



basic education

Department:
Basic Education
REPUBLIC OF SOUTH AFRICA

***The Consolidated Department of Basic Education Research
Protocols***

August 2017

1. INTRODUCTION

- a. The Department of Basic Education (“DBE”) is committed to providing an environment that supports research activities which will promote the vision and mission of the sector in line with key strategic plans, such as the National Development Plan: Vision 2030, the Medium Term Strategic Framework: 2014 – 2019; the Action Plan to 2019: Towards the Realisation of Schooling 2030, as well as other sectoral goals and priorities.
- b. The Research, Coordination, Monitoring and Evaluation (“RCME”) Directorate, with the responsibility of facilitating research requests, aims to encourage all researchers in the education sector to provide high quality, internationally competitive research, and the dissemination of ground-breaking knowledge in the pursuit of excellence.
- c. This document therefore provides guidelines and recommendations for researchers on the processes to be followed when conducting research involving DBE officials; programmes which the DBE is directly responsible for; or **national** scale studies.
- d. The DBE does **not** grant permission for conducting research in schools on a single/isolated visit basis. The DBE furthermore does not grant permission for conducting research in districts, or individual Provincial Education Departments (“PEDs”). Applications to conduct research at these institutions should be directed to the relevant PED. Website details and details of the relevant individuals to contact in the PEDs are documented in Appendix A.
- e. Permission granted will be limited to the specific research indicated in the application. If the researcher wishes to use the data or information in any other form or for any other purpose, including, but not limited to, workshops, articles, media releases and the like, this must be stated in the application. If this becomes a requirement after permission is granted, the applicant must submit a revised/new request to the DBE with a written motivation for such use.

2. APPLICATION PROCEDURE

- a. For any undergraduate and postgraduate students (including DBE employees), academics, universities, individual organisations, NGOs, service providers commissioned to conduct research by the DBE, research teams etc. that seek to conduct research (i.e. interviews with DBE officials, requesting data, or any other information) in the national Department of Basic Education, the prescribed DBE Research Request form (Appendix B) must be completed.
- b. The applicant must submit the research request form and attach an approved research proposal as well as a draft questionnaire (if they are going to interview a DBE official/s) or a

survey for DBE Officials to complete. In certain situations, an ethics clearance form may be required from relevant ethics bodies.

- c. The research application should be addressed to the Director: Research, Coordination, Monitoring and Evaluation and sent to: research@dbe.gov.za at least 6 weeks prior to when the data collection or data is required.
- d. The RCME Directorate will then provide a confirmation of receipt within 5 working days of receiving the research request.
- e. The RCME Directorate will then consider the research request and provide one of the following decisions to researchers within 4 weeks of receiving the research request:
 - i. Rejected;
 - ii. Approved and supported by the RCME Directorate (in line with the DBE research protocols);
 - iii. Approved and supported by the RCME Directorate (in line with the DBE research protocols) subject to certain modifications in the study; or
 - iv. Referring the researcher to the relevant institution outside the DBE (such as a PED).
- f. If the research request is approved and supported by the RCME Directorate (condition ii above is realised), the RCME Directorate will then, where necessary, consult and attain permission from the affected sections within the DBE. The officials identified for participation may still decline, as all participation will be voluntary.
- g. The RCME Directorate will then compile a submission to send to the Director-General in order to provide formal approval for the research to be undertaken.
- h. Once approval has been granted from the Director-General, the RCME will issue an approval letter to the researcher/s indicating permission to conduct research within the DBE. This letter will serve as a formal agreement between the DBE and the researcher/s.
- i. The RCME will then liaise with the researcher/s regarding the details of the research request and the provision of the requested information. In the case of interviews, the RCME Directorate will also assist in setting up appointments for interviews with the relevant officials.
- j. Should any modifications from the original, approved proposal be made, the researcher is required to submit the revised proposal to the RCME Directorate, indicating that it is a modified proposal and the reasons for the modification. The researcher may only continue with the information request subject to the approval of the RCME Directorate.

2.1. CRITERIA FOR APPROVAL

- a. The value of the proposed research should be clear in the application. The following criteria must be addressed in the application and will be used to inform the decision on the research request.
- b. The policy and strategic alignment of the request should reflect on either the Action Plan to 2019: Towards the Realisation of Schooling 2025; the National Development Plan: Vision 2030; the Medium Term Strategic Framework: 2014 – 2019 or other sector goals and priorities. Regional and international agreements and strategies such as the Sustainable Development Goals and the African Union Strategic objectives may also be considered as key sectoral documents. Alternative policy and strategic considerations should be clear if there are any.
- c. Potential benefits of the research to the DBE should be clear.
- d. Contribution to the knowledge base and literature in the education sector in general should be provided.
- e. Appropriateness of the methodology adopted in the study should be clear.

3. ETHICAL CONSIDERATIONS

- a. Researchers should abide by the relevant professional and ethical guidelines and codes of conduct for their respective sectors and professional bodies.
- b. Research should be undertaken with integrity and honesty with respect to human rights and differences in culture, customs, religious beliefs and practices of all participants.
- c. Researchers should be mindful of gender roles, ethnicity, ability, age, sexual orientation, language and other differences when designing and carrying out their research.
- d. Researchers should gain approval from an ethics committee where necessary, prior to commencing with any research.
- e. Informed consent should be obtained from all DBE officials who have been identified as participants for the research.
- f. The aim of the research as well as the anticipated outcomes should be conveyed to participating DBE officials in a clear and concise manner.

- g. The research tools and techniques used should be transparent.
- h. The researcher/s must honestly and accurately represent their affiliations, skills and experience to those involved in the study.

4. ACCOUNTABILITY

- a. Researchers are accountable to the DBE and participating officials. The DBE may verify the details of the application.
- b. The contribution of any individual/s consulted will be acknowledged in the final research report; however, all individuals participating in the research have the right to remain anonymous.
- c. Once the research has been concluded, a summary of the final research findings should be presented to the DBE in a format that is easily accessible and understandable to all stakeholders, particularly, officials who have participated in the research.
- d. A copy of the full report will be held by the DBE. The date for submission of this report must be clear in the application. Should the researcher fail to submit the report, further research requests may be declined.
- e. Where appropriate, the researcher may be requested to present the findings in oral, written or visual forms in both DBE and non-DBE publications and forums.

5. CONDITIONS TO BE AGREED BY THE APPLICANT

The approval letter from the RCME Directorate to the researcher/s will contain a declaration to be signed by the applicant agreeing to the following:

- a. Any report, publication or presentation arising from the investigation must carry a disclaimer to the effect that it does not represent the views of the DBE where appropriate;
- b. There should be no financial implications for the DBE;
- c. Involvement by participants in the research project is voluntary and participants have a right to decline participation;

- d. The use of monitoring devices such as tape recorders and cameras should be made explicit to DBE officials being interviewed, and these officials should be free to request that these devices are not used;
- e. Researchers must provide consent forms for DBE officials to complete for interviews;
- f. Participants must not be identifiable in any way from the results of the investigation. The right of participants to privacy, anonymity, confidentiality and respect for human dignity must be honoured at all times;
- g. Where appropriate, the research findings may be presented in oral, written or visual forms in both DBE and non-DBE publications and forums; and
- h. Researchers must provide a summary of the findings and the final report to the RCME Directorate.

6. TYPES OF RESEARCH

6.1. INTERVIEWS WITH DBE OFFICIALS

- a. Researchers are requested to specify the name/s of the DBE official/s who they would like to interview as part of their data collection process. If the researcher does not know the name/s of the DBE official/s they would like to interview, they are requested to specify the area of specialisation, competencies, skills or responsibility of these officials and the RCME Directorate will advise accordingly. For example, officials in research, planning etc.
- b. The RCME Directorate will liaise with the DBE officials identified for participation.
- c. DBE officials will be required to indicate their willingness to participate in the interview to the RCME Directorate before an official letter of approval is sent to the Office of the Director General.
- d. Once approval is granted by the Office of the Director General, the RCME Directorate will arrange interview appointments with the DBE officials and researcher/s.
- e. If the participating official is not available for the interview, alternative officials with the requisite level of knowledge will be contacted. Should this not be possible the research request will be declined.

6.2. DATASETS

- a. Some of the datasets available from the DBE include the following:
 - i. Education Management Information System (“EMIS”) datasets including Administration data;
 - ii. Grade 12 examination results;
 - iii. Former Systematic Evaluations;
 - iv. Former Annual National Assessments (“ANA”) results;
 - v. National Education Infrastructure Management System (“NEIMS”);
 - vi. Personnel Salary System (“PERSAL”); and
 - vii. Learner Unit Record Information and Tracking System (“LURITS”).

- b. The DBE can also provide a supporting letter for access to the following:
 - i. Trends in International Mathematics and Science Study (“TIMSS”);
 - ii. Progress in International Reading Literacy Study (“PIRLS”);
 - iii. The Southern and Eastern Africa Consortium for Monitoring Educational Quality (“SACMEQ”);
 - iv. Data from the World Bank; and
 - v. Data from the HSRC.

- c. Please ensure that you specify how you would like your data to be disaggregated on your request form. For example, by gender, time period, province etc.

- d. The DBE only provides data at a national level. However, if the research relates to all provinces, the DBE could assist in providing the required information.

- e. The datasets/data sources above are not a comprehensive list of those available to the DBE. Researchers are encouraged to request the datasets which they deem necessary for their study and those which the DBE may be in possession of. The RCME Directorate will confirm the availability of these datasets and whether or not researchers may have access to it.

- f. In the case of large datasets the DBE may require the user to sign a Memorandum of Agreement prior to receiving the data.

- g. If you have general questions regarding the availability of data and are not specifically requesting the data itself, please feel free to send an email to the RCME Directorate. Contact details are provided in the next section.

7. CONTACT DETAILS

Should any additional information be required pertaining to research activities within the DBE, the following officials may be contacted in the RCME Directorate:

Administrative queries:

Mr A T Tshirado

Tel: 012 357 3656

Email: tshirado.t@dbe.gov.za

Ms S Mabasa

Tel: 012 357 3659

Email: mabasa.s@dbe.gov.za

Technical/content related queries:

Dr S Taylor

Tel: 012 357 4156

Email: taylor.s@dbe.gov.za

Ms N Mohohlwane

Tel: 012 357 4519

Email: mohohlwane.n@dbe.gov.za

APPENDIX A: PROVINCIAL RESEARCH DETAILS

The DBE is not responsible for granting permission to conduct research at Provincial Education Departments, districts or schools. However, depending on availability, website details as well as details of the relevant individuals to contact within these departments are provided below.

Gauteng Department of Education:

Website:

<http://www.education.gpg.gov.za/Pages/Research-Information-.aspx>

Research and evaluation officials:

Dr David Makhado

Director: Knowledge Management and Research

Tel: 011 355 0560

Email: david.makhado@gauteng.gov.za

Ms Lindiwe Tshabalala

Chief Education Specialist: Research Coordination

Tel: 011 355 0488

Email: faith.tshabalala@gauteng.gov.za

Dr Rakgadi Phatlane

Chief Education Specialist: Education Research

Tel: 011 355 0240

Email: rakgadi.phatlane@gauteng.gov.za

Free State Department of Education

Website:

http://www.education.fs.gov.za/?page_id=1788

Research and evaluation officials:

Mrs Bertha Kitching

Director: Strategic Planning, Policy and Research

Tel: 051 404 9221

Email: B.kitching@fs.education.gov.za

Eastern Cape Department of Education

Website:

<http://www.ecdoe.gov.za/document-library/research-database>

Research and evaluation officials:

Mr Greg McMaster

Chief Director: Strategic Management,

Monitoring and Evaluation

Tel: 040 608 4773

Email: greg.macmaster@edu.ecprov.gov.za

Dr Annetia Heckroodt

Director: Strategic Management, Monitoring and Evaluation

Tel: 040 608 4046

Email: bernetia@iafrica.com

Mrs N Y Kanjana

Director: Strategic Planning, Policy Research & Secretarial Services

Tel: 040 608 4773

Email: nykanjana@live.co.za

Limpopo Department of Education

Website:

<http://www.edu.limpopo.gov.za/>

Research and evaluation officials:

Dr M C Makola

Director: Planning and Research

Tel: 015 290 9448

Email: makolamc@edu.limpopo.gov.za

Mr V Gubuza

Deputy Director: Strategic Planning, Policy and Research

Tel: 051 404 9275

Email: V.Gubuza@fseducation.gov.za

Ms Mercy Seakamela

Deputy Director: Strategic Planning and Research

Tel: 015 290 7989

Email: seakamelam@edu.limpopo.gov.za

Mr G Jordaan

Chief Education Specialist: Monitoring and Evaluation

Tel: 051 404 8653

Mr Tshifiwa Ugoda

Deputy Director: Strategic Planning and Research

Tel: 015 290 7965

Email: ugodato@edu.limpopo.gov.za

KwaZulu-Natal Education Department**Website:**

<http://www.kzneducation.gov.za/>

Mpumalanga Education Department**Website:**

<http://www.mpumalanga.gov.za/education/>

Research and evaluation officials:**Mrs T P J Khoza**

Director: Strategic Management, Monitoring and Evaluation

Tel: 033 392 1085

Email: jabu.khoza@kzndoe.gov.za

Research and evaluation officials:**Mr D M Mtembu**

Director: Strategic Planning, Research & Project Co-ordination

Tel: 013 766 5148

Email: D.Mtembu@education.mpu.gov.za

Dr L S Chetty

Deputy Director: Strategic Management, Monitoring and Evaluation

Tel: 033 392 1089

Email: lutchman.chetty@kzndoe.gov.za

Mr A Baloyi

Deputy Director: Strategic Planning and Research

Tel: 013 766 5044

Email: A.baloyi@education.mpu.gov.za

Mr N P Mpungose

Deputy Director: Strategic Management, Monitoring and Evaluation

Tel: 033 392 1086

Email: nkosinathi.mpungose@kzndoe.gov.za

North West Department of Education and Sport Development**Website:**

www.nwdesd.gov.za/

Northern Cape Education Department**Website:**

<http://ncedu.ncape.gov.za/>

Research and evaluation officials:

Research and evaluation officials:

Dr T Phorabatho

Acting Chief Education Specialist

Tel: 018 389 8044

Email: tphorabatho@nwpg.gov.za

Mr R Ntsime

Deputy Chief Education Specialist: Research

Tel: 018 397 3037

Email: rntsime@nwpg.gov.za

Ms P Rasetshwane

Assistant Director: Strategic Planning, Monitoring and Evaluation

Tel: 018 388 2114

Email: prasetshwane@nwpg.gov.za

Mr Andrew Oliphant

Director: Policy Planning

Tel: 053 839 6622

Email: aoliphant@ncpg.gov.za

Mr J Matthews

Chief Education Specialist: Integrated Planning and Reporting

Tel: 053 839 6393

Email: JMatthews@ncpg.gov.za

Ms M T Madikane

Chief Director: Strategic Planning Management

Tel: 053 839 6394

Email: ThemsiMadikane@ncpg.gov.za

Western Cape Education Department

Website:

www.westerncape.gov.za/dept/education

Research and evaluation officials:

Dr Andile Siyengo

Director: Research

Tel: 021 467 2024

Email: andile.siyengo@westerncape.gov.za

Dr Ronald Cornelissen

Deputy Director: Research

Tel: 021 467 2286

Email: ronald.cornelissen@westerncape.gov.za

Dr Nomawabo Makapela

Deputy Director: Research

Tel: 021 467 9297

Email: nomawabo.makapela@westerncape.gov.za

APPENDIX B: RESEARCH APPLICATION FORM



basic education
Department:
Basic Education
REPUBLIC OF SOUTH AFRICA

For admin. use
Reference number:

REQUEST TO CONDUCT RESEARCH IN THE NATIONAL DEPARTMENT OF BASIC EDUCATION

1. **PARTICULARS OF THE RESEARCHER/S** (if there is more than one researcher involved, provide the details of the main researcher)

1.1. Personal details	
Title (Prof/Dr/Mr/Mrs/Ms):	
Surname and initials:	
First name/s:	
SA ID number:	
Work permit number (If not SA citizen):	

1.2. Contact details	
Tel home:	
Tel work:	
Cell:	
Email address:	
Home address:	
Postal code:	
Postal address:	
Postal code:	

2. **PARTICULARS OF AFFILIATED ORGANISATION** (if applicable)

2.1. Affiliated organisation	
Name of organisation:	
Position:	
Head of organisation/research promoter:	

2.1. Affiliated organisation	
Tel (head/research promoter):	
Email address (head/research promoter):	

3. STUDENT AND POSTGRADUATE ENTROLMENT PARTICULARS (if applicable)

3.1. Enrolment particulars	
Name of institution:	
Degree/qualification:	
Faculty and discipline/area of study:	
Name of supervisor/promoter:	
Student number:	

4. PURPOSE AND DETAILS OF PROPOSED RESEARCH

4.1. Purpose of the research (please indicate by placing a cross where appropriate)	
Undergraduate study – Self	
Postgraduate study – Self	
Private company/agency – Commissioned by National Government Department	
Private research by independent researcher	
Non-government organisation	
Department of Basic Education	
Commissions and committees	
Independent research agencies	
Statutory research agencies	
Higher education institutions only	
Other (specify)	

4.2. Details of proposed research	
Full title of research project/thesis/dissertation	
Brief description of proposed research	

4.2. Details of proposed research	
Value of the research to the National Department of Basic Education	
Envisaged date of completion of research at the DBE (day/month/year):	
Envisaged date of submission of research report and research summary to DBE (Month/Year):	

5. REQUEST OF INTERVIEWS WITH DBE OFFICIALS

5.1. DBE official details	
Name of official/s requested to interview*:	
Unit/division:	
Area of interest of research (if you do not know the name of a particular DBE official/s you would like to interview):	

* If you do not know the name of the official in the DBE that you would like to interview, specify the unit or area of interest for your research, and the RCME Directorate will advise accordingly.

5.2. Key questions for the DBE official (also attach a draft questionnaire)

6. DATA REQUEST

6.1. Request for datasets available to the DBE (please indicate by placing a cross where appropriate)	
Education Management Information System ("EMIS")	
Grade 12 examination results	
Former Systematic Evaluations	
Annual National Assessments ("ANA")	
National Education Infrastructure Management	

6.1. Request for datasets available to the DBE (please indicate by placing a cross where appropriate)	
System ("NEIMS")	
Personnel Salary System ("PERSAL")	
Learner Unit Record Information and Tracking System ("LURITS")	
Other (specify)	

6.2. Data should be disaggregated by: (please indicate by placing a cross where appropriate)	
Gender	
Race	
Age group	
Geography (urban/rural)	
Province	
Time period (specify)	
Other (specify)	

6.3. Request for supporting letter for access to the options below (please indicate by placing a cross where appropriate)	
Provincial Department of Education	
National Government Departments (specify)	
Trends in International Mathematics and Science Study ("TIMSS")	
Progress in International Reading Literacy Study ("PIRLS")	
The Southern and Eastern Africa Consortium for Monitoring Educational Quality ("SACMEQ")	
Data from the World Bank	
Data from the HSRC	
Other (specify)	

7. ATTACHMENTS (please indicate which of the following attachments are accompanying this form)

7.1 Attachments (please indicate by placing a cross where appropriate)	
Approved research proposal	
Draft questionnaire for DBE official/s to be	

7.1 Attachments (please indicate by placing a cross where appropriate)	
interviewed/survey for DBE officials to complete	
Ethics clearance for study	
A letter from your supervisor confirming registration of your course (university students)	
Other (specify)	

8. COMMENTS

If you have any additional comments/concerns, please specify them in the box below.

This form, along with the relevant documentation should be emailed to research@dbe.gov.za. All queries pertaining to the status of the research request can be directed to Mr T Tshirado at tshirado.t@dbe.gov.za or Ms S Mabasa at mabasa.s@dbe.gov.za