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CONTENTS • INHOUD

No.

Page
No. Gazette
No.**GENERAL NOTICE****Higher Education and Training, Department of***General Notice*

494 Continuing Education and Training Act (16/2006): Call for public comment on the standard on approval to conduct research in public colleges	3	38950
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GENERAL NOTICE

NOTICE 494 OF 2015

DEPARTMENT OF HIGHER EDUCATION AND TRAINING

CALL FOR PUBLIC COMMENT ON THE STANDARD ON APPROVAL TO CONDUCT RESEARCH IN PUBLIC COLLEGES

I, Bonginkosi Emmanuel Nzimande, MP, Minister of Higher Education and Training, in terms of Chapter 8 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 call for public comment on the Standard on approval to conduct research in public Colleges (Technical and Vocational Education and Training (TVET) Colleges and Community Education and Training Colleges).

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

All interested persons and organisations are invited to comment on the draft standard, in writing, and to direct their comments to:

The Director-General,
Department of Higher Education and Training
Private Bag X174
PRETORIA
Attention: Ms R Pillay, email: Pillay.r@dhet.gov.za Fax: 012 323 0991

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

Copies of the draft standard may be downloaded from the Departmental website, (www.dhet.gov.za). Copies can be emailed on request to any interested person.

Comments should reach the Department within 30 calendar days after publication of this Notice.



Dr BE Nzimande, MP
Minister of Higher Education and Training
Date: 17/06/2015

HIGHER EDUCATION AND TRAINING INFORMATION STANDARD

DHET 004

APPROVAL TO CONDUCT RESEARCH IN PUBLIC COLLEGES

May 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

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 meeting the economic and social needs of 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 good-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 to undertake research at its institutions, 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 post-school education and training institutions subscribes to internationally recognised ethical standards. It has to further ensure that the research that takes place at its institutions does not over-burden institutions' management, staff and students and that it does not unduly disrupt teaching and learning.

3. PURPOSE

- 3.1 This Standard stipulates the processes that need to be followed by researchers and research organisations when research is planned to be undertaken in public Colleges (Technical and Vocational Education and Training (TVET) Colleges and public Community Education and Training (CET) Colleges)¹.

4. SCOPE AND APPLICABILITY

- 4.1 This Standard is applicable to research undertaken in public Colleges (TVET Colleges and CET Colleges).

¹ Public Colleges refer to Technical and Vocational Education and Training (TVET) Colleges and Community Education and Training (CET) Colleges.

5. APPLICATION PROCEDURE FOR RESEARCHERS

- 5.1 Researchers who wish to undertake research in less than ten public Colleges must submit their application to the Head of the institution/s concerned. The applicant is expected to complete an official application form titled *"Approval to conduct research in public Colleges"*, which is attached as Appendices 1 and 2 in this document.
- 5.2 Researchers who wish to undertake research in ten or more public Colleges must submit their application to the DHET. The Department will provide a letter of support that the student/researcher could use to gain access to the institutions concerned.
- 5.3 The researcher must submit the application form to the Head of the institution at least two months before field research begins. However, urgent applications may be considered by the Head of the institution/s concerned, where applicable.
- 5.4 Students registered at a recognised Higher Education Institution who wish to undertake research in public Colleges must submit an Ethics Clearance Certificate to the Head of the institution. The Ethics Clearance Certificate is provided by the Research Ethics Committee of the institution where the student is registered.

6. PROCESSING OF RESEARCH REQUESTS BY TVET AND COMMUNITY COLLEGES

- 6.1 Upon receipt of the research application, the Head of the institution must check if the application form (as per Appendices 1 or 2) is complete. If the application is incomplete, the institution must contact the applicant and request for the required information.
- 6.2 The Head of the institution (or a delegate) will appraise the application form in line with the following criteria:
 - a) Inclusion of an Ethics Clearance Certificate (*only if the applicant is a student*).
 - b) Inclusion of a research proposal (*from all applicants*).
 - c) A signed declaration form (*from all applicants*).
 - d) The effect of research activities on the smooth functioning of the institution.
- 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.
 - 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 the institution to communicate its response.
- 6.5 Processed application forms must be archived in the institution for a period of three years.
- 6.6 The Head of the institution must submit to the DHET an annual return on the number of research requests received for the year as per a template provided by the Department (Appendix 3).

7. CONDITIONS TO BE AGREED TO BY THE RESEARCHER

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

- 7.1 A disclaimer indicating that the findings and recommendations does not represent the views of the said institution must be included in any report, publication or presentation arising from the investigation.
- 7.2 Consultation must take place with the Head of the said institution regarding the timing and duration of the research activities. The said institution's programmes will not be interrupted. Research activities will be scheduled by the researcher in consultation with the said institution and participants.
- 7.3 The goodwill and cooperation of staff and students to participate in the research will be obtained. Involvement by participants in the research study is voluntary and participants have a right to decline participation in the investigation.
- 7.4 Consent forms will be provided to participants to complete prior to the commencement of the research.
- 7.5 Written parental consent of students under 18 years will be obtained, if they are expected to participate in the study.
- 7.6 The right of participants to privacy, anonymity, confidentiality and respect for human dignity will be honoured at all times. Participants will not be identifiable in any way from the result of the investigation.
- 7.7 The names of the said institution, Head of the institution, lecturers, staff, and students that participated in the study in the research report will not appear in the research report without the written consent of each of these individuals and/or institutions.

- 7.8 Resources of the said institution (such as stationery, photocopies, faxes, and telephones) will not be used for the research study.
- 7.9 The use of monitoring devices such as tape recorders and cameras will be made explicit and participants will be free to reject them if they wish.
- 7.10 A summary of the findings of the research will be provided to the Head of the said institution.



higher education & training

Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA

DHET 004: APPENDIX 1:

APPLICATION FORM FOR STUDENTS TO CONDUCT RESEARCH IN PUBLIC COLLEGES

1. APPLICANT INFORMATION

1.1.	Title (Dr /Mr /Mrs /Ms)		
1.2	Name and surname		
1.3	Postal address		
1.4	Contact details	Tel:	
		Cell:	
		Fax:	
		Email:	
1.5	Name of institution where enrolled		
1.6	Field of study		
1.7	Qualification registered for:	Please tick relevant option:	
		Under-graduate Degree	<input type="checkbox"/>
		Honours Degree	<input type="checkbox"/>
		Master's Degree	<input type="checkbox"/>
		Doctoral Degree (PhD)	<input type="checkbox"/>

2. DETAILS OF THE STUDY

2.1	Title of the study

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

2.2	Main purpose of the study

3. SUPPORT NEEDED FROM THE INSTITUTION

<i>Please indicate the type of support required from the institution (Please tick relevant option/s)</i>			
Type of support		Yes	No
3.1	The institution will be required to identify participants and provide their contact details to the researcher.		
3.2	The institution will be required to distribute instruments to participants on behalf of the researcher.		
3.3	The institution will be required to provide official documents. <i>Please specify the documents required below</i>		
3.4	The institution will be required to provide data. <i>Please specify the data required below</i>		
3.5	<i>Other, please specify below</i>		

4. TYPE/S OF ACTIVITIES TO BE UNDERTAKEN IN THE INSTITUTION

<i>Please indicate who is expected to participate in your study (for example, lecturers, students, College Principals, campus Heads, support staff, Heads of Departments).</i>			
4.1	Complete questionnaires	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	

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

4.2	Participate in individual interviews	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
4.3	Participate in focus group discussions/ workshops	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
4.4	Complete standardised tests (e.g. Psychometric Tests)	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
4.5	Other, specify below		
4.6	Undertake observations Please specify in the column on the right		

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 institution</i>	
5.1	Ethics Clearance Certificate issued by a University Ethics Committee
5.2	Research proposal

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 institution and participants. I will not interrupt the said institution's programmes.
- b) I agree that involvement by participants in the research study is voluntary, and that participants have a right to decline to participate in the investigation.
- c) I will therefore provide consent forms to participants to complete prior to the commencement of the research.
- d) I will obtain written parental consent of students under 18 years, if they are expected to participate in the study.
- e) 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 result of the investigation.
- f) I will not include the names of the said institution or research participants in my research report, without the written consent of each of these individuals and/or institutions.
- g) I will not use the resources of the said institution (such as stationery, photocopies, faxes, and telephones) for the research study.
- h) I will inform participants about the use of monitoring devices such as tape-recorders and cameras, and participants will be free to reject them if they wish.
- i) I will include a disclaimer to any report, publication or presentation arising from the investigation, that the findings and recommendations does not represent the views of the said institution.
- j) I will provide a summary of the findings of the research to the Head of the specific institution.

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 INSTITUTION

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



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

1. APPLICANT INFORMATION

1.1	Name of organisation which is undertaking the research									
1.2	Postal address of organisation									
1.3	Name of client for whom the research is being undertaken, if applicable									
1.4	Name and surname of contact person									
1.5	Title of contact person (Prof /Dr /Mr / Mrs /Ms)									
1.6	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

2.1	Title of the study
2.2	Main purpose of the study

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

3. SUPPORT NEEDED FROM THE INSTITUTION

<i>Please indicate the type of support required from the institution (Please tick relevant option/s)</i>			
Type of support		Yes	No
3.1	The institution will be required to identify participants and provide their contact details to the researcher		
3.2	The institution will be required to distribute instruments on behalf of the researcher to participants		
3.3	The institution will be required to provide official documents. <i>Please specify the documents required below</i>		
3.4	The institution will be required to provide data. <i>Please specify the data required below</i>		
3.5	<i>Other, please specify below</i>		

4. TYPE/S OF ACTIVITIES TO BE UNDERTAKEN IN THE INSTITUTION

<i>Please indicate who is expected to participate in your study (for example, lecturers, students, College Principals, campus Heads, support staff, Heads of Departments).</i>			
4.1	Complete questionnaires	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
4.2	Participate in individual interviews	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	

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

4.3	Participate in focus group discussions/ workshops	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
4.4	Complete standardised tests (e.g. Psychometric Tests)	Expected participants	Number of participants
		a)	
		b)	
		c)	
		d)	
		e)	
4.5	Other, specify below		
4.6	Undertake observations Please specify in the column on the right		

5. DOCUMENTS TO BE ATTACHED TO THE APPLICATION

The following document must be attached as a prerequisite for approval to undertake research in the institution	
5.1	Research proposal

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 institution and participants. I will not interrupt the said institution's programmes.
- b) I agree that involvement by participants in the research study is voluntary, and that participants have a right to decline to participate in the investigation.
- c) I will therefore provide consent forms to participants to complete prior to the commencement of the research.
- d) I will obtain written parental consent of students under 18 years, if they are expected to participate in the study.
- e) 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 result of the investigation.
- f) I will not include the names of the said institution or research participants in my research report, without the written consent of each of these individuals and/or institutions.
- g) I will not use the resources of the said institution (such as stationery, photocopies, faxes, and telephones) for the research study.
- h) I will inform participants about the use of monitoring devices such as tape-recorders and cameras, and participants will be free to reject them if they wish.
- i) I will include a disclaimer to any report, publication or presentation arising from the investigation, that the findings and recommendations does not represent the views of the said institution.
- j) I will provide a summary of the findings of the research to the Head of the specific institution.

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 INSTITUTION

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



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DHET 004: APPENDIX 3:

ANNUAL RETURN ON RESEARCH REQUESTS UNDERTAKEN IN PUBLIC COLLEGES

This form must be completed annually and submitted to the Department of Higher Education and Training by 31 January 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

1. COLLEGE INFORMATION

1.1.	Name of institution		
1.2	Name and surname of Head of Institution		
1.3	Postal address of institution		
1.4	Contact details of Head of Institution	Tel:	
		Cell:	
		Fax:	
		Email:	

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

[illegible]