



NATIONAL PROSECUTING AUTHORITY  
South Africa

**THE NPA POLICY FOR REQUESTS TO CONDUCT RESEARCH IN THE  
NATIONAL PROSECUTING AUTHORITY**

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### Approval

The signatory hereof, being duly authorised thereto, hereby determines and issues the official NPA Policy for Requests to Conduct Research in the National Prosecuting Authority.



\_\_\_\_\_  
 Adv. Karen van Rensburg  
 Acting Head of Administration

17.3.2020  
 \_\_\_\_\_  
 Date

### Revision History

Revised Series	Version. Revision	NPA Approval Date

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**List of Abbreviations / Acronyms**

AFU	Asset Forfeiture Unit
DNDPP	Deputy National Director of Public Prosecutions
DPP	Director of Public Prosecutions
LAD	Legal Affairs Division
NDPP	National Director of Public Prosecutions
NPA	National Prosecuting Authority
NPS	National Prosecutions Service
OWP	Office for Witness Protection
PCLU	Priority Crimes Litigation Unit
RM	Research Management Directorate
SDPP	Special Director of Public Prosecutions
SOCA	Sexual Offences and Community Affairs
SCCU	Specialised Commercial Crime Unit

## NPA POLICY FOR REQUESTS TO CONDUCT RESEARCH IN THE NATIONAL PROSECUTING AUTHORITY

### 1 Foreword

- 1.1 The Policy for requests to conduct research (academic and independent) in the National Prosecuting Authority (NPA) aims to outline the process for managing the requests.
- 1.2 The NPA supports evidence-informed and research-based practice. The NPA is of the view that exploration of novel ideas and generation of new knowledge will not only advance knowledge in the NPA but it will also improve service delivery.
- 1.3 The NPA welcomes *bona fide* research and encourages researchers, including Masters, Doctoral students, individuals and organisations to undertake research within its areas of work, subject to the procedures and conditions prescribed in this Policy.

### 2 Introduction

- 2.1 The mandate of the NPA Research Management Directorate (hereafter referred to as the Research Directorate) is to generate information to inform programme development and policies.
- 2.2 All requests to conduct research in the NPA including the requests to interview NPA employees for research projects should be directed to the Research Directorate by all NPA Business Units. This will enable the Research Directorate to process and manage research requests in line with the relevant policies.

### 3 Rationale

- 3.1 The NPA is inundated with requests from both students and external organisations to conduct research, and therefore needs to manage it properly.
- 3.2 This Policy stipulates the processes that applicants need to follow when requesting to conduct research in the NPA in order to obtain the necessary approval.

## 4 Definitions

4.1 In this Policy, unless the context indicates otherwise-

- (a) **“Research”** means a scientific and systematic search for pertinent information on a specific topic. It comprises collecting, organising and evaluating data; making deductions and reaching conclusions; and at last carefully testing the conclusions to determine whether they fit the hypothesis.<sup>1</sup>
- (b) **“Applicant”** means academics, researchers, individuals and organisations requesting permission to conduct research in the NPA.
- (c) **“Employee”** includes persons permanently employed and those on contract and persons whose services have been obtained through labour brokers.

## 5 Policy Objectives

- 4.1 To guarantee that research requests are managed and processed by the Research Directorate thereby providing speedy responses to applicants.
- 4.2 To ensure that research requests do not encumber the work of other Business Units of the NPA.
- 4.3 To verify that research requests are in line with relevant legislation and policies.
- 4.4 To ensure that applicants abide by ethical procedures and do not disrupt the day-to-day work of the NPA.

## 6 Policy Implementation

- 5.1 The Research Directorate is responsible for implementing this Policy.
- 5.2 The National Director of Public Prosecutions (NDPP), Deputy National Directors of Public Prosecutions (DNDPPs), Directors and Special Directors of Public Prosecutions (DPPs and SDPPs), Regional Coordinators, Directors of Administration and all line managers to the level of control prosecutors or other designated persons are also responsible for implementing this Policy and any other procedures emanating from the Policy.

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<sup>1</sup> Kothari, C.R. (2004). *Research Methodology: Methods and Techniques*. New Age International Ltd: New Delhi.

## **7 Scope of Policy**

This Policy is applicable to everyone requesting to conduct research in the NPA, including all employees of the NPA.

## **8 Relevant Legislation, Policies and Documents**

The Promotion of Access to Information Act, 2000 (Act No. 2 of 2000) is applicable to this Policy.

## **9 Application Procedure**

- 9.1 All applicants are advised to familiarise themselves with the Process Map (Annexure A) which depicts the procedure to be followed when requesting to conduct research in the NPA.
- 9.2 All research requests submitted or received should be directed to the Research Directorate for processing.
- 9.3 The Research Directorate will acknowledge all research requests received through correspondence to the relevant applicant, and process the application within a period of a month from the date of receipt, excluding the time to acquire signatures from the relevant officials.
- 9.4 All research requests received by the Research Directorate will be captured in the Portal.
- 9.5 The Research Directorate will send an Application Form for Permission to Conduct Research in the National Prosecuting Authority (Annexure B). The applicant is required to complete and return this form with the other required documents.
- 9.6 The applicant must submit the application form to the Research Directorate, at least three months before their research fieldwork begins.
- 9.7 The Research Directorate will verify that all the required documents have been submitted before processing the request.
- 9.8 The following are the documents that applicants are required to submit when requesting to conduct research in the NPA:
  - Letter of Request,
  - Completed Application Form for Permission to Conduct Research in the NPA (Annexure B),
  - Research Proposal,

- Ethical Clearance Certificate,
  - Data Collection Instrument(s) e.g. Questionnaire, Interview Guide, Observation Template etc., whichever is applicable,
  - FORM A: Request for Access to Records of Public Body in terms of section 18(1) of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000) (Annexure D) (Only applicants who want to retrieve documents from the NPA are required to complete this form),
  - Comprehensive CV of the applicant, and
  - Certified copy of the applicant's Identity Document.
- 9.9 When all the required documents are submitted, the Research Directorate will peruse the documents to verify that they meet the requirements.
- 9.10 If the requirements are met and the research can be conducted in the NPA, the Research Directorate will draft and send a memorandum of support to relevant authorities and signatories for approval.
- 9.11 In cases where the request is supported, permission is granted and approval is given by all the relevant officials; the Research Directorate will draft a letter of approval signed by the Head of NPA Administration and OWP, to the applicant.
- 9.12 If the application does not meet the requirements or cannot be completed in the NPA, the Research Directorate will also let the applicant know through a letter signed by the Head of NPA Administration and OWP, and where applicable, remedy will be suggested if available.

## **10 Noteworthy**

- 10.1 All research request approval notices are valid for two calendar years from the date of approval.
- 10.2 All applications / request documents to conduct research in the NPA are archived in the Research Directorate for two years.
- 10.3 This Policy is subject to amendment if and when necessary.

## **11 Conditions to be agreed to by the researcher**

The researcher is required to sign a Declaration Form agreeing to the conditions outlined in the Form (Annexure C).



## **10 Budgetary Allocation**

No budgetary allocation is required for the implementation of this Policy.

## **11 Repeal of Policies and Documents**

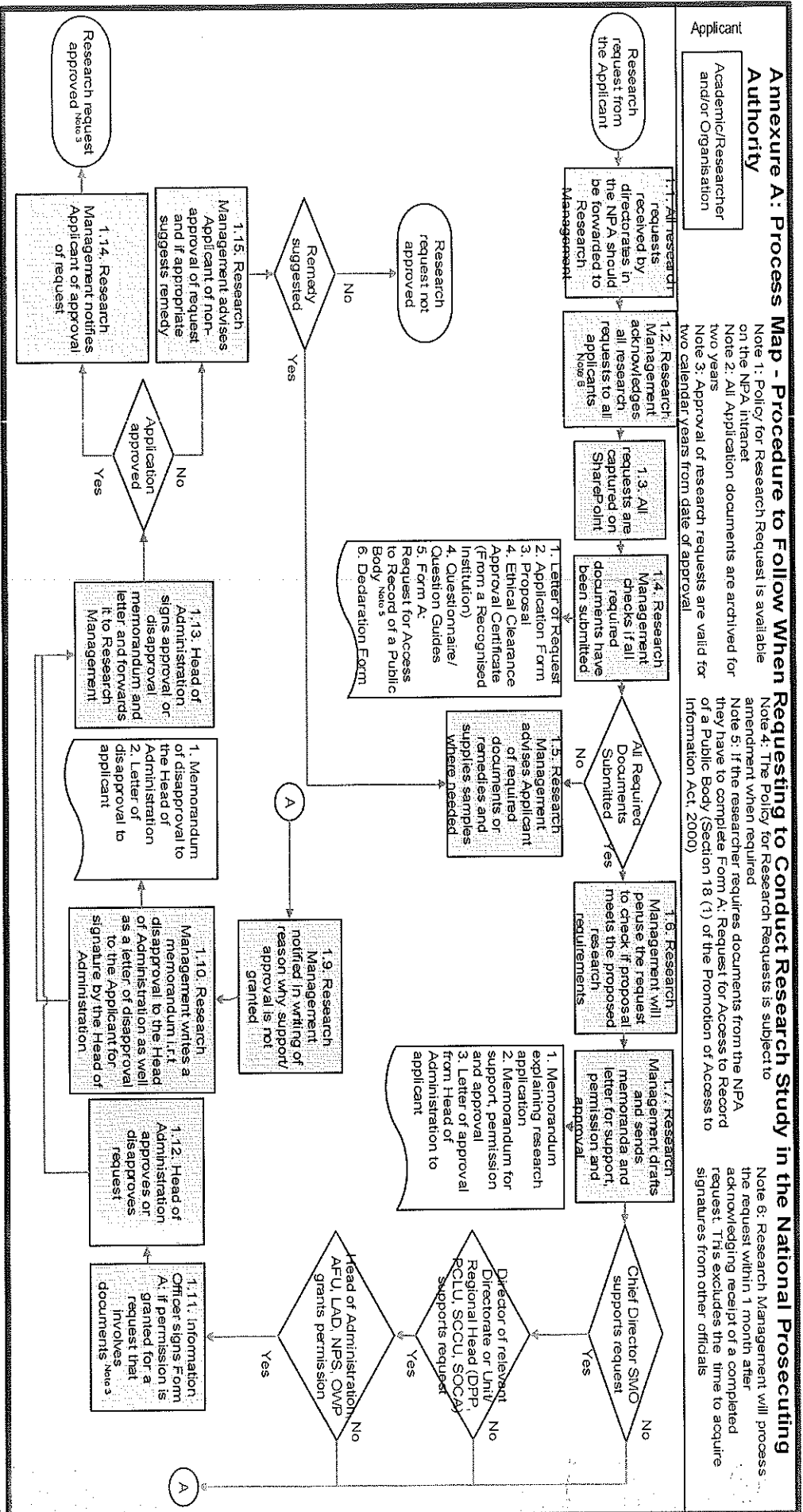
This Policy repeals the Policy Standard on Request to Conduct Research in the National Prosecuting Authority, approved in 2017.

#### 14 Reference List

Department of Higher Education. (2015). Higher Education and Training Standard: Approval to Conduct Research in Public Colleges. Accessed from: <http://www.dhet.gov.za/Gazette/Approval%20to%20conduct%20research%20in%20public%20colleges.pdf>, dated 14 March 2017.

Kothari, C.R. (2004). Research Methodology: Methods and Techniques. New Age International Ltd: New Delhi.

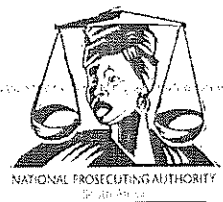
# Annexure A: Process Map: Procedure to be followed when requesting to conduct research in the NPA.





## Annexure B: Application Form for Permission to Conduct Research in the NPA

1. Applicant's Details		
Title: (Prof/Dr/Adv./Rev/Mr/Mrs/Ms):		
Surname:		
Name(s):		
Cell no / Tel no:		
Email:		
Postal Address:		
2. Research Title:		
3. What do you request from the NPA? (E.g. interviews, conduct observations, disseminate questionnaires, documents, etc.)		
4. Is the proposed research part of a tertiary qualification?	Yes	No
4.1 If yes, name of the tertiary institution:		
Faculty/School:		
Degree and/or qualification:		
Name of Supervisor:		
4.2 If no, state the purpose for this research:		




5. Briefly state the background of this study: (Background information identifies and describes the history and nature of a well-defined research problem with reference to the existing literature<sup>1</sup>.)

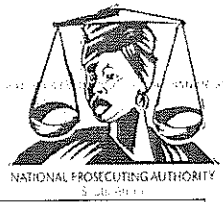

6. Main objectives of the research:


7. Main research questions:


8. Indicate the methodology used in the study, sampling procedures and the respondents to be included in the sample:

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<sup>1</sup> University of Southern California. (2017). Organizing Your Social Sciences Research Paper: Background Information. Accessed from: <http://lobguides.usc.edu/writingguide/background> dated 22 May 2017.



9. What is/are the research data collection instrument/s that will be used?
10. Indicate Directorate/Unit where the sample will be drawn in the NPA.
11. What contribution will the proposed study make to the NPA?
12. Procedure to maintain confidentiality (if applicable):
13. How much time will participants need to devote to the survey?
13.1 Starting date?
13.2 Ending date?
Declaration
I _____ declare that the above information is true and correct.
_____
Signature of Applicant
_____
Date



## **Annexure C: Declaration Form to Conduct Research in the NPA**

All applicants requesting permission to conduct research in the NPA are required to sign a declaration agreeing to the following conditions:

- a) Research activities must be scheduled in consultation with the NPA staff.
- b) NPA programmes should not be interrupted.
- c) Involvement by participants in research activities is voluntary, and participants have a right to decline participation.
- d) Signed consent forms from participants before any engagement with them will be required.
- e) The use of recording devices such as tape recorders and cameras must be made explicit prior to engagement with participants, and participants should be free to decline the use of such devices if they so wish.
- f) NPA Resources (such as stationery, photocopies, faxes, and telephones) may not be used for the research activities.
- g) The right of participants to privacy, anonymity, confidentiality and respect for human dignity must be honoured at all times.
- h) Participants should not be identifiable in any way from the results of the research unless written consent is obtained.
- i) The names of the said participants must not appear in the research report without the written consent of each participant.
- j) The draft research report must be sent to the NPA before finalisation and publication, to allow the opportunity to validate the accuracy of the information in the report.
- k) The research report (including all presentations and publications arising from the research) must include a disclaimer indicating that the findings and recommendations stemming from the investigation do not represent the views of the Business Unit concerned or the NPA.
- l) Applicants have the ethical and legal responsibilities towards research participants, and must protect the welfare and rights of participants in research at all times.
- m) Research conducted in the NPA must be administered in accordance with the research guidelines, and the relevant Ethical Committees submitted to the NPA.
- n) Approval to conduct research in the NPA is valid for 2 years from the date of approval.
- o) The NPA may withdraw its approval of a research request at any time if the research deviates from the approved methodology, or is conducted in a manner that is not consistent with the NPA's requirements for the conduct of research in its facilities.



Declaration

I hereby agree to comply with the NPA requirements and relevant ethical conduct. I will ensure that participants' privacy and their confidentiality and that of records and other critical information are secured.

I \_\_\_\_\_ declare that the above information is true and correct.

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Date





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REPUBLIC OF SOUTH AFRICA

**FORM A**  
**REQUEST FOR ACCESS TO RECORD OF PUBLIC BODY**  
(Section 18(1) of the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000))  
[Regulation 6]

**FOR DEPARTMENTAL USE**

Reference number: .....

Request received by ..... (state rank,  
name and surname of information officer/deputy information officer) on ..... (date)  
at ..... (place).

Request fee (if any): R .....

Deposit (if any): R .....

Access fee: R .....

.....  
SIGNATURE OF INFORMATION OFFICER/DEPUTY INFORMATION OFFICER

**A. Particulars of public body**

The Information Officer/Deputy Information Officer

**B. Particulars of person requesting access to the record**

- (a) The particulars of the person who requests access to the record must be given below.
- (b) The address and/or fax number in the Republic to which the information is to be sent, must be given.
- (c) Proof of the capacity in which the request is made, if applicable, must be attached.

Full names and surname: .....

Identity number: 

--	--	--	--	--	--	--	--	--	--	--	--	--	--

Postal address: .....

Telephone number: (.....) ..... Fax number: (.....) .....

E-mail address: .....

Capacity in which request is made, when made on behalf of another person: .....

**C. Particulars of person on whose behalf request is made**

This section must be completed ONLY if a request for information is made on behalf of another person.

Full names and surname: .....

Identity number: 

--	--	--	--	--	--	--	--	--	--	--	--	--	--

**D. Particulars of record**

- (a) Provide full particulars of the record to which access is requested, including the reference number if that is known to you, to enable the record to be located.
- (b) If the provided space is inadequate, please continue on a separate folio and attach it to this form. The requester must sign all the additional folios.

1. Description of record or relevant part of the record:

.....  
.....

2. Reference number, if available: .....

3. Any further particulars of record:  
 .....  
 .....  
 .....  
 .....

**E. Fees**

- (a) A request for access to a record, other than a record containing personal information about yourself, will be processed only after a request fee has been paid.
- (b) You will be notified of the amount required to be paid as the request fee.
- (c) The **fee payable for access** to a record depends on the form in which access is required and the reasonable time required to search for and prepare a record.
- (d) If you qualify for exemption of the payment of any fee, please state the reason for exemption.

Reason for exemption from payment of fees:  
 .....  
 .....  
 .....

**F. Form of access to record**

If you are prevented by a disability to read, view or listen to the record in the form of access provided for in 1 to 4 below, state your disability and indicate in which form the record is required.

Disability:	Form in which record is required:
Mark the appropriate box with an X.	
NOTES:	
(a) Compliance with your request for access in the specified form may depend on the form in which the record is available.	
(b) Access in the form requested may be refused in certain circumstances. In such a case you will be informed if access will be granted in another form.	
(c) The fee payable for access to the record, if any, will be determined partly by the form in which access is requested.	

1. If the record is in written or printed form:					
	copy of record*		inspection of record		
2. If record consists of visual images - (this includes photographs, slides, video recordings, computer-generated images, sketches, etc.):					
	view the images		copy of the images*		transcription of the images*

3. If record consists of recorded words or information which can be reproduced in sound:					
	listen to the soundtrack (audio cassette)		transcription of soundtrack* (written or printed document)		
4. If record is held on computer or in an electronic or machine-readable form:					
	printed copy of record*		printed copy of information derived from the record*		copy in computer readable form* (stiffy or compact disc)

*If you requested a copy or transcription of a record (above), do you wish the copy or transcription to be posted to you? Postage is payable.	YES	NO
--	-----	----

Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available.

In which language would you prefer the record?

**3. Notice of decision regarding request for access**

You will be notified in writing whether your request has been approved / denied. If you wish to be informed in another manner, please specify the manner and provide the necessary particulars to enable compliance with your request.

How would you prefer to be informed of the decision regarding your request for access to the record?

.....

Signed at ..... this day ..... of ..... year .....

.....  
SIGNATURE OF REQUESTER /  
PERSON ON WHOSE BEHALF REQUEST IS MADE