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**DEPARTMENT OF HIGHER EDUCATION AND TRAINING****NO. 18****08 JANUARY 2016****POLICY STANDARD ON APPROVAL TO CONDUCT RESEARCH IN PUBLIC COLLEGES**

I, Bonginkosi Emmanuel Nzimande, MP, Minister of Higher Education and Training, in terms of section 41B(4)(d) of the Continuing Education and Training Act (Act No. 16 of 2006) and the Higher Education and Training Information Policy published in Notice No. 832, Government Gazette No. 36973 of 1 November 2013, hereby publish the Standard on approval to conduct research in public Technical and Vocational Education and Training (TVET) and Community Education and Training Colleges as scheduled hereto.

This Standard stipulates the processes that need to be followed by researchers and research organisations when research is to be undertaken in public TVET and public Community Education and Training Colleges.

The Department welcomes bona fide research and encourages researchers to undertake research at its institutions, subject to the procedures and conditions described in this Standard.



**Dr BE Nzimande, MP**

**Minister of Higher Education and Training**

Date: 08/12/2015

# HIGHER EDUCATION AND TRAINING INFORMATION STANDARD

**DHET 004**

## APPROVAL TO CONDUCT RESEARCH IN PUBLIC COLLEGES

**November 2015**



**higher education  
& training**

Department  
Higher Education and Training  
REPUBLIC OF SOUTH AFRICA

Information Systems Coordination  
Department of Higher Education and Training  
Private Bag X174  
PRETORIA  
0001

Point of contact:  
HETIS Officer  
Telephone: 012 312 6212/5212  
E-mail: HETIS.Office@dhet.gov.za

DHET (2015) Higher Education and Training Information Standard: Approval to conduct research in public Colleges. Pretoria.

## 1. PREAMBLE

- 1.1 The *White Paper for Post-School Education and Training* (Department of Higher Education and Training, 2013) draws attention to the importance of research in contributing to the development of our society.
- 1.2 The Department of Higher Education and Training (DHET) has a vital interest in the production, management, dissemination and utilisation of knowledge that will help to enhance the quality, quantity and diversity of post-school education and training in South Africa.
- 1.3 Good quality research is a pre-requisite for informed decision making. The Department therefore supports research that can contribute to evidence-based policy decisions.
- 1.4 The Department welcomes bona fide research and encourages researchers, including Master's and Doctoral students, to undertake research at its public colleges (Technical and Vocational Education and Training [TVET] and Community Education and Training [CET] colleges), subject to the procedures and conditions described in this document.

## 2. RATIONALE

- 2.1 The Department has a responsibility to ensure that research undertaken at public colleges subscribes to local and internationally recognised ethical standards.
- 2.2 It has to further ensure that the research does not over-burden the management, staff and students of colleges, and that it does not unduly disrupt teaching and learning.
- 2.3 This Standard is therefore published to ensure that research undertaken in public colleges is underpinned by good ethical standards, and that it is undertaken in cooperation with public Colleges.

## 3. PURPOSE

- 3.1 This Standard stipulates the processes that researchers need to follow when they plan to undertake research in public colleges.

## 4. SCOPE AND APPLICABILITY

- 4.1 This Standard is applicable to research that is planned to be undertaken in public colleges (TVET colleges and CET colleges), by Master's and Doctoral students, research organisations and individual researchers.

DHET (2015) Higher Education and Training Information Standard: Approval to conduct research in public Colleges. Pretoria.

- 4.2 The TVET and CET colleges are established by the Minister of Higher Education and Training in terms of sections 3(1a) and 3(1b) of the Continuing Education and Training Act, 2006 (Act No. 16 of 2006) through Proclamation No. 44 of 2009 which was published in Government Gazette No. 32367 of 1 July 2009.

## 5. APPLICATION PROCEDURE

- 5.1 Applicants are expected to complete an official application form titled "*Application to conduct research in public colleges*", which is attached as an Appendix to this Standard.
- 5.2 Registered Master's and Doctoral students are expected to complete the application form attached as Appendix 1. Research organisations (including individual researchers who are not registered students), are expected to complete the application form attached as Appendix 2.
- 5.3 Applicants who wish to undertake research in less than ten public Colleges for a specific study, must submit their application to the Head of the college/s concerned.
- 5.4 Applicants who wish to undertake research in ten or more public colleges must submit their application forms (either Appendix 1 or Appendix 2), to the DHET. The Department will provide a letter of support, which the applicant could use to gain access to the colleges concerned.
- 5.5 The applicant must submit the application form to the Head of the college/Department at least two months before field research begins. However, urgent applications may be considered by the Head of the college/Department, where applicable.
- 5.6 Students registered at a recognised Higher Education Institution who wish to undertake research in public college/s must include an Ethics Clearance Certificate as part of their application. The Ethics Clearance Certificate is expected to be provided by the Research Ethics Committee of the institution where the student is registered.

## 6. PROCESSING OF RESEARCH REQUESTS BY COLLEGES

- 6.1 Upon receipt of the research application, the Head of the college must check if the application form (Appendix 1 or Appendix 2) is complete. If the application is incomplete, the college must contact the applicant and request for the outstanding information.
- 6.2 The Head of the college (or his/her nominee) must appraise the application form in line with the following criteria:
- a) Inclusion of all information in the application form (*all applicants*).

DHET (2015) Higher Education and Training Information Standard: Approval to conduct research in public Colleges. Pretoria.

- b) Inclusion of an Ethics Clearance Certificate in the application (*only if the applicant is a student*).
- c) Inclusion of a research proposal in the application (*from all applicants*).
- d) A signed declaration form (*from all applicants*); and
- e) An assessment of the effect of research activities on the smooth functioning of the college.

6.3 There are three possible outcomes regarding the review of the research request:

- a) The application may be approved;
- b) The application may be approved subject to certain conditions being met (for example, in the case where data requested may require too much time or be too costly to process); and
- c) The application may not be approved, in which instance, the reasons for non-approval must be provided.

6.4 The outcome of the research request must be communicated in writing to the applicant. The attached application form provides space for a college to communicate its response to the applicant.

6.5 Processed application forms must be archived in the college for a period of three years.

6.6 The Head of the college must submit to the DHET an annual return on the number of research requests received for the year as per the template attached as Appendix 3 to this Standard.

## 7. CONDITIONS TO BE AGREED TO BY THE RESEARCHER

The researcher is required to sign a declaration agreeing to the following conditions:

- 7.1 Research activities must be scheduled in consultation with the said College/s and participants. The said college/s programmes should not be interrupted.
- 7.2 Data that may be needed for the research project must first be requested directly from the DHET. Data should be requested from the college/s only if the DHET does not have the data required.
- 7.3 Involvement by participants in research activities is voluntary and participants have a right to decline participation.
- 7.4 The researcher must obtain signed consent forms from participants prior to any engagement with them.
- 7.5 Written parental consent of students under 18 years of age must be obtained, if they are expected to participate in research activities.

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- 7.6 The use of monitoring devices such as tape recorders and cameras must be made explicit prior to engagement with participants, and participants should be free to reject them if they wish.
- 7.7 Resources of the said college/s (such as stationery, photocopies, faxes, and telephones) must not be used for the research activities.
- 7.8 The right of participants to privacy, anonymity, confidentiality and respect for human dignity must be honoured at all times. Participants should not be identifiable in any way from the result of the research, unless written consent is obtained otherwise.
- 7.9 The names of the said college/s, or participants must not appear in the research report without the written consent of each participant and/or college.
- 7.10 The draft research report must be sent to research participants before finalisation, in order to provide the college with an opportunity to validate the accuracy of the information in the report.
- 7.11 The research report (including all presentations and publications arising from the research) must include a disclaimer indicating that the findings and recommendations arising from the investigation do not represent the views of the said college/s or the DHET.
- 7.12 A summary of the findings of the research report must be provided to the Head of the said college in which the research was undertaken, for information purposes.





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**DHET 004: APPENDIX 1:**  
**APPLICATION FORM FOR STUDENTS TO CONDUCT RESEARCH IN  
PUBLIC COLLEGES**

**1. APPLICANT INFORMATION**

<b>1.1.</b>	<b>Title (Dr /Mr /Mrs /Ms)</b>								
<b>1.2</b>	<b>Name and surname</b>								
<b>1.3</b>	<b>Postal address</b>								
<b>1.4</b>	<b>Contact details</b>	<b>Tel</b>							
		<b>Cell</b>							
		<b>Fax</b>							
		<b>Email</b>							
<b>1.5</b>	<b>Name of institution where enrolled</b>								
<b>1.6</b>	<b>Field of study</b>								
<b>1.7</b>	<b>Qualification registered for</b>	<b>Please tick relevant option:</b> <table border="1" style="width: 100%;"> <tr> <td><b>Doctoral Degree (PhD)</b></td> <td></td> </tr> <tr> <td><b>Master's Degree</b></td> <td></td> </tr> <tr> <td><b>Other (please specify)</b></td> <td></td> </tr> </table>		<b>Doctoral Degree (PhD)</b>		<b>Master's Degree</b>		<b>Other (please specify)</b>	
<b>Doctoral Degree (PhD)</b>									
<b>Master's Degree</b>									
<b>Other (please specify)</b>									

**2. DETAILS OF THE STUDY**

<b>2.1</b>	<b>Title of the study</b>
<b>2.2</b>	<b>Purpose of the study</b>

**DHET 004: APPENDIX 1: APPLICATION FORM FOR STUDENTS TO CONDUCT RESEARCH IN PUBLIC COLLEGES**
**3. PARTICIPANTS AND TYPE/S OF ACTIVITIES TO BE UNDERTAKEN IN THE COLLEGE**

*Please indicate the types of research activities you are planning to undertake in the College, as well as the categories of persons who are expected to participate in your study (for example, lecturers, students, College Principals, Deputy Principals, Campus Heads, Support Staff, Heads of Departments), including the number of participants for each activity.*

<b>3.1</b>	<b>Complete questionnaires</b>	<b>Expected participants (e.g. students, lecturers, College Principal)</b>	<b>Number of participants</b>
		a)	
		b)	
		c)	
		d)	
		e)	
<b>3.2</b>	<b>Participate in individual interviews</b>	<b>Expected participants</b>	<b>Number of participants</b>
		a)	
		b)	
		c)	
		d)	
		e)	
<b>3.3</b>	<b>Participate in focus group discussions/ workshops</b>	<b>Expected participants</b>	<b>Number of participants</b>
		a)	
		b)	
		c)	
		d)	
		e)	
<b>3.4</b>	<b>Complete standardised tests (e.g. Psychometric Tests)</b>	<b>Expected participants</b>	<b>Number of participants</b>
		a)	
		b)	
		c)	
		d)	
		e)	
<b>3.5</b>	<b>Undertake observations</b> <i>Please specify</i>		
<b>3.6</b>	<b>Other</b> <i>Please specify</i>		



**DHET 004: APPENDIX 1: APPLICATION FORM FOR STUDENTS TO CONDUCT RESEARCH IN PUBLIC COLLEGES**
**4. SUPPORT NEEDED FROM THE COLLEGE**

<i>Please indicate the type of support required from the College (Please tick relevant option/s)</i>			
Type of support		Yes	No
4.1	The College will be required to identify participants and provide their contact details to the researcher.		
4.2	The College will be required to distribute questionnaires/instruments to participants on behalf of the researcher.		
4.3	The College will be required to provide official documents. <i>Please specify the documents required below</i>		
4.4	The College will be required to provide data (only if this data is not available from the DHET). <i>Please specify the data fields required, below</i>		
4.5	<i>Other, please specify below</i>		

**5. DOCUMENTS TO BE ATTACHED TO THE APPLICATION**

<i>The following 2 (two) documents must be attached as a prerequisite for approval to undertake research in the College</i>	
5.1	Ethics Clearance Certificate issued by a University Ethics Committee
5.2	Research proposal approved by a University

# DHET 004: APPENDIX 1: APPLICATION FORM FOR STUDENTS TO CONDUCT RESEARCH IN PUBLIC COLLEGES

## 6. DECLARATION BY THE APPLICANT

I undertake to use the information that I acquire through my research, in a balanced and a responsible manner. I furthermore take note of, and agree to adhere to the following conditions:

- a) I will schedule my research activities in consultation with the said College/s and participants in order not to interrupt the programme of the said College/s.
- b) I agree that involvement by participants in my research study is voluntary, and that participants have a right to decline to participate in my research study.
- c) I will obtain signed consent forms from participants prior to any engagement with them.
- d) I will obtain written parental consent of students under 18 years of age, if they are expected to participate in my research.
- e) I will inform participants about the use of recording devices such as tape-recorders and cameras, and participants will be free to reject them if they wish.
- f) I will honour the right of participants to privacy, anonymity, confidentiality and respect for human dignity at all times. Participants will not be identifiable in any way from the results of my research, unless written consent is obtained otherwise.
- g) I will not include the names of the said College/s or research participants in my research report, without the written consent of each of the said individuals and/or College/s.
- h) I will send the draft research report to research participants before finalisation, in order to validate the accuracy of the information in the report.
- i) I will not use the resources of the said College/s in which I am conducting research (such as stationery, photocopies, faxes, and telephones), for my research study.
- j) Should I require data for this study, I will first request data directly from the Department of Higher Education and Training. I will request data from the College/s only if the DHET does not have the required data.
- k) I will include a disclaimer in any report, publication or presentation arising from my research, that the findings and recommendations of the study do not represent the views of the said College/s or the Department of Higher Education and Training.
- l) I will provide a summary of my research report to the Head of the College/s in which I undertook my research, for information purposes.

I declare that all statements made in this application are true and accurate. I accept the conditions associated with the granting of approval to conduct research and undertake to abide by them.

SIGNATURE	
DATE	

**DHET 004: APPENDIX 1: APPLICATION FORM FOR STUDENTS TO CONDUCT RESEARCH IN PUBLIC COLLEGES**
**FOR OFFICIAL USE**
**DECISION BY HEAD OF COLLEGE**

<i>Please tick relevant decision and provide conditions/reasons where applicable</i>		
<b>Decision</b>		<i>Please tick relevant option below</i>
<b>1</b>	Application approved	
<b>2</b>	Application approved subject to certain conditions. <i>Specify conditions below</i>	
<b>3</b>	Application not approved. <i>Provide reasons for non-approval below</i>	
<b>NAME OF COLLEGE</b>		
<b>NAME AND SURNAME OF HEAD OF COLLEGE</b>		
<b>SIGNATURE</b>		
<b>DATE</b>		





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**DHET 004: APPENDIX 2:  
APPLICATION FORM FOR ORGANISATIONS TO CONDUCT RESEARCH  
IN PUBLIC COLLEGES**

**1. APPLICANT INFORMATION**

<b>1.1</b>	Name of organisation which is undertaking the research									
<b>1.2</b>	Postal address of organisation									
<b>1.3</b>	Name of client for whom the research is being undertaken, if applicable									
<b>1.4</b>	Name and surname of contact person									
<b>1.5</b>	Title of contact person (Prof /Dr /Mr / Mrs /Ms)									
<b>1.6</b>	Contact details	<table border="1"> <tr> <td>Tel</td> <td></td> </tr> <tr> <td>Cell</td> <td></td> </tr> <tr> <td>Fax</td> <td></td> </tr> <tr> <td>Email</td> <td></td> </tr> </table>	Tel		Cell		Fax		Email	
Tel										
Cell										
Fax										
Email										

**2. DETAILS OF THE STUDY**

<b>2.1</b>	<b>Title of the study</b>
<b>2.2</b>	<b>Purpose of the study</b>



**DHET 004: APPENDIX 2: APPLICATION FORM FOR ORGANISATIONS TO CONDUCT RESEARCH IN PUBLIC COLLEGES**
**3. PARTICIPANTS AND TYPE/S OF ACTIVITIES TO BE UNDERTAKEN IN THE COLLEGE**

<i>Please indicate the types of research activities you are planning to undertake in the College, as well as the categories of persons who are expected to participate in your study (for example, lecturers, students, College Principals, Deputy Principals, Campus Heads, Support Staff, Heads of Departments), including the number of participants for each activity.</i>			
3.1	Complete questionnaires	Expected participants (e.g. students, lecturers, College Principal)	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
3.2	Participate in individual interviews	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
3.3	Participate in focus group discussions/ workshops	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
3.4	Complete standardised tests (e.g. Psychometric Tests)	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
3.5	Undertake observations <i>Please specify</i>		
3.6	Other <i>Please specify</i>		

#### DHET 004: APPENDIX 2: APPLICATION FORM FOR ORGANISATIONS TO CONDUCT RESEARCH IN PUBLIC COLLEGES

#### 4. SUPPORT NEEDED FROM THE COLLEGE

<i>Please indicate the type of support required from the College (Please tick relevant option/s)</i>		
Type of support	Yes	No
4.1 The College will be required to identify participants and provide their contact details to the researcher.	<input type="checkbox"/>	<input type="checkbox"/>
4.2 The College will be required to distribute questionnaires/instruments on behalf of the researcher to participants.	<input type="checkbox"/>	<input type="checkbox"/>
4.3 The College will be required to provide official documents. <i>Please specify the documents required below</i>	<input type="checkbox"/>	<input type="checkbox"/>
4.4 The College will be required to provide data (only if this data is not available from the DHET). <i>Please specify the data fields required, below</i>	<input type="checkbox"/>	<input type="checkbox"/>
4.5 <i>Other, please specify below</i>		

#### 5. DOCUMENTS TO BE ATTACHED TO THE APPLICATION

A research proposal must be attached to this application as a prerequisite for the approval of the application.

# DHET 004: APPENDIX 2: APPLICATION FORM FOR ORGANISATIONS TO CONDUCT RESEARCH IN PUBLIC COLLEGES

## 6. DECLARATION BY THE APPLICANT

I undertake to use the information that I acquire through my research, in a balanced and a responsible manner. I furthermore take note of, and agree to adhere to the following conditions:

- a) I will schedule my research activities in consultation with the said College/s and participants in order not to interrupt the programme of the said College/s.
- b) I agree that involvement by participants in my research study is voluntary, and that participants have a right to decline to participate in my research study.
- c) I will obtain signed consent forms from participants prior to any engagement with them.
- d) I will obtain written parental consent of students under 18 years of age, if they are expected to participate in my research.
- e) I will inform participants about the use of recording devices such as tape-recorders and cameras, and participants will be free to reject them if they wish.
- f) I will honour the right of participants to privacy, anonymity, confidentiality and respect for human dignity at all times. Participants will not be identifiable in any way from the results of my research, unless written consent is obtained otherwise.
- g) I will not include the names of the said College/s or research participants in my research report, without the written consent of each of the said individuals and/or College/s.
- h) I will send the draft research report to research participants before finalisation, in order to validate the accuracy of the information in the report.
- i) I will not use the resources of the said College/s in which I am conducting research (such as stationery, photocopies, faxes, and telephones), for my research study.
- j) Should I require data for this study, I will first request data directly from the Department of Higher Education and Training. I will request data from the College/s only if the DHET does not have the required data.
- k) I will include a disclaimer in any report, publication or presentation arising from my research, that the findings and recommendations of the study do not represent the views of the said College/s or the Department of Higher Education and Training.
- l) I will provide a summary of my research report to the Head of the College/s in which I undertook my research, for information purposes.

I declare that all statements made in this application are true and accurate. I accept the conditions associated with the granting of approval to conduct research and undertake to abide by them.

NAME OF HEAD OF ORGANISATION	
SIGNATURE OF HEAD OF ORGANISATION	
DATE	



**DHET 004: APPENDIX 2: APPLICATION FORM FOR ORGANISATIONS TO CONDUCT RESEARCH IN PUBLIC COLLEGES**
**FOR OFFICIAL USE**
**DECISION BY HEAD OF COLLEGE**

<i>Please tick relevant decision and provide conditions/reasons where applicable</i>		
<b>Decision</b>		<i>Please tick relevant option below</i>
<b>1</b>	Application approved	
<b>2</b>	Application approved subject to certain conditions. <i>Specify conditions below</i>	
<b>3</b>	Application not approved. <i>Provide reasons for non-approval below</i>	
<b>NAME OF COLLEGE</b>		
<b>NAME AND SURNAME OF HEAD OF COLLEGE</b>		
<b>SIGNATURE</b>		
<b>DATE</b>		





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### **DHET 004: APPENDIX 3:**

## **ANNUAL RETURN ON RESEARCH REQUESTS UNDERTAKEN IN PUBLIC COLLEGES**

### **PREAMBLE**

This form must be completed by the Head of a College (or his/her nominee) and submitted to the Department of Higher Education and Training by 31 January every year, for research requests received for the previous academic year.

The Director: Research Coordination Monitoring and Evaluation

Telephone: 012 312 5093/5297

Fax: 012 323 0991

E-mail: [dhetresearch@dhnet.gov.za](mailto:dhetresearch@dhnet.gov.za)

### **1. COLLEGE INFORMATION**

<b>1.1.</b>	<b>Name of College</b>		
<b>1.2</b>	<b>Name and surname of Head of College</b>		
<b>1.3</b>	<b>Postal address of College</b>		
<b>1.4</b>	<b>Contact details of Head of College</b>	<b>Tel</b>	
		<b>Cell</b>	
		<b>Fax</b>	
		<b>Email</b>	

**2. ANNUAL RETURN** (for the period 1 January \_\_\_\_\_ to 31 December \_\_\_\_\_)

[illegible]