

NATIONAL INSTRUCTION 4 OF 2022

REQUESTS TO CONDUCT RESEARCH IN THE SOUTH AFRICAN POLICE SERVICE

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1. Background

The ideals of Vision 2030 as outlined in the National Development Plan (NDP), is that the South African Police Service (“SAPS”) becomes a professional Police Service to build safer communities. It is, therefore, necessary to develop a platform to establish research and innovation systems and internal capacity to conduct research to support NDP Vision 2030.

2. Purpose

This National Instruction aims to support the objects of Policy No. 10 of 2017 insofar as it intended to –

- (a) support an exchange of knowledge between *researchers* and practitioners and improve the *research* evidence base for policing policy and practice;
- (b) expand and develop the *research* capacity in the SAPS with universities locally and abroad, as well as other *research* organisations; and
- (c) regulate requests to conduct research in the SAPS by persons from outside the SAPS or by employees who wish to conduct the research for private purposes (such as for the purposes of their studies) and to ensure that the SAPS derives a benefit therefrom.

3. Scope

- (1) This National Instruction regulates requests to conduct research in the SAPS by persons from outside the SAPS or by employees who wish to conduct the research for private purposes (such as for the purposes of their studies or independent research projects).
- (2) All research that forms part of official training programmes of the SAPS (e.g. the Executive Development Learner Programme, Middle Management Learner Programme, etc.) are dealt with by the *Component Head* and Quality Management at the Division: Human Resource Development.

- (3) Official requests (by Deputy National- Divisional-, District- or Provincial Commissioners, etc.) to conduct research on specific topics do not need to be approved in terms of this Instruction, as it is official. The relevant functionary (e.g. Deputy National- Divisional-, District- or Provincial Commissioners, etc.) must ensure that the proposed official research is viable. It is required that the *Component Head* be informed of all official research projects.

4. Regulatory framework

This National Instruction is informed *inter alia* by the following:

- (a) Constitution of the Republic of South Africa Act, 1996;
- (b) Basic Conditions of Employment Act, 1997 (Act No. 75 of 1997);
- (c) Higher Education Act, 1997 (Act No. 101 of 1997);
- (d) Human Rights Research Council, Act, 2008 (Act No.17 of 2008);
- (e) National Qualifications Framework Act, 2008 (Act No. 67 of 2008);
- (f) National Skills Development Strategy (NSDS: III, 2011-2016);
- (g) Promotion of Access to Information Act, 2000 (Act No. 2 of 2000);
- (h) Protection of Personal Information Act, 2013 (Act No. 4 of 2013);
- (i) Public Service Act, 1994 (Proclamation No. 103 of 1994);
- (j) Skills Development Act, 1998 (Act No. 97 of 1998);
- (k) Skills Development Levies Act, 1999 (Act No. 9 of 1999);
- (l) South African Police Service Act, 1995 (Act No. 68 of 1995);
- (m) South African Qualifications Authority Act, 1995 (Act No. 58 of 1995);
- (n) Minimum Information Security Standards (MISS);
- (o) National Development Plan 2030; and
- (p) Policy No. 10 of 2017: Policy on Research Governance in the South African Police Service

5. Definitions

In this Instruction, unless the context otherwise indicates, —

- (a) “*Component Head*” means the Component Head: Research;
- (b) “*line manager*” means the relevant Deputy National- Divisional-, District- or Provincial Commissioners, etc. (or a National Head not resorting under the command of a Divisional Commissioner) who is responsible for the matter in respect of which it is requested to conduct the research;
- (b) “*publish*” means any form of communication, other than communication to the SAPS;
- (c) “*researcher*” means the person who applies for access to a record or information in the possession or under the control of the SAPS to conduct research;
- (d) “*research goals*” means what the researcher aims to establish by conducting the research;
- (e) “*research instrument*” means an instrument of data collection consisting of a series of questions relating to the research project that will be put to persons to gather information for the research project;
- (f) “*research procedure*” means the kind of research tools and procedures that will be used to conduct the research;
- (g) “*research proposal*” means an outline of the research that the researcher plans to conduct and the objectives of the research;
- (h) “*SAPS*” means the South African Police Service; and
- (i) “*the Act*” means the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000).

6. Applications to conduct research in the SAPS

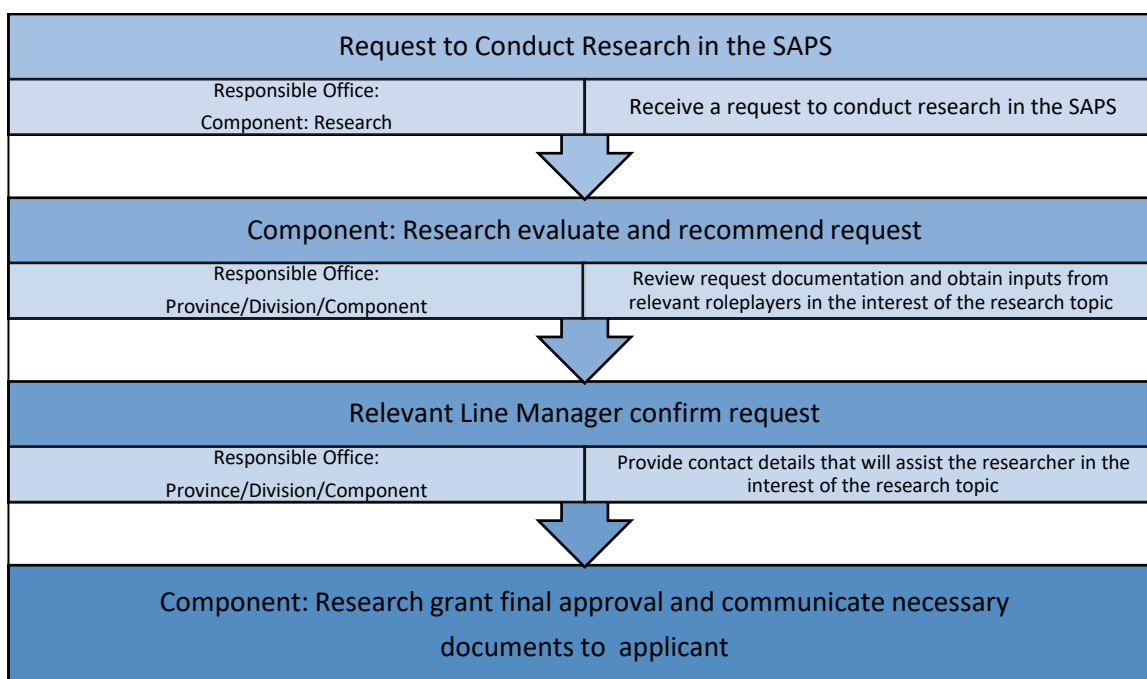
- (1) An application to conduct research in the *SAPS* must contain at least —
 - (a) the full names and surname of the *researcher*;
 - (b) his or her identity number;
 - (c) his or her residential address;
 - (d) his or her work address;
 - (e) his or her telephonic contact details;
 - (f) his or her academic and other applicable qualifications;
 - (g) any relevant experience of the researcher in conducting *research*;
 - (h) the name of the institution represented, or on behalf of whom the *research* or under whose patronage the research will be conducted;
 - (i) full details of the company or institution on behalf of which the *researcher* will conduct the *research* and his or her authorization or contractual obligations to that company or institution, if the researcher represents, or will act on behalf of a company or institution;
 - (j) the aim of his or her research;
 - (k) an approved *research proposal* which sets out the *research procedure* and *research instruments* he or she intends to utilize during the research (the *research proposal* must be approved by the academic institution under whose patronage the research is conducted);
 - (l) a copy of the *research instruments*;
 - (m) a confirmation letter from the researcher's study supervisor;
 - (n) an estimate of the period time necessary for the research (the maximum period will be thirty-six (36) months, researchers who

- have not completed their research within the period must apply anew for permission to conduct the research in the *SAPS*);
- (o) an indication of the method of *publication* of the research;
 - (p) motivation for the research indicating the extent to which the research will be in the interest of the *SAPS*;
 - (q) letter or certificate by the academic institution under whose patronage the research is conducted regarding the ethical clearance of the research; indicating that the approved proposal has been approved by the particular institution's "Research Ethical Committee" (not only supervisor) (this is not independent researchers); and
 - (r) signed undertaking to comply with the general conditions upon which research may be approved.
- (2) An application to conduct *research* in the *SAPS* that is not compliant with the requirements set out in subparagraph (1) (above) will not be considered.

7. Receipt of an application to conduct research in the SAPS

- (1) Any office of the *SAPS* that receives an application to conduct research on information in the possession or under the control of the *SAPS* must forward the application to the following functionary:
- The Component Head
Research
Head Office
South African Police Service
Private Bag X94
PRETORIA
0001.

- (2) The *Component Head* must establish a nodal point in the Component: Research (or designate a designated employee or employees) to perform administrative support regarding the processing of applications to conduct research in the *SAPS*.
- (3) If an application is for access to a record to which any member of the public would normally be permitted to have access in terms of *the Act*, the *Component Head* (or an employee designated by him/ her) must inform the applicant to submit the application in terms of *the Act* to the appropriate deputy information officer of the *SAPS* and provide him or her with the contact particulars of the relevant deputy information officer. If the Component: Research is approached by a researcher who only needs certain information (e.g. statistics for a study not relevant to the *SAPS*) the researcher should be referred to the office of the Deputy National Information Officer or the Help Desk at the *SAPS* Crime Registrar.
- (4) Once an application to conduct research in the *SAPS* is received by the Research: Nodal Point of the Component: Research, the designated employee must evaluate the application to determine if it meets the requirements as set out in paragraph 6 of this instruction. If any ambiguity exists regarding any aspect of the intended research or the application, the *Component Head* or a designated employee may make the necessary enquiries or liaise with the applicant regarding any aspect to be able to decide on the application.
- (5) Process Flow: Request to Conduct Research in the *SAPS*



8. Consideration of an application to conduct research in the SAPS

- (1) An application to conduct research in respect of a record that normally would not be approved if made in terms of “*the Act*” may be made, but access to an open or active case docket will not be granted. Access to a closed docket will as a general rule also not be granted, unless the *researcher* can demonstrate that exceptional circumstances exist.

- (2) The mentioned Nodal point or employees designated by the *Component Head* must evaluate every application to ensure that—
 - (a) it complies with the requirements set out in paragraph 5(1) (above);
 - (b) *bona fides* of the researcher and institution are verified;
 - (c) research title or topic is relevant to the *SAPS*;
 - (d) information is not classified or very sensitive;
 - (e) research title or topic has not been over-exploited (the same title or topic is used time and time again by researchers); and

- (f) the research procedure (methodology, population and sampling) complies with the standard set by the Head: Research and will not compromise the interests of the *SAPS*.
- (3) The *Component Head* or a designated employee must consult with the relevant *line manager* (where appropriate) and any other relevant functionary to determine whether the research and outcome thereof will also be advantageous to the *SAPS*. If so, determine whether conditions could be imposed to prevent the unlawful disclosure of information or the disclosure of information that may negatively impact the functions of the *SAPS*. The research should also not place an unreasonable burden on the resources or time of the *SAPS*.
- (4) If the application is to have access to employees of the *SAPS* to interview them or to distribute questionnaires to such employees to be completed by them, the *Component Head or a designated employee* must consult with the relevant *line manager* under whose command the relevant employees resort and any other relevant functionaries to determine whether the research and outcome thereof will also be advantageous to the *SAPS*. If so, determine whether conditions could be imposed to prevent the unlawful disclosure of information or the disclosure of information that may negatively impact the functions of the *SAPS* or to prevent unacceptable demands being placed on the time of employees or the resources of the *SAPS*.
- (5) During consultation in respect of the *research* applications, the *Component Head or a designated employee* and the relevant *line manager*, must not only consider the merits of the application to conduct the research, but also the availability of the relevant records or information, the impact that the research will have on the performance by employees of their duties and functions and the demands that it will place on the resources of the *SAPS*.

- (6) The relevant *line manager* must within twenty-one (21) calendar days provide his or her views in this regard in writing to the *Component Head*.
- (7) If the *Component Head* and the relevant *line manager* agree, the *Component Head* may —
 - (a) approve the application; or
 - (b) disapprove the application.
- (8) If the *Component Head* or a designated employee and the relevant *line manager* disagree regarding the merits of the application and the availability of the records or information required or the effect of research on the duties of members and resources of the *SAPS*, the *Component Head* may submit his or her recommendations and that of the relevant *line manager* to the relevant Deputy National Commissioner for a final decision on the application.
- (9) The relevant *Component Head* must inform the researcher in writing of the application's outcome. If approved, the head must set out the conditions or special conditions upon which the approval was granted and indicate the limits, if any, placed on conducting the research.
- (10) No employee may assist in the proposed research if the researcher does not have approval from the *Component Head*.

9. Conditions

- (1) If an approved application is subject to special conditions relating to the research, the *researcher* must sign an undertaking (of which a copy must be attached to the letter) to comply with the conditions upon which the research was approved.

- (2) The undertaking containing the general conditions for research and which will be signed as contemplated in paragraph 6(r) must indemnify the SAPS against any claim for any loss or damage to any equipment used by or property of the researcher during the *research* and against any claim for any loss or damage of the property of the researcher for which the SAPS may be held liable as a consequence of its involvement in the project. The *researcher* must at least undertake that he or she —
- (a) will provide all equipment of whatsoever nature used to conduct the *research* at his or her exclusive cost;
 - (b) will conduct the *research* without any disruption of the duties of members of the SAPS and where it is necessary for the *research goals, research procedure or research instruments* to disrupt the duties of a member, prior arrangements must be made within a reasonable time with the commander of such member;
 - (c) will not divulge information received from a member of the SAPS in such way as to reveal or suggest the identity of a member of the SAPS, or the identity of any person related to a police function, with whom the *researcher* conducted an interview. Such information must at all times be treated as strictly confidential. If the information pertains to an open or active investigation of a crime or a pending or partly heard criminal court case, the researcher must acknowledge that he or she, by publication thereof, may be liable for criminal prosecution for defeating or obstructing the course of justice or contempt of court;
 - (d) will pay fees or comply with further procedures in the SAPS, such as fees or procedures applicable to obtain access to a record of the SAPS;
 - (e) will ensure that the approved research proposal complies with all conditions before it is published in any manner. If it is found not to comply with any condition, that he or she will not publish it; and

- (f) will donate an electronic copy of the final *research* work or report to the *SAPS* which can be then placed on the *SAPS* internal website (INTRANET). The *research* work or report must be accompanied by an executive summary of the *research* work or report.

10. Recordkeeping

- (1) The *Component Head* must ensure that a research inventory and database is kept in respect of all applications to conduct research in the *SAPS*.
- (2) The *Component Head* must ensure that an electronic copy of the *research* work to the *SAPS* is obtained and kept.
- (3) A copy thereof may be submitted to the affected environment. The affected environment must analyse the research work and within sixty (60) calendar days of receipt thereof, submit a report to the relevant *line manager* and the *Component Head* on the practicality thereof to the environment.

11. Review

The *Component Head* must ensure that this National Instruction is reviewed at least every three (3) years from the date of its approval.

Annexure A: Pro-forma research application**APPLICATION TO CONDUCT RESEARCH IN THE SAPS**

NAME OF RESEARCHER:	
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FOR OFFICIAL USE:	
File ref no:	
System ref no:	
Date file opened:	
Date application received:	

INSTRUCTIONS TO RESEARCHER

- Complete all fields relevant to your research.
- Do not change the font or layout of this form.
- This application must be printed, initiated on each page and signed by the researcher.
- The signed application together with supporting documents must be scanned and emailed to the Nodal Point at the Component: Research on SAPS Global – Research Nodal Point: Ntlou AR external email ntlouar@saps.gov.za and LindieSmit@saps.gov.za

1. RESEARCHER DETAILS

FULL NAMES:	
ID/PASSPORT NO:	
GENDER:	
RACE:	
EMPLOYER DETAILS:	Postal code:
RESIDENTIAL ADDRESS:	Postal code:
POSTAL ADDRESS:	Postal code:
WORK ADDRESS:	Postal code:

TELEPHONE NUMBERS:	Work: Home: Cell:
EMAIL ADDRESS:	

2. RESEARCHER QUALIFICATIONS

SECONDARY/HIGH SCHOOL QUALIFICATIONS:	
Year School qualification obtained:	
HIGHEST QUALIFICATION (ONLY)	
Qualification:	
Name of Institution:	
Town of Institution:	
Year qualification obtained:	
Certificate reference no.:	

3. RESEARCH EXPERIENCE

Have you conducted any previous research?	Yes	No
PREVIOUS RESEARCH DONE		
Please give a brief overview of your last two research papers (if applicable). Include at least the following: Topic, where research was done (geographical & organisational), research aim, commissioned by whom / why was research done, was the research published and if a copy of the research paper is available. (Maximum 250 words).		
RESEARCH PAPER 01:		
Type your description here or type in "Not applicable". Start by typing over this text (delete this text).		
RESEARCH PAPER 02:		
Type your description here or type in "Not applicable". Start by typing over this text (delete this text).		

4. DETAILS ABOUT CURRENT RESEARCH (YOUR APPLICATION)

4.1 Details of the Institution		
On behalf of whom is the research conducted (mark with X)	Yourself:	A third party
If you conduct the research on behalf of a company, give the company details. If you conduct the research on behalf of yourself, please provide the details of the institution through which you are studying.		
Name of Institution		

Division/Department:	
Physical address:	
Postal address:	
Details of the responsible person at the abovementioned institution:	
Title:	
Initials & Name	
Surname:	
Capacity/post description:	
Work telephone number:	
Cell number:	
Email address:	

4.2 Research title/topic (Exact topic and aim as indicated in the research proposal)

Description of research topic	
Describe the aim of the research	

4.3 Research methodology

Research Instruments: Please mark the research instruments you will use during your research.

Questionnaires	General Surveys	Behavioral Surveillance
Tests (written or other)	General observation	Statistical survey
Interviews (Structured)	Interviews (Semi-structured)	Interviews (Unstructured)
Other (Please specify):		

List your target audience/subjects (refer to specific people and /or units)

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List geographical target (name of police station/s, unit/s and geographical areas)

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Take note of the following:

Access will be granted to employees of the SAPS on condition that the access does not negatively influence the duties of those employees or the functioning of the SAPS.

For your research in the SAPS, publish means "any form of communication, other than communication to the SAPS".

Will you need access to official documents?

Yes	no
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If yes, specify these documents:

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Take note of the following:

- If you want access to records to which any member of the public would normally be permitted to have access in terms of the Access to Information Act, 2000 (Act No. 2 of 2000) (the Act), you must apply to the relevant Information Officer for those specific documents.
- The researcher will be liable for any costs incurred for these documents as determined by the Minister in terms of the Act.
- **IMPORTANT:** Despite the existence of records or information, an application for such records may not be approved because the obtaining of such records or information may negatively impact the performance of employees or the resources of the SAPS.
- If you want access to records to which any member of the public would normally not have access to in terms of the Act, you must apply for access to such document/information in which you motivate why your access to the information is needed and if your access to such will be advantageous to the SAPS.
- If this application (to access information) is approved, you will have to adhere to any conditions imposed to prevent the unlawful disclosure of information or the disclosure of information that may negatively impact the functions of the SAPS.
- **IMPORTANT:** All information (obtained from documents, members, witnesses or victims) must always be treated as strictly and confidential. If such information pertains to the investigation of a crime or a criminal case, your publication thereof, may make you guilty of defeating or obstructing the course of justice or contempt of court.

How will you publish the research paper (Who will receive a copy of the research paper – list all)?

--

How long in months, will you need to have permission to conduct your research?

--

(Maximum thirty-six (36) months)

Indicate when the research paper be completed (if not sure, estimate)

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5. MOTIVATION FOR RESEARCH IN THE SAPS

Briefly motivate and indicate how the research will be in the interest of the SAPS:

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6. Documents attached to the application – (Please complete)

The following is attached:

An approved research proposal which sets out the research procedure and research instruments he or she intends to utilise during the research (the research proposal must be approved by the academic institution under whose patronage the research is conducted)	
A copy of the research instruments.	
A confirmation letter from the researcher’s study supervisor (or contract if the research is conducted on behalf of a company, if applicable).	
A letter or certificate by the academic institution under whose patronage the research is conducted regarding the ethical clearance of the research; indicating that the approved proposal was been approved by the institution’s “Research Ethical Committee” (not only supervisor) (this is not independent researchers)	
A signed undertaking to indicate that the application meets all the requirements for approval. (Annexure B)	

I understand that if the application is incomplete, the application will not be considered.

SIGNATURE OF RESEARCHER:

SIGNED AT:

DATE:

Annexure B: Pro-forma undertaking by a researcher**INDEMNITY, UNDERTAKING AND DECLARATION BY THE
RESEARCHER WHO WILL BE CONDUCTING RESEARCH IN THE
SAPS****I, Full name & surname of researcher:****ID/Passport number:**

Hereby undertake to adhere to:

the conditions and restrictions as specified in my application to conduct research in the SAPS, any additional limitations imposed by the Component Head: Research as specified in my final letter of approval,

I, hereby, indemnify the SAPS against –

- any claim for any loss or damage caused by or to any equipment used during conducting the research; and
- any claim for any loss, damage or injury while conducting the research for which the SAPS may be held liable because of its involvement in the project.

I further undertake to –

- provide all equipment of whatsoever nature used to conduct the research at my own exclusive cost;
- pay any fees or comply with further procedures in the SAPS, such as fees or procedures applicable to obtain access to a record of the SAPS;
- conduct the research without any disruption of the duties of members of the SAPS and where it is necessary for the research goals, research procedure or research instruments to disrupt the duties of a member, prior arrangements will be made in good time with the commander of such member;
- not in conflict with conditions for the research divulge or publish information received from a member of the SAPS or any person whom I interviewed under the auspices of the SAPS;
- not divulging or publishing information from a document or other source of the SAPS, obtained outside the scope of the Access to Information Act, 2000 (Act No. 2 of 2000) or research application to which I might have had access during my research. I take note of the fact that if such information pertains to the investigation of a crime or a criminal case, my publication thereof, may make me guilty of defeating or obstructing the course of justice or contempt of court;
- ensure that the approved research proposal complies with all conditions before it is published in any manner and, if it is found not to comply with any conditions, that I will not publish it; and
- donate an electronic copy of the final research work or report to the SAPS which can be then placed on the SAPS internal website (INTRANET) (the research work or report must be accompanied by an executive summary of the research work or report).
- **The research study will not HARM the image of the SAPS.**

SIGNATURE OF RESEARCHER:**WITNESS:****WITNESS:****SIGNED AT:****DATE:**

