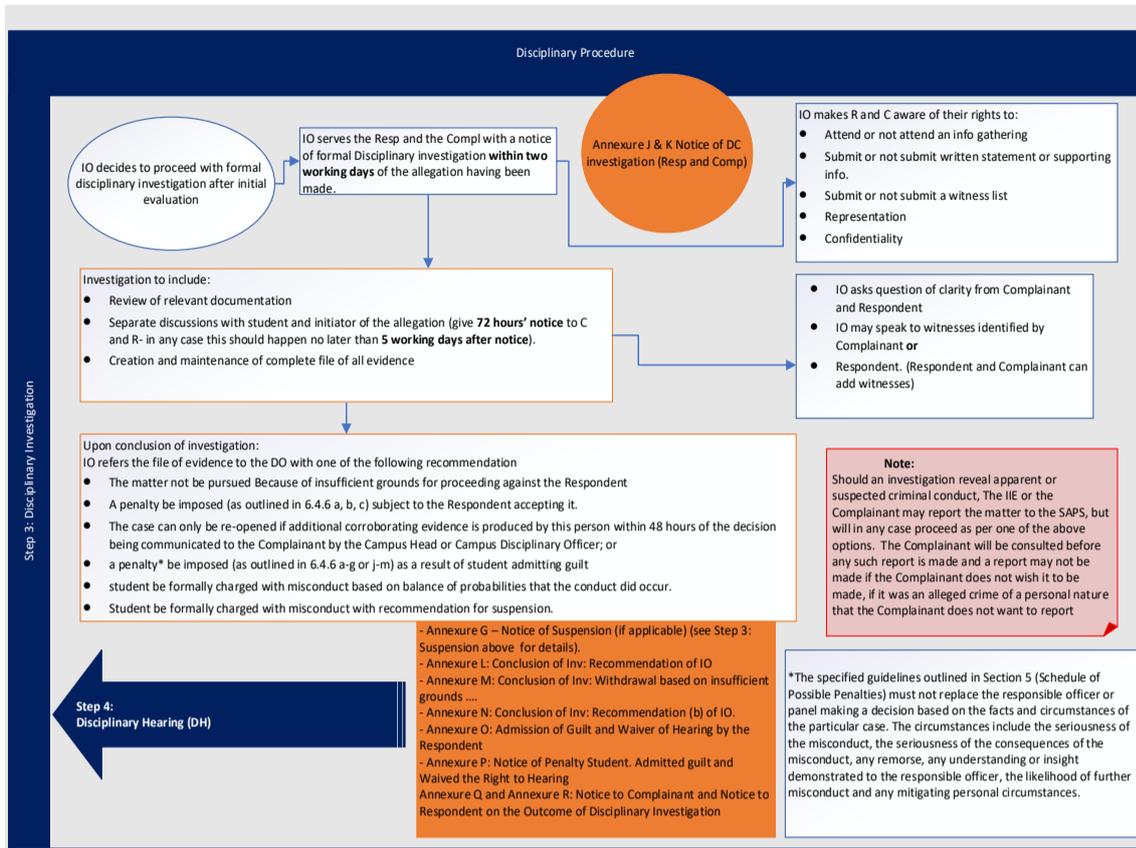
Step 2: Evaluation



Step 3: Suspension (if applicable)

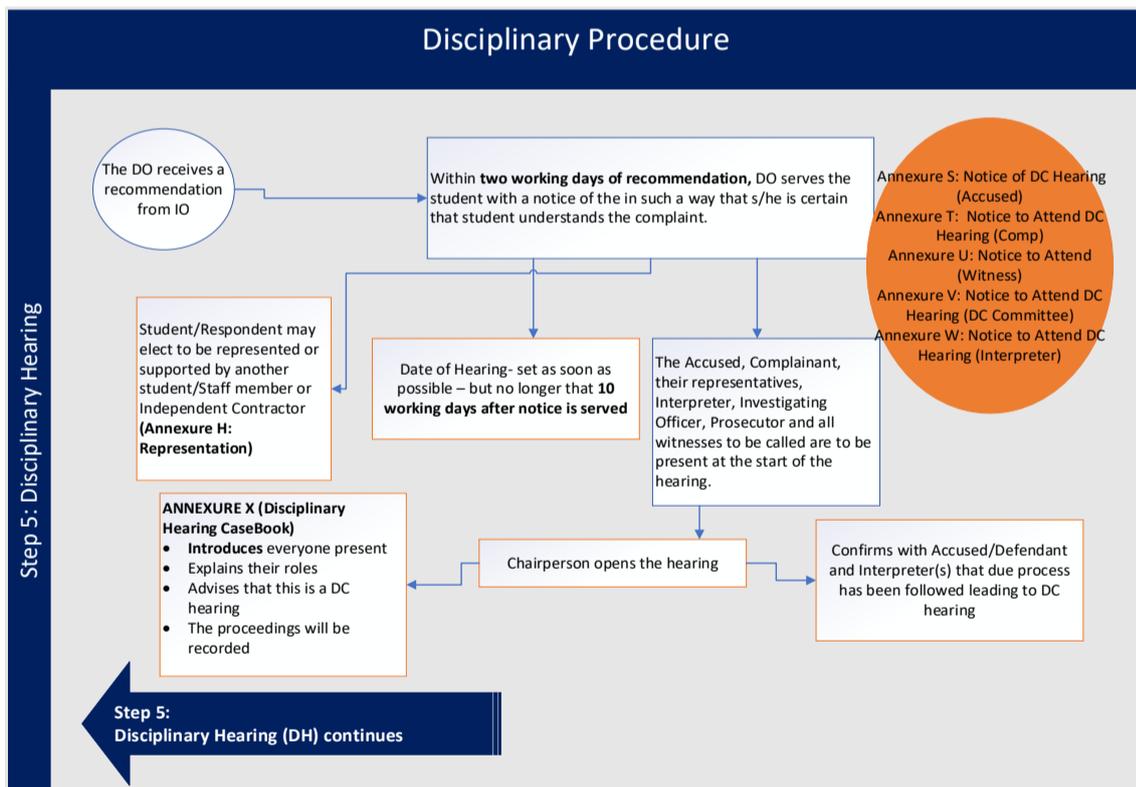


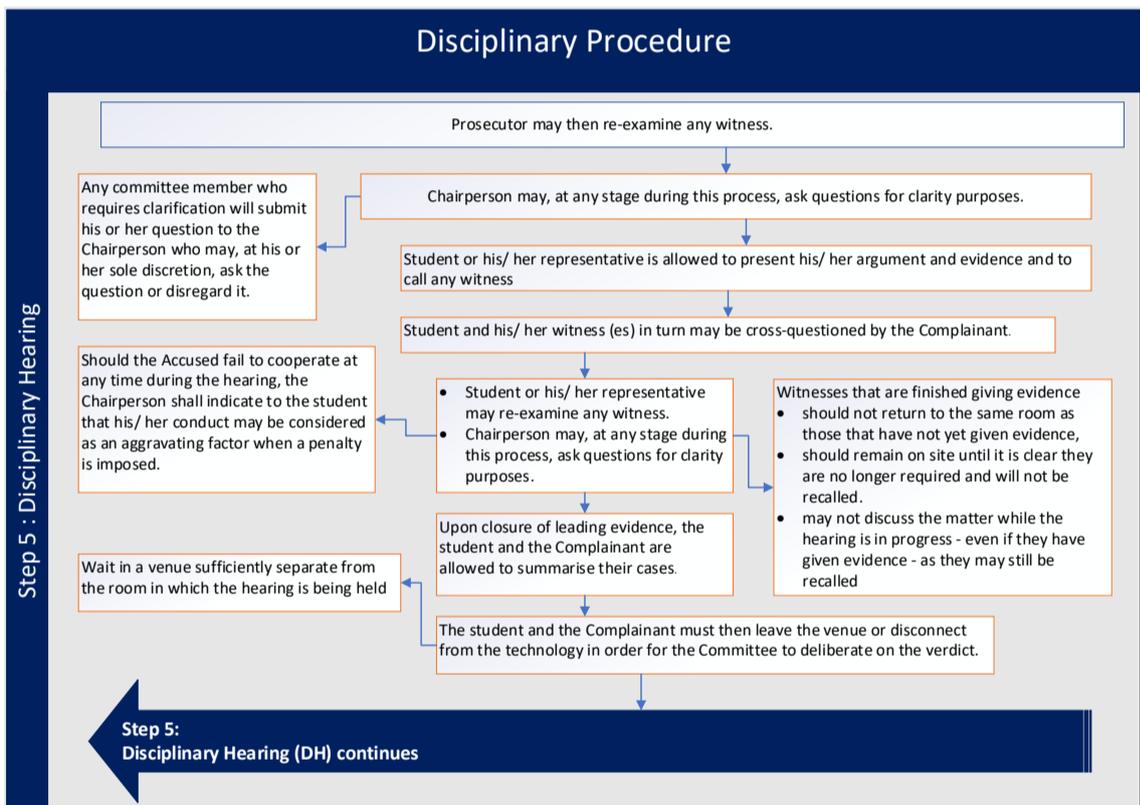
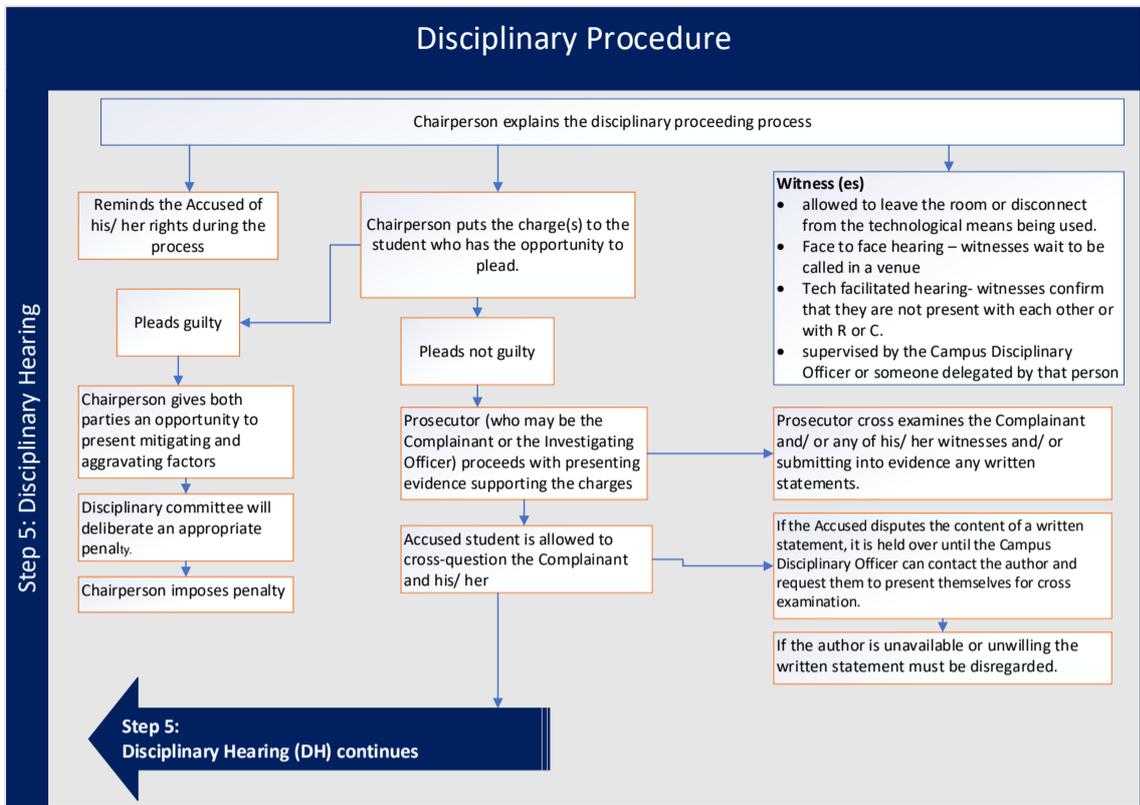
Step 4: Disciplinary Investigation

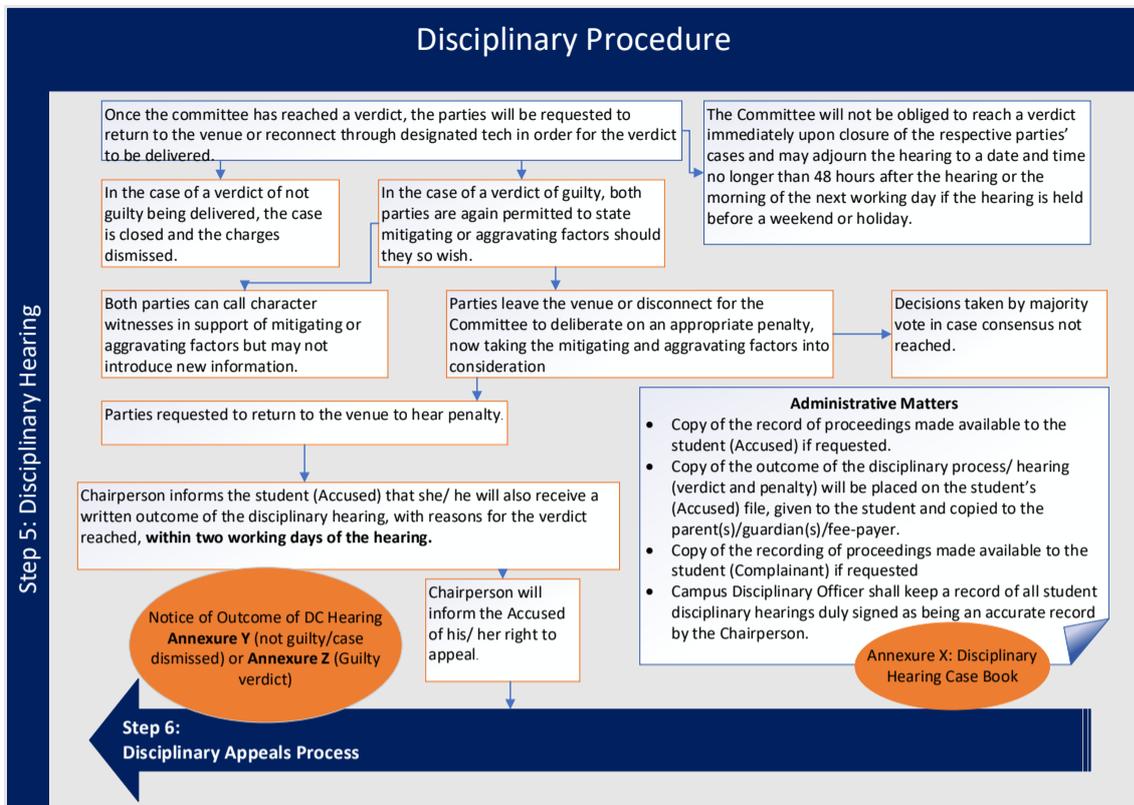


Step 5: Disciplinary Hearing

NOTE: Annexure X (Disciplinary Hearing Case Book) has been designed to assist the Chair (Campus Head/nominee) of the DH to follow the correct procedures. This must be completed by the chair and added to the student's file.

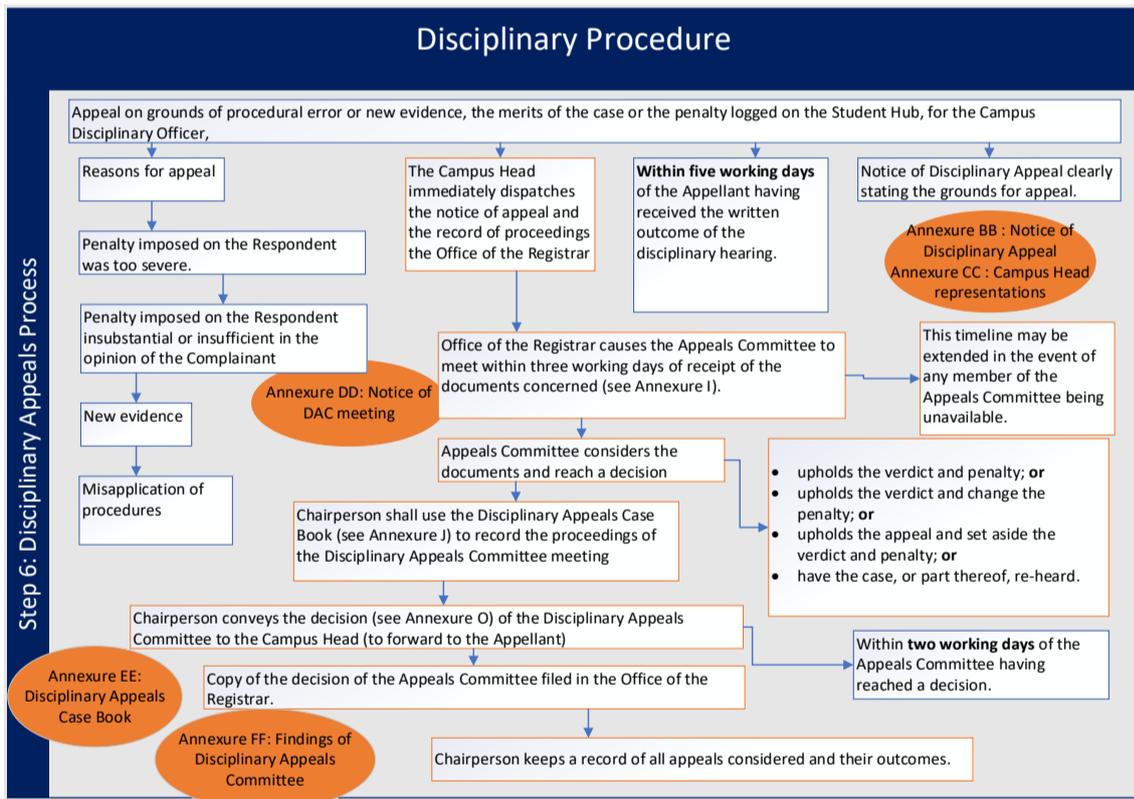






Step 6: Disciplinary Appeals Process

NOTE: **Annexure EE** (Disciplinary Appeals Case Book) has been designed to assist the Chair of the DAC to follow the correct procedures. This must be completed by the Chair and filed in the Registrar's Office.



D4 DISCIPLINARY PROCEDURE SCHEDULE

For each of the stages in the process, the relevant person (e.g., Campus Head, Investigating Officer, Disciplinary Officer) should complete the following disciplinary procedure schedule which shall form part of the record of the disciplinary process followed.

Ann	DISCIPLINARY PROCEDURE SCHEDULE	Page	MARK WITH X OR N/A								
A	Designation of the disciplinary officer										
B	Designation of the investigating officer										
C	Designation of external investigating officer (where applicable/where required)										
Evaluation (Campus Head/Disciplinary Officer/ Investigating Officer)											
D	Conclusion of Evaluation: Recommendation of Investigation Officer										
E	Notice to Complainant on the Outcome of Evaluation										
F	Notice to Respondent on the Outcome of Evaluation										
G	Suspension (if applicable)										
H	Representation										
I	Request for Legal Representation										
<p>NB: After the Evaluation the Investigating Officer to complete (Annexure D: Conclusion of Evaluation: Recommendation of Investigating Officer) and the Campus Head/Disciplinary Officer to issue (Annexure E: Notice to Complainant on Outcome of Evaluation) and (Annexure F: Notice to Respondent on Outcome of Evaluation) and in case of suspension (if applicable) also complete (Annexure G: Notice of Suspension). If proceeding with formal investigation student should be informed of the right to representation and be informed of Annexure H: Representation during Disciplinary Process which must be provided if student requires it. Annexure I is completed In case of a request for legal representation to advise the student that legal representation is not permitted under the IIE 015 Disciplinary Process/Procedure.</p>											
Investigation (Campus Head/Disciplinary Officer/Investigating Officer)											
J	Notice of Disciplinary Investigation (Respondent)										
K	Notice of Disciplinary Investigation (Complainant)										
L	Conclusion of the investigation: Recommendation of Investigating Officer										
M	<p>Notice to Respondent/ Complaint on Outcome of Disciplinary Investigation (Recommendation A)</p> <ul style="list-style-type: none"> - <i>Conclusion of Investigation: Withdrawal Based on Insufficient Grounds for Proceeding Against the Student on the Basis of Allegations</i> 										
N	<p>Conclusion of Investigation: Recommendation of Investigating Officer – Recommendation (B)</p> <ul style="list-style-type: none"> - <i>Penalty be imposed subject to the Respondent accepting this penalty without a verdict of guilty and penalty being filed against her or him or them failing which the matter would proceed to a disciplinary hearing</i> 										
O	<p>Admission of Guilt and Waiver of Hearing by Respondent during Disciplinary Hearing (Recommendation C) (also applicable and must be completed for admission made at Evaluation or Disciplinary Hearing Stage)</p> <p>(Note: Campus Head or Disciplinary Officer or Investigating Officer (during Evaluation or Disciplinary) or Chairperson (during the Disciplinary Hearing) to issue Annexure O to the Respondent if the Respondent makes an admission)</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <tr> <td colspan="2">Please tick relevant stage at which the admission was made.</td> </tr> <tr> <td>Evaluation</td> <td></td> </tr> <tr> <td>Investigation</td> <td></td> </tr> <tr> <td>Hearing</td> <td></td> </tr> </table> <p>This Annexure O should accompany the Investigation Officer's Recommendation (C) in Annexure L following a</p>	Please tick relevant stage at which the admission was made.		Evaluation		Investigation		Hearing			
Please tick relevant stage at which the admission was made.											
Evaluation											
Investigation											
Hearing											

	Disciplinary Investigation process) (The Campus Head or Disciplinary Officer should not accept the penalty recommended by the Investigating officer in terms of Recommendation C if not accompanied by this:														
	<table border="1"> <tr> <td>Please tick</td> <td></td> <td></td> </tr> <tr> <td>a.</td> <td>Admission of guilt (Annexure O)</td> <td></td> </tr> <tr> <td>b.</td> <td>Waiver of Hearing Annexure O)</td> <td></td> </tr> <tr> <td>c.</td> <td>Notice of Penalty (Annexure P)</td> <td></td> </tr> </table>	Please tick			a.	Admission of guilt (Annexure O)		b.	Waiver of Hearing Annexure O)		c.	Notice of Penalty (Annexure P)			
Please tick															
a.	Admission of guilt (Annexure O)														
b.	Waiver of Hearing Annexure O)														
c.	Notice of Penalty (Annexure P)														
P	Notice of Penalty – (a) Student Admitted Guilt and (b) Waived Right to Hearing during Investigation Phase (Recommendation C) or / Evaluation/Hearing														
Q	Notice to Respondent / Complainant on Outcome of Disciplinary Investigation (Recommendation D) or (Recommendation E)														
R	Notice to Respondent/ Complainant on Outcome of Disciplinary Investigation - Recommendation E														
Hearing (Campus Head/Disciplinary Officer/ Chairperson)															
S	Notice of Disciplinary Hearing (Respondent)														
T	Notice to attend a Disciplinary Hearing (Complainant)														
U	Notice to attend a Disciplinary Hearing (Witness)														
V	Notice to attend a Disciplinary hearing (Disciplinary Committee)														
W	Notice to attend a Disciplinary Hearing (Interpreter)														
X	Disciplinary Hearing Case Book														
Y	Notice of Outcome of Disciplinary Hearing -Case dismissed														
Z	Notice of Outcome of Disciplinary Hearing (Penalty) – Respondent														
	Minutes of the Disciplinary Committee Meeting														
	a. Supporting Documents -														
AA	Record of Verbal or Written Warning Form														
Appeal (Campus Head/Disciplinary Officer/Registrar/ DAC Chairperson)															
BB	Notice of Disciplinary Appeal														
CC	Campus Head Representations to DAC (no later than 24 hours before the scheduled DAC meeting)														
DD	Notice of Disciplinary Appeals Committee Meeting														
EE	Disciplinary Appeals Case Book														
FF	Findings of the Disciplinary Appeals Committee														

ANNEXURES FOR DISCIPLINARY PROCESS

Annexure A: Designation of the Disciplinary Officer (DO)

(Printed on brand letterhead)

Designation of Disciplinary Officer (IO)

Dear Mr/Ms *[Insert Name of]*

You are hereby designated as the Disciplinary Officer (DO) in accordance with section 4.1. (1) of the IIE 015 Student Conduct and Discipline Policy (IIE015).

Section 4.1 (1) provides:

- (1) One senior manager on each campus is designated as the Disciplinary Officer (DO) and is responsible for the implementation of this Policy in general and the functions as specified. Where necessary more than one senior manager may be appointed on a campus. The Disciplinary Officer is officially appointed by the Campus Head or Brand Managing Director.¹¹

The Disciplinary Officer performs all the duties as specified in the IIE 015 Policy read with the IIE015 Student Conduct and Discipline Procedure (PDIIE 015) including to appoint:

- a) Chair of a Disciplinary Committee.
- b) Investigating Officer
- c) Suspension in terms of the IIE015 Policy
- d) Conciliation or nominate a Conciliator
- e) Constitute the Disciplinary Committee

You are required to acquaint yourself fully with the IIE 015 Policy and PDIIE 015 Procedure and to consult with the Campus Head as required and provide updates as necessary from time to time.

Kindly confirm acceptance of this appointment via e-mail to ***[State E-Mail Address of Campus Head/ Disciplinary Officer]***.

Yours faithfully

[Insert Name]
Campus Head/ Managing Director

¹¹ S61: 2022/11/03 Item 8.2.5

Annexure B: Designation of Investigating Officer

(Printed on brand letterhead)

Designation of Investigating Officer (IO)

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RSAFETY042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of IO]

Dear Mr/Ms [Insert Name of IO]

I have received a complaint in terms of the Student Conduct and Discipline Policy – IIE015 (The Code). The details are as follows:

Nature of complaint: _____

Complainant: _____

Student against whom complaint was made **[Insert Full Name and Student Number]:**

For ease of reference, I have attached a copy of the complaint to this e-mail.

You are hereby designated to investigate the matter in accordance with IIE 015 Policy and the Student Conduct and Discipline Procedure (PDIIIE015) attached to the e-mail.

Preliminary Evaluation

As part of your appointment, you are required to first conduct a Preliminary Evaluation on [insert date] to ascertain whether or not there is sufficient evidence to:

- a. Consult with the Complainant about attempting the Complaints Resolution first.
- b. Recommend to me (Disciplinary Officer/Campus Head) that the matter not be pursued as there is insufficient evidence in the complaint to suggest that the matter could result in disciplinary enquiry.
- c. Proceed to a formal investigation.
- d. Proceed to a formal disciplinary investigation and recommend suspension (if applicable).

Please use the relevant Annexure to report on the outcome of your Preliminary Evaluation to the Campus Head/Disciplinary Officer and the Respondent on [insert date].

Disciplinary Investigation

Should you determine from your Preliminary Evaluation that it is necessary to proceed to a formal Disciplinary investigation, you are required as a next step to conduct a Disciplinary Investigation by notifying the Complainant and the Respondent, conduct the Disciplinary Investigation in accordance with Policy and upon conclusion thereof refer the file of evidence to the Campus head/Disciplinary Officer with a conclusion on one of the following four options in line with your findings:

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent. [Recommendation (a)]
b)	An appropriate penalty as provided for in the IIE 015 Policy be imposed subject to the Respondent accepting the penalty without a verdict of guilty and penalty being filed against her or him or them failing which the matter would proceed to a disciplinary hearing. [Recommendation (b)]
c)	An appropriate penalty be imposed as a result of the student admitting guilt during/upon conclusion of the investigation if the student waives his/her right to a formal disciplinary hearing. [Recommendation (c)]
d)	The student be formally charged with misconduct as; on the balance of probabilities that the conduct did occur and was of a sufficiently serious nature that if the Respondent is found guilty, a penalty of suspension or expulsion may follow, and/or the student has not accepted an alternative resolution as per options b and d. [Recommendation (d)]

e)	The student be suspended and formally charged with misconduct as on a balance of probabilities the conduct did occur and warrants suspension under the Policy and such conduct was of a serious nature that if the Respondent is found guilty a severe penalty including suspension and expulsion may be imposed [Recommendation (e)]
----	---

Kindly confirm acceptance of this appointment via e-mail to ***[State E-Mail Address of Campus Head/ Disciplinary Officer]***.

Yours faithfully

[Insert Name]
Campus Head/Disciplinary Officer

Annexure C: Designation of the Investigating Officer (IO) (External)

(Printed on brand letterhead)

Designation of Investigating Officer (IO) (External)

Dear Mr/Ms *[Insert Name of]*

You/Your entity are hereby designated as Investigating Officer (DO) in accordance with section 8.2 (3) of the IIE 015 Student Conduct and Discipline Policy (IIE015) (the Code).

Section 8.2 (3) provides:

- (3) In certain circumstances, especially where the Campus Head/Disciplinary Officer, in his/her/their discretion, determines that support or technical or specialised expertise is required or in cases relating to allegations of cheating, an external Investigator may be appointed to provide support to the IO or the DO.

You are required to perform all the duties as specified in this letter and as relating to an Investigating Officer in the IIE 015 Policy read with the PDIIIE 015 Student Conduct and Discipline Procedure (PDIIIE 015) including to:

- a) [Campus Head/Disciplinary Officer to insert].
- b) [Campus Head/Disciplinary Officer to insert].
- c) [Campus Head/Disciplinary Officer to insert].
- d) [Campus Head/Disciplinary Officer to insert].
- e) [Campus Head/Disciplinary Officer to insert].

You are required to acquaint yourself fully with the IIE 015 Policy and PDIIIE 015 Procedure and to consult with the Campus Head as required and provide updates as necessary from time to time.

Kindly confirm acceptance of this appointment via e-mail to ***[State E-Mail Address of Campus Head/ Disciplinary Officer]***.

Yours faithfully

[Insert Name]
Campus Head/ Disciplinary Officer

Annexure D: Conclusion of Evaluation: Recommendation of Investigating Officer

EVALUATION

(Printed on brand letterhead)

Conclusion of Evaluation: Recommendation of Investigation Officer

***[Insert Incident Reference Number:
Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other
Format of use to Brand]
[Insert Date]
[Insert Campus Head's/Disciplinary Officer's Name]
[Insert Campus Head's E-mail Address]***

Dear Mr/Ms ***[Insert Name of Campus Head/ Name of Disciplinary Officer]***

Complainant:

Respondent:

Nature of complaint: _____

During the evaluation of the abovementioned complaint which was logged on the **[Insert date]**, I have reached a conclusion based on the balance of probabilities and my recommendation is as follows:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent.	
b)	The Investigating Officer should consult with the Complainant about attempting the Complaints Resolution.	
c)	There is sufficient evidence and thus the matter should proceed to a formal disciplinary investigation.	
d)	Proceed to a formal disciplinary investigation and recommend suspension (if applicable).	

Comments from Investigating Officer:

[Insert detail]

Yours faithfully

[Insert Name]
Investigating Officer

Annexure E: Notice to Complainant on Outcome of Evaluation

EVALUATION

(Printed on brand letterhead)

Notice to Complainant on the Outcome of Evaluation

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other Format of use to Brand]

[Insert Date]

[Insert Name of Complainant]

Dear Mr/Ms *[Insert Name of Complainant]*

Please take note that following the Investigation Officer evaluation concerning the complaint lodged by you on _____ against *[Insert name of Respondent]* and their recommendation, a conclusion has been reached that:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent.	
b)	Consult with the Complainant about lodging the complaint for resolution under the Complaints Resolution Process Level 1 or Level 2.	
c)	There is sufficient evidence and thus the matter should proceed to a formal disciplinary investigation.	
d)	Proceed to a formal disciplinary investigation with suspension.	

Kindly be advised that in case of (a) above (i.e., insufficient grounds for proceeding against Respondent) you may proceed to deal with this matter in terms of the Complaints Resolution Procedure as provided for in the Student Conduct and Discipline Policy (IIE015).

Yours faithfully

[Insert Name]

Campus Head/ Disciplinary Officer

Annexure F: Notice to Respondent on Outcome of Evaluation

EVALUATION

(Printed on brand letterhead)

Notice to Respondent on the Outcome of Evaluation

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other Format of use to Brand]

[Insert Date]

[Insert Name of Complainant]

Dear Mr/Ms *[Insert Name of Complainant]*

Please take note that following the evaluation by the Investigating Officer concerning the complaint lodged against you on *[Insert date]*, and their recommendation, a conclusion has been reached that:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent.	
b)	Consult with the Complainant about attempting the Complaints Resolution first.	
c)	There is sufficient evidence and thus recommend that the matter should proceed to a formal disciplinary investigation.	
d)	Proceed to a formal disciplinary investigation with suspension (if applicable).	

Kindly be advised that in case of (a) above (i.e., insufficient grounds for proceeding against Respondent) the Complainant may still choose to deal with this matter in terms of the Complaints Resolution Procedure as provided for in the Student Conduct and Discipline Policy (IIE015).

Yours faithfully

[Insert Name]

Campus Head/Disciplinary Officer

Annexure G: Notice of Suspension

SUSPENSION

(Printed on brand letterhead)

Notice of Suspension

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., Rcpta042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Student's Name]

[Insert Student Number]

[Insert Student's Address]

Dear Mr/Ms [Insert Name of Student]

A complaint has been referred to me for investigation in terms of the IIE 015 Student Conduct and Discipline Policy (The Code).

The complaint is that you **[Cite Detail]**

It is alleged that you are in breach of section **[Insert Section]** of The Code:

- **[Quote Details].**

This alleged misconduct poses a threat of:

- **[Quote Relevant Details of Section 8.5 (Suspension) of The Code]**

You are therefore suspended from the **[Insert Name of Campus]**, with effect from **[Insert Date]** and pending the final outcome of this case.

Kindly note that:

		Y/N
1.	You are entitled to timeous scheduling of a disciplinary investigation and hearing.	
2.	You are entitled to supervised access to witnesses and other sources of evidence necessary to prepare your case.	
3.	You have the right to complete and submit assessments, contact lecturers, or access the campus under supervision to do so. This can be arranged through the Campus Head on [Insert E-Mail Address of Campus Head/Disciplinary Officer].	
4.	You will be allowed access to the campus for the disciplinary investigation and or hearing; of which you will receive notification in due course.	
5.	[insert any relevant information]	

Yours faithfully

[Insert Name]

Campus Head – [Insert Name of Campus]/ Disciplinary Officer

Kindly confirm receipt of this notification and e-mail back to me on ***[Insert E-Mail Address of Campus Head/Disciplinary Officer]*** by ***[Insert Date]***.

I _____ hereby acknowledge receipt of this notification of suspension ***[Insert Case Number]*** and confirm that I understand the contents of this notification and my rights as cited therein.

Signature: _____

Date: _____

[Insert Name]

Annexure H: Representation During Disciplinary Process

REPRESENTATION

Printed on brand letterhead)

Representation During Disciplinary Process

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of Recipient (E.g., Disciplinary Appeals Chair)]

Dear Mr/Ms [Insert Name of Recipient (e.g., Disciplinary Appeals Chair)]

- (1) Please be informed that I have elected to be represented by the following person during the Disciplinary Process.

Name of representative		
Designation (please tick)	<input type="checkbox"/>	Student
	<input type="checkbox"/>	Independent Contractor
	<input type="checkbox"/>	Staff member

- (2) My representative shall have the following rights and responsibilities:

[Insert Name]

Please tick below

COMPLAINANT	<input type="checkbox"/>
RESPONDENT	<input type="checkbox"/>

I, the undersigned hereby acknowledge that I have agreed to represent and/or support _____ during the Disciplinary process.

Name of representative		
Designation (please tick)	<input type="checkbox"/>	Student
	<input type="checkbox"/>	Independent Contractor
	<input type="checkbox"/>	Staff member

Annexure I: Request for Legal Representation in Disciplinary Proceedings

REPRESENTATION

Printed on brand letterhead)

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]
[Insert Date]

[Insert Name of Recipient]

Dear Mr/Ms *[Insert Name of Recipient]*

Re: Request for Legal Representation in Disciplinary Proceedings

Thank you for your request in relation to your representation in disciplinary proceedings. Regrettably, we need to confirm that no legal representation is permitted in student disciplinary matters.

The Code¹² provides that the complainant and the respondent may have a representative who may be a staff member, independent contractor or student of The IIE.

The Code does not allow for legal representation of a student during the campus disciplinary process for the following reasons:

- a) The IIE regards the disciplinary process as an internal process that is deliberately not complex such as to merit legal representation.
- b) All of our policies including those on discipline and conduct apply human rights standards, socially accepted norms, principles of natural and restorative justice and common law principles alongside the precedents from other institutions. The ability of a student and their representative to engage with the principles, process and sanctions, therefore, does not require legal education.
- c) The chairpersons of the disciplinary committees are not legally trained and thus there is no anticipated disadvantage against the student from the disciplinary process.
- d) Any student dissatisfied with the outcome of the internal disciplinary structures after the appeals process has their usual rights in terms of common law if they have exhausted the internal processes.

Yours sincerely

[Insert Name]
Campus Head – *[Insert name of Campus]*

¹² Student Conduct and Discipline Policy (IIE015)

Annexure J: Notice of Disciplinary Investigation – Respondent

DISCIPLINARY INVESTIGATION

Printed on brand letterhead)

Notice of Disciplinary Investigation: Respondent

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]
[Insert Date]
[Insert Student’s Name]
[Insert Student Number]
[Insert Student’s Address]

Dear Mr/Ms **[Insert Name of Student]**

Kindly note that a complaint has been referred to me for investigation in terms of the IIE 015 Student Conduct and Discipline Procedure (The Code). The Complaint is that you **[Cite Detail]**.

This complaint alleges that you are in breach of section **[Insert Section(s)]** of The Code: – **[Quote Detail]**.

You are hereby requested to be present at **[Insert Details of Venue]** on **[Date]** at **[Time]** for purposes of information gathering regarding the allegation against you.

Kindly note that you have a right to:

- (1) Attend or not to attend this information gathering where the allegations will be examined by myself, in which case the investigation will still proceed.
- (2) Submit or not submit a written statement and or supporting information in support/defence of the case.
- (3) Submit or not submit a witness list or witness statements and to determine whether or not these witnesses can be contacted prior to a formal charge being laid if any.
- (4) Be assisted by a fellow student or staff member/independent contractor during the information gathering meeting, in interactions with the investigating officer and in engagement with witnesses (representative).
- (5) To appropriate levels of confidentiality.
- (6) The right, if the student is registered in the distance mode of delivery, to have the process conducted on a campus against which they are registered for examination purposes or remotely using appropriate technology or at the offices of the Central Academic Team.

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Kindly confirm your attendance by **[Insert Date]** with me in person or by telephone number (.....) or by e-mail (....).

Should you choose not to attend the information gathering, I will proceed in your absence. The findings of my investigation will be provided to the Campus Head/Disciplinary Officer for consideration. The outcome of the information gathering may include a decision to conduct a formal disciplinary hearing, a decision not to proceed with the matter or a decision to seek additional information.

Yours faithfully

**[Insert Name of IO]
Investigating Officer**

Annexure K: Notice of Disciplinary Investigation – Complainant

DISCIPLINARY INVESTIGATION

(Printed on brand letterhead)

Notice of Disciplinary Investigation

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of Complainant]

Dear Mr/Ms [Insert Name of Complainant]

Your complaint has been sent to me by the Campus Head/Disciplinary Officer on **[Insert Date]**. The complaint is that **[Insert Name of Student] [Cite Detail]**.

You are alleging that **[Insert Name of Student]** is in breach of section(s) **[Insert Section]** of the IIE 015 Student Conduct and Discipline Procedure (The Code) - **[Quote Detail]**.

You are hereby requested to be present at **[Insert Details of Venue]** on **[Date]** at **[Time]** for purposes of information gathering regarding the allegation. Kindly note:

Kindly note that you have a right to:

- (1) Attend or not to attend this information gathering where the allegations will be examined by myself, in which case the investigation will still proceed.
- (2) Submit or not submit a written statement and or supporting information in support of the case.
- (3) Submit or not submit a witness list or witness statements and to determine whether or not these witnesses can be contacted prior to a formal charge being laid if any.
- (4) Be assisted by a fellow student or staff member/independent contractor during the information gathering meeting, in interactions with the investigating officer and in engagement with witnesses (representative).
- (5) To appropriate levels of confidentiality.

Should you choose not to attend this information gathering, you may submit a written statement in support of the complaint and or any supporting information with regard to this case by e-mail to **[Insert E-Mail Address of IO]** by **[Insert Date]**.

Kindly confirm your attendance by **[Insert Date]** with me in person or by telephone number (.....) or by e-mail (....)

Should you choose not to attend the information gathering, I will proceed in your absence. The findings of the information gathering will be provided to the Campus Head/Disciplinary Officer for consideration. The outcome of the information gathering may include a decision to conduct a formal disciplinary hearing, a decision not to proceed with the matter or a decision to seek additional information.

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Yours faithfully

[Insert Name of IO]
Investigating Officer

Annexure L: Conclusion of Investigation: Recommendation of Investigating Officer

DISCIPLINARY INVESTIGATION

(Printed on brand letterhead)

Conclusion of Investigation: Recommendation of Investigation Officer

**[Insert Incident Reference Number:
Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other
Format of use to Brand]
[Insert Date]
[Insert Campus Head's/Disciplinary Officer's Name]
[Insert Campus Head's E-mail Address]**

Dear Mr/Ms **[Insert Name of Campus Head/ Name of Disciplinary Officer]**

Complainant: _____

Respondent: _____

Nature of complaint: _____

During the investigation of the abovementioned complaint which was logged on the **[Insert date]**, I have reached a conclusion based on the balance of probabilities and my recommendation is as follows:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent. (NB: Case can only be re-opened if additional corroborating evidence is produced by Complainant within 48 hours of the decision being communicated to them.)	
b)	The following penalty be imposed subject to the Respondent accepting this penalty without a verdict of guilty and penalty being filed against her or him or them failing which the matter would proceed to a disciplinary hearing:	
Please tick below		
(a)	Verbal warning (of which a written record needs to be kept): <i>This verbal warning will remain in force for a period not exceeding six months from the date of this letter. If there is further misconduct of a similar nature before the warning has lapsed, it will be taken into consideration when penalising the repeated misconduct.</i>	
(b)	(i) Submit a written apology to [Insert Name of Complainant] . (ii) Apologise to [Insert Name of Complainant] in a prescribed manner. [IO to add detail]	
(c)	Participation in the following restorative activity:	
(d)	[insert if there is another penalty]	
c)	The following penalty be imposed as a result of the student admitting guilt during/upon conclusion of the investigation if the student waives his/her right to a formal disciplinary hearing:	
Please tick below		
(a)	Verbal warning (of which a written record needs to be kept): <i>This verbal warning will remain in force for a period not exceeding six months from the date of this letter. If there is further misconduct of a similar nature before the warning has lapsed, it will be taken into consideration when penalising the repeated misconduct.</i>	
(b)	Written warning: <i>This written warning is considered more serious and will remain in force for a stipulated period not exceeding 12 months. If there is further misconduct of any nature this will be taken into account when determining further penalties.</i>	

	(c)	(i) Submit a written apology to [Insert Name of Complainant] . (ii) Apologise to [Insert Name of Complainant] in a prescribed manner.	
	(d)	Participation in the following restorative activity:	
	(e)	Participation in an approved rehabilitation or treatment programme at the expense of the student and in the framework as determined by The IIE <i>[IO to customise as required]</i> .	
	(f)	Final written warning: <i>This final written warning amounts to a last warning and is issued as disciplinary action following a prior verbal warning and/or written warning or to sanction a serious misconduct. It will remain in force for a period not exceeding ____ months. Further misconduct may result in serious consequences including suspension and expulsion.</i>	
	(g)	Restitution of damages caused at The IIE campus or to the personal property of any member of The IIE. <i>[IO to customise as required]</i> .	
	(h)	Expulsion from The IIE.	
	(i)	Withholding the student's assessment results for a period or until a specified outcome has been demonstrated. <i>[IO to customise as required]</i> .	
	(j)	The requirement to rewrite and resubmit an assignment or other assessment component, or to write and submit another in its place. <i>[IO to customise as required]</i> .	
	(k)	Failure in an assessment component of a module, or a reduced mark for that component. <i>[IO to customise as required]</i> .	
	(l)	[insert if there is another penalty] (Please refer to section 7 of the Code)	
d)	The student be formally charged with misconduct as on the balance of probabilities that the conduct did occur and was of a sufficiently serious nature that if the Respondent is found guilty, a penalty of suspension or expulsion may follow.		
e)	The student be suspended and formally charged with misconduct as on a balance of probabilities the conduct did occur and warrants suspension under the Policy and such conduct was of a serious nature that if the Respondent is found guilty a severe penalty including suspension and expulsion may be imposed.		

Comments from Investigating Officer:

[Insert detail]

Yours faithfully

[Insert Name]
Investigating Officer

Annexure M: Notice to Respondent/ Complaint on Outcome of Disciplinary Investigation (Recommendation A)

(Note: Campus Head or Disciplinary Officer to issue Annexure M to both the Complainant and Respondent if the Investigation Officer made Recommendation (A) in Annexure L after the Disciplinary Investigation process)

(Printed on brand letterhead)

DISCIPLINARY INVESTIGATION

Conclusion of Investigation: Withdrawal Based on Insufficient Grounds for Proceeding Against the Student on the Basis of Allegations-

**[Insert Incident Reference Number:
Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other
Format of use to Brand]**

[Insert Date]

[Insert Student's Name]

[Insert Student Number]

[Insert Student's Address]

Dear Mr/Ms **[Insert Name of Student (Complainant)(Respondent)]**

Nature of complaint: _____

Respondent: _____

Subsequent to the disciplinary investigation of the abovementioned complaint on The IIE Assist, the following conclusion has been reached:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent.	✓
b)	Penalty be imposed subject to the Respondent accepting this penalty without a verdict of guilty and penalty being filed against her or him or them failing which the matter would proceed to a disciplinary hearing.	
c)	Penalty be imposed as a result of the student admitting guilt during/upon conclusion of the investigation if the student waives his/her right to a formal disciplinary hearing:	
d)	The Respondent be formally charged with misconduct as on the balance of probabilities that the conduct did occur and was of a sufficiently serious nature that if the Respondent is found guilty, a penalty of suspension or expulsion may follow.	
e)	The student be suspended and formally charged with misconduct as on a balance of probabilities the conduct did occur and warrants suspension under the Policy and such conduct was of a serious nature that if the Respondent is found guilty a severe penalty including suspension and expulsion may be imposed.	

Please note that the case, in respect of outcome (a) can only be re-opened if additional corroborating evidence is produced by the Complainant within 48 hours of the decision being communicated with the Complainant.

In case of outcome (d) or (e) both the Complainant and Respondent will be issued with the Notice of the Disciplinary Hearing with details of the nature of the complaint, the charge and date and time of the hearing.

Yours faithfully

[INSERT NAME]

Campus Head – [Insert Name of Site]/ Disciplinary Officer

Kindly confirm receipt of this notification and e-mail back to me on ***[Insert E-mail Address of Campus Head/Disciplinary Officer]*** by ***[Insert Date]***.

I _____ (Complainant/ Respondent) hereby acknowledge receipt of this notification and confirm that I understand this notification and my rights cited herein.

Signed: _____ **Date:** _____

Name of Student: _____ **Contact number:** _____

Annexure N: Conclusion of Investigation: Recommendation of Investigating Officer – Recommendation (B)

(Note: Campus Head or Disciplinary Officer to issue Annexure N to the Respondent if the Investigation Officer made Recommendation (B) in Annexure L following a Disciplinary Investigation process)

(Printed on brand letterhead)

DISCIPLINARY INVESTIGATION

Conclusion of Investigation: Recommendation of Investigating Officer

**[Insert Incident Reference Number:
Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other
Format of use to Brand]**

[Insert Date]

[Insert Student’s Name]

[Insert Student Number]

[Insert Student’s Address]

Dear Mr/Ms **[Insert Name of Student (Respondent)]**

Complainant: _____

Respondent: _____

Nature of complaint: _____

Subsequent to the disciplinary investigation of the abovementioned complaint the following conclusion has been reached:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent.	
b)	Penalty be imposed subject to the Respondent accepting this penalty without a verdict of guilty and penalty being filed against her or him or them failing which the matter would proceed to a disciplinary hearing.	✓
c)	Penalty be imposed as a result of the student admitting guilt during/upon conclusion of the investigation if the student waives his/her right to a formal disciplinary hearing.	
d)	The Respondent be formally charged with misconduct as on the balance of probabilities that the conduct did occur and was of a sufficiently serious nature that if the Respondent is found guilty, a penalty of suspension or expulsion may follow.	
e)	The student be suspended and formally charged with misconduct as on a balance of probabilities the conduct did occur and warrants suspension under the Policy and such conduct was of a serious nature that if the Respondent is found guilty a severe penalty including suspension and expulsion may be imposed.	

After weighing up the evidence, **the Investigating Officer determined that it is more than likely that the alleged misconduct occurred.**

The **nature of the allegations does not warrant a formal disciplinary hearing**; however, you have the right to a formal disciplinary hearing.

Following from the conclusion of the Investigating Officer and the nature of the misconduct, the Investigating Officer has recommended the following sanction:

[Cite detail of the sanction from IO recommendation]

This is subject to you accepting this penalty without a verdict of guilty and penalty being filed against you, failing which the matter will proceed to a disciplinary hearing.

Kindly note that the acceptance of the above IO recommendation amounts to an admission of guilt and penalty imposed and thus a waiver of the right to a Disciplinary Hearing and Appeal provided that the institution shall not place both the verdict and penalty on record as the result of the nature of the misconduct falling into a category of minor offence. Your decision on the above shall not be binding unless you have signed the below to indicate your election. Failure to complete the notification will be understood as a choice for a Disciplinary Hearing.

Yours faithfully

[Insert Name]

Campus Head – *[Insert Name of Campus]/ Disciplinary Officer*

Kindly confirm receipt of this notification and e-mail back to me on ***[Insert E-Mail Address of Campus Head/ Disciplinary Officer]*** by ***[Insert Date]***.

I _____ hereby acknowledge receipt of this notification and confirm that I understand this notification and my rights cited herein.

I confirm that I ***[Accept the Penalty/ Do not Accept Penalty and Choose to Exercise My Right to a Disciplinary Hearing]***.

Signature _____ **Date** _____

Name of Student _____ **Contact number** _____

Annexure O: Admission of Guilt and Waiver of Hearing by Respondent (Recommendation C)

(Note: Campus Head or Disciplinary Officer or Investigating Officer (during Evaluation or Disciplinary) or Chairperson (during the Disciplinary Hearing) to issue Annexure O to the Respondent if the Respondent makes an admission)

This Annexure O should accompany the Investigation Officer's Recommendation (C) in Annexure L following a Disciplinary Investigation process) (The Campus Head or Disciplinary Officer should not accept the penalty recommended by the Investigating officer in terms of Recommendation C if not accompanied by this:

Please tick	
	a. admission of guilt; (Annexure O)
	b. waiver of hearing (Annexure O)
	c. Notice of Penalty (Annexure P)

DISCIPLINARY (EVALUATION /INVESTIGATION/HEARING)

(Printed on brand letterhead)

Admission of Guilt and Waiver of Hearing by Respondent during Evaluation or Disciplinary Investigation)

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other Format of use to Brand]
[Insert Date]
[Insert Name of Complainant]

Dear Mr/Ms *[Insert Name of Campus Head]*

<i>Please tick relevant process</i>	
	<i>Evaluation</i>
	<i>Disciplinary Investigation</i>
	<i>Disciplinary Hearing</i>

I _____ (name of respondent) _____ (student number) hereby declare the following:

	Please sign
a) I have carefully considered my rights under the IIE 015 Student Conduct and Discipline Policy.	
b) I freely and voluntarily admit my guilt and liability for all the offences set out in the notice of disciplinary hearing.	
c) I freely and voluntarily admit only to the charges that I have set out below.	
d) I waive my right to a hearing.	
e) I understand that I am entitled to lodge an appeal against the penalty that will be imposed upon me within five working days of the receipt of the notice of penalty.	

If not admitting to all offences in the charge, please complete below:

I admit to the following charges and waive my right to a hearing in respect thereof:

I do not admit to the following charges, and I reserve my right to a hearing (or to proceed with the hearing if admission made during the hearing) in respect thereof:

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Yours faithfully

[Insert Name]
Respondent

[Insert Signature]

Annexure P: Notice of Penalty – Student Admitted Guilt During Investigation Phase and Waived Right to Hearing (Recommendation C)

(Note: Campus Head or Disciplinary Officer to issue Annexure P (with Annexure O) if the Investigation Officer made Recommendation (C) in Annexure L)

(Printed on brand letterhead)

DISCIPLINARY INVESTIGATION

Notice of Penalty – (a) Student Admitted Guilt and (b) Waived Right to Hearing during Investigation Phase/ Evaluation/Hearing

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., Rcpta042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Student’s Name]

[Insert Student Number]

[Insert Student’s Address]

Dear Mr/Ms **[Insert Name of Respondent]**

Complainant: _____

Respondent: _____

Nature of complaint: _____

This complaint alleges that you are in breach of the following section(s) of IIE 015 Student Conduct and Discipline Policy (The Code):

Cite detail from Policy]

Subsequent to the disciplinary investigation of the abovementioned complaint the following conclusion has been reached:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent.	
b)	Penalty be imposed subject to the Respondent accepting this penalty without a verdict of guilty and penalty being filed against her or him or them failing which the matter would proceed to a disciplinary hearing.	
c)	Penalty be imposed as a result of the student admitting guilt during/upon conclusion of the investigation if the student waives his/her right to a formal disciplinary hearing.	✓
d)	The Respondent be formally charged with misconduct as on the balance of probabilities that the conduct did occur and was of a sufficiently serious nature that if the Respondent is found guilty, a penalty of suspension or expulsion may follow.	
e)	The student be suspended and formally charged with misconduct as on a balance of probabilities the conduct did occur and warrants suspension under the Policy and such conduct was of a serious nature that if the Respondent is found guilty a severe penalty including suspension and expulsion may be imposed.	

During the investigation of a complaint against you and after providing you the opportunity to present your case for information gathering purposes; **you admitted to the allegations made against you.** You waived your **right to a formal disciplinary hearing on the matter.**

Penalty

Based on the recommendations of the Investigating Officer the following penalty is imposed on you:

[Cite detail from IO recommendation]

Kindly note that:

You are **entitled to lodge an appeal against the penalty within five working days** of the receipt of this notice. The appeal must be logged on the IIE Assist, a copy of which must be sent through to the Campus Head/Disciplinary Officer and must motivate fully the grounds of such appeal and whether such appeal is in respect of the **procedure, new evidence, merit of the case** and/or **penalty resulting from the disciplinary investigation**. An appeal will be decided as soon as possible after having been logged.

Yours faithfully

[Insert Name]

Campus Head – *[Insert Name of brand and Campus]*/ Disciplinary Officer

Kindly confirm receipt of this notification and e-mail back to me on ***[Insert E-Mail Address of Campus Head/Disciplinary Officer]*** by ***[Insert Date]***.

I _____ hereby acknowledge receipt of this notification and confirm that I understand this notification and my rights cited herein.

Signature _____

Date _____

Name of Student _____

Contact number _____

Annexure Q: Notice to Respondent / Complainant on Outcome of Disciplinary Investigation (Recommendation D) or (Recommendation E)

(Note: Campus Head or Disciplinary Officer to issue Annexure Q if the Investigation Officer made Recommendation (D) in Annexure L)

(Printed on brand letterhead)

DISCIPLINARY INVESTIGATION

Notice to Respondent / Complainant on the Outcome of Disciplinary Investigation

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other Format of use to Brand]

[Insert Date]

[Insert Name of Complainant/ Respondent]

Dear Mr/Ms [Insert Name of Complainant/ Respondent]

Complainant: _____

Respondent: _____

Nature of complaint: _____

Subsequent to the disciplinary investigation of the abovementioned complaint the following conclusion has been reached:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent.	
b)	Penalty be imposed subject to the Respondent accepting this penalty without a verdict of guilty and penalty being filed against her or him or them failing which the matter would proceed to a disciplinary hearing.	
c)	Penalty be imposed as a result of the student admitting guilt during/upon conclusion of the investigation if the student waives his/her right to a formal disciplinary hearing.	
d)	The Respondent be formally charged with misconduct as on the balance of probabilities that the conduct did occur and was of a sufficiently serious nature that if the Respondent is found guilty, a penalty of suspension or expulsion may follow.	✓
e)	The student be suspended and formally charged with misconduct as on a balance of probabilities the conduct did occur and warrants suspension under the Policy and such conduct was of a serious nature that if the Respondent is found guilty a severe penalty including suspension and expulsion may be imposed.	

You will be accordingly issued with the Notice of the Disciplinary Hearing with details of the nature of the complaint, the charge and date and time of the hearing.

Yours faithfully

[Insert Name]

Campus Head/ Disciplinary Officer

Annexure R: Notice to Respondent/ Complainant on Outcome of Disciplinary Investigation - Recommendation E

(Note: Campus Head or Disciplinary Officer to issue this Annexure R (with Annexure G Notice of Suspension) if the Investigation Officer made Recommendation (E) in Annexure L)

(Printed on brand letterhead)

Notice to Respondent on the Outcome of Disciplinary Investigation

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or any other Format of use to Brand]

[Insert Date]

[Insert Name of Complainant]

Dear Mr/Ms [Insert Name of Complainant]

Complainant: _____

Respondent: _____

Nature of complaint: _____

Subsequent to the disciplinary investigation of the abovementioned complaint the following conclusion has been reached:

Please tick below

a)	The matter not be pursued on the basis of insufficient grounds for proceeding against the Respondent.	
b)	Penalty be imposed subject to the Respondent accepting this penalty without a verdict of guilty and penalty being filed against her or him or them failing which the matter would proceed to a disciplinary hearing.	
c)	Penalty be imposed as a result of the student admitting guilt during/upon conclusion of the investigation if the student waives his/her right to a formal disciplinary hearing.	
d)	The Respondent be formally charged with misconduct as on the balance of probabilities that the conduct did occur and was of a sufficiently serious nature that if the Respondent is found guilty, a penalty of suspension or expulsion may follow.	
e)	The student be suspended and formally charged with misconduct as on a balance of probabilities the conduct did occur and warrants suspension under the Policy and such conduct was of a serious nature that if the Respondent is found guilty a severe penalty including suspension and expulsion may be imposed.	✓

You will be accordingly issued with the Notice of Suspension and Notice of the Disciplinary Hearing with details of the nature of the complaint, the charge and date and time of the hearing.

Yours faithfully

[Insert Name]

Campus Head/Disciplinary Officer

Annexure S: Notice of Disciplinary Hearing – Respondent

(Printed on brand letterhead)

DISCIPLINARY HEARING

Notice of Disciplinary Hearing

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Student’s Name, Student Number and Address]

Dear Mr/Ms **[Insert Name of Student]**

Kindly take notice that a hearing will be held to ascertain whether you are guilty or not guilty of the alleged misconduct:

Nature of complaint:

Charge:

Complainant:

The hearing will be held on:

Date: _____

Time: _____

Place: _____

Kindly note that:

- You are entitled to be assisted at the disciplinary hearing by a fellow student or staff member/independent contractor.
- You are entitled to have an interpreter if requested upon receipt of the notice of hearing.
- You are entitled to have the opportunity to confer with your representative at reasonable times before, during and after the hearing.
- You are entitled to call your witness(es) and show evidence to help your case.
- You are entitled personally, or through your representative, to question the complainant and witnesses during the hearing.
- You are entitled to furnish evidence and to argue on the question of whether the misconduct occurred.
- You are entitled to furnish evidence and to argue in mitigation of penalty (punishment).
- Should you refuse/fail to attend the hearing, the hearing may be held in your absence.
- You are entitled to lodge an appeal against the outcome of the disciplinary hearing within five working days of the receipt of the outcome. The appeal must be lodged with the Campus Head/Disciplinary Officer and must motivate fully the grounds of such an appeal and whether such appeal is in respect of the procedure, new evidence and merit of the case and/or penalty resulting from the disciplinary hearing. An appeal will be decided as soon as possible after having been logged.

Yours faithfully

[Insert Name]

Campus Head – [Insert Name of Campus]/ Disciplinary Officer

Kindly confirm receipt of this notification and e-mail back to me on **[Insert E-Mail Address of Campus Head/Disciplinary Officer]** by **[Insert Date]**.

I _____ hereby acknowledge receipt of this notification - **[Insert Case Number]** and confirm that I understand the contents of this notification including my rights cited therein.

I hereby ***[Student to Indicate Choice]:***

- Request an interpreter for translation of the disciplinary proceedings into ***[State Language]***.

OR

- Waive the assistance of an interpreter for translation of the disciplinary proceedings.

Signature _____ **Date** _____

Name of Student _____ **Contact number** _____

Annexure T: Notice to Attend a Disciplinary Hearing – Complainant

(Printed on brand letterhead)

DISCIPLINARY HEARING

Notice to Attend a Disciplinary Hearing

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of Complainant]

[Insert Address of Complainant]

Dear Mr/Ms **[Insert Name of Complainant]**

Kindly take notice that a hearing will be held to ascertain whether the Respondent is guilty or not guilty of the alleged misconduct.

Nature of complaint:

Charge:

The hearing will be held on:

Date: _____

Time: _____

Place: _____

Kindly note that:

- You are entitled to furnish evidence, call your witness(es) and to argue in aggravation of penalty (punishment).
- Should you refuse/fail to attend the hearing, the hearing may be held in your absence.
- You are entitled to lodge an appeal against the outcome of the disciplinary hearing within five working days of the receipt of the outcome. The appeal must be lodged with the Campus Head/ Disciplinary Officer and must motivate fully the grounds of such appeal and whether such appeal is in respect of the procedure, new evidence, merit of the case, and or penalty resulting from the disciplinary hearing. An appeal will be decided as soon as possible after having been logged.

Yours faithfully

[Insert Name]

Campus Head – [Insert name of Campus]/ Disciplinary Officer

Kindly confirm receipt of this notification and e-mail back to me on **[Insert E-Mail Address of Campus Head/ Disciplinary Officer]** by **[Insert Date]**.

I _____ hereby acknowledge receipt of this notification and confirm that I understand the contents of this notification including my rights cited therein.

Signed _____ **Date** _____

Student Name _____ **Contact number** _____

Annexure U: Notice to Attend a Disciplinary Hearing – Witness

(Printed on brand letterhead)

DISCIPLINARY HEARING

Notice to Attend a Disciplinary Hearing

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., Rcpta042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of Interpreter]

Dear Mr/Ms ***[Insert Name of Witness]***

Kindly take notice that a disciplinary hearing will be held to ascertain if the Respondent is guilty or not guilty of the alleged misconduct:

Nature of complaint:

Charge:

The hearing will be held on:

Date: _____

Time: _____

Place: _____

Kindly note that:

- You are required to provide evidence in your capacity as a witness in the proceedings.

Yours faithfully

[Insert Name]

Campus Head – *[Insert Name of Campus]/ Disciplinary Officer*

Kindly confirm receipt of this notification and e-mail back to me on ***[Insert E-Mail Address of Campus Head/ Disciplinary Officer]*** by ***[Insert Date]***.

I _____ hereby acknowledge receipt of this notification and accept the responsibility as Interpreter for the disciplinary hearing scheduled to take place on ***[Insert Date]***.

I declare that any information obtained stemming from this case will be held in the strictest confidence.

Signature _____

Date _____

Name of Student _____

Contact number _____

Annexure V: Notice to Attend a Disciplinary Hearing – Disciplinary Committee

(Printed on brand letterhead)

DISCIPLINARY HEARING

Notice to Attend a Disciplinary Hearing – Disciplinary Committee

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of Committee Member]

[Insert Address of Committee Member]

Dear Mr/Ms ***[Insert Name of Committee Member]***

Kindly note that I have received a complaint in terms of the Student Conduct and Discipline Policy (IIE015). The Investigating Officer has recommended that sufficient evidence exists to formally charge the student with the alleged misconduct. The details are as follows:

Nature of complaint:

Charge:

The disciplinary hearing will be held to ascertain whether the Respondent is guilty or not guilty of the alleged misconduct.

The hearing will be held on:

Date: _____
Time: _____
Place: _____

Kindly confirm your attendance with me on ***[Insert E-Mail Address of Campus Head/ Disciplinary Officer]*** by ***[Insert Date]***.

Yours faithfully

[Insert Name]
Campus Head – *[Insert Name of Campus]/ Disciplinary Officer*

Annexure W: Notice to Attend a Disciplinary Hearing – Interpreter

(Printed on brand letterhead)

DISCIPLINARY HEARING

Notice to Attend a Disciplinary Hearing

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of Interpreter]

Dear Mr/Ms **[Insert Name of Interpreter]**

Kindly take notice that a disciplinary hearing will be held to ascertain if the Respondent is guilty or not guilty of the alleged misconduct:

Nature of complaint:

Charge:

The hearing will be held on:

Date: _____

Time: _____

Place: _____

Kindly note that:

- You are required to assist the Respondent by interpreting all relevant information to the Respondent during the disciplinary hearing.
- You are required to sign a confidentiality agreement in this regard upon acceptance of this task.

Yours faithfully

[Insert Name]

Campus Head – [Insert Name of Campus]/ Disciplinary Officer

Kindly confirm receipt of this notification and e-mail back to me on **[Insert E-Mail Address of Campus Head/ Disciplinary Officer]** by **[Insert Date]**.

I _____ hereby acknowledge receipt of this notification and accept the responsibility as Interpreter for the disciplinary hearing scheduled to take place on **[Insert Date]**.

I declare that any information obtained stemming from this case will be held in the strictest confidence.

Signature _____

Date _____

Name of Student _____

Contact number _____

Annexure X: Disciplinary Hearing Case Book

DISCIPLINARY HEARING

DISCIPLINARY HEARING CASE BOOK

CHAIRPERSON PROCEDURE CHECKLIST				
1	Opens the hearing		YES	NO
2	Introduces everyone present		YES	NO
3	Explains roles of participants		YES	NO
4	Advises everybody that this is a disciplinary hearing		YES	NO
5	Advises everyone that the hearing will be recorded		YES	NO
5.1	Disciplinary Panel Members	<i>Print names below</i>		
	<i>Chairperson</i>		YES	NO
	<i>Student Representative 1</i>		YES	NO
	<i>Student Representative 2</i>		YES	NO
	<i>Staff Representative 1</i>		YES	NO
	<i>Staff Representative 2</i>		YES	NO
5.2	Complainant (may be the IO)		YES	NO
5.3	Scribe		YES	NO
5.4	Respondent		YES	NO
5.5	Respondent Representative (where applicable)		YES	NO
5.6	Interpreter (where applicable)		YES	NO
5.7	Witnesses:		YES	NO
5.8	Witness 1 – for Respondent		YES	NO
5.9	Witness 2 – for Respondent		YES	NO
5.10	Witness 1 – for Complainant		YES	NO
5.11	Witness 2 – for Complainant		YES	NO

6	ACKNOWLEDGEMENT OF CORRECT PROCEDURE FOLLOWED <i>Confirm with the Respondent /Complainant and interpreter(s) that due process has been followed leading to the disciplinary hearing.</i>			
	<i>Questions to be addressed by the chair to the relevant parties to establish if due process has been followed thus far.</i>			
6.1	Did you receive a notification of a disciplinary hearing? Respondent: Complainant: Interpreter (where applicable):		YES YES YES	NO NO NO
6.2	Have you been told that you can be represented by a fellow student or staff member/independent contractor employed by College? Respondent:		YES	NO
6.3	Do you have a representative? Respondent:		YES	NO
6.4	Have you been told that you can bring a witness/witnesses? Respondent: Complainant:		YES YES	NO NO
6.5	Do you have a witness/witnesses? Respondent: Complainant:		YES YES	NO NO
	<i>Respondent - witness 1</i>		YES	NO
	<i>Respondent - witness 2</i>		YES	NO
	<i>Complainant – witness 1</i>		YES	NO
	<i>Complainant – witness 2</i>		YES	NO
6.6	Have you requested an interpreter? Respondent:		YES	NO
	<i>Name of interpreter</i>		YES	NO
	Explain the disciplinary proceeding process.			
7	REMIND THE RESPONDENT OF HIS OR HER RIGHTS DURING THE PROCESS		YES	NO
7.1	You/your representative will be given a chance to state your case and make a verbal statement.		YES	NO
7.2	You/or your representative will be given a chance to cross-question the:		YES	NO
7.3	Complainant		YES	NO

7.4	Other Witnesses (where applicable)	YES	NO
7.4.1	Your own witnesses (where applicable)	YES	NO
7.4.2	Depending on the outcome of this case, you may be disciplined.	YES	NO
8	Are there preliminary issues that need to be dealt with before the hearing commences?	YES	NO
8.1	<i>PRELIMINARY ISSUES RAISED</i>		
9	REQUEST WITNESSES TO LEAVE THE ROOM AND WAIT TO BE CALLED <i>EMPHASISE THAT witnesses may not discuss the matter while the hearing is in progress.</i>	YES	NO
10	Put the charge(s) to the student	YES	NO
10.1	<i>CHARGE(S)</i>		
11	Give student opportunity to plead. Chair asks: Do you deny/admit the alleged misconduct? (note plea on Conclusion and Outcome of Enquiry Form – complete A (i))	Pleads Guilty	Pleads Not Guilty
11.1	If Respondent <u>admits</u> to the charge(s), skip steps below and proceed with 15.3	YES	NO
	RESPONDENT DENIES ALLEGATIONS: CHECKLIST CONTINUE (TICK Y/N IF DONE/CHECKED):		
	EVIDENCE – PRESENTATION OF EVIDENCE, QUESTIONING, CROSS-QUESTIONING AND RE-EXAMINING		
12	COMPLAINANT LEADS EVIDENCE		
12.1	If the student pleads not guilty, allow the Prosecutor (who may be the Complainant or the Investigating Officer) to proceed with presenting evidence supporting the charges through cross-examining the Complainant and/or any of his/her witnesses and/ or submitting into evidence any written statements.	YES	NO

12.2	Allow Respondent student to cross-question the Complainant and his/her witness/es as each is presented.	YES	NO
12.3	If the Complainant has a statement, read the statement and ask Complainant to confirm whether he/she wishes to add or subtract anything (and record such further evidence).	YES	NO
12.4	If the Respondent disputes the content of a written statement, it is held over until the Disciplinary Officer can contact the author and request them to present themselves for cross-examination. If the author is unavailable or unwilling the written statement must be disregarded.	YES	NO
12.5	Allow Prosecutor to re-examine any witness.	YES	NO
12.6	Chairperson may, at any stage during this process, ask questions for clarity purposes. Any committee member who requires clarification will submit his or her question to the Chairperson who may, at his or her sole discretion, ask the question or disregard it.	YES	NO
13	RESPONDENT LEADS EVIDENCE		
13.1	Allow student or his/her representative to present his/her argument and evidence and to call any witness in this regard.	YES	NO
13.2	Student and his/her witness/es in turn may be cross-questioned by the Complainant.	YES	NO
13.3	Student or his/her representative may re-examine any witness.	YES	NO
13.4	Chairperson may, at any stage during this process, ask questions for clarity purposes.	YES	NO
14	RESPONDENT AND COMPLAINANT CLOSURES		
14.1	Upon closure of leading evidence, allow the student and the Complainant to summarise their cases.	YES	NO
14.2	Complainant and Respondent must then leave the venue in order for the Committee to deliberate on the verdict.	YES	NO
15	VERDICT		
15.1	Once the committee has reached a verdict, request the parties to return to the venue in order for the verdict to be delivered.	YES	NO
15.2	In the case of a verdict of not guilty being delivered, the case is closed and the charges dismissed.	YES	NO
15.3	In the case of a verdict of guilty, both parties are again permitted to state mitigating or aggravating factors should they so wish. Both parties can call character witnesses in support of mitigating or aggravating factors but may not introduce new information.	YES	NO
15.4	Thereafter, they must again leave the venue for the Committee to deliberate on an appropriate penalty, now taking the mitigating and aggravating factors into consideration.	YES	NO

16	PENALTY		
16.1	As soon as a decision on a penalty is reached, both parties will be requested to return to the venue to hear the penalty. The Chairperson will inform the student (Respondent) that s/he will also receive a written outcome (see Annexure Y or Z) of the disciplinary hearing, with reasons for the verdict reached, within two working days.	YES	NO
16.2	Chairperson will inform the Respondent of his/her right to appeal.	YES	NO
17	ACKNOWLEDGEMENT OF CORRECT PROCEDURE FOLLOWED (ASK EACH ONE AND RECORD ANY COMMENTS		
(1)	Respondent: Comments:	YES	NO
(2)	Respondent Representative: Comments:	YES	NO
(3)	Complainant: Comments:	YES	NO
(4)	Disciplinary Committee:		
(5)	Chairperson: Comments:	YES	NO
(6)	Student Representative 1: Comments:	YES	NO
(7)	Student Representative 2: Comments:	YES	NO
(8)	Staff Representative 1: Comments:	YES	NO
(9)	Staff Representative 2: Comments:	YES	NO
DATE			

CONCLUSION AND OUTCOME OF HEARING

A FACTS ESTABLISHED

(i) Respondent - Plea:

Admits alleged misconduct	Denies alleged misconduct
---------------------------	---------------------------

BEFORE ARRIVING AT A DECISION REGARDING GUILTY OR NOT GUILTY, CONSIDER THE FOLLOWING:

(a) Has there been a properly conducted disciplinary investigation?

YES	NO
-----	----

(b) Has it been shown by evidence that on a balance of probabilities¹³ the student committed the offence complained of?

YES	NO
-----	----

B VERDICT (JUDGMENT ON ALLEGED MISCONDUCT)
(State guilty or not guilty in respect of each charge)

C IF NOT GUILTY
Advise Respondent that the case is dismissed.

D IF GUILTY
NOTE DISCIPLINARY RECORD:

¹³ Refers to the weighing up of evidence to assess if the alleged act/misconduct did occur.

E PENALTY

Should the Respondent be found guilty or pleads guilty, he/she and/or the representative must be afforded the opportunity to address the chairperson in mitigation prior to a decision being taken on what action is to be taken.

(i) ARGUMENT IN MITIGATION

(Ask Respondent or Representative to present his/her argument)

- (ii) **ARGUMENT IN AGGRAVATION**
(Ask Complainant to present his/her argument)

F PENALTY (IES) IMPOSED
[Chair to tick below but to add detail/customise if required and to record it here.]

- (i) **PENALTY IMPOSED (INDICATE THE FOLLOWING)**

1)	VERBAL WARNING (written record to be kept) <i>This verbal warning will remain in force for a period not exceeding six months from the date of this letter. If there is further misconduct of a similar nature before the warning has lapsed, it will be taken into consideration when penalising the repeated misconduct.</i>	
2)	WRITTEN WARNING <i>This written warning is considered more serious and will remain in force for a stipulated period not exceeding 12 months. If there is further misconduct of any nature this will be taken into account when determining further penalties.</i>	
3)	FINAL WRITTEN WARNING <i>This final written warning amounts to a last warning and is issued as disciplinary action following a prior verbal warning and/or written warning or to sanction a serious misconduct. It will remain in force for a period not exceeding ____ months. Further misconduct may result in serious consequences including suspension and expulsion.</i>	
4)	WRITTEN APOLOGY TO ANOTHER PERSON/PERSONS OR TO APOLOGISE TO ANOTHER PERSON/S IN A PRESCRIBED MANNER. [CHAIR TO ADD THE DETAIL]	
5)	RESTORATIVE ACTIVITY [CHAIR TO ADD THE DETAIL]	
6)	REHABILITATION OR TREATMENT PROGRAMME AT THE EXPENSE OF THE STUDENT AND IN THE FRAMEWORK, AS DETERMINED BY THE IIE. [CHAIR TO ADD THE DETAIL]	
7)	RESTITUTION FOR DAMAGES CAUSED AT THE IIE CAMPUS OR TO THE PERSONAL PROPERTY OF ANY MEMBER OF THE IIE	
8)	SUSPENSION	PERIOD:
	e.g., suspension of all or some of the student's rights and privileges, including exclusion from classes, examinations or other forms of assessment, from use of facilities, withholding the student's assessment results and/or graduation, and prohibition of re-enrolment	DECISION:

	Suspension of the student's enrolment for one or two semesters from _____ / from all IIE campuses, with/ without the option to complete the current semester before the suspension is affected.		
9)	EXPULSION FROM THE IIE	EFFECTIVE DATE:	
10)	WITHHOLDING THE STUDENT'S ASSESSMENT RESULTS FOR A SPECIFIED PERIOD OR UNTIL A SPECIFIED OUTCOME HAS BEEN DEMONSTRATED. [CHAIR TO ADD THE DETAIL]		
11)	REWRITE AND RESUBMIT AN ASSIGNMENT OR OTHER ASSESSMENT COMPONENT [CHAIR TO ADD THE DETAIL] OR		
12)	WRITE AND SUBMIT ANOTHER ASSIGNMENT IN ITS PLACE [CHAIR TO ADD THE DETAIL]		
13)	FAILURE IN AN ASSESSMENT COMPONENT OF A UNIT (..... OR [CHAIR TO ADD THE DETAIL]		
14)	REDUCED MARK FOR THAT COMPONENT [CHAIR TO ADD THE DETAIL]		
15)	FAILURE OF A MODULE. [CHAIR TO ADD THE DETAIL]		
ii)	Inform Respondent that he/she has the right to appeal within five working days of having received the outcome of the hearing; on the basis of:	YES	NO
	<ul style="list-style-type: none"> • Incorrect procedures followed; • Merit of the case; • New evidence; or • Outcome of the hearing (merit of the penalty). 		

ACKNOWLEDGEMENT OF VERDICT OR VERDICT AND PENALTY

CHAIRPERSON

Name in Print

RESPONDENT

Signature

**REPRESENTATIVE
(if applicable)
DATE**

Signature

Annexure Y: Notice of Outcome of Disciplinary Hearing – Case Dismissed

(Printed on Brand Letterhead)

DISCIPLINARY HEARING

Notice of Outcome of Disciplinary Hearing

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Student's Name]

[Insert Student Number]

[Insert Student's Address]

Dear Mr/Ms ***[Insert Name of Student]***

This serves to confirm that at the disciplinary hearing held on ***[Insert Date]***, where the parties present were:

[Add Details of Parties]

The verdict of the disciplinary committee was as follows:

[Insert Verdict]

The case is therefore dismissed and any previous sanctions imposed on you with regard to this case are overturned with immediate effect.

Notice issued by:

Chair of Disciplinary Hearing

Signed at ***[Insert Place]*** _____ on _____ ***[Insert Date]***

Annexure Z: Notice of Outcome of Disciplinary Hearing (Penalty) – Respondent

(Printed on brand letterhead)

DISCIPLINARY HEARING

Notice of Outcome of Disciplinary Hearing

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Student's Name]

[Insert Student Number]

[Insert Student's Address]

Dear Mr/Ms ***[Insert Name of Student]***

This serves to confirm that at the disciplinary hearing held on ***[Insert Date]***, where the parties present were:

[Add Details of Parties]

The verdict of the disciplinary committee was as follows:

[Insert Verdict]

The following are the reasons this verdict was imposed on you:

You were found guilty/pleaded guilty to the charge ***[Insert Relevant Option]*** of ***[Insert Charge]***.

You are reminded that the record of the disciplinary proceedings will be made available to you upon request.

The penalty imposed on you by the disciplinary committee is:

[Insert Penalty]

You are reminded of your right to lodge an appeal against the outcome of the hearing, within five working days of receipt of the outcome. The appeal must be lodged with the Campus Head and must motivate fully, the grounds of such appeal and whether such appeal is in respect of:

- Procedural error;
- New evidence;

- The penalty resulting from the disciplinary hearing; or
- Merit of the case.

Notice issued by:

Chair of Disciplinary Hearing

Signed at ***[Insert Place]*** _____ on _____ ***[Insert Date]***

Annexure AA: Record of Verbal or Written Warning

(Printed on brand letterhead)

Record of Verbal Warning or Written Warning

Date: _____

Name of Respondent Student: _____

Dear Mr/Ms _____

Type of warning: (Please tick)

<input type="checkbox"/>	Verbal
<input type="checkbox"/>	Written Warning
<input type="checkbox"/>	Final Written Warning

Duration: From [Insert date month and year]_ to [Insert date month and year]

Details of actions that warranted this warning

Verbal Warning

This verbal warning will remain in force for a period not exceeding six months from the date of this letter. If there is further misconduct of a similar nature before the warning has lapsed, it will be taken into consideration when penalising the repeated misconduct.

Written Warning

This written warning is considered more serious and will remain in force for a stipulated period not exceeding 12 months. If there is further misconduct of any nature this will be taken into account when determining further penalties.

Final Written Warning

This final written warning amounts to a last warning and is issued as disciplinary action following a prior verbal warning and/or written warning or to sanction a serious misconduct. It will remain in force for a period not exceeding ____ months. Further misconduct may result in serious consequences including suspension and expulsion.

Other please specify

The Independent Institute of Education (Pty) Ltd is registered with the Department of Higher Education and Training as a private higher education institution under the Higher Education Act, 1997 (reg. no. 2007/HE07/002). Company registration number: 1987/004754/07

Yours faithfully

[Insert Name]
Campus Head/ Disciplinary Officer

Yours faithfully,

[Insert Name]
Appellant

Annexure DD: Notice of Disciplinary Appeals Committee Meeting

(Printed on IIE letterhead)

DISCIPLINARY APPEAL

Notice of Disciplinary Appeals Committee Meeting

Date: _____

Name of Appeals Committee Member: _____

Dear Mr/Ms

Kindly note that I have received a notice of appeal with a record of the disciplinary hearing. The documentation will be made available to you at least an hour before the appeals committee meeting is scheduled to meet and you are requested to make yourself available to hear this appeal.

The Disciplinary Appeals Committee meeting will be held on:

Date: _____

Time: _____

Place: _____

Kindly confirm your attendance with me on ***[Insert E-Mail]*** by ***[Insert Date]***.

Yours faithfully

[Insert Name]

Chair of Disciplinary Appeals Committee

Annexure EE: Disciplinary Appeals Case Book

DISCIPLINARY APPEAL

DISCIPLINARY APPEALS CASE BOOK

CHAIRPERSON PROCEDURE CHECKLIST			
1	Advises everybody that this is a disciplinary appeals meeting.	YES	NO
2	Introduces panel and everybody present as part of a Disciplinary Appeals Committee and explains their roles.	YES	NO
	Disciplinary Appeals Committee Members		
	<i>Print names below</i>		
	<i>Chairperson</i>	YES	NO
	<i>Registrar/Deputy Registrar/ Registrar's designate</i>	YES	NO
	<i>Student Representative</i>	YES	NO
3	CHECKLIST (questions to be put to the Disciplinary Appeals Committee Members)		
3.1.	Did you receive a notification of an Appeals Committee meeting? - Registrar/Deputy Registrar - Student Representative	YES YES	NO NO
3.2.	Has the Committee considered all the appeals documentation? - Notice of Appeal - Record of disciplinary proceedings	YES YES	NO NO
4	CONSIDERATION AND DISCUSSION OF APPEALS DOCUMENTATION		
4.1.	Chair captures essence of discussions		
5	DECISION OF DISCIPLINARY APPEALS COMMITTEE: Chair captures decision		
6	ACKNOWLEDGEMENT OF CORRECT PROCEDURE FOLLOWED:		
6.1.	Chair	YES	NO
6.2.	Registrar/Deputy Registrar	YES	NO
6.3.	Student Representative	YES	NO
DATE			

Annexure FF: Findings of the Disciplinary Appeals Committee

(Send to Campus Head to forward to Respondent)
(Printed on IIE letterhead)

DISCIPLINARY APPEAL

Findings of Disciplinary Appeals Committee

[Insert Incident Reference Number: Brand/Campus/Month/Year/Case for that Month, e.g., RCPTA042011001 or Any Other Format of Use to Brand]

[Insert Date]

[Insert Name of Student]

Appeal: _____

Present: _____

Date: _____

Time: _____

After considering the record of the disciplinary hearing, the findings of the disciplinary committee, the sanctions of the disciplinary committee and the grounds for appeal as set out by ***[Insert Name of Appellant]***, we find as follows:

[Insert Findings]

[Insert Name of Chair of DAC]

Chairperson of Disciplinary Appeals Committee

PROTOCOLS

Protocol A: Information Centre Protocol

INFORMATION CENTRE PROTOCOL

(In terms of Section 12 Protocols of the IIE015 Student Conduct and Discipline Policy)

1 Information Service

- (1) All institutional information centres render the following basic information services and information support services:
 - a) Assist all information centre (previously library) users with reference interviews and help with any other information enquiries by utilising all available print and electronic information sources.
 - b) Assistance with CV compilations and job-seeking.
 - c) Facilitate and provide information centre orientation sessions and training workshops.
 - d) Offer inter-information centre loan services and facilities for material not available in the information centre.
 - e) Request, obtain and administrate copyright permissions processes from DALRO.

2 Obligations

- (1) Users have to observe at all times the conditions relating to the use of the information centre materials.
- (2) Users have to accept, in writing, liability for the replacement/repair cost in respect of any loss/damage caused to information centre property.

3 Information Centre Rules

- (1) Information Centre rules and copyright notices need to be displayed in a prominent place in each library. Information about opening days and times, as well as borrowing rules must be displayed in the information centre. It is the responsibility of the campus Information Specialist to update and make these publicly available.
- (2) A valid student card must be produced at all times in order to make use of the resources in the information centre. Students are not allowed to use other information centre users' identity cards.
- (3) Terms and conditions relating to borrowing of information centre materials must be observed at all times.
- (4) Food and drink may not be consumed inside the information centre. This is necessary in order to provide a healthy, clean and pleasant environment for everyone.

- (5) Students are not allowed to use or answer the information centre's telephones and may only use cell phones in silent mode in the information centre.
- (6) Smoking is not allowed in the information centre.
- (7) Animals, other than guide dogs, are not allowed inside the information centre.
- (8) Students may not damage information centre material, furniture or equipment and may not move furniture around. A notice must be displayed in the information centre to inform students on responsible information centre conduct.
- (9) Students are not allowed to leave any possessions unattended.
- (10) Students are not to put up any notice without the prior approval of the Information Specialist in charge.
- (11) Students are not allowed behind staff workstations or any other restricted areas without permission.
- (12) Any student who fails to comply with any of the above may have his/her borrowing privileges revoked and be denied entry to the information centre.
- (13) Students and staff are obliged to sign an agreement that they accept liability for the cost of damage to or loss of information centre cards and material¹⁴.

¹⁴ S19: 2009-03-31 Item 8.3

Protocol B: Computer Venue Protocol

COMPUTER VENUE PROTOCOL

(In terms of Section 12 Protocols of the IIE015 Student Conduct and Discipline Policy)

- (1) The equipment is available for the benefit of all students, and as such needs to be respected and looked after.
- (2) Students are allowed access to computer venues only under the supervision of IT support staff or lecturing staff/independent contractors.
- (3) All students are required to display their student cards at their workstations when using the computer facilities.
- (4) Students are only allowed to access websites that are applicable to their course requirements.
- (5) Students are allowed to bring their own laptops and devices on campus and connect to the wireless networks where available.
- (6) The following sites, searches and downloading are prohibited: Music, videos, films, games, social media, mobile fun, x-rated sites and other software, unless required as part of the curriculum.
- (7) Classroom computers are configured to ensure the best possible learning environment for students. Therefore, students do not have privileges to install any additional software or make changes to any hardware and/or software settings. This extends to: set-ups, screen savers, autoexec, configurations, initial prompts and backgrounds.
- (8) Students are allowed to use their own memory sticks. The anti-virus software will scan these memory sticks when inserted into The IIE computers. The anti-virus software could delete virus-infected documents on the memory stick. The IIE cannot be held liable for any loss of data on the memory stick.
- (9) Data and backup of data remain the responsibility of the student. Therefore, The IIE does not take responsibility for data loss.
- (10) Students are provided with a student e-mail address and a sky-drive. It is recommended that students upload data to the sky-drives to ensure that their data is secured.
- (11) Loading of software without prior authorisation from the relevant staff member/independent contractor is not permitted.
- (12) Removal of hardware and software (or any part thereof) without proper authorisation will be considered theft and disciplinary action will be taken.

- (13) Use of cell phones in the computer venue is not permitted. However, the use of any device and access to the Internet for open book assessment in the practical IT modules may be allowed where applicable.
- (14) Students are to ensure that all applications are closed and that they log off the computer upon leaving the venue.
- (15) No food or drink of any kind is permitted in the computer venue. Smoking is also strictly prohibited.
- (16) Academic work takes priority over non-academic or non-class related work. If a student is looking for a computer to do his/her class-related work and all seats are taken, another student not doing academic work must be prepared to vacate his/her computer for use by such a student.

Protocol C: Uniform and Professional Conduct Protocol for the Bachelor of Business Administration in Hospitality Management Students

1 Introduction

- (1) The Independent Institute of Education (The IIE) offers the Bachelor of Business Administration in Hospitality Management degree which is endorsed by the International College of Hotel Management.
- (2) Varsity College, an educational brand of The IIE, requires all students enrolled for the Bachelor of Business Administration in Hospitality Management to meet and maintain uniform standards, which include personal hygiene and uniform requirements applicable to the hospitality industry, as well as the specified professional conduct. This is in line with international standards.
- (3) These requirements shall apply in the following instances:
 - a) In kitchen or food preparation areas; and
 - b) During any contact with industry or customers be it real or simulation.

2 Uniform

2.1 Personal Hygiene and Appearance

- (1) Varsity College requires all students to comply with the following standards of personal hygiene and appearance:
 - a) **Hair:** Neat and conservatively styled. If long, hair must be tied or pinned up away from the face. No unnaturally dyed hair colours e.g., green, pink or blue.
 - b) **Hands: Clean hands. Clean, well-manicured nails and hands. Clear nail polish** only. Nails to be no longer than 4mm from nail line.
 - c) **Face:** Discreet, natural make-up. Clean-shaven (i.e., no ad hoc days of not shaving). Beards for religious or health reasons are allowed.
 - d) **Uniform:** Neatly pressed, clean and well presented. Visible under-clothing e.g., branded T-shirts not allowed.
 - e) **Jewellery:** Wedding and/or engagement rings only. Small earrings only (diameter no greater than 1cm). No visible body piercings. Male students shall not wear earrings whilst in uniform.
 - f) **Scents:** Avoid highly perfumed perfume, deodorant, after-shave, etc.

2.2 Prescribed Uniform

- (1) Each Bachelor of Business Administration in Hospitality Management student has to wear the appropriate uniform as specified below (see *Table 1*) and in the prescribed manner.
- (2) A lecturer may exclude a student from a relevant class activity if an inappropriate or incomplete uniform is worn.

Table 1

Management Uniform

Male	Female
Black Blazer/Black Melton Winter coat	Black Jacket/Black Melton Winter coat
Black Trousers	Black Skirt/black pants
Long sleeve/Short Sleeve White shirts	Short Sleeve/Long Sleeve White blouses
Long-sleeved corporate jumper (<i>campus-dependent</i>)	Long-sleeved corporate jumper (<i>campus depending</i>)
Name badge (VC issued)	Name badge (VC issued)
Black only socks	Blackmail pantyhose (no patterns/no tights)
Black prescribed shoes	Black prescribed court shoes
Tie (VC issued)	Scarf (VC issued)
Black Belt with simple black/silver buckle	Black hair band, headband or hair clip (optional)
VC lanyard *	VC lanyard *

Food and Beverage Uniform

Male	Female
Black Waistcoat (campus-dependent)	Black Waistcoat (campus-dependent)
Black Trousers	Black Skirt/Black pants
Long sleeve/Short Sleeve White shirts	Short Sleeve/Long sleeve white blouses
Name badge (VC issued)	Name badge (VC issued)
Black only socks	Blackmail pantyhose (no patterns/no tights)
Black prescribed shoes	Black prescribed court shoes
Tie (VC issued)	Black hair band, headband or hair clip (optional)
Black Belt with simple black/silver buckle	Tie (VC issued)
White Apron (VC issued)	White Apron (VC issued)
Waiters Friend (VC issued)	Waiters Friend (VC issued)

* *Varsity College Lanyards are not an official part of the VC uniform but may be worn discretely, if desired, to hold securely only a Student ID card and/or a limited number of keys.*

- (3) A student is responsible for the care and maintenance of his or her uniform.
- (4) A student should ensure that his or her shoes are polished.

3 Professional Conduct

- (1) All students are required to:
 - a) Comply fully with the requirements of IIE Varsity College during educational outings and Industry Training and Development placements;
 - b) Comply fully with the requirements of the establishment that the student(s) is/are placed at or visiting during educational outings and Industry Training and Development placements; and
 - c) Be present for IIE Varsity College outings and placements (*educational outings and placements allow the student to develop professionally. A student should embrace these opportunities and use them to ask questions and enhance his or her learning and experience*).

3.1 General Guidelines

- (1) All students are required to observe the following general guidelines:
 - a) Be prepared for the outing or placement, including doing research about the property before visiting.
 - b) Be respectful towards guests, classmates and tour guide(s).
 - c) Negative facial expressions should be avoided.
 - d) Maintain a positive upright posture.
 - e) Walk at an even quick pace.
 - f) If guests approach, step aside and give them first right of way. If near a door, open the door for the guest to pass through.
 - g) Walk on the left-hand side if walking with a guest. Open the door for the guest.
 - h) Speak softly and politely with an indoor voice.
 - i) Refrain from:
 - i. Using slang or abusive language;
 - ii. Entertaining personal calls while at outings or on placements;
 - iii. Offensive habits such as biting nails, picking hair, nose, ear, yawning, sneezing and coughing without covering your mouth;
 - iv. Chewing bubble gum; and
 - v. Wearing sunglasses on your head.

3.2 Guidelines Applicable to Placements

- (1) All students are required to observe the following guidelines applicable to placement.
 - a) A student should:
 - i. Anticipate guests' needs;
 - ii. Maintain a professional relationship with all guests and avoid seeking familiarity with him or her even if the guest treats the student like a friend;
 - iii. Maintain the same finesse and politeness with guests and colleagues;

- iv. Treat guests and staff with respect;
 - v. Handle all hotel equipment with care;
 - vi. Avoid talking loudly or having lengthy discussions in guest areas; and
 - vii. Be aware of his or her conversation on the phone with guests and colleagues.
- b) A student should not:
- i. Come to guest areas when not in uniform during placement;
 - ii. Hint for or solicit tips; or
 - iii. Speak disrespectfully about a guest, staff member or a department.

3.2.1. Cell Phones

- (1) It is inappropriate to receive private calls or texts during outings or during your work placement.
- (2) Photographs may only be taken with the permission of the establishment.

Annexure A

Bachelor of Business Administration in Hospitality Management

I _____(name) acknowledge that I know and understand Uniform and Professional Conduct Protocol for the Bachelor of Business Administration in Hospitality Management Students and hereby undertake to abide by it.

I am aware that failure to comply with this Protocol may lead to a disciplinary action being taken against me in terms of the Student Conduct and Discipline Policy (IIE015).

Student

Date

Student Number

Protocol D: The IIE Code of Ethics for Teaching Experience



Note: Compulsory submission to your campus of the signed IIE Code of Ethics for Teaching Experience prior to commencing with Teaching Experience in schools. Students will not be allowed to commence Teaching Experience if this is not completed.

Compulsory inclusion of this signed document on final submission of the POE.

PREAMBLE

This document serves as a set of guidelines for when you represent The IIE and yourself on the Teaching Experience component of your programme. The Code of Ethics for Teaching Experience does not replace 'Student Conduct and Discipline Policy (IIE015)', which all students are subject to at any time during their studies.

The IIE expects its students to "conduct themselves in line with the Constitution of the Republic of South Africa, the common law of the country, and the preservation of human rights and dignity"¹⁵. This includes "adherence to all rules and regulations of The IIE in general and as may be specifically detailed from time to time"¹⁶

The IIE Code of Ethics for Teaching Experience (over and above The Code (IIE015) is important as part of your professional conduct in schools and for the integral support The IIE offers to you during your practical preparation and experience as developing teachers.

Read the document below and sign the acknowledgement form that follows. Your placement at a school for Teaching Experience is dependent on it.

¹⁵ Section 2 (2) (b) of the Student Conduct and Discipline Policy, v4 2025

¹⁶ Section 2(1) (6) of the Student Conduct and Discipline Policy, v 4 2025

GENERAL DUTY TO ACT WITH INTEGRITY

1. Student teachers engaged in Teaching Experience acknowledge:
 - 1.1 The moral imperative to honour the teaching profession in their conduct;
 - 1.2 The need to educate the learners of South Africa with integrity;
 - 1.3 That it is their duty to uphold and promote the human rights contained in the Constitution of the Republic of South Africa;
 - 1.4 Their duty to strive at all times during the exercise of Teaching Experience to conduct themselves in accordance with the rules and purport of this Code;
 - 1.5 Their duty to not act in an improper or unbecoming manner during Teaching Experience.

CONDUCT OF THE STUDENT TEACHER TOWARDS THE LEARNER

2. A student teacher shall at all times:
 - 2.1 respect the dignity, beliefs and constitutional rights of learners;
 - 2.2 respect the learner's right to privacy and confidentiality;
 - 2.3 refrain from subjecting learners to humiliation or any form of abuse;
 - 2.4 adhering to the placement school's Disciplinary Code of Conduct;
 - 2.5 avoid any improper contact with learners, which shall include as prohibited forms of contact the following:
 - 2.5.1 making inappropriate jokes;
 - 2.5.2 exchanging contact information with learners;
 - 2.5.3 offering learners cigarettes, alcohol or anything considered age inappropriate;
 - 2.5.4 engaging learners on social media at any time whatsoever;
 - 2.5.5 communicate socially with learners in any other manner whatsoever after school hours;
 - 2.5.6 entering into discourse with learners during or after school hours considered to be inappropriate;
 - 2.6 refrain from any form of sexual harassment towards learners;
 - 2.7 refrain from any form of romantic or sexual relationship with learners;
 - 2.8 avoid using the student teacher's position of authority to influence learners in an inappropriate manner;
 - 2.9 be mindful that s/he is a role model to vulnerable minor learners and as such, ensure that s/he uses appropriate language and behaviour in the presence of learners;
 - 2.10 dress appropriately for the teaching profession;
 - 2.11 avoid using the student teacher's position of authority for financial, political or personal gain;
 - 2.12 show due respect for the customs, culture, religion and beliefs of learners;
 - 2.13 generally, ensure that her/his conduct is beyond reproach and honourable.

CONDUCT OF THE STUDENT TEACHER TOWARDS HOST SCHOOL

3. A student teacher:
 - 3.1 acknowledges that the exercising of Teaching Experience occurs as a result of relationships between The IIE, the community and educators;
 - 3.2 promises to protect the relationship of The IIE with placement schools by displaying ethical and suitable conduct at all times;
 - 3.3 undertakes to conduct him or herself in a way that advances the integrity and reputation of The IIE and the teaching profession in general;
 - 3.4 undertakes to show respect to host school staff and anyone placed in authority over the student teacher at the host school;
 - 3.5 shall ensure that s/he also complies with the Code of Conduct of the host school, its rules and regulations and all lawful instructions issued by the staff of the host school.

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The IIE Code of Ethics for Teaching Experience

Acknowledgement Form [Insert year]

Name: (in full) _____ (please print)

Programme: _____

Module Code: _____

Year of study: _____

I acknowledge that I have read and understood *The IIE Code of Ethics for Teaching Experience*.

Student's signature: _____

Date: _____

The IIE Code of Ethics for Teaching Experience

Acknowledgement Form [Insert year]

Name: (in full) _____ (please print)

Programme: _____

Module Code: _____

Year of study: _____

I acknowledge that I have read and understood *The IIE Code of Ethics for Teaching Experience*.

Student's signature: _____

Date: _____

Protocol E: Fair Usage Protocol

FAIR USAGE PROTOCOL

- (1) Students are expected to use the Internet responsibly and productively. On campus, internet access is specifically for academic and research purposes for the achievement of Teaching and Learning outcomes.
- (2) In order to ensure that all students have quality access to the Internet whilst on campus, a soft capped quota of 20GB per month, per student is applied to all campuses' wireless networks. When and if a student exceeds their monthly quota, their speed will be throttled to 1Mbps until the quota is reset at the start of a new month. This will ensure that the general student body is not negatively impacted by any one student abusing campus resources.
- (3) All Internet data that is composed, transmitted and/or received by the campus' computer systems is considered to belong to The IIE and is recognised as part of its official data. It is therefore subject to disclosure for legal reasons or to other appropriate third parties as required.
- (4) The equipment, services and technology used to access the Internet are the property of The IIE and the company reserves the right to monitor Internet traffic and monitor and access data that is composed, sent or received through its online connections.
- (5) Emails sent via the student email system should not contain content that is deemed to be offensive. This includes, though is not restricted to, the use of vulgar or harassing language and/or images.
- (6) All internet sites and downloads may be monitored and/or restricted by The IIE if they are deemed to be harmful and/or not for the achievement of Teaching and Learning outcomes.