

# annual performance plan 2019/20

50/90  
*Years* of humanities  
and social sciences  
Human Sciences Research Council



science  
& technology

Department:  
Science and Technology  
REPUBLIC OF SOUTH AFRICA



**HSRC**  
Human Sciences  
Research Council



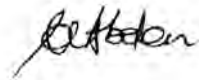
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# official sign-off

I hereby certify that this annual performance plan has been prepared in accordance with the HSRC's strategic plan which:

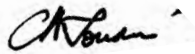
- Was developed by the management of the Human Sciences Research Council (HSRC) under the guidance of the Board of the HSRC and the Department of Science and Technology (DST), based on the National Treasury Framework for Strategic Plans and Annual Performance Plans;
- Takes into account all the relevant policies, legislation and other mandates for which the HSRC is responsible; and
- Accurately reflects the strategic outcome-oriented goals and objectives which the HSRC will endeavour to achieve over the 2019/20 financial year.

**Ms Crystal Abdoll**  
Chief Financial Officer  
Human Sciences Research Council



Signature

**Professor Crain Soudien**  
Chief Executive Officer  
Human Sciences Research Council



Signature

**Professor Mvuyo Tom**  
Chair of the HSRC Board  
Accounting Authority



Signature

Approved by:

**Minister Mmamoloko  
Kubayi-Ngubane, MP**  
Minister of Science and Technology  
Executive Authority



Signature



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# 01 updated situational analysis

The point of departure of this Annual Performance Plan is the Human Sciences Research Council's strategic plan for the period 2016/17 to 2020/21. This strategic plan outlined the organisation's broad approach through which it would deliver on its mandated objectives. The framework and objectives of the plan, and particularly its broad thematic areas and projects, derived directly from the National Development Plan (NDP) and the 2014-2019 Medium-Term Strategic Framework (MTSF).

As we had indicated in previous Annual Performance Plans, events that helped to shape the contents and focus of the organisation's plan remain valid:

<b>The 2010 HSRC institutional review »</b>	This internal review highlighted key issues that the organisation was required to address. The next institutional review is underway and will inform the 2020-2025 Strategic Plan.
<b>Achieving national priorities »</b>	Externally, the organisation was steered by government's concerted drive to ensure coordinated support to address, ensure delivery and monitor progress towards the achievement of national priorities in the context of an outcomes-driven approach.
<b>Broad lessons learnt in the implementation of the 10-year National Innovation Plan (2008-2018) »</b>	Of particular importance, especially in the context of the Grand Challenge of Human and Social Dynamics in Development (HSDD), were ongoing engagements with the Department of Science and Technology (DST) around the refinement of the science plan for the HSDD Grand Challenge.
<b>New input and reflection »</b>	Meetings with South African decision makers, other local and international stakeholders, as well as reflections on recent national and international studies highlighting issues and developments of strategic importance.
<b>Strategic alignment »</b>	Following Ministerial approval of the HSRC's 2014/15 to 2018/19 strategic plan, the MTSF for 2014-2019 was formally launched. The HSRC continues to align itself with the MTSF, NDP, government's 14 outcomes and its own mandated objectives.
<b>The existing White Paper on Science and Technology (1996) »</b>	The new draft is currently under review. This draft is taken into consideration as current and future planning cycles unfold.
<b>Stronger focus on poverty and inequality »</b>	To achieve greater internal coherence and alignment of its programmes, and influenced by the National Development Plan (NDP), the HSRC has made the issues of poverty and inequality the focus of its work. This process of cohering the organisation takes place in a social context which requires that the HSRC continues to apply its energies and resources to a range of other challenges

## Performance delivery environment

As in the previous period, two developments are important in terms of the performance delivery environment:

- **The deteriorating financial climate in South Africa:** This has reduced the funding available for government services and research expenditure. Here, the HSRC is required to show how the task of research and knowledge production for the public good can be undertaken in strained financial circumstances. To this end, the organisation is continually investigating cost reduction and fundraising options.
- **The challenge of building a community of researchers:** We need researchers who are able to contribute to the understanding of the most pressing social issues in the country and the development of policies to deal with them. Hence, the organisation will continue to find ways to attract and develop committed and capable social scientists.

### The HSRC in the National System of Innovation

The existing policy framework for the National System of Innovation (NSI) is defined by the 1996 White Paper on Science and Technology. This White Paper introduced the concepts of innovation and National System of Innovation (NSI) as key drivers for national economic and social development. The White Paper explicitly acknowledges that the human sciences have an important role to play in innovation by:

- Contributing to the understanding of social processes and problems and as a source of social innovation
- Facilitating appropriate technological change within society and within the economy
- Providing the basis of policy analysis
- Serving as a source of new knowledge and informed critique on the transformation of South African society and its economy.

In terms of this role accorded to the social sciences, the HSRC has an obligation to provide leadership and guidance in the research and policy community.

In playing its dual role of promoting and undertaking research, the HSRC works closely with other actors in the innovation system. These include government, business, the non-governmental community, the university sector, other science councils and academies.

These institutions share functions and characteristics. None is completely distinctive. None has an exclusive place in the NSI. They all overlap with each other.

The work of the HSRC overlaps with at least three of the above-mentioned categories, namely the Higher Education Sector, the Science Council Sector and the Academies and Advisory Bodies. This overlap requires, therefore, that institutions work together.

While the work of the HSRC will sometimes be similar to that of its sister institutions, it has a distinct mandate. The *raison d'être* (reason for being) of the HSRC, as outlined in the preamble to the 2008 Human Sciences Research Council Act, is to promote research of the highest quality which is aimed at improving understanding of social conditions and the processes of social change, and to engage with research counterparts through research on pressing social issues relevant to human welfare and prosperity. Its work is typically problem-oriented and applied in nature.



*The raison d'être of the HSRC ... is to promote research of the highest quality which is aimed at improving understanding of social conditions.*



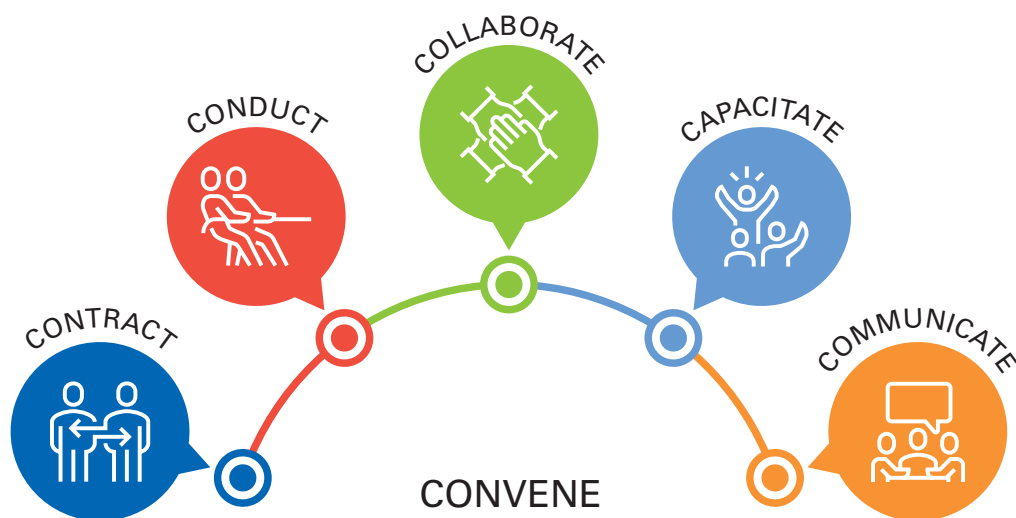
Its promotional work involves harnessing, bringing together and convening research projects and programmes of work around areas of national importance. With respect to the performance of research, it creates and acquires new knowledge through projects across the spectrum of disciplines and methodological approaches, and benefits from the inputs of research peers both as collaborators and critical reviewers of its work.

Most of this promotional and performative work is based on collaboration. The HSRC engages with role players such as policy makers, civil society activists, academics, educators, research funders, the media and public at large through its research projects but also through the various ways in which it makes its research outputs and data available. Examples of these include its annual South African Social Attitudes Survey (SASAS) and the South African National HIV Prevalence, Incidence and Behaviour Survey (SABSSM), the fifth iteration of which was released in July 2018. The purpose of these engagements is often to help build bridges between research and public understanding, policy development and improved practice in a responsible, accountable and transparent manner.

### The HSRC as convener of research

The HSRC approaches the concepts of research promotion and performance as interconnected, preferring to think of performance as a sub-set of promotion as well as an alternative alliterative nomenclature: of convening research, which involves contracting, conducting, collaborating, capacitating and communicating:

FIGURE 1: THE 6CS OF THE HSRC MANDATE: CONVENE, CONTRACT, CONDUCT, COLLABORATE, CAPACITATE AND COMMUNICATE



As convener of human and social science research in South Africa, the HSRC seeks to be a leading player in setting the country's human and social science research agenda, aligning research with the country's key challenges. As convener, the HSRC **contracts** researchers in academic institutions and civil society organisations to conduct research on its behalf. In addition, it also **conducts** research, both in **collaboration** with external research partners and on its own. As the convener of human and social science research in South Africa, the HSRC has an obligation to **capacitate** its own researchers and to develop the next generation of social science scholars, building and maintaining a pipeline of future talent for the country. None of this would be important if the HSRC did not **communicate**, both informing the research community and the broader public of the latest developments in human and social science research and sharing the results of such research through conferences, workshops, colloquia, seminars and publications (books, book chapters, journal articles and policy briefs).

# 01


The HSRC was established in 1968 through an act of parliament by the apartheid government to conduct research in the social sciences for the public good. This act was repealed and replaced in 2008. In terms of this act the HSRC has the obligation to promote research that advances South Africa and Africa's understanding of and engagement with its social conditions.

## What does the HSRC's research cover?

The scope of the human and social sciences research to which the HSRC is dedicated is broad. It encompasses all the dimensions of those phenomena that give a society its particular character and dynamic. Of necessity, this includes transversal themes such as:

- Poverty, inequality and unemployment
- Social change and aspects of innovation, development and growth
- Social cohesion, culture and its uses
- Citizenship, civic life, how people learn, socialisation and identity
- The roles of institutions and individuals in their environments
- Changing relationships of power and engagement.

For a country such as South Africa, with its history of apartheid, the issues raised above are overlaid with the complexities of, inter alia, 'race', class, gender, language and regionality. An understanding of these complexities may be best gained from studies conducted in areas such as education, health, cultural studies, political engagement, service delivery, employment and growth, or family studies. They require the participation of scientists from various disciplines with a problem-solving orientation who bring with them both specialist and multi- and trans-disciplinary skills.



*They require the participation of scientists from various disciplines with a problem-solving orientation who bring with them both specialist and multi- and trans-disciplinary skills.*

## A stronger focus of poverty and inequality

This is the broad social landscape at which the HSRC is looking. What then, in the context of the resources at its disposal and its strengths, will the HSRC focus on for the next period? How, strategically, will it concentrate its resources?

The HSRC will focus its attention on the urgency and complexity of poverty and inequality. These sit at the base of challenges such as 'racism', sexism, classism and regional strife. This is borne out in various academic and policy related analyses, including the National Development Plan (NDP) and strategies of the Department of Science and Technology.

Poverty and inequality, as conditions that are both structural and ideological, frame and modulate the macro- and micro-determinants against which the issues of deprivation, and their opposite, the capacity to flourish, play themselves out. In relation to this, both the structural factors that are in play in producing these conditions and the range of responses to the problems – the policies and interventions – require analysis and engagement. In order to do this, the country must bring together the most sophisticated economic, political, historical and social analyses it has at its disposal. The HSRC plays a central role in promoting this development. Flowing from this, two features will distinguish the HSRC's work for the period from 2017 to 2021:

- Identifying the social determinants surrounding the persistence of poverty and the deepening of inequality
- Building the capacity for problem-identification and solution-focused research of high quality that will assist in understanding and engaging with the questions of poverty and inequality.

According to the HSRC's Strategic Plan for the next five years, its research will therefore focus on 'poverty and inequality: diagnosis, prognosis, responses'.

This recognises the far-reaching consequences of poverty and inequality for the well-being and life chances of South African citizens and for the stability and cohesion of society. These issues are also hugely and increasingly significant for the rest of Africa and the wider world. In particular, the HSRC's research strategy will continue to seek the following:

- Enhancing the analysis of current forms, patterns and trajectories of poverty and inequality
- Improving its understanding of the drivers, dynamics and structural constraints underlying the contemporary situation
- Exploring the opportunities, triggers and tools for transforming current pathways and processes through action by government and other social institutions.

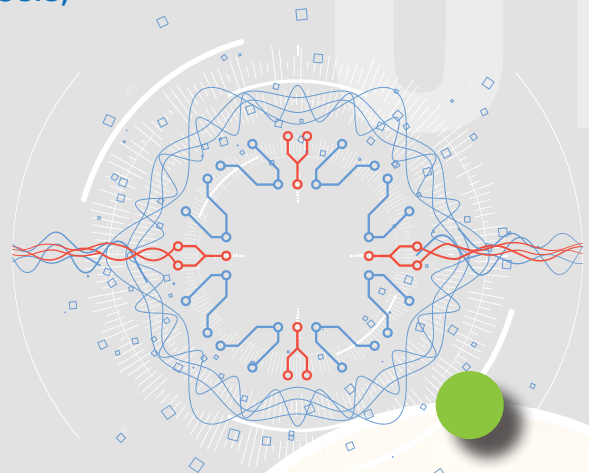
The research agenda will be influenced and inspired by a positive vision of inclusive development and an awareness of the factors in the social, political and economic environment that impede progress towards the attainment of development. Inclusive development is both a **process** and an **outcome**. As a concept, inclusive development encompasses the following principles:

- The social ideal that the entire population shares equitably in the benefits of economic progress
- The social value of direct and indirect participation of the people of the country in the development process
- The building and nurturing of social trust
- The consequent development of legitimacy of public structures and institutions.

As a process it requires wide and inclusive participation both in decision-making and in the practical activities of the social, political and economic domains of everyday life.

## The HSRC's research programme over the next five years

Starting with what it has already done, the HSRC will build on the considerable methodological strengths and resources it has developed over time. For instance, the HSRC has developed the capacity to design and manage large-scale national repeat and longitudinal surveys, to analyse and interpret in both quantitative and qualitative ways the data sets generated by these surveys, and to make the data available for further analysis. It has also built up a considerable body of knowledge based on other studies and discrete small-scale enquiries that have been put at the disposal of government and policy-makers, in accordance with the preamble to the 2008 HSRC Act. These resources are available to provide trend data, basic information and interpretive analyses necessary for engaging with the social conditions of the country and the policies and processes required for changing them. The HSRC also intends to collaborate and learn with researchers, policy makers and communities who share an interest and expertise in addressing these issues, and to contribute to capacity development where it has the specialised resources to do so.



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Against this background, the research programme of the HSRC over the next five years will be structured around three broad foci with respect to poverty, inequality and inclusive development:



**01**

### ECONOMIC INCLUSION

This includes growth, competitiveness, regional integration, infrastructure, technological innovation, ICT, resources (natural, human, land), labour markets and spatial dynamics (urbanisation, agglomeration, density).



**02**

### SOCIAL DEVELOPMENT

This includes well-being (quality of life, security, social and spatial mobility, migration), human capabilities (education, skills, health etc.), social relationships (race, class, gender, identity, etc.), social institutions and cohesion (family, community, etc.).



**03**

### GOVERNANCE AND DECISION-MAKING

This includes political participation, democracy, trust-building, nurturing legitimacy in public structures, capacity-building in the state, enhancing leadership, distributing power, accountability, responsiveness, social movements, multi-level government and coordinated decision-making.

Our approach to this over the medium-term will be to develop these foci as collaborative and cross-cutting flagship projects.

These three foci and their sub-elements will be studied both as separate research programmes in their own right but also in terms of their interdependent relationships.

While the country has access to and insight into the causal social determinants of the challenges it is facing, many of the most interesting and important research questions surrounding the drivers and dynamics of and barriers to socio-economic progress relate to the interactions between economic inclusion, social development, and governance and decision-making. This requires an understanding of the relationship between the structural and the psycho-social factors that are in play in the country.

Understanding the relationship between the structural factors (including macro-economic factors) and the psycho-social factors (the choices individuals make for themselves) will require continuing with existing lines of research as well as opening up new research questions. For example, the relationship between rising inequality, political instability, disinvestment, unemployment and economic stagnation constitutes a vicious

circle. But how strong are each of these connections in reality? What are the detailed mechanisms at work, and what are the thresholds beyond which inequality constitutes a brake on progress? Conversely, reduced poverty and narrower income gaps could lay the basis for mutual trust, social order, political tolerance and investor confidence. How one develops social compacts around widely-debated and widely-dialogued initiatives is important in this environment. This work will have to be undertaken at the macro-, meso- and micro-levels of social life in the country. It also calls for a better understanding of the connected nature of the social, political and economic dimensions of development.

## A multidimensional understanding of wellbeing to address poverty and inequality in South Africa: A historical, methodological and practical approach

South Africa remains a highly unequal society where too many people live in poverty and too few work. The legacy of apartheid continues to shape the vulnerabilities and determine the life opportunities for the majority of people along multiple dimensions.

Poverty impacts education, health, living environments and economic opportunities. When exploring inequality, these dimensions of poverty can be expanded to include social, cultural, political and knowledge-based effects. These multiple dimensions of poverty and equality have far-reaching consequences for human wellbeing and life chances of South African citizens and for the stability and cohesion of society.

To date, economic approaches have dominated the ways in which we have conceptualised and measured poverty and inequality in South African policy and research. Broadening our approach to explore the material, psychological and social conditions of poverty and inequality will move us towards a specific South African accounting of what poverty and inequality are, why it endures, and provide pointers to comprehensive policies and interventions for addressing it.

The primary aim of the research is to develop a multidimensional understanding of wellbeing to address poverty and inequality in South Africa. To address this the team have completed a thorough conceptual review of wellbeing from multiple perspectives and multiple disciplines. This work will result in a book, *Becoming Human In Unequal Spaces: Social, collective and relational wellbeing in South Africa*, with plans for release in the last quarter of 2020. The book will focus on relational wellbeing (and its many synonyms – collective, social, community) in order to make a case, firstly for a multidimensional understanding of wellbeing and, secondly, to offer a conceptual understanding of this nascent understanding of wellbeing. Relational wellbeing is a critical contribution to doing research, crafting interventions and making policy in unequal spaces.

The team also conducted a qualitative pilot study with two communities in KwaZulu-Natal and the Western Cape. The studies explored understandings of human wellbeing in South Africa, taking into account individual and collective agency (personal, household and community levels) and struggles in the face of persistent poverty and widening inequalities. The studies have been completed, and results are being analysed. Based on these findings, we plan to conduct a deeper contextual study of wellbeing across the country, in several communities across racial and class categories. Proposals have been developed and funding is being sourced to support this work.

The longer term aim is to administer a multi-dimensional wellness, poverty and inequality survey in the country on a regular basis. The aims of this survey would be to allow for more objective household and individual level accounts of wellbeing in varying degrees of poverty and across levels of inequality. These ideas will be fleshed out with others working in this space in the upcoming year.

*The primary aim of the research is to develop a multidimensional understanding of wellbeing to address poverty and inequality in South Africa.*



# 01

## Strengthening the economy of South African city-regions

This is a programme of research that seeks to improve the capabilities of government to strengthen the economy of South Africa's city-regions. The idea for the programme stems from consultations with officials and researchers concerned about the weak knowledge-base for economic performance-making and spatial transformation in Gauteng. A related challenge is the sparse expertise within the South African research community to undertake a robust analysis of urban and regional economic problems and policies. The research also addresses the weak capacity of government and other institutions to absorb research findings and translate them into effective policy actions.

The core concept underpinning the programme of research is the following: Cities grow and prosper because the agglomeration of firms and households creates positive value and efficiencies for many different kinds of activity. Yet urbanisation does not automatically lead to prosperity or inclusion, especially if it gives rise to congestion, overloaded infrastructure and inflated property prices because of land and housing shortages and market failures. The intensity and quality of the interactions and linkages between firms, households and other entities determine whether the demographic and physical growth of cities is productive and inclusive. These relationships can be mutually beneficial and generate value, or they can be damaging, causing inefficiencies and rising costs. The outcome is partly influenced by the physical form of cities, the level of human capital and the quality of governing institutions. Therefore, the idea at the heart of this new initiative is to enhance the development of the city-region, and not simply to increase investment or development in the region.

In other words, the region is not seen as a mere container of economic activity, but rather as an agent or active contributor to growth and development. An underlying objective is to improve understanding of the diverse interactions and externalities that help or hinder the shared and sustainable prosperity of city-regions. This includes the linkages between rural and urban areas; between firms, suppliers and customers; between housing, transport and labour markets; and between infrastructure and property development. All of these inter-relationships and connections are closely intertwined with wider regional and global flows of capital, labour, goods, technology and information, which also need to be understood. The prosperity of city-regions depends partly on their external connections and position in wider value chains.

## Creating a Transformative Governance Index

The HSRC is developing a Transformative Governance Index (TGI) in collaboration with internal and external bodies and individuals. The quality of governance in South Africa remains a concern to citizens, government, private and non-profit organisations, and a range of stakeholders. Equally significantly, many are disappointed by slow progress towards achieving the Constitution's vision of a transformed society, characterised by the normative values of human dignity and social justice – evidenced in a greater degree of substantive material equality. Concerns about continued poverty, inequality and exclusion have led to doubts about the adequacy of our new Constitution, its institutions and the legitimacy of the underlying constitutional arrangement.

Government has been criticised for its apparent inability to effect substantial change to the social and economic arrangements that characterised our apartheid past. The economy has struggled to be more inclusive, and to create employment and reduce poverty. Despite the constraints imposed on the three arms of the state – the executive, the legislature and the judiciary – by the constitutional requirement of a separation of powers between them, the judiciary, as the protectors and upholders of the Constitution, have been accused of failing to ensure that government delivers on the socio-economic rights (SERs) in the Bill of Rights, including the basic rights of food, water, shelter, health care and social security (see sections 26 and 27 of the Constitution). The courts have countered that our Constitution envisages a democratically elected government led by an "energetic" executive leading the debate on policy and legislative reform, and associated budget allocations, and that

an appropriate role for the courts is to monitor and to guide. Nevertheless, several landmark judgements by the Constitutional Court and other courts have reaffirmed the Constitution's normative framework and have identified the vital contributions that each sector of society can make towards a collective effort to realise social justice in our disturbingly unequal country.

The Constitution requires informed and participatory governance, and its Bill of Rights applies to relationships between government and all people in South Africa, as well as to relationships between individuals and private companies. The TGI therefore aims to use an inclusive methodology to develop a body of evidence, a multi-stakeholder process, and a multi-year index that can help spur social accountability and responsiveness, and to enable stakeholders to collectively track contributions to the shared effort to urgently address the overarching challenges of poverty, inequality and exclusion. It will also target research and evidence for short- and long-term policies aimed at the transformation of economic and social relationships – evidence which can help provide clear guidance regarding the “minimum core” content of SERs intended to address fundamental human rights and needs.

In addition to these foci, the HSRC will continue to develop its capacity to work in the broad field of humanities. Recent overview studies of the humanities have confirmed the contribution of the HSRC. Below is a recent example of such a project in the Sweetwaters community in Pietermaritzburg.

The HSRC continues to award the Annual Medal for Social Sciences and Humanities. In 2018, the HSRC collaborated with the Academy of Science of South Africa (ASSAf) on this initiative to combine the event with the Annual Humanities Lecture and ASSAf Book Award.



## Amazwi ethu (Our voices): Speaking back!

The project made use of the photovoice methodology to work with vulnerable youth from the Sweetwaters community to gain insights into the challenges and risks faced by this community, especially as they are experienced by young men and women. Sweetwaters is a semi-rural community on the outskirts of Pietermaritzburg, KwaZulu-Natal, that experiences high unemployment, high rates of HIV, and high levels of extreme poverty. The priority of the project was to allow participants to speak back through the camera. Youth were invited to take photos of their daily lives and to bring those images to a focus group where the images were used to stimulate conversation about their hopes, dreams, challenges and fears. Photos were then printed and two gallery exhibitions held, one in the city of Pietermaritzburg and one in the Sweetwaters community.

Art galleries are sites of inquiry, and by exhibiting the photographs in these spaces the project team allowed the opportunity for both a presentation of the findings of the research project and an interrogation of the findings. By taking these photographs, participants engaged in a process of empowered self-representation through which they constructed a picture of themselves and their circumstances. The exhibition aimed to prioritise the voice of the youth in the Sweetwaters community in the hope of empowering them to fulfil the potential of such projects to “ignite social change.” Pictures were chosen with a view to provide a balanced representation of the body as a whole, allowing viewers a glimpse into the harsh realities faced by these young men and women on a daily basis. More than this, space was left to showcase

project

# 01

the prominence of hope and aspiration, with an emphasis on the display of a profound resilience. At the opening of the exhibition of 11 August 2017, Louise Hall said: “Displaying these images in a public forum speaks to the enormous benefit of embedding science in the arts and through this partnership

foregrounding for the people of Pietermaritzburg the challenges faced by its adolescents. This evening presents an opportunity to engage with these difficult and challenging images and be opened to the hope and resilience of our youth.”

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## The HSRC in Africa

Section 3 of the HSRC Act of 2008 mandates the organisation to promote social science and humanities research and knowledge production across the African continent. The Council is expected to engage in collaborative programmes linked to the public sector in order to foster research across the continent. After the incorporation of the Africa Institute of South Africa AISA into the HSRC, an Africa Focus Committee (AFC) was formed that has representation from the various research programmes, centres, institutes and units in the HSRC. In many cases these representatives are the African research fellows in various programmes. The committee’s mandate, among other objectives, is to develop and coordinate the implementation of the proposed HSRC Africa Research and Collaboration Strategy. The strategy is premised on the understanding that the continent is a meaningful partner in global knowledge creation and innovation, and should leverage its knowledge sources, epistemologies, capabilities and networks for the development of the continent.

The Africa research partnership and collaborative strategy fosters partnerships and enhances networks through multidisciplinary and transdisciplinary research programmes and organisational exchange programmes. The strategy enables the HSRC to directly and indirectly contribute to the implementation of the UN Sustainable Development Goals, Agenda 2063, SADC Regional Indicative Strategic Development Plan and Strategic Indicative Plan for the Organ on Politics, Defence and Security Cooperation, the DST’s Africa engagement strategy and South Africa’s foreign policy objectives. The main objectives are to make research available in the region and to provide policy advice and implementation support to African intergovernmental organisations, government and civil society for the realisation of the strategies and policies. This is based on the understanding that Africa needs research, knowledge production and dissemination done by Africans, and for Africa.

The main strategic focus of the HSRC’s Africa-wide research is to build research partnerships across the continent, taking into account the continent’s strategic goals and policy frameworks for inclusive social and economic development.

Inclusive human and social development, and the improvement of the security and wellbeing of people (shared and high rates of economic growth; the eradication of poverty and inequality; peace and security; democratic governance; addressing climate and environment change; and engendering vibrant cultures) are key overarching continental priorities that require multilateral research partnerships. Other imperatives (globalisation, city building, regional infrastructure, and innovation) will also be addressed across a range of transversal themes such as gender and youth development, and within various sectors.



## 1.2

### Organisational environment

The figure below shows the organisational structure of the HSRC, as at April 2019. Broadly speaking, and for purposes of performance planning and reporting, the work of the HSRC is structured in two major programmes, namely:



#### Administration

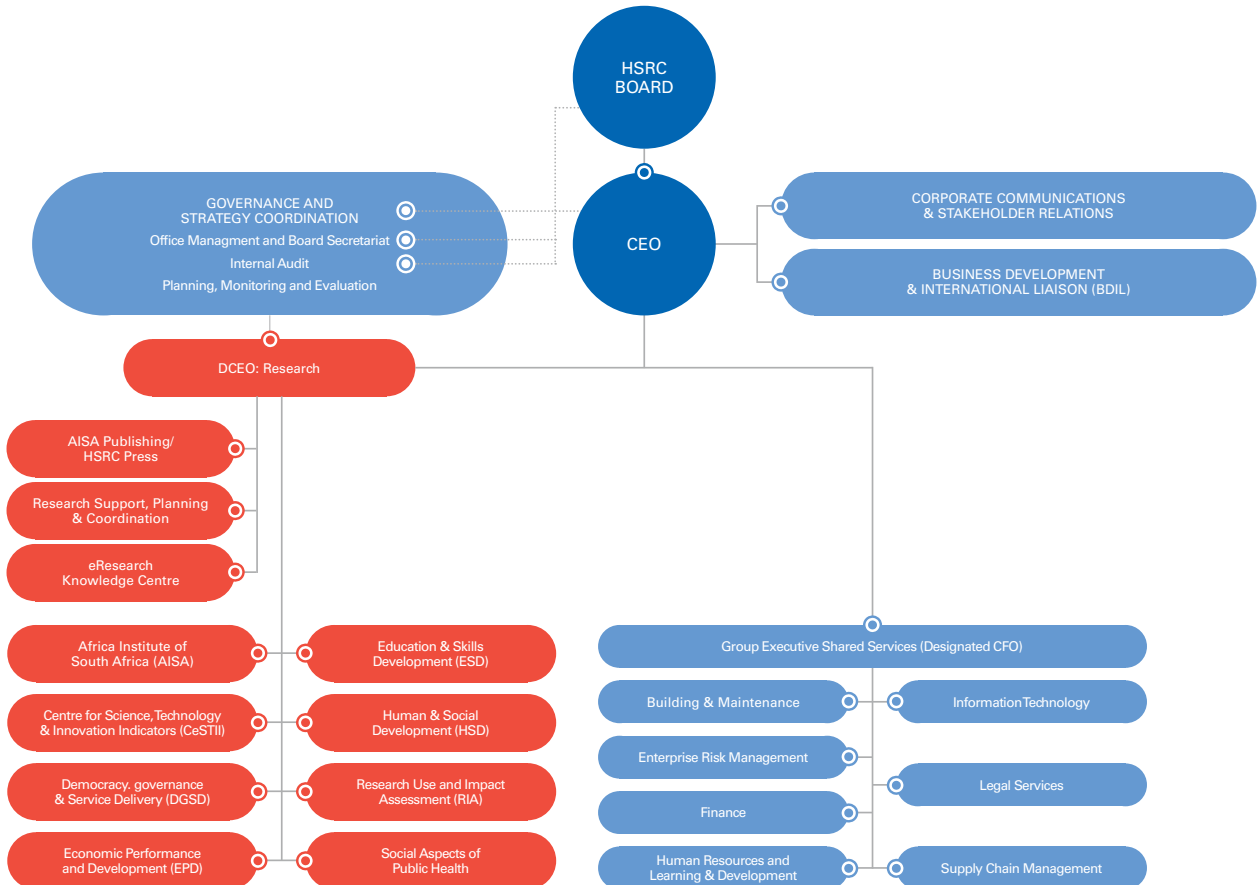
This consists of the office of the CEO: Business Development and International Liaison, Corporate Communications and Stakeholder Relationships and Governance and Strategy Coordination, and the shared services units reporting to the Group Executive: Shared Services.



#### Research, Development and Innovation

This encompasses the office of the Deputy CEO for Research and the following research programmes, units and centres: Africa Institute of South Africa (AISA), Centre for Science, Technology and Innovation Indicators (CeSTII), Democracy, Governance and Service Delivery (DGSD), Economic Performance and Development (EPD), Education and Skills Development (ESD), the eResearch Knowledge Centre, AISA Publishing/HSRC Press, Human and Social Development (HSD), Research Use and Impact Assessment (RIA) and Social Aspects of Public Health.

FIGURE 2: THE HSRC'S ORGANISATIONAL STRUCTURE, APRIL 2019



# 01








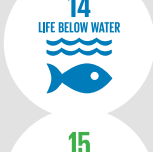
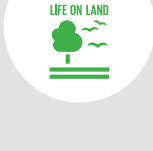

The HSRC made minor adjustments to its research and shared services units in accordance with operational requirements after restructuring in 2010. Following the incorporation of the Africa Institute of South Africa (AISA) into the HSRC in April 2014, efforts to reduce duplication and strengthen the Africa focus programme have been ongoing.








In preparation for the next institutional review due to be finalised in November 2018, three programme-level reviews took place during 2017/18. Based on recommendations from these reviews and in an attempt to consolidate the organisation's critical mass to respond to health issues, various structural changes were implemented. For example, the former HIV/Aids, STIs and TB (HAST) and the Population Health, Health Systems and Innovation (PHHSI) programmes were combined to form one programme – Social Aspects of Public Health. In addition, Stakeholder Relations and Corporate Communications, and AISA Publishing and HSRC Press will be moved to the offices of the CEO and DCEO: Research respectively. The HSRC will continue to critically reflect on factors that may impede or improve its ability to deliver effectively and efficiently on its core mandated and strategic objectives based on further developments in the broader Science, Technology and Innovation Institutional Landscape (STIIL).





## The HSRC and the National Development Plan (NDP)





The focus on poverty and inequality happens within a framework of three key policies, namely the National Development Plan (NDP), the Sustainable Development Goals (SDGs) and the Medium-Term Strategic Framework (MTSF). The HSRC aligns its research agenda with these policies. Table 1 reflects how the HSRC's nine organisational units are aligned in their research and development agendas to the matrix of areas, outcomes and goals.









TABLE 1: MAPPING OF NDP AREAS, SDGS, MTSF OUTCOMES, AND HSRC ORGANISATIONAL UNIT FOCI AND PROJECTS







13 National Development Plan areas	17 Sustainable Development Goals	14 Medium-term Strategic Framework outcomes	HSRC entity focus	Examples of current projects
 Economy and employment (1)		Decent employment through inclusive growth (4)	EPD AISA ESD	The role of tradable services in the Gauteng economy. Funded by Gauteng Growth and Development Agency. Economic transformation through a comparative study of co-operatives Labour Market Intelligence Partnership project (LMIP) Support the development of the DST's 4IR plan of action Development of a MEF for Biosafety SA's Communication Project
			EPD CeSTII AISA	Transparency and accountability in the delivery of public infrastructure. Funded by the Construction Sector Transparency Initiative. National R&D Survey Business Innovation Survey The role of State Owned Enterprises in R&D and innovation Pilot survey of innovation in the informal economy Department of Public Enterprise Africa Strategy (support for implementation) Multi-staged project into effective implementation of the CFTA. Proposal stage. Implementation targeted to commence in 2019. China-Africa industrial cooperation
	   	Protect and enhance our environmental assets and natural resources (10)	EPD DGSD RIA AISA	The green economy. Funded by the National Research Foundation. Drought Disaster Resilience and adaptation in the Western Cape Assessment of water and sanitation challenges in two inland South African cities (Polokwane and Mbombela) under uncertainty posed by climate change Sustainability and implementation assessment of the PIDA. Proposal stage, implementation scheduled for 2019. The Blue Economy project – regional and oceans governance Financing Clean Technology Initiatives to address climate change in BRICS
				

13 National Development Plan areas	17 Sustainable Development Goals	14 Medium-term Strategic Framework outcomes	HSRC entity focus	Examples of current projects
 <p>Inclusive rural economy (4)</p>		<p>Vibrant, equitable, sustainable rural communities contributing towards food security for all (7)</p>	<p>EPD ESD AISA</p>	<p>The green economy. Funded by the National Research Foundation. South Africa's Food Security and Nutrition Survey Creating jobs through agriculture industrialisation. Proposal stage. Implementation scheduled for 2019 in collaboration with ARC</p>
 <p>South Africa in the region and the world (5)</p>		<p>Create a better South Africa and contribute to a better Africa and a better world (11)</p>	<p>AISA DGSD EPD RIA HSD</p>	<p>The contribution of tradable services within southern Africa. Funded by UNU-Wider. Knowledge from precarity and mobility (France, Turkey, India, Brazil, Chile and South Africa) Children DREAMS preventing HIV/Aids in adolescent girls Cross-country cohort collaboration – SA, Brazil and UK, capacity development for ECD Science and technology community dialogues in 6 African countries Mapping study of research and research institutes in Africa The use of technology in peace and security on the continent The Blue Economy project – regional and oceans governance The BRICS Research Centre State of the Nation book project</p>
 <p>Transforming human settlements (6)</p>	  	<p>Sustainable human settlements and improved quality of household life (8)</p>	<p>EPD DGSD AISA</p>	<p>The dynamics of the backyard rental housing market. Funded by Western Cape Province. Biogas supported decentralised water treatment system for communities in South Africa and Zambia.</p>

13 National Development Plan areas	17 Sustainable Development Goals	14 Medium-term Strategic Framework outcomes	HSRC entity focus	Examples of current projects
 <p>Improving education, training and innovation (7)</p>		<p>Quality basic education (1) A skilled and capable workforce to support an inclusive growth path (5)</p>	<p>ESD CeSTII RIA HSD AISA</p>	<p>National R&amp;D survey (annual) University-community engagement, innovation and inclusive development Promoting a nourishing environment for early childhood development with improved relationships with community workforce and primary caregivers Senior scientific collaboration on the Malezi II early child development programme evaluation study Amplifying change across Eastern and Southern Africa: Supporting civil society to deliver Sexual and Reproductive Health Rights (SRHR) education, and reducing School Related Gender Based Violence (SRGBV). Critical Skills Project, Phase 1 completed, recommendations included in new Immigration White Paper. Phases 2 and 3 scheduled for 2019. Tracking of Youth into Science Strategy and Science Engagement Monitoring and Evaluation Framework The SKA and Human Development TARMII – a teaching tool to enhance literacy assessment Trends in International Mathematics and Science Study (TIMSS) 2019 The new student movement in South Africa: From #FeesMustFall to #RhodesMustFall Support the development of an in-depth understanding of student politics in Africa</p>
 <p>Health care for all (8)</p>	 <p>Good health and well-being (3)</p>	<p>A long and healthy life for all South Africans (2)</p>	<p>HAST PHHSI RIA HSD DGSD</p>	<p>Study of Global Ageing and Adult Health (SAGE) Costs and economic impact of diabetes Evaluating the impact of social and behaviour change communication programmes in SA A health platform for healthcare workers to link South Africans to HIV care Do-Art – a study addressing community-based art initiation, delivery and monitoring in South Africa and Uganda Lotto-to-Link: Do lottery strategies increase engagement in HIV care and uptake of antiretroviral therapy among South African men? Preventing HIV transmission by recently-infected drug users (TRIP) Insika Yomama project (intervention for HIV positive women) Analysis of the South African National Health and Nutrition and Examination Survey</p>

13 National Development Plan areas	17 Sustainable Development Goals	14 Medium-term Strategic Framework outcomes	HSRC entity focus	Examples of current projects
 <p>Social protection (9)</p>		<p>A comprehensive, responsive and sustainable social protection system (13)</p>	<p>EPD HSD DGSD RIA</p>	<p>Evaluation of Expanded Public Works Programmes. Funded by the Department of Environmental Affairs.</p> <p>Supporting Policy Engagement for Evidence-based Decisions (SPEED) for Universal Health Coverage (Uganda and South Africa)</p> <p>Non-communicable diseases and labour participation</p> <p>Conduct disorders, executive function and parenting in South African children</p> <p>Review of the National Youth Policy in 5 African regions</p> <p>The evaluation of an intervention aimed at interrupting underage drinking in South Africa</p> <p>Impact evaluation of an incentivised behaviour change intervention for young women</p>
 <p>Building safer communities (10)</p>		<p>All people in South Africa are and feel safe (3)</p>	<p>HSD DGSD</p>	<p>Impact evaluation of the Kwanele Communities (SEViSSA) project</p> <p>A study on damage to property, intimidation, threats, harm and killings of councillors, senior municipal officials, municipal managers and members of ward committees</p>
 <p>Building a capable and developmental state (11)</p>		<p>Responsive, accountable, effective and efficient local government (9)</p> <p>An efficient, effective and development-oriented public service (12)</p>	<p>DGSD RIA AISA HSD</p>	<p>Parliamentary Stakeholder Survey</p> <p>The NDP and economic transformation – lesson for SA to achieve developmental state</p> <p>Transformative Governance Index (TGI)</p> <p>A study of key skills issues and change drivers for the Public Service Sector Education &amp; Training Authority</p>
 <p>Fighting corruption (12)</p>			<p>DGSD</p>	<p>Consequences and Accountability Framework for Local Government/SALGA</p> <p>The Construction Sector Transparency Initiative (CoST)</p>

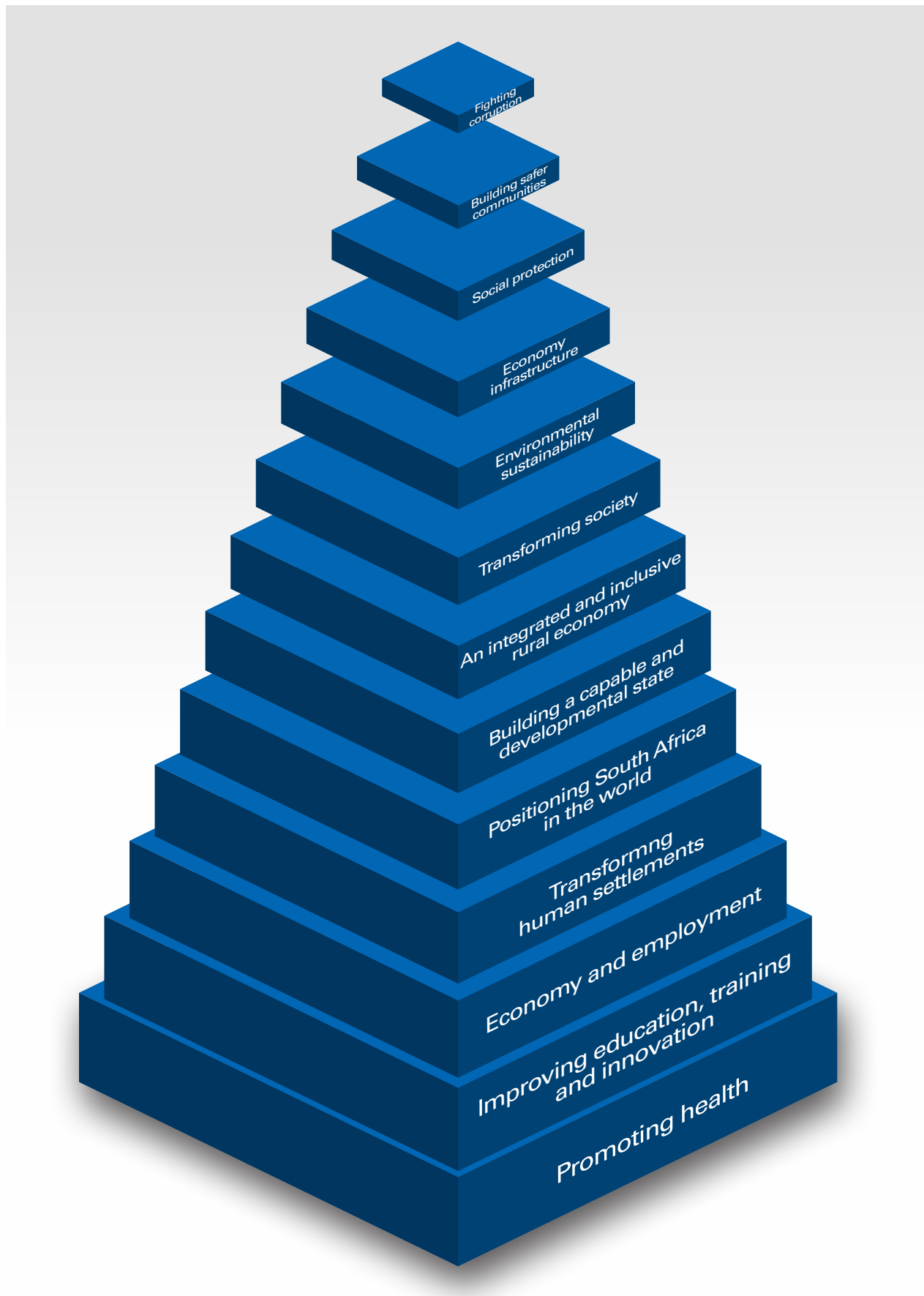
13 National Development Plan areas	17 Sustainable Development Goals	14 Medium-term Strategic Framework outcomes	HSRC entity focus	Examples of current projects
 <p>Nation building and social cohesion (13)</p>		<p>A diverse, socially cohesive society with a common national identity (14)</p>	<p>HSD</p> <p>DGSD</p>	<p>Evaluation study of older persons services within the Gauteng City Region (GCR) SRAPAA</p> <p>Entry points for Implementation of Sustainable Development Goals in Africa and Asia and the Pacific</p> <p>The South African Social Attitudes Survey (SASAS)</p> <p>Improving Participatory Democracy and Active Citizenship Programme – European Union Research Project</p> <p>Gauteng Community Wellbeing Survey</p> <p>Gauteng State of the Youth Project</p>
			<p>All</p>	<p>Dashboard of indicators of poverty and inequality.</p>
			<p>DGSD</p> <p>EPD</p>	<p>Food and Nutrition Security. Unfunded work at present.</p>
			<p>All</p>	<p>National R&amp;D Survey</p> <p>Assessing the gender dimensions of the demographic dividend</p> <p>Evaluating a walking school bus as a school-related gender-based violence intervention in KZN</p> <p>Assessment of the potential socio-cultural, gender and economic impacts of the use of veterinary vaccines by South African rural farmer households</p> <p>Impact evaluation of an incentivised behaviour change intervention for young women</p> <p>Women's Economic Empowerment and the Blue Economy in the Indian Ocean Region</p>
				

13 National Development Plan areas	17 Sustainable Development Goals	14 Medium-term Strategic Framework outcomes	HSRC entity focus	Examples of current projects
				<ul style="list-style-type: none"> <li>Pilot survey of innovation in the informal economy</li> <li>University-community engagement, innovation and inclusive development</li> <li>Designing an indicator framework for STI for inclusive and sustainable development</li> <li>A survey in the state of youth on the State of Youth in Gauteng</li> <li>The Transformative Governance Index (TGI project)</li> </ul>
				<ul style="list-style-type: none"> <li>Designing an indicator framework for STI for inclusive and sustainable development</li> <li>Amplifying Change across Eastern and Southern Africa: Supporting civil society to deliver Sexual and Reproductive Health Rights (SRHR) education and reduce School Related Gender Based Violence (SRGBV)</li> <li>Assessing the gender dimensions of the demographic dividend</li> <li>Entry points for implementation of Sustainable Development Goals in Africa and Asia and the Pacific</li> </ul>

The HSRC's areas of research support the objectives of the NDP to varying degrees, as illustrated below:



FIGURE 3: PRIORITIES HIGHLIGHTED IN NDP CHAPTERS



# 02

## revisions to legislative and other mandates

There were no revisions to legislation and other mandates directly applicable to the HSRC.

The new Draft White Paper and Decadal Plan are currently being finalised and will be considered for planning processes in the organisation.





overview  
of 2019/20  
budget and  
MTEF  
estimates

# 03

## Expenditure estimates

TABLE 2: THE HUMAN SCIENCES RESEARCH COUNCIL'S EXPENDITURE ESTIMATES

Programme	Actual/Audited outcomes			Adjusted appropriation	Medium-term expenditure estimate		
	R thousand	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21
1. Administration	165 408	168 648	165 920	208 215	214 184	226 301	238 748
2. Research, Development & Innovation	245 990	284 226	357 634	362 032	385 757	406 028	428 359
3. Africa Institute of South Africa	26 195	27 805	32 679				
<b>Total</b>	<b>437 593</b>	<b>480 679</b>	<b>556 233</b>	<b>570 248</b>	<b>599 941</b>	<b>632 329</b>	<b>667 107</b>
Economic classification							
Current payments	437 593	480 679	556 233	530 631	558 195	588 286	620 643
Compensation of employees	236 986	271 009	282 656	293 608	312 911	326 884	344 862
Goods and services	192 393	196 670	259 062	224 401	231 977	247 366	260 971
Agency and support/outsourced services	5 480	6 485	4 704	7 473	7 875	8 277	8 733
Audit costs	-	5 922	4 502	4 250	4 475	4 721	4 981
Bank charges	-	381	572	560	590	622	656
Communication	13 991	13 592	17 524	19 828	19 195	20 165	21 274
Computer services	-	-	-	732	773	804	848
Contractors	11 547	11 420	13 068	14 470	15 237	16 073	16 957
Inventory	6 236	5 136	5 185	6 221	5 153	5 425	5 723
Lease payments	8 612	9 247	11 652	12 299	12 953	13 658	14 409

Programme	Actual/Audited outcomes			Adjusted appropriation	Medium-term expenditure estimate		
	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
Legal fees	-	444	569	400	421	444	469
Non-life insurance	-	2 599	2 330	2 559	2 694	2 842	2 999
Repairs and maintenance	12 065	16 792	13 701	14 747	15 531	16 375	17 276
Research and development	114 197	109 908	175 137	116 311	122 824	132 577	139 869
Training and staff development	2 549	4 481	2 109	3 453	3 640	3 818	4 028
Travel and subsistence	4 485	6 466	3 869	6 574	4 960	5 557	5 862
Other costs	13 326	4 169	4 140	14 524	15 656	16 007	16 887
<b>Depreciation and interest</b>	<b>8 214</b>	<b>13 000</b>	<b>14 515</b>	<b>12 622</b>	<b>13 307</b>	<b>14 036</b>	<b>14 810</b>
Depreciation	6 996	11 250	13 046	11 272	11 881	12 472	13 159
Interest and fair valuations	1 218	1 750	1 469	1 350	1 426	1 564	1 651
<b>Transfers and subsidies to:</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>39 617</b>	<b>41 746</b>	<b>44 042</b>	<b>46 465</b>
Non-profit institutions	-	-	-	39 617	41 746	44 042	46 465
<b>Total</b>	<b>437 593</b>	<b>480 679</b>	<b>556 233</b>	<b>570 248</b>	<b>599 941</b>	<b>632 329</b>	<b>667 107</b>

## Relating expenditure trends to strategic outcome-oriented goals

### 3.2.1 Contribution of budget and MTEF allocation to the realisation of strategic outcome-oriented goals

Appropriately skilled and experienced staff as well as sufficient levels of funding are key inputs to support the work of the HSRC. There is significant competition for the services of highly qualified research staff in academia, the public sector and the private sector. The number of senior research staff in the HSRC has declined over time. Hence, there is a need to focus on growing new research staff by means of trainee programmes and on retaining the services of good researchers.

The parliamentary grant has increased over the past few years, but below the rate of inflation. The only recent instance of above-inflationary growth of the HSRC's parliamentary grant was the grant adjustment in 2014/15 to provide for the incorporation of the Africa Institute of South Africa (AISA), as a going concern, into the HSRC. This incorporation led to an overall growth in the HSRC staff complement, accompanied by more pressure on the HSRC's building, IT and other support infrastructures.

The most recently recorded ratio of parliamentary funding to external income for the financial year ending 31 March 2018 is 48:52. The ideal funding split for a national council of HSRC's stature is a ratio of 80:20. This means that there is pressure on the HSRC to increase external income earnings at a faster pace than the growth in its parliamentary grant in order to ensure that all the necessary budget commitments in terms of staff, administration, infrastructure and research costs can be met. This unhealthy pressure is expected to increase over the medium-term expenditure framework (MTEF) period due to budget cuts implemented by DST on the HSRC's budget.

### 3.2.2 Impact of allocations in the budget and MTEF on performance targets

The HSRC receives parliamentary grant funding via government's medium-term expenditure framework (MTEF) allocation to Vote 30, Science and Technology. However, this allocation does not sufficiently fund the mandate of the HSRC. One of the HSRC's mandates is to promote and help build capacity in social and human sciences in South Africa, Africa and the global South. Over the years, the practical execution of this mandate has been largely funded from externally generated income. Some of the major funders of current and recent projects include the US Centres for Disease Control and Prevention (CDC), The Global Fund to Fight AIDS, Tuberculosis and Malaria, the US Agency for International Development, the Department of Higher Education and Training, Amplify Change and the University of California.

Long-term planning is hampered by uncertainty about the actual total budget to be achieved in years to come.

Although performance targets have been set, insufficient budget allocation will hamper the HSRC's ability to meet its mandated objectives.

The current financial model of the HSRC has a strong dependence on external funding to support research and the broader mandate of the HSRC. The parliamentary grant funding received is predominantly utilised to cover core institutional costs, notably salary costs of critical staff. According to current projections, the HSRC will have to secure a greater proportion of its operating budget from external sources if it is to continue providing the quality and scale of research required to address the problems of poverty and inequality.

### **3.2.3 Strategies to address the impact of allocations in the budget and MTEF on performance targets**

The HSRC wishes to reduce the proportion of its external funding income by growing the MTEF portion of its income so as to reduce pressure on researchers and ensure financial security for realistic planning and delivery.

Various baseline reductions have been effected on the HSRC's baseline allocations over the last two financial years with additional reductions applied over the MTEF period. Key measures to absorb reductions in baseline funding over the MTEF period will be effected in Programme 1 so as to ensure that more funds are allocated to the HSRC's core business (research) over the MTEF period.



strategic  
performance  
indicators  
and targets  
2019/20

04



In terms of strategic objectives and key performance indicators set for the forthcoming planning period, the HSRC will retain the generic indicators that had been set for the Medium-Term Strategic Framework (MTSF). These include indicators that are associated with the following:

- Research and science communication processes (such as platforms to engage with policy makers)
- Research outputs (including published journal articles, book chapters and curated datasets)
- Attempts to report on research use and impact (for instance, cited journal articles)
- Critical inputs associated with institutional sustainability and relevance including ongoing transformation and capacity development.

During 2016/17, the HSRC executive leadership paid specific attention to the review and refinement of the set of performance indicators in the Annual Performance Plan (APP) for the year. In this way, minor changes were proposed in the 2016/17 APP, followed by more substantial changes in the 2017/18 APP. These revisions sought a clearer alignment between strategic outcome-oriented goals, and the indicators of performance and associated targets that had previously been presented for the 2014/15 to 2018/19 MTSF period. The revisioning also took into consideration the indicators appearing in the DST Annual Performance Plan, to allow for greater synergy with DST's objectives.

Mid-term improvements to the Strategic Plan are allowed within the limitations of the National Treasury's guidelines for Strategic Planning and are therefore focused on refining rather than reconstructing the plan.

As reflected in the performance delivery environment analysis in the APP, the HSRC is compelled to respond to the deteriorating financial climate in the country and a decline in available resources for government services and research expenditure. The recent budget cut of R36 million to the HSRC's baseline funding impelled an essential evaluation of how realistically some indicator targets could be attained.

In addition to the financial consideration, a deliberate decision was taken to lower certain targets in an attempt to change the focus from a quantitative approach to a qualitative one. The performance targets for 2018/19 onward in relation to HSRC seminars, policy briefs, African research fellows, Master's and PhD interns and post-doctoral fellows and preserved data sets were subsequently adjusted.

As a legacy outcome from the focus on poverty and inequality in the current HSRC strategic planning cycle, the HSRC will continue the construction of a centralised web-based indicator dashboard that supports the monitoring of the implementation of the national Medium Term Strategic Framework and the National Development Plan. The dashboard is being implemented in three phases, and further work is dependent upon securing appropriate funding and securing the services of an appropriate data architect, data developer, web developer and business analyst. Based upon a completed scoping exercise of the publically available data from over 40 surveys conducted by the HSRC and its cross-referencing with the 14 MTSF Outcomes, in the 2018/19 period the HSRC began the construction of a dashboard of indicators of poverty and inequality. The initial focus was on Outcome 9 (responsive, accountable, effective and efficient local government), and consolidated indicators for local government were developed. During the second phase of this work consolidated indicators for Outcome 2 (a long and healthy life for all South Africans) and Outcome 1 (quality basic education) will be developed. The dashboard will also link HSRC data to Africa's Agenda 2063 and the Sustainable

*The HSRC is compelled to respond to the deteriorating financial climate in the country ...*



# 04

Development Goals (SDGs). Where possible, the dashboard will present an aggregated time series (trend) view of key indicators and provide the means to drill into curated data using data analysis tools.

As indicated earlier, the HSRC continued to develop and refine performance indicators that are intended to allow better reporting and reflection on the quality, relevance and impact of its work.

The focus on generic rather than content-specific indicators is deliberate. The HSRC depends on external income to meet all of its budgetary obligations and mandated objectives. It is therefore not always possible to link performance indicators in advance with specific topics or detailed content areas. However, the research agenda and areas of work of the HSRC will remain focused on the broad dimensions of poverty, inequality and inclusive development, through the lenses of economic inclusion, social development, and governance and decision-making. By the end of each annual or five-year reporting cycle, the HSRC will therefore be able to report and reflect on contributions made through its research, around the broad dimensions of economic inclusion, social development, and governance and decision-making, to critical issues associated with the reduction of poverty and inequality, and the promotion of inclusive innovation and growth.

The following table presents a consolidated view of organisational strategic performance indicators and targets for the financial year 2019/20, against which the performance of the HSRC will be reported during the course of the financial year.

**TABLE 3: STRATEGIC PERFORMANCE INDICATORS AND TARGETS OF THE HSRC FOR 2019/20**

● Cumulative year-end   
 ● Cumulative year to date   
 ● Non-cumulative

No	Goals, objectives and performance indicators	Annual targets	Quarterly performance targets			
		2019/20	Q1	Q2	Q3	Q4
<b>1 A: Advancing knowledge and scientific excellence</b>						
<b>Objective 1A: Disseminating knowledge through publications and public dialogue</b>						
1.1	Peer-reviewed journal articles (acknowledged journals) per researcher	1	0,13	0,18	0,24	0,44
1.2	Scholarly books published	15	0	2	3	10
1.3	Scholarly book chapters published	54	4	13	15	22
1.4	HSRC research seminars convened	40	8	12	10	10
1.5	HSRC Review publications produced	4	1	1	1	1
<b>Objective 1B: Informing effective formulation of government policy</b>						
1.6	Policy briefs produced and published	10	0	4	0	6
1.7	Public dialogues on poverty and inequality hosted	4	0	1	1	2
<b>Objective 1C: Promoting excellence, reach and impact of publications</b>						
1.8	Number of peer-reviewed journal articles by HSRC author or authors with at least 10 citations listed within 5 years from publication	10	n/a	n/a	n/a	10
<b>2 D: Developing collaborative networks and applied research</b>						
<b>Objective 2A: Supporting collaborative research networks</b>						

No	Goals, objectives and performance indicators	Annual targets	Quarterly performance targets			
		2019/20	Q1	Q2	Q3	Q4
2.1	Historically disadvantaged institutions (HDIs) with which the HSRC has actively collaborated during the reporting period	6	2	6	6	6
Objective 2B: Promoting an African research agenda						
2.2	African research fellows hosted by the HSRC	10	6	8	10	10
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	0	1	3	6
3 E: Enhancing research skills and public awareness						
Objective 3A: Attracting skills for the development of a skilled and capable workforce						
3.1	Master's level interns	35	24	28	31	35
3.2	PhD level interns	45	28	35	39	45
3.3	Post-doctoral fellows	20	7	12	17	20
Objective 3B: Building research capacity for the human sciences						
3.4	Completed Master's level research internship	7	1	0	1	5
3.5	Completed PhD level research internship	8	0	2	0	6
Objective 3C: Raising awareness of opportunities and contributions in social science and humanities research						
3.6	Training academies hosted ("winter/summer schools" or methodology workshops)	2	0	1	0	1
4 P: Preserving and sharing data for further analysis						
Objective 4A: Preserving research data and artefacts						
4.1	Preserved datasets	10	1	0	5	4
Objective 4B: Managing and promoting secondary use of research data						
4.2	Unique downloads of curated data sets	496	n/a	n/a	n/a	496
5 T: Institutional transformation						
Objective 5A: Ensuring ongoing transformation at the level of senior researchers						
5.1	Percentage of South African senior researchers who are African <sup>1</sup>	56%	56%	56%	56%	56%
5.2	Percentage senior of researchers who are female	50%	50%	50%	50%	50%
6 S: Financial sustainability						
Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income						
6.1	Extra-parliamentary income as percentage of total income	48%	48%	48%	48%	48%
6.2	Multi-year grants	56%	56%	56%	56%	56%

1 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.

# 05 programme and sub-programme plans



The HSRC's main focus is to conduct large-scale, policy-relevant, social-scientific projects for public-sector users, non-governmental organisations and international development agencies in partnership with researchers globally, but specifically in Africa.

05

To implement its strategic plan, the following strategic objective annual targets have been allocated to the two main HSRC programmes units whose details are presented in the following sub-sections:

- Programme 1: Administration
- Programme 2: Research, Development & Innovation (RDI)

## 5.1

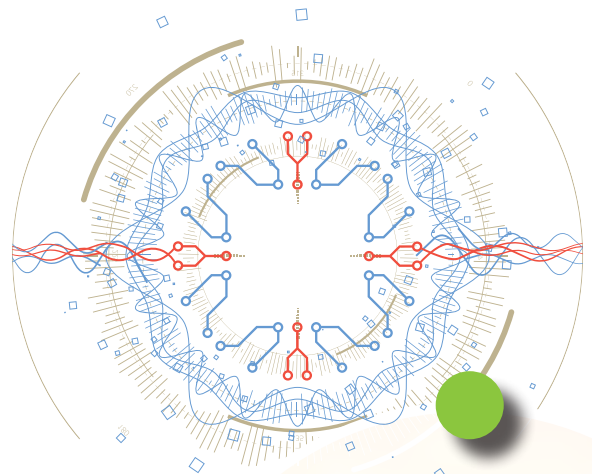
### Programme 1: Administration

**Purpose »** This programme is responsible for the strategic direction and overall management of the HSRC. It provides centralised shared services to ensure that all activities of the HSRC comply with good governance principles, applicable legislation and funder requirements while ensuring that the strategic direction of the institution is aligned with the mandated objectives and government priorities.

The Administration Programme is implemented by administrative and strategic shared services units reporting to the CEO and Group Executive: Shared Services (designated CFO).

Units entrusted with good governance, strategic planning and oversight, and external funding relations are placed in the Office of the CEO. These include the Board Secretariat, Internal Audit, Planning, Monitoring and Evaluation, Corporate Communications and Stakeholder Relationships, and Business Development and International Liaison (BDIL).

The Finance Directorate, Supply Chain Management (SCM), Enterprise Risk Management (ERM), Human Resources (HR), Information Technology (IT), Legal Services, and Buildings and Maintenance-related services reside within the office of the Group Executive: Shared Services (designated CFO).



## 5.1.1 Strategic objective annual targets for 2019/20 to 2021/22

Detailed strategic objectives and performance indicators are presented in Annexure B of this document. Table 4 below presents strategic objective performance targets for the Administration Programme.

**TABLE 4: STRATEGIC PERFORMANCE INDICATORS AND TARGETS FOR THE HSRC'S ADMINISTRATION PROGRAMME**

● Cumulative year-end    
 ● Cumulative year to date    
 ● Non-cumulative

No	Strategic objective and performance indicator titles	5-year Strategic Plan Target	Audited performance			Targets	Medium-term targets		
			2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
1 A: Advancing knowledge and scientific excellence									
Objective 1B: Informing effective formulation of government policy									
1.7	Public dialogues on poverty and inequality hosted	6	New	4	4	4	4	6	6
Objective 1C: Promoting excellence, reach and impact of publications									
1.8	Number of peer-reviewed journal articles by HSRC authors with at least 10 citations listed within 5 years from publication	12	New	Indicator defined	187	8	10	10	12
3 E: Enhancing research skills and public awareness									
Objective 3A: Attracting skills for the development of a skilled and capable workforce									
3.1	Master's level interns	35	43	52	45	35	35	35	35
3.2	PhD level interns	45	53	52	55	45	45	45	45
3.3	Post-doctoral fellows	20	28	27	23	20	20	20	20
Objective 3C: Raising awareness of opportunities and contributions in social science and humanities research									
3.6	Training academies hosted ("winter/summer schools" or methodology workshops)	2	New	1	1	2	2	2	2
4 P: Preserving and sharing data for further analysis									
Objective 4A: Preserving research data and artefacts									
4.1	Preserved datasets	10	23	23	24	10	10	10	10
Objective 4B: Managing and promoting secondary use of research data									
4.2	The number of unique downloads of HSRC-curated data sets during the period under review	546	New	Setting parameters	507	472	496	520	546

## 5.1.2 Strategic objective quarterly targets – Administration Programme

TABLE 5: ADMINISTRATION PROGRAMME QUARTERLY TARGETS

● Cumulative year-end ● Cumulative year to date ● Non-cumulative (Annual)

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme	Programme	Programme	Programme
		2019/20		Q1	Q2	Q3	Q4
1	A: Advancing knowledge and scientific excellence						
	Objective 1C: Promoting excellence, reach and impact of publications						
1.7	Public dialogues on poverty and inequality hosted	4	4	0	1	1	2
1.8	Peer-reviewed journal articles authored or co-authored by HSRC researchers with at least 10 citations listed, within 5 years following publication	10	10	n/a	n/a	n/a	10
3	E: Enhancing research skills and public awareness						
	Objective 3A: Attracting skills for the development of a skilled and capable workforce						
3.1	Master's level interns	35	35	24	28	31	35
3.2	PhD level interns	45	45	28	35	39	45
3.3	Post-doctoral fellows	20	20	7	12	17	20
	Objective 3C: Raising awareness of opportunities and contributions in social science and humanities research						
3.6	Training academies hosted ("winter/summer schools" or methodology workshops)	2	2	0	1	0	1
4	P: Preserving and sharing data for further analysis						
	Objective 4A: Preserving research data and artefacts						
4.1	Preserved datasets	10	10	1	0	5	4
	Objective 4B: Managing and promoting secondary use of research data						
4.2	The number of unique downloads of HSRC curated data sets during the period under review	496	496	n/a	n/a	n/a	496

## 5.1.3 Reconciling performance targets with the budget and MTEF: Expenditure estimates

TABLE 6: EXPENDITURE ESTIMATES – ADMINISTRATION PROGRAMME

Programme	Actual/Audited outcomes			Adjusted appropriation		Medium-term expenditure estimate	
	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
R thousand							
1. Administration	165 408	168 648	165 920	208 215	214 184	226 301	238 748
<b>Total</b>	<b>165 408</b>	<b>168 648</b>	<b>165 920</b>	<b>208 215</b>	<b>214 184</b>	<b>226 301</b>	<b>238 748</b>
Economic classification							
Current payments	165 408	168 648	165 920	194 292	199 572	210 478	222 054
Compensation of employees	89 242	82 544	82 617	101 976	107 098	112 839	119 045
Goods and services	70 310	78 769	72 465	83 665	83 360	87 964	92 802
Agency and support/outsourced services	5 480	6 485	4 704	5 500	5 792	6 110	6 446
Audit costs		5 736	4 073	4 250	4 475	4 721	4 981
Bank charges		370	536	560	590	622	656
Communication	10 415	11 183	13 085	14 393	13 456	14 196	14 977
Computer services							
Contractors	11 370	11 420	13 046	14 351	15 111	15 943	16 819
Inventory	5 798	5 136	3 999	5 508	4 399	4 641	4 897
Lease payments	7 726	8 158	10 751	11 826	12 453	13 138	13 860
Legal fees		385	269	400	421	444	469
Non-life Insurance		2 468	2 326	2 559	2 694	2 842	2 999
Repairs and maintenance	11 870	15 873	13 046	14 131	14 880	15 698	16 562
Training and staff development	1 530	3 054	1 173	2 081	2 192	2 312	2 439
Travel and subsistence	4 445	6 436	3 819	5 763	4 103	4 666	4 922
Other costs	11 676	2 063	1 278	2 344	2 794	2 630	2 775
Depreciation and interest	5 856	7 335	10 838	8 651	9 114	9 675	10 207
Depreciation	4 638	5 585	9 369	7 301	7 688	8 111	8 557
Interest and fair valuations	1 218	1 750	1 469	1 350	1 426	1 564	1 650
Transfers and subsidies to:	-	-	-	13 923	14 612	15 823	16 694
Non-profit institutions	-	-	-	13 923	14 612	15 823	16 694
<b>Total</b>	<b>165 407</b>	<b>168 648</b>	<b>165 920</b>	<b>208 215</b>	<b>214 184</b>	<b>226 301</b>	<b>238 748</b>



## Performance and expenditure trends

Budget allocations have impacted investment in capital items, which has been limited. No major investments in buildings or equipment will be possible unless additional income is obtained.

### 5.1.4 Risks and the mitigation thereof

#### Risks

There is pressure on public entities to reduce administrative costs. In the HSRC, there is also a commitment to reduce the number of administrative support positions in relation to the number of research positions. If this process is not managed carefully, there is a risk that critical skills may be lost due to staff turnover.

#### Mitigation

Plans for job sharing, succession planning and the introduction of electronic workflow and information management systems will receive attention in coming years, if sufficient funding for such initiatives can be obtained and earmarked.

## 5.2

### Programme 2: Research, Development and Innovation

**Purpose »** This programme facilitates knowledge generation through research and development in key priority areas, and it informs government’s policy/planning, monitoring and evaluation in national priority areas. It also facilitates the preservation of data sets and assesses the impact of its research.

#### 5.2.1 Strategic objective annual targets for 2019/20 to 2021/22

Table 7 below presents the strategic objective performance targets for the Research, Development and Innovation programme.

TABLE 7: STRATEGIC OBJECTIVE ANNUAL TARGETS – RESEARCH, DEVELOPMENT AND INNOVATION

● Cumulative year-end      ● Cumulative year to date      ● Non-cumulative

Strategic objective and performance No	Strategic Plan Target	Audited performance			Targets	Medium-term targets			
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	
1 A: Advancing knowledge and scientific excellence									
Objective 1A: Disseminating knowledge through publications and public dialogue									
1.1	Peer-reviewed journal articles per HSRC researcher	1.2	New	1.83	1.10	0.9	1	1.1	1.2
1.2	Scholarly books published	15	11	16	16	14	15	14	15
1.3	Scholarly book chapters published	55	53	64	42	54	54	55	55
1.4	Number of HSRC humanities and social sciences research seminars hosted	40	62	60	69	40	40	40	40

No	Strategic objective and performance indicator	5-year Strategic Plan Target	Audited performance			Targets	Medium-term targets		
			2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
1.5	The number of <i>HSRC Review</i> publications produced	4	5	4	4	4	4	4	4
Objective 1B: Informing effective formulation of government policy									
1.6	The number of policy briefs produced and published	10	16	25	19	10	10	10	10
2 D: Developing collaborative networks and applied research									
Objective 2A: Supporting collaborative research networks									
2.1	Collaborative activities with universities, particularly HDIs and other science councils	7	New	New	6	5	6	6	7
Objective 2B: Promoting an African research agenda									
2.2	African research fellows	10	6	6	7	10	10	10	10
2.3	Peer-reviewed journal articles co-published with researchers residing outside South Africa, on the African continent	14	New	13	18	8	10	10	14
3 E: Enhancing research skills and public awareness									
Objective 3B: Building research capacity for the human sciences									
3.4	Completed Master's level internships	7	10	10	7	6	7	7	7
3.5	Completed PhD level Research internships	8	0	6	0	8	8	8	8
5 T: Institutional transformation									
Objective 5A: Ensuring ongoing transformation at the level of senior researchers									
5.1	Senior researchers who are African	56%	45%	41.25%	33.33%	56%	56%	56%	56%
5.2	Senior researchers who are female	50%	30%	37.5%	42.31%	50%	50%	50%	50%
6 S: Financial sustainability									
Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income									
6.1	Extra-parliamentary income	48%	42%	44.62%	52.03%	48%	48%	48%	48%
6.2	Multi-year grants	56%	64%	49.43%	39.53%	56%	56%	56%	56%

## Entry-points for utilising the demographic dividend in Africa: An examination of the dynamics of youth participation in local and national socio-economic transformation processes

A 16-member team, including interns, conducted a research fieldwork study focusing on the dynamics of youth participation in the local and national socio-economic transformation process in Zambia, Kenya, Tanzania, Ghana, Cote d'Ivoire and Botswana. The project

endeavoured to generate knowledge required to improve youth policy and programmatic interventions in ways that enable Africa to reap a bigger demographic dividend. The research was funded through the annual parliamentary grant.



### 5.2.2 Sub-programmes in research development and innovation

#### (a) Africa Institute of South Africa (AISA)

AISA undertakes policy-relevant applied and comparative research that focuses on the poverty-related development challenges and opportunities facing the African continent. While several programmes within the HSRC are also carrying out research in various African countries, AISA is officially recognised as the main arm of the HSRC that does research on the continent. Thus, AISA collaborates with other research institutions, various actors and key stakeholders on the continent to provide research-based policy advice to African multilateral organisations and governments on public affairs. The work of the institute makes a contribution towards addressing the many dimensions of the study of Africa in Africa and reversing the continent's global marginality in terms of knowledge production. AISA's researchers pay special attention to issues of poverty, inequality, socio-economic exclusion, conflict and peace in Africa.

As a multidisciplinary research institute undertaking applied social science research in South Africa and the rest of the African continent, researchers in AISA focus on topical development issues of the day to generate evidence-based knowledge and recommendations for policy and practice. These are intended to assist policy makers and practitioners in making informed decisions to address Africa's development challenges. Drawing on a broad range of analytical frameworks and well-established research methodologies, AISA is strategically positioned to contribute to the resolution of key national and continental development challenges and priorities as part of its strategic research. Thus, the outputs from AISA's research projects are intended to contribute directly to national and continental policy processes. They are also of significant value to academics and practitioners.

AISA flagship activities include the annual Africa Young Graduate Scholars (AYGS) Conference and African Unity and Renaissance (AUR) Conference.



## How does the Africa Institute of South Africa contribute?

- NDP Chapter 7: Positioning South Africa in the world
- MTSF Outcome 11: Create a better South Africa and contribute to a better Africa and a better world

TABLE 8: STRATEGIC OBJECTIVE QUARTERLY TARGETS: AISA

		<span style="color: orange;">●</span> Cumulative year-end	<span style="color: blue;">●</span> Cumulative year to date	<span style="color: grey;">●</span> Non-cumulative				
No	Goals, objectives and performance indicators	Annual targets HSRC	Annual targets Programme	Quarterly performance targets Programme: AISA				
		2019/20		Q1	Q2	Q3	Q4	
1	A: Advancing knowledge and scientific excellence							
	Objective 1A: Disseminating knowledge through publications and public dialogue							
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per researcher	1	1	0,25	0,25	0,25	0,25	
1.2	Number of recognised books with at least one HSRC (AISA) researcher listed as author or co-author, published during the period under review	15	2	0	1	0	1	
1.3	Number of recognised book chapters with at least one HSRC (AISA) researcher listed as author or co-author, published during the period under review	54	6	0	2	2	2	
	Objective 1B: Informing effective formulation of government policy							
1.6	The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	10	1	0	0	0	1	
2	D: Developing collaborative networks and applied research							
	Objective 2A: Supporting collaborative research networks							
2.1	Number of HDIs with which the HSRC (AISA) has actively collaborated during the reporting period	6	1	0	1	1	1	
	Objective 2B: Promoting an African research agenda							
2.2	African research fellows	10	2	0	1	2	2	
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	3	0	1	1	1	
3	E: Enhancing research skills and public awareness							

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: AISA			
		2019/20		Q1	Q2	Q3	Q4
Objective 3B: Building research capacity for the human sciences							
3.1	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	35	4	4	4	4	4
3.2	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	45	5	4	5	5	5
3.3	The number of post-doctoral fellows appointed at the HSRC	20	2	0	1	1	2
3.4	Completed Master's level research internships	7	0	0	0	0	0
3.5	Completed PhD level research internships	8	1	0	0	0	1
4 P: Preserving and sharing data for further analysis							
Objective 4A: Preserving research data and artefacts							
4.1	Preserved datasets	10	0	0	0	0	0
5 T: Institutional transformation							
Objective 5A: Ensuring ongoing transformation at the level of senior researchers							
5.1	Percentage of South African senior researchers who are African <sup>2</sup>	56%	56%	56%	56%	56%	56%
5.2	Percentage of senior researchers who are female	50%	50%	50%	50%	50%	50%
6 S: Financial sustainability							
Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income							
6.1	Extra-parliamentary income as percentage of total income	48%	48%	48%	48%	48%	48%
6.2	Multi-year grants	56%	56%	56%	56%	56%	56%

2 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.

## The future of state-owned enterprises in South Africa: Why research and development matters



In 2016, the DST commissioned CeSTII to produce a research report to gauge the contribution of state-owned enterprises (SOEs) to R&D in the South African economy. The targeted audience and users of the research included sector stakeholders (i.e. SOEs and analysts) and policy makers from across the economic cluster. The research project was titled “Baseline report on research and development trends in state-owned enterprises”. Led by CeSTII, a draft of the research was first presented at the DST to research users in February 2017. On 13 September 2017, a workshop was organised to validate the study’s findings, attended by the DST, the Department of Public Enterprises and representatives from the research and technology development

units of key SOEs. In parallel, the DST used the research as the foundation to draft a Cabinet Memorandum, and CeSTII prepared an HSRC Policy Brief for wider dissemination.

In an aide memoire summarising proceedings of the September 2017 validation workshop, the chief director for science and technology investment at the DST wrote: “There is a commitment by the DST, Department of Public Enterprises and SOEs that attended the workshop to work together to understand the R&D trends in SOEs and how that is contributing to national development. The analysis and discussion thus far point to an important narrative about SOEs’ innovation capability as enablers for strategic competitiveness. This is positive.”


project

### (b) Centre for Science, Technology and Innovation Indicators (CeSTII)

The Centre for Science, Technology and Innovation Indicators (CeSTII) was established in 2002 to serve as a base for the production of science, technology and innovation indicators in South Africa, through a formal memorandum of understanding with the DST. The centre has established itself as a leader in the field of national surveys that underpin benchmarking, planning and reporting on R&D, innovation and technology transfer. CeSTII adapts best practice international methodologies for the measurement of science, technology and innovation (STI) indicators. Working with key African partners, it continuously seeks ways to improve the quality of measurement and to capture STI activities that are unique to developing countries. The active role that CeSTII plays in the development of global knowledge on STI indicators in the Organisation for Economic Co-operation and Development (OECD), UNESCO and the New Partnership for Africa’s Development’s African Science, Technology and Innovation Indicators Initiative (NEPAD-ASTII) is important in building the internationally recognised South African expertise in this field.

The DST subsequently expanded the mandate to include the development of new indicators, enhance and maintain statistical quality, and conduct research and analysis in the measurement of Science, Technology and Innovation (STI).

The new strategic vision developed by the team therefore proposes that:



CeSTII seeks to be a leading centre for the measurement of science, technology and innovation, with a growing national, continental and global footprint, impact and reputation rooted in high-quality research evidence, strong networks of researchers, policy makers and practitioners, and the deployment of cutting-edge research technologies that improve the quality and quantity of output. The work of CeSTII will be supported by an ethos of teamwork and inclusive diversity, shared learning, creativity, and a commitment to sustainability.

For the next five years, CeSTII's work is guided by five broad objectives:

- 1 Build the institutional capabilities of CeSTII researchers to achieve the expanded DST mandate.
- 2 Undertake statistical surveys that support measurement and analysis of STI indicators in South Africa to national and international quality standards.
- 3 Contribute to and deepen analysis of STI indicators in relation to challenges of economic growth and inclusive development, through scientific publications, data-sharing, technical briefs and international benchmarking studies.
- 4 Contribute to data sharing, knowledge sharing and exchange with national, regional and global STI measurement and policy communities and other actors in the national system of innovation.
- 5 Lead a new research agenda to inform the design of measures and indicators that can support and promote a strategy of innovation for inclusive development, in line with the HSRC's organisational research focus and the DST's draft White Paper, and towards national development goals.

In order to achieve these objectives, CeSTII's projects and activities will be organised into distinct projects around three broad research themes:

- Measuring R&D capacity in South Africa
- Measuring innovation capacity in South African firms
- New indicator development.

In addition, there is a set of cross-cutting collaboration, capacity building and network activities to support the work in these three research themes through dissemination, advocacy, communication and visibility. For the 2019/20 year, the main emphasis and effort will remain on the first two themes of Measuring R&D and Innovation capacity to consolidate and deepen the core contribution of CeSTII. Activities under the New indicator development theme will include case studies, pilots and the design of new surveys, and building collaborative research networks towards new measures of STI.



## How does the Centre for Science, Technology and Innovation Indicators contribute?

- NDP Chapter 9: Improving education, training and innovation
- NDP Chapter 13: Building a capable and developmental state
- MTSF Outcome 4: Decent employment through inclusive economic growth

TABLE 9: STRATEGIC OBJECTIVE QUARTERLY TARGETS: CESTII

● Cumulative year-end

● Cumulative year to date

● Non-cumulative

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: CeSTII			
		2019/20		Q1	Q2	Q3	Q4
1	A: Advancing knowledge and scientific excellence						
	Objective 1A: Disseminating knowledge through publications and public dialogue						
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per researcher	1	1	0,10	0,30	0,20	0,40
1.2	Number of recognised books with at least one HSRC (CeSTII) researcher listed as author or co-author, published during the period under review	15	1	0	0	0	1
1.3	Number of recognised book chapters with at least one HSRC (CeSTII) researcher listed as author or co-author, published during the period under review	54	5	0	1	1	3
	Objective 1B: Informing effective formulation of government policy						
1.6	The number of policy briefs produced by HSRC (CeSTII) researchers and published by the HSRC during the period under review	10	2	0	1	0	1
2	D: Developing collaborative networks and applied research						
	Objective 2A: Supporting collaborative research networks						
2.1	Number of HDIs with which the HSRC has actively collaborated during the reporting period	6	1	0	0	1	1
	Objective 2B: Promoting an African research agenda						
2.2	African research fellows	10	1	1	1	1	1



No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: CeSTII			
		2019/20		Q1	Q2	Q3	Q4
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	1	0	0	0	1
<b>3 E: Enhancing research skills and public awareness</b>							
Objective 3B: Building research capacity for the human sciences							
3.1	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	35	4	2	4	4	4
3.2	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	45	5	4	5	5	5
3.3	The number of post-doctoral fellows appointed at the HSRC	20	2	1	1	2	2
3.4	Completed Master's level research internships	7	1	0	0	0	1
3.5	Completed PhD level research internships	8	1	0	0	0	1
<b>4 P: Preserving and sharing data for further analysis</b>							
Objective 4A: Preserving research data and artefacts							
4.1	Preserved datasets	10	2	1	0	1	0
<b>5 T: Institutional transformation</b>							
Objective 5A: Ensuring ongoing transformation at the level of senior researchers							
5.1	Percentage of South African senior researchers who are African <sup>3</sup>	56%	56%	56%	56%	56%	56%
5.2	Percentage of senior researchers who are female	50%	50%	50%	50%	50%	50%
<b>6 S: Financial sustainability</b>							
Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income							
6.1	Extra-parliamentary income as percentage of total income	48%	N/A	-	-	-	-
6.2	Multi-year grants	56%	N/A	-	-	-	-

3 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.



## The Vuwani Project: It is about making communities part of the change

The HSRC released the results of its exploratory study in Vuwani titled “We didn’t ask for the municipality: Unintended consequences of municipal boundary re-determination: Vuwani at a glance” at a seminar on 20 March 2018 which looked at the drivers of violence and conflict that erupted over municipal boundaries. The community-led protests followed the Municipal Demarcation Board’s 2016 re-determination process, which led to the recommendation that the Malamulele and Vuwani communities be merged into Lim 345 municipality. This recommendation came within the context of the mandate of the MDB, as provided for in the legislation governing municipal redetermination. The study yielded many lessons, which could assist the board to improve its processes in order to ensure an objective discourse on

municipal boundary redetermination and its processes.

The study also yielded important lessons for South Africa’s public engagement and consultation model, foremost among which is that this cannot merely be a compliance exercise. The process must be authentic and demonstrate a willingness to hear what communities are saying about what is important to them. This ethos and sentiment should be at the heart of our commitment to public service for better lives.

The report received significant media attention on various platforms, including SABC KZN, Channel Africa, eNCA, SAFM Morning Talk, SAFM/The Talk Shop, ANN7, Enca, PowerFM, Radio 702, Business Day, Pretoria News, Mercury, Sunday Independent and the Star.

project

### c) Democracy, governance and service delivery

Democracy, Governance and Service Delivery (DGSD) is a knowledge hub for high-quality, independent, strategic and relevant research addressing national, continental and international issues of democracy and development; governance and service delivery; social cohesion; poverty, inequality and social justice. In 2016, the BRICS Research Centre joined DGSD as a research unit. This has consolidated a focus on global governance.

In the main, DGSD research aims to propose strategic interventions using qualitative and quantitative methodologies that assist policy makers in making evidence-based choices and decisions in response to political and socio-economic challenges.

As a knowledge hub for high-quality, strategic and independent inter-disciplinary research, DGSD is a key national, regional and global resource. Work produced and outputs generated are of value to national, provincial and local government, and to the wider academic, civil society and policy development community. By conducting comparative research, South African issues are addressed within a continental and global context, including through the work of the BRICS Research Centre.

DGSD flagship activities include the State of the Nation publication, the South African Social Attitudes Survey (SASAS) and the Transformative Governance Index project.



## How does Democracy, Governance and Service Delivery contribute?

- NDP Chapter 7: Positioning South Africa in the world
- NDP Chapter 13: Building a capable and developmental state
- MTSF Outcome 9: Responsive, accountable, effective and efficient local government
- MTSF Outcome 10: Protect and enhance our environmental assets and natural resources through its participation in the Indian Ocean Rim Association (IORA)
- MTSF Outcome 11: Create a better South Africa and contribute to a better Africa and a better world, also via the BRICS Research Centre
- MTSF Outcome 12: An efficient, effective and development-oriented public service

# 05

TABLE 10: STRATEGIC OBJECTIVE QUARTERLY TARGETS: DGSD

● Cumulative year-end

● Cumulative year to date

● Non-cumulative

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: DGSD			
		2019/20		Q1	Q2	Q3	Q4
1	A: Advancing knowledge and scientific excellence						
	Objective 1A: Disseminating knowledge through publications and public dialogue						
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per researcher	1	1	0,10	0,10	0,30	0,50
1.2	Number of recognised books with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	15	2	0	0	0	2
1.3	Number of recognised book chapters with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	54	7	1	1	1	4
	Objective 1B: Informing effective formulation of government policy						
1.6	The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	10	1	0	0	0	1
2	D: Developing collaborative networks and applied research						
	Objective 2A: Supporting collaborative research networks						
2.1	Number of HDIs with which the HSRC has actively collaborated during the reporting period	6	1	1	1	1	1
	Objective 2B: Promoting an African research agenda						

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: DGSD			
		2019/20		Q1	Q2	Q3	Q4
2.2	African research fellows	10	1	1	1	1	1
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	1	0	0	0	1
<b>3 E: Enhancing research skills and public awareness</b>							
Objective 3B: Building research capacity for the human sciences							
3.1	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	35	3	0	0	1	3
3.2	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	45	5	2	3	4	5
3.3	The number of post-doctoral fellows appointed at the HSRC	20	2	0	0	1	2
3.4	Completed Master's level research internships	7	1	0	0	0	1
3.5	Completed PhD level research internships	8	1	0	0	0	1
<b>4 P: Preserving and sharing data for further analysis</b>							
Objective 4A: Preserving research data and artefacts							
4.1	Preserved datasets	10	2	0	0	1	1
<b>5 T: Institutional transformation</b>							
Objective 5A: Ensuring ongoing transformation at the level of senior researchers							
5.1	Percentage of South African senior researchers who are African <sup>4</sup>	56%	56%	56%	56%	56%	56%
5.2	Percentage of senior researchers who are female	50%	50%	50%	50%	50%	50%
<b>6 S: Financial sustainability</b>							
Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income							
6.1	Extra-parliamentary income as percentage of total income	48%	48%	48%	48%	48%	48%
6.2	Multi-year grants	56%	56%	56%	56%	56%	56%

4 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.

## Rural Innovation Assessment Toolbox (RIAT), 2012-2018



Innovation is important in rural communities to drive socio-economic development. Municipalities can play a vital role, but do not know how to go about this. The DST asked the HSRC to design and implement tools to help them to undertake innovation assessments. The RIAT techniques were derived from leading theories and concepts in science, technology and innovation, particularly:

- The social dynamics of rural innovation systems
- The spatial determinants of innovation
- Innovation value chains.

Mixed research methods were used, blending participatory facilitation, observation, key informant interviews and rural enterprise surveys. Pilot testing was undertaken in 16 municipalities identified as being in socio-economic distress.

The HSRC undertook the research in collaboration with Walter Sisulu University; University of Limpopo; North-West University, the University of KwaZulu-Natal and the University of Venda. The NACI roundtable report on Composite Indicators for SA Innovation Scorecard (21 November 2016) discussed RIAT. In addition, a DST Workshop on RIAT was held for municipal officials in Pretoria in September 2017.

### (d) Economic performance and development

It is the mission of Economic Performance and Development (EPD) to generate robust knowledge, evidence and policy ideas through rigorous research for lasting solutions to the pressing economic and developmental challenges of unemployment, inequality and poverty facing South Africa and the rest of Africa. Its vision is to contribute to the creation of a productive, inclusive and resilient country and continent through broad-based economic development and full employment. EPD's research contributes to making a difference to the well-being of people and communities.

To achieve its objectives, EPD's work is structured around four themes:

- Rural development and transitions
- Spatial economy
- Place making and development
- Employment creation and inclusive development.

EPD is currently part of an international consortium called the Centre for Sustainable, Healthy and Learning Cities and Neighbourhoods (CSHLC) which has just secured a multi-million pound grant from the UK's Global Challenges Research Fund (GCRF). Over the next four years, the process of urban economic and social change will be looked at by the HSRC and other research partners located in China, Tanzania, Rwanda, India, Bangladesh and the Philippines. It is anticipated that the centre will strengthen capacity among urban researchers, government officials and policy makers in developing countries. The centre will also conduct comparative studies of urbanisation and urban neighbourhoods to understand and respond to the challenges posed by large-scale rural to urban migration.



## How does Economic and Performance Development contribute?

- NDP Chapter 3: Economy and unemployment
- NDP Chapter 8: Transforming human settlements
- MTSF Outcome 4: Decent employment through inclusive economic growth
- MTSF Outcome 8: Sustainable human settlements and improved quality of household life

TABLE 11: STRATEGIC OBJECTIVE QUARTERLY TARGETS: EPD

● Cumulative year-end

● Cumulative year to date

● Non-cumulative

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: EPD			
		2019/20		Q1	Q2	Q3	Q4
1	A: Advancing knowledge and scientific excellence						
Objective 1A: Disseminating knowledge through publications and public dialogue							
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per researcher	1	1	0,20	0,20	0,30	0,30
1.2	Number of recognised books with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	15	2	0	0	1	1
1.3	Number of recognised book chapters with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	54	10	0	3	3	4
Objective 1B: Informing effective formulation of government policy							
1.6	The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	10	2	0	1	0	1
2	D: Developing collaborative networks and applied research						
Objective 2A: Supporting collaborative research networks							
2.1	Number of HDIs with which the HSRC has actively collaborated during the reporting period	6	1	1	1	1	1
Objective 2B: Promoting an African research agenda							
2.2	African research fellows	10	1	1	1	1	1
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	1	0	0	1	0

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: EPD			
		2019/20		Q1	Q2	Q3	Q4
3	E: Enhancing research skills and public awareness						
	Objective 3B: Building research capacity for the human sciences						
3.1	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	35	4	4	4	4	4
3.2	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	45	5	3	3	3	5
3.3	The number of post-doctoral fellows appointed at the HSRC	20	3	3	3	3	3
3.4	Completed Master's level research internships	7	1	0	0	1	0
3.5	Completed PhD level research internships	8	0	0	0	0	0
4	P: Preserving and sharing data for further analysis						
	Objective 4A: Preserving research data and artefacts						
4.1	Preserved datasets	10	1	0	0	0	1
5	T: Institutional transformation						
	Objective 5A: Ensuring ongoing transformation at the level of senior researchers						
5.1	Percentage of South African senior researchers who are African <sup>5</sup>	56%	56%	56%	56%	56%	56%
5.2	Percentage of senior researchers who are female	50%	50%	50%	50%	50%	50%
6	S: Financial sustainability						
	Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income						
6.1	Extra-parliamentary income as percentage of total income	48%	48%	48%	48%	48%	48%
6.2	Multi-year grants	56%	56%	56%	56%	56%	56%

<sup>5</sup> This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.

### (e) Education and skills development

The Education and Skills Development (ESD) programme promotes research on individual, social and economic development. The education and skills development research is located in the developmental context of South Africa, and the prism of poverty and inequality informs the programme's research and is an explanatory variable for its studies.

ESD's research focuses on national priorities related to securing improved quality of basic education for all, sustaining a skilled and capable workforce to support an inclusive growth path, and understanding the role of education in transformation, social cohesion and justice. The urgency of attaining these ambitions has a broader context. The National Development Plan (NDP) observes that the South African economy is caught in a "low-growth middle-income trap" and must transform towards a diversified and dynamic economy capable of gaining global market share. This will require substantial investment in schooling and education, skills development and innovation, including innovation for inclusive development (NDP Chapter 3 and Chapter 9) which are key research foci in the ESD programme. In addition, this coming year new research questions will be developed that will include:



**Young people and the future of work:** What is the future of work, and how can we understand the meaning and implications of rapid changes in the domains of automation, digitalisation and biotechnology? In addition, what meaning do the current generation of young people attribute to work, and how do they see the future? How should the further and post-school education system change to respond? How might we better help young people face a world of fast-paced technological advancement, and help them to make a successful transition into a new world of work?

**Higher education and development:** What role is there for higher education institutions (HEIs) in economic development and social transformation, including the development of new theory from the South? How best should teaching and learning, curricula, research and institutional cultures in HEIs be transformed or 'decolonised'? What role is there for Technical and Vocational Education and Training (TVET) colleges, and why are young people not attracted to these institutions? What can we learn from student activism over the past years, and how might this energy best be harnessed to bring about equality and justice for the future?

**Education for social justice:** There is a growing call for 'education for social transformation' in the Sustainable Development Goals, and an urgent need for anti-racism and citizenship education in South Africa. What should this look like in schools and higher education institutions that are already struggling to deliver basic content and ensure equitable pass rates? What can be learned from moral and human rights education approaches? How can education about past injustices, social cohesion and education for equality best be achieved? What role is there for dialogue in education for social justice, and how might university students contribute to helping learners at schools navigate the terrain of anti-racism, transformation and equality?

The Labour Market Intelligence Partnership (LMIP) project and Trends in International Mathematics and Science Study (TIMSS) are ongoing flagship projects in the ESD programme.







## How does Education and Skills Development contribute?

- NDP Chapter 9: Improving education, training and innovation
- MTSF Outcome 1: Quality basic education:
  - Youth into Science Study (YISS)
  - Teacher Assessment Resource for Monitoring and Improving Instruction (TARMII)
  - Trends in International Mathematics and Science Study (TIMSS)
- MTSF Outcome 5: A skilled and capable workforce to support an inclusive growth path:
  - Labour Market Intelligence Partnership (LMIP) project
  - Assessment of Key Legislation on Skills Development

# 05



project

## Furthering the developmental imperative? An assessment of the past 20 years of education legislation and policy in South Africa.

The Education and Skills Development research programme conducted a policy review on behalf of the National Education Collaboration Trust, which set out observations from the past 20 years of education policy in South Africa. This report analysed and reflected on the impact of basic education policy and legislation in the country. In order to do so, it examined aspects of the policy framework that facilitate (affordances) and hinder (blind spots) the achievement of greater equity and quality in the education system. Through qualitative analysis of key pieces of government legislation and policy documents, which relate to all aspects of education, the following areas were examined: governance, resourcing, teachers, curriculum, assessment, inclusive education and rural education. We examined the intentions of the policies under review in reference to the degree to which they facilitate or hinder development and the pursuit of social justice.

From the assessment, it was concluded that the education system, from a policy point of view, is addressing

the base requirements of increasing access, expanding the system for early childhood development, developing a non-discriminatory curriculum and promoting gender equality. Areas of progress include the equitable distribution of resources and the standardisation of basic infrastructure for learning. In terms of blind spots, the policy framework has led to the creation of a bifurcated education system with poor-quality under-resourced schools on one hand and excellent quality well-resourced schools on the other. As a result, the framework has not been able to ensure equal opportunities for all learners or equal standards of quality education. This calls into question the extent to which learners' well-being and holistic education is being achieved.

In order to pursue a developmental and social justice imperative, the goals of the education system must shift. Through addressing the blind spots that have been identified, the move to a high-quality and excellence-driven system can be achieved.



TABLE 12: STRATEGIC OBJECTIVE QUARTERLY TARGETS: ESD

● Cumulative year-end ● Cumulative year to date ● Non-cumulative

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: ESD			
		2019/20		Q1	Q2	Q3	Q4
1	A: Advancing knowledge and scientific excellence						
	Objective 1A: Disseminating knowledge through publications and public dialogue						
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per researcher	1	1	0,20	0,20	0,20	0,40
1.2	Number of recognised books with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	15	3	0	0	1	2
1.3	Number of recognised book chapters with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	54	8	1	2	2	3
	Objective 1B: Informing effective formulation of government policy						
1.6	The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	10	1	0	1	0	0
2	D: Developing collaborative networks and applied research						
	Objective 2A: Supporting collaborative research networks						
2.1	Number of HDIs with which the HSRC has actively collaborated during the reporting period	6	1	1	1	1	1
	Objective 2B: Promoting an African research agenda						
2.2	African research fellows	10	1	1	1	1	1
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	1	0	0	0	1
3	E: Enhancing research skills and public awareness						
	Objective 3B: Building research capacity for the human sciences						
3.1	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	35	5	4	5	5	5
3.2	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	45	6	5	5	6	6
3.3	The number of post-doctoral fellows appointed at the HSRC	20	3	2	2	3	3
3.4	Completed Master's level research internships	7	1	0	0	0	1

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: ESD			
		2019/20		Q1	Q2	Q3	Q4
3.5	Completed PhD level research internships	8	1	0	1	0	0
4	P: Preserving and sharing data for further analysis						
	Objective 4A: Preserving research data and artefacts						
4.1	Preserved datasets	10	1	0	0	1	0
5	T: Institutional transformation						
	Objective 5A: Ensuring ongoing transformation at the level of senior researchers						
5.1	Percentage of South African senior researchers who are African <sup>6</sup>	56%	56%	56%	56%	56%	56%
5.2	Percentage of senior researchers who are female	50%	50%	50%	50%	50%	50%
6	S: Financial sustainability						
	Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income						
6.1	Extra-parliamentary income as percentage of total income	48%	48%	48%	48%	48%	48%
6.2	Multi-year grants	56%	56%	56%	56%	56%	56%

6 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.



## Amagugu parenting intervention – showing HIV-positive parents a way forward

The Amagugu intervention is a six-session home-based intervention, delivered by lay counsellors, which aims to increase parenting capacity to disclose their HIV status and to offer health education to their primary school aged children. The intervention includes information and activities on disclosure, health care engagement and custody planning. The Amagugu intervention addresses the currently overly biomedical approach to addressing HIV among parents in South Africa. It acknowledges that research is needed to inform intervention practice from the social science perspective, and that HIV is not merely a biomedical problem to be “treated” but is also a parenting challenge that very directly affects the family life of millions of South African parents.

This is the first trial testing a parental HIV disclosure intervention to show positive outcomes on the African continent. There is great potential to deliver Amagugu at a larger scale because this is an investment in an initiative that uses rigorous scientific methods and shows results. While the question remains whether Amagugu will show effectiveness at a larger scale, the national Department of Health now has robust evidence to support this additional investment in children and families, with a very good chance of success.

*Read more: Rochat, T.J., Stein, A., Cortina-Borja, M., Tanser, F., & Bland, R.M. (2017). The Amagugu intervention for disclosure of maternal HIV to uninfected primary school-aged children in South Africa: A randomised controlled trial. The Lancet HIV, 4(12), e566-e576.*

project

### (f) Human and social development

The multidisciplinary Human and Social Development (HSD) programme conducts social science and humanities research addressing the development of vulnerable individuals over their life course, and across generations living in the midst of communities and a transforming society. Its unique contribution is an enhanced understanding of how the intersections of identity markers (such as gender, race, class, geography and age) and broader social conditions (such as inequality, diversity and social cohesion) impact human and social development. The programme’s work acknowledges that to build a socially cohesive South African society requires an investigation of the country’s divided history, marginal sexualities, moral values, and views regarding justice, equity, restitution and reconciliation (including xenophobia). Its mix of disciplines and theoretical and methodological rigour, drawn from anthropology, cultural studies, demography, economics, education, psychology and sociology, allows it to produce evidence-based knowledge that helps to promote understanding and develop interventions for individual and social change.

The work of the HSD programme is driven by two themes, namely Children, Youth and Communities, and Families, Sexualities and Belonging. Each theme has three working groups:

Children, Youth and Communities:

- i Child and adolescent development in adversity
- ii Youth in the Global South
- iii Community-based research as intervention.

Families, Sexualities and Belonging:

- i Families and intergenerational relationships
- ii Sexualities and gender in Africa
- iii Belonging, citizenship and participation.

The HSD’s work contributes to national health objectives and outcomes, as is evidenced through the Amagugu Clinical Trial, a randomised controlled trial (RCT) to test the efficiency of an HIV disclosure intervention for HIV-infected parents of HIV uninfected primary school aged children.



## How does Human and Social Development contribute?

- NDP Chapter 15: Transforming society and uniting the country
- MTSF Outcome 14: A diverse, socially cohesive society with a common national identity

TABLE 13: STRATEGIC OBJECTIVE QUARTERLY TARGETS: HSD

● Cumulative year-end    
 ● Cumulative year to date    
 ● Non-cumulative

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: HSD			
		2019/20		Q1	Q2	Q3	Q4
1	A: Advancing knowledge and scientific excellence						
	Objective 1A: Disseminating knowledge through publications and public dialogue						
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per researcher	1	1	0	0	0	1
1.2	Number of recognised books with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	15	3	0	1	1	1
1.3	Number of recognised book chapters with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	54	8	2	2	2	2

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: HSD			
		2019/20		Q1	Q2	Q3	Q4
Objective 1B: Informing effective formulation of government policy							
1.6	The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	10	1	0	1	0	0
2 D: Developing collaborative networks and applied research							
Objective 2A: Supporting collaborative research networks							
2.1	Number of HDIs with which the HSRC has actively collaborated during the reporting period	6	1	0	1	1	1
Objective 2B: Promoting an African research agenda							
2.2	African research fellows	10	2	2	2	2	2
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	1	0	0	1	0
3 E: Enhancing research skills and public awareness							
Objective 3B: Building research capacity for the human sciences							
3.1	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	35	6	6	6	6	6
3.2	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	45	7	5	7	7	7
3.3	The number of post-doctoral fellows appointed at the HSRC	20	3	0	3	3	3
3.4	Completed Master's level research internships	7	1	1	0	0	0
3.5	Completed PhD level research internships	8	1	0	0	1	0
4 P: Preserving and sharing data for further analysis							
Objective 4A: Preserving research data and artefacts							
4.1	Preserved datasets	10	1	0	0	1	0
5 T: Institutional transformation							
Objective 5A: Ensuring ongoing transformation at the level of senior researchers							
5.1	Percentage of South African senior researchers who are African <sup>7</sup>	56%	56%	56%	56%	56%	56%
5.2	Percentage of senior researchers who are female	50%	50%	50%	50%	50%	50%

7 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: HSD			
		2019/20		Q1	Q2	Q3	Q4
6	S: Financial sustainability						
Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income							
6.1	Extra-parliamentary income as percentage of total income	48%	48%	48%	48%	48%	48%
6.2	Multi-year grants	56%	56%	56%	56%	56%	56%

## Highlights of RIA's research

The Research Use and Impact Assessment (RIA) focused on, among others:

- New research on Implementation Science & Data Analytics
- New research on Systems & Decision-Making
- Wave 3 of the Study on Global Ageing and Adult Health (SAGE) survey.

SAGE compiles comprehensive longitudinal information on the health and well-being of adult populations and the ageing process. SAGE, which is sponsored by the World Health

Organization, collects individual and household level data from nationally representative samples in six countries – China, Ghana, India, Mexico, Russian Federation and South Africa – with an emphasis on populations aged 50+ years. The SAGE Wave 3 project is being led by a team from the Policy & Research Impact thematic area in RIA. The team analyses data from the first three waves of SAGE, plans for subsequent waves of the SAGE survey, and anticipates that SAGE will be one of the anchor research projects in RIA over the medium term.

### (h) Research use and impact assessment

The Research Use and Impact Assessment (RIA) programme works across the research, data analysis, science communication, knowledge brokering, policy advice, and evaluation value chain. To work across this value chain the programme is organised into four sections: Science communication (including the Language Unit); Systems and decision-making; Implementation science and data analysis; and Policy and research impact.

The programme's activities are targeted at the interfaces between scientific knowledge, indigenous knowledge, scholarship, translation and interpretation, economic and social policy, and programme implementation. This entails working with various categories of state and non-state actors to:

- Develop a scientific ethos and the understanding of scientific evidence
- Conduct imaginative, timely and impactful projects
- Improve access to knowledge and its utilisation
- Catalyse policy learning, innovation and action.

TABLE 14: STRATEGIC OBJECTIVE QUARTERLY TARGETS: RIA

● Cumulative year-end    
 ● Cumulative year to date    
 ● Non-cumulative

No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: RIA			
		2019/20		Q1	Q2	Q3	Q4
1	A: Advancing knowledge and scientific excellence						
	Objective 1A: Disseminating knowledge through publications and public dialogue						
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per researcher	1	1	0	0,20	0,40	0,40
1.2	Number of recognised books with at least one HSRC (RIA) researcher listed as author or co-author, published during the period under review	15	1	0	0	0	1
1.3	Number of recognised book chapters with at least one HSRC (RIA) researcher listed as author or co-author, published during the period under review	54	5	0	1	2	2
1.4	Number of HSRC humanities and social sciences research seminars hosted during the period under review	40	40	8	12	10	10
1.5	Number of <i>HSRC Review</i> publications produced during the year under review.	4	4	1	1	1	1
	Objective 1B: Informing effective formulation of government policy						
1.6	The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	10	1	0	0	0	1
2	D: Developing collaborative networks and applied research						
	Objective 2A: Supporting collaborative research networks						
2.1	Number of HDIs with which the HSRC has actively collaborated during the reporting period	6	0	0	0	0	0
	Objective 2B: Promoting an African research agenda						
2.2	African research fellows	10	1	0	0	0	1
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	1	0	0	0	1
3	E: Enhancing research skills and public awareness						
	Objective 3B: Building research capacity for the human sciences						
3.1	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	35	3	1	1	2	3
3.2	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	45	6	2	3	4	6



No	Goals, objectives and performance indicators	Annual targets	Annual targets	Quarterly performance targets			
		HSRC	Programme	Programme: RIA			
		2019/20		Q1	Q2	Q3	Q4
3.3	The number of post-doctoral fellows appointed at the HSRC	20	2	1	1	2	2
3.4	Completed Master's level research internships	7	1	0	0	0	1
3.5	Completed PhD level research internships	8	2	0	0	0	2
4	P: Preserving and sharing data for further analysis						
	Objective 4A: Preserving research data and artefacts						
4.1	Preserved datasets	10	1	0	0	0	1
5	T: Institutional transformation						
	Objective 5A: Ensuring ongoing transformation at the level of senior researchers						
5.1	Percentage of South African senior researchers who are African <sup>8</sup>	56%	56%	56%	56%	56%	56%
5.2	Percentage of senior researchers who are female	50%	50%	50%	50%	50%	50%
6	S: Financial sustainability						
	Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income						
6.1	Extra-parliamentary income as percentage of total income	48%	48%	48%	48%	48%	48%
6.2	Multi-year grants	56%	56%	56%	56%	56%	56%

### (g) Social aspects of public health

The Social Aspects of Public Health (SAPH) research programme specialises in research on determinants of public health and health systems interventions to address public health challenges, including infectious diseases, non-communicable diseases, mental health and nutrition. The research strives to address these public health challenges at both the social and population levels.

These public health challenges are addressed through the following key thematic areas:

- Health systems innovations
- Implementation research
- Health promotion and wellbeing
- Technological innovations and methodologies.

8 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.



## How does Social Aspects of Public Health contribute?

- NDP Chapter 10: Promoting health
- MTSF Outcome 2: A long and healthy life for all South Africans



### HealthRise Intervention – helping people in rural areas cope with heart disease and diabetes

The HealthRise Intervention is aimed at improving the detection, management and control of cardiovascular disease and diabetes among underserved populations. The project demonstrates how trained community health workers (CHWs) can contribute to health systems by strengthening the continuum of care for non-communicable diseases (NCDs) and by delivering a comprehensive range of services focused on filling the critical gaps in this continuum of care. It is implemented by two local non-governmental organisations in two districts of South Africa. These CHWs received training in NCDs, health education, screening for diabetes and hypertension, referral to health care facilities for confirmatory diagnosis and patient follow-ups.

To date, the project has screened over 15 000 people during household visits, at public health clinics and during health education campaigns both in the community and at work places. A total of 719 people screened positive for high blood glucose ( $\geq 11.0$  mmol/L) while 2 849 screened positive for raised blood pressure. They were referred to a clinic. Of these positive screens, 45% and 28% were newly detected cases of raised blood pressure and raised blood sugar respectively, which means they were previously unaware of these risk factors.

The CHWs use mobile data collection systems. The household visits enable CHWs to screen and monitor patients in rural areas who would otherwise not have travelled to a clinic to access health care.

project

TABLE 15: STRATEGIC OBJECTIVE QUARTERLY TARGETS: SOCIAL ASPECTS OF PUBLIC HEALTH

No	Goals, objectives and performance indicators	<span style="color: orange;">●</span> Cumulative year-end <span style="color: blue;">●</span> Cumulative year to date <span style="color: grey;">●</span> Non-cumulative					
		Annual targets HSRC	Annual targets Programme	Quarterly performance targets Programme: Social Aspects of Public Health			
		2019/20		Q1	Q2	Q3	Q4
1	A: Advancing knowledge and scientific excellence						
	Objective 1A: Disseminating knowledge through publications and public dialogue						
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per researcher	1	1	0,20	0,20	0,30	0,30

No	Goals, objectives and performance indicators	Annual targets HSRC	Annual targets Programme	Quarterly performance targets Programme: Social Aspects of Public Health			
		2019/20		Q1	Q2	Q3	Q4
1.2	Number of recognised books with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	15	1	0	0	0	1
1.3	Number of recognised book chapters with at least one HSRC (DGSD) researcher listed as author or co-author, published during the period under review	54	5	0	1	2	2
Objective 1B: Informing effective formulation of government policy							
1.6	The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	10	1	0	0	0	1
2	D: Developing collaborative networks and applied research						
Objective 2A Supporting collaborative research networks							
2.1	Number of HDIs with which the HSRC has actively collaborated during the reporting period	6	0	0	0	0	0
Objective 2B: Promoting an African research agenda							
2.2	African research fellows	10	1	0	1	1	1
2.3	Peer-reviewed journal articles co-published with researchers outside South Africa, on the African continent	10	1	0	0	0	1
3	E: Enhancing research skills and public awareness						
Objective 3B: Building research capacity for the human sciences							
3.1	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	35	6	3	4	5	6
3.2	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	45	6	3	4	5	6
3.3	The number of post-doctoral fellows appointed at the HSRC	20	3	0	1	2	3
3.4	Completed Master's level research internships	7	1	0	0	0	1
3.5	Completed PhD level research internships	8	1	0	0	0	1
4	P: Preserving and sharing data for further analysis						
Objective 4A: Preserving research data and artefacts							
4.1	Preserved datasets	10	2	0	0	1	1

No	Goals, objectives and performance indicators	Annual targets HSRC	Annual targets Programme	Quarterly performance targets Programme: Social Aspects of Public Health			
		2019/20		Q1	Q2	Q3	Q4
5	T: Institutional transformation						
	Objective 5A: Ensuring ongoing transformation at the level of senior researchers						
5.1	Percentage of South African senior researchers who are African <sup>9</sup>	56%	56%	56%	56%	56%	56%
5.2	Percentage of senior researchers who are female	50%	50%	50%	50%	50%	50%
6	S: Financial sustainability						
	Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income						
6.1	Extra-parliamentary income as percentage of total income	48%	48%	48%	48%	48%	48%
6.2	Multi-year grants	56%	56%	56%	56%	56%	56%

### 5.2.3 Reconciling performance targets with the budget and MTEF Expenditure estimates

TABLE 16: EXPENDITURE ESTIMATES – RESEARCH, DEVELOPMENT & INNOVATION

Programme	Actual/Audited outcomes			Adjusted appropriation	Medium-term expenditure estimate		
	2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22
2. Research, Development & Innovation	245 990	284 226	357 634	362 032	385 757	406 028	428 359
3. Africa Institute of South Africa	26 195	27 805	32 679	-	-	-	-
<b>Total</b>	<b>272 185</b>	<b>312 031</b>	<b>390 313</b>	<b>362 032</b>	<b>385 757</b>	<b>406 028</b>	<b>428 359</b>
<b>Economic classification</b>							
Current payments	272 185	312 031	390 313	336 339	358 623	377 808	398 589
Compensation of employees	147 744	188 465	200 039	191 632	205 812	214 045	225 817
Goods and services				140 736	148 617	159 402	168 169
Agency and support/outsourced services	-	-	-	1 973	2 084	2 167	2 286
Audit costs		185	429				
Bank charges	-	11	36	-	-	-	-
Communication	3 576	2 409	4 440	5 435	5 739	5 969	6 297
Computer services	-	-	-	732	773	804	848

9 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.

Contractors	82	-	22	119	126	131	138
Inventory	438	-	1 186	713	753	783	826
Lease payments	887	1 090	901	473	500	520	548
Legal fees	-	59	300	-	-	-	-
Non-life insurance		131	4	-	-	-	-
Repairs and maintenance	195	918	295	616	651	677	714
Research and Development	114 197	109 536	175 137	116 311	122 824	132 577	139 869
Training and staff development	1 019	1 427	936	1 372	1 448	1 506	1 589
Travel and subsistence	40	30	51	811	857	891	940
Other costs	1 649	2 106	2 862	12 180	12 862	13 377	14 112
<b>Depreciation and interest</b>	<b>2 358</b>	<b>5 665</b>	<b>3 676</b>	<b>3 971</b>	<b>4 194</b>	<b>4 361</b>	<b>4 602</b>
Depreciation	2 358	5 665	3 676	3 971	4 194	4 361	4 602
Interest and fair valuations	-	-	-	-	-	-	-
<b>Transfers and subsidies to:</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>25 695</b>	<b>27 133</b>	<b>28 219</b>	<b>29 771</b>
Non-profit institutions	-	-	-	25 695	27 133	28 219	29 771
<b>Total</b>	<b>245 990</b>	<b>284 226</b>	<b>357 634</b>	<b>362 034</b>	<b>385 757</b>	<b>406 027</b>	<b>428 359</b>

### Performance and expenditure trends

Budget allocations have impacted investment in capital items. No major investments in buildings or equipment will be possible unless additional income is obtained.

## 5.2.4 Risks and the mitigation thereof

### Risks

The risk that poses the biggest threat to the organisation is financial sustainability. Management have implemented a suite of mitigations to reduce the impact and likelihood of this risk materialising.

The attraction and retention of highly skilled Senior Black researchers is a significant risk emanating from the historical challenge of a structural shortage of Senior Black members of staff and the limited applicant pools in critical areas. The latter leads to an increased demand for Senior Black researchers. Initiatives are underway to manage this risk.

As is the case with all research institutions, the risk associated with the production of reliable research will always arise. The HSRC has implemented a robust quality assurance process that significantly reduces this inherent risk.

Cyber security remains a significant risk which is actively being managed in the organisation.

## Part D: Links to Other Plans

### Links to the long-term infrastructure and other capital plans

As a national public entity, the HSRC is required to provide for all capital and infrastructural requirements from its own budget. The entity continues to face challenges with its ageing building which requires extensive upgrading. As the current MTEF allocation is insufficient to cater for these upgrades, the HSRC submitted a separate MTEF application for infrastructure and research equipment support in the past, but without success. In the light of critical needs to maintain and upgrade existing assets, the HSRC aims to develop a long-term infrastructure plan and other capital plans in consultation with the Department of Science and Technology and National Treasury, in addition to continuous lobbying for additional funding to address the current challenges. In the short term the organisation will re-prioritise from its current budget about R10 million to initiate some of these upgrades. Separate applications have been submitted for funding to National Treasury through the Department of Science and Technology, and we are hopeful that our application will be considered allowing us to address these improvements for the 2019/20 and 2020/2021 financial year.

Project name	Project description /Type of structure	Outputs	Estimated costs ZAR	2018/19 ZAR	2019/20 ZAR	2020/2021 ZAR
Building upgrades and maintenance of the HSRC's building in Pretoria	Several floors due for full refurbishment in the short term	Occupational health and safety compliance, and improvement of building's functionality	99,420,000	10,000,000	50,000,000	39,420,000
<b>Total</b>			<b>99 420 000</b>	<b>10,000,000</b>	<b>50,000,000</b>	<b>39,420,000</b>



The risk that poses the biggest threat to the organisation, after financial sustainability, is skills attraction and retention – the only risk for which the inherent risk exposure is very high and the residual risk exposure is high.





# annexures



# Annexure A: Materiality and significance framework

## Materiality Framework in terms of Treasury Regulations 28.1.5

### Introduction

In terms of Treasury Regulation 28.1.5, the accounting authority must develop and agree to a framework of acceptable levels of materiality and significance with the relevant executive authority in consultation with the external auditors. (Material and significance are defined in the PFMA in sections 50(1), 55(2), 66(1) and 54(2) respectively.)

### Framework

Fiduciary duties of the accounting authority (PFMA section 50)	Quantitative (amount)	Qualitative (nature)
(1) The accounting authority must - (c) on request, disclose to the executive authority responsible for that public entity or the legislature to which the public entity is accountable, all material facts, including those reasonably discoverable, which in any way influence the decisions or actions of the executive authority or that legislature.	Any fact discovered of which the amount exceeds the determined materiality figure as calculated in Annexure A.	<ol style="list-style-type: none"> <li>Any item or event of which specific disclosure is required by law</li> <li>Any fact discovered of which its omission or misstatement, in the Board's opinion, could influence the decisions or actions of the executive authority or legislature.</li> </ol>
3.2 Annual report and financial statements (PFMA section 55)		
(2) The annual report and financial statements referred to in subsection (1) (d) must		
(a) fairly present the state of affairs of the public entity, its business, its financial results, its performance against predetermined objectives and its financial position as at the end of the financial year concerned.		
(b) include particulars of		
<ul style="list-style-type: none"> <li>any material losses through criminal conduct and any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year;</li> <li>any criminal or disciplinary steps taken as a consequence of such losses or irregular expenditure or fruitless and wasteful expenditure;</li> <li>any losses recovered or written off;</li> <li>any financial assistance received from the state and commitments made by the state on its behalf; and</li> <li>any other matters that may be prescribed</li> </ul>	<ol style="list-style-type: none"> <li>Losses through criminal conduct – any loss identified.</li> <li>Losses through irregular, fruitless or wasteful expenditure</li> </ol>	Any identified loss through criminal conduct.

Fiduciary duties of the accounting authority (PFMA section 50)	Quantitative (amount)	Qualitative (nature)
3.3 Information to be submitted by the accounting authority (PFMA section 54)		
(2) Before a public entity concludes any of the following transactions, the accounting authority for the public entity must promptly and in writing inform the relevant treasury of the transaction and submit relevant particulars of the transaction to its executive authority for approval of the transaction:		
(a) establishment or participation in the establishment of a company;	Not applicable	
(b) participation in a significant partnership, trust, unincorporated joint venture or similar arrangement;	Above the materiality figure as defined in the framework	Any participation, outside of the approved strategic plan and budget.
(c) acquisition or disposal of a significant shareholding in a company;	Not applicable	Any acquisition or disposal, outside of the approved strategic plan and budget.
(d) acquisition or disposal of a significant asset;	Above the materiality figure as defined in the framework	<ol style="list-style-type: none"> <li>Any asset that would increase or decrease the overall operational functions of the entity, outside of the approved strategic plan and budget.</li> <li>Disposal of the major part of the assets of the entity.</li> </ol>
(e) commencement or cessation of a significant business activity;	Not applicable	Any business activity that would increase or decrease the overall operational functions of the entity, outside of the approved strategic plan and budget.
(f) a significant change in the nature or extent of its interest in a significant partnership, trust, unincorporated joint venture or similar arrangement.		

## Determination of materiality

Materiality bases	2019/20 (Budget)		
	% of revenue (1%)	R'000	Materiality (R'000)
Total revenue and materiality amounts		599,941	5,999

The nature of the business of the HSRC is such that revenue is a key performance measure. The funding model of the organisation requires generation of additional external revenue, which executive management tracks on a monthly basis. The impact of the reduction or increase in research revenue will have a significant impact on performance, which makes revenue a key business indicator. As a result, the HSRC has opted for 1% of revenue as an appropriate level of materiality. It is important to note that the HSRC cannot budget for a deficit hence revenue equates the entity's expenditure.

# Annexure B: Strategic performance indicators and targets for 2019/20 to 2023/24

No	Performance indicator description	Audited performance				Performance targets				
		2015/16	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
1	A: Advancing knowledge and scientific excellence									
	Objective 1A: Disseminating knowledge through publications and public dialogue									
1.1	Number of peer-reviewed journal articles published in acknowledged scientific journals, per HSRC researcher	New	1.83	1.10	0.9	1	1.1	1.2	1.2	1.2
1.2	<b>Scholarly books published:</b> Number of recognised books with at least one HSRC researcher listed as author or co-author, published during the period under review	11	16	16	14	15	14	15	15	15
1.3	<b>Scholarly book chapters published:</b> Number of recognised book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review	53	64	42	54	54	55	55	55	55
1.4	<b>HSRC research seminars convened:</b> Number of HSRC humanities and social sciences research seminars hosted during the period under review	62	60	69	40	40	40	40	40	40
1.5	<b>HSRC Review publication:</b> The number of HSRC Review publications produced during the year under review	5	4	4	4	4	4	4	4	4
	Objective 1B: Informing effective formulation of government policy									
1.6	<b>Policy briefs:</b> The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review	16	25	19	10	10	10	10	10	10
1.7	<b>Targeted public dialogues:</b> Number of public dialogues on poverty and inequality hosted	New	4	4	4	4	6	6	6	6
	Objective 1C: Promoting excellence, reach and impact of publications									
1.8	Number of peer-reviewed journal articles by HSRC author or authors with at least 10 citations listed within 5 years from publication	New	Indicator and target defined 100%	187	8	10	10	12	12	12

(Narrative examples, not SMART indicator)	<b>Decision support:</b> Examples of government services or functions where HSRC research results provided decision support	New	3	Narrative	Narrative	Narrative	Narrative	Narrative	Narrative	Narrative
2	<b>D: Developing collaborative networks and applied research</b>									
	<b>Objective 2A: Supporting collaborative research networks</b>									
2.1	<b>Active collaboration:</b> Number of HDIs with which the HSRC has actively collaborated during the reporting period	New	New	6	5	6	6	7	7	7
	<b>Objective 2B: Promoting an African research agenda</b>									
2.2	<b>African research fellows:</b> The number of research fellows from elsewhere in Africa hosted by the HSRC	6	6	7	10	10	10	10	10	10
2.3	Number of peer-reviewed journal articles co-published with researchers residing outside South Africa, on the African continent	New	13	18	8	10	10	14	14	14
3	<b>E: Enhancing research skills and public awareness</b>									
	<b>Objective 3A: Attracting skills for the development of a skilled and capable workforce</b>									
3.1	<b>Master's level interns:</b> The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC	43	52	45	35	35	35	35	35	35
3.2	<b>PhD level interns:</b> The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC	53	52	55	45	45	45	45	45	45
3.3	<b>Post-doctoral fellows:</b> The number of post-doctoral fellows appointed at the HSRC	28	27	23	20	20	20	20	20	20
	<b>Objective 3B: Building research capacity for the human sciences</b>									
3.4	<b>Completed Master's level research internships:</b> The number of interns (research trainees) enrolled in a Master's programme who have completed the programme during the period under review	10	10	7	6	7	7	7	7	7
3.5	<b>Completed PhD level research internships:</b> The number of interns (research trainees) enrolled in a PhD programme who have completed the programme during the period under review	0	6	0	8	8	8	8	8	8
	<b>Objective 3C: Raising awareness of opportunities and contributions in social science and humanities research</b>									
3.6	<b>Capacity building and outreach:</b> Training academies hosted ("winter/summer schools" or methodology workshops)	New	New	1	2	2	2	2	2	2

(Narrative examples, not SMART indicator)	<b>Platforms for engaging policy makers:</b> Narrative examples, if appropriate, of platforms for engaging policy makers established during the period under review	New	1	Narrative	Narrative	Narrative	Narrative	Narrative	Narrative	Narrative
<b>4 P: Preserving and sharing data for further analysis</b>										
<b>Objective 4A: Preserving research data and artefacts</b>										
4.1	<b>Preserved datasets:</b> The number of HSRC data sets that were preserved (archived/curated) during the period under review	23	23	24	10	10	10	10	10	10
<b>Objective 4B: Managing and promoting secondary use of research data</b>										
4.2	<b>Secondary use of preserved data:</b> The number of unique downloads of HSRC curated data sets during the period under review	New	Setting of parameters 100%	507	472	496	520	546	546	546
<b>5 T: Institutional transformation</b>										
<b>Objective 5A: Ensuring ongoing transformation at the level of senior researchers</b>										
5.1	<b>Senior researchers who are African<sup>10</sup>:</b> The percentage of all South African researchers at senior level (SRS/SRM and above) who are African	45% (34/75)	41.25% (33/80)	33.33%	56%	56%	56%	56%	56%	56%
5.2	<b>Senior researchers who are female:</b> The percentage of all researchers at senior level (SRS/SRM and above) who are female	30% (29/75)	37.5% (30/80)	42.31%	50%	50%	50%	50%	50%	50%
<b>Objective 5B: Supporting ongoing organisational development and transformation</b>										
(Narrative, not SMART indicator)	Narrative examples, if appropriate, of ratio of senior researchers (SRS/SRM or higher) in relation to all HSRC staff	New	New	Narrative	Narrative	Narrative	Narrative	Narrative	Narrative	Narrative
<b>6 S: Financial sustainability</b>										
<b>Objective 6A: Ensuring financial sustainability by securing extra-parliamentary income</b>										
6.1	<b>Extra-parliamentary income:</b> The percentage of total income that is extra-parliamentary	42%	44.62%	52.03%	48%	48%	48%	48%	48%	48%
6.2	<b>Multi-year grants:</b> The percentage of research grants that are multi-year (at least three years)	64% (42/65)	49.43%	39.53%	56%	56%	56%	56%	56%	56%

10 This target refers to the StatsSA classification of "African" in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access by promoting capacity building and career development of black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.

# Annexure C:

## Technical indicator descriptions

### Indicator 1.1: Peer-reviewed journal articles per HSRC researcher

<b>Indicator title</b>	Peer-reviewed journal articles
<b>Short definition</b>	<b>Ratio:</b> The number of peer-reviewed articles with at least one HSRC researcher (from the level of “researcher” upwards, i.e. including interns appointed at the level of researcher or higher) listed as author or co-author, published during the period under review in journals recognised by the Department of Higher Education and Training (DHET) for subsidy purposes, divided by the number of researchers employed by the HSRC at the end of the reporting period.
<b>Purpose/importance</b>	Indicator for research excellence: <ul style="list-style-type: none"> <li>• Productivity (number of recognised articles per researcher) and quality (peer-reviewed and DHET-accredited journals) of HSRC work.</li> <li>• Peer-review process ensures that HSRC work is subject to independent scrutiny and quality control</li> <li>• Proof of research excellence is critical for research findings to be taken seriously, and to be able to attract research collaborators and research funding.</li> <li>• Use of DHET listing allows for national benchmarking.</li> </ul>
<b>Source/collection of data</b>	Research Management System (RMS), drawing information from: <ul style="list-style-type: none"> <li>• Research outputs database (eRKC) (DHET-accredited peer-reviewed publications captured in the database)</li> <li>• Staff database (HR)</li> </ul>
<b>Method of calculation</b>	<ol style="list-style-type: none"> <li>Count number of peer-reviewed, DHET-accredited journal articles with one or more HSRC researcher(s) listed as author or co-author (i.e. no adjustment for multiple authors).published during the period under review.</li> <li>Count number of HSRC research staff on permanent payroll (1 year or longer), appointed at levels of researcher or above, as at the last day of the reporting period.</li> </ol> <p>Calculate: <math>a/b</math> expressed as a ratio</p>
<b>Data limitations</b>	<p>Recognised journals:</p> <p>Journals appearing in the following indices are recognised</p> <ul style="list-style-type: none"> <li>• The Sciences Citation Index of the Institute of Scientific Information (ISI)</li> <li>• The Social Sciences Citation Index of the ISI</li> <li>• The Arts and Humanities Citation Index of the ISI</li> <li>• The International Bibliography of Social Sciences (IBSS)</li> </ul> <p>DHET listing, refer to DHET policy and published lists:</p> <ul style="list-style-type: none"> <li>• South African list</li> <li>• Norwegian list</li> <li>• ScieloSA</li> <li>• Scopus</li> </ul> <p>More detail on count of peer-reviewed, accredited articles:</p> <p>The following types of contributions appearing in journals are not counted as articles:</p> <ul style="list-style-type: none"> <li>• Correspondence to the editors</li> <li>• Obituaries</li> <li>• News articles</li> <li>• Editorials</li> <li>• Abstracts or extended abstracts</li> <li>• Book reviews</li> <li>• Advertorials</li> </ul> <p>In addition to peer-reviewed articles produced by authors appearing on the list of current staff members, peer-reviewed articles contributed by the following categories of authors are also recognised for the period under review:</p> <ul style="list-style-type: none"> <li>• Publications by authors who are in senior executive management positions (CEO, DCEO) are counted, and attributed to the research programme on whose work the article was based, as indicated by the author when submitting the article for capturing by eResearch Knowledge Centre (eRKC)</li> <li>• Publications produced by staff who were employed, but left the employment of the HSRC in the course of the reporting period (financial year to date) will be counted during the reporting period, irrespective of when they left the HSRC.</li> <li>• Publications by staff who had already left the HSRC may count towards numerator in subsequent reporting period(s) as long as the research unit concerned is able to submit proof, with the hard copy of the publication, that the publication had been completed and submitted to the publisher concerned while the staff member was still employed by the HSRC. Such proof is to accompany the publication submitted to eRKC for capturing.</li> <li>• Publications by persons not appointed as staff members of the HSRC (e.g. assignees, staff on secondment from another institution, staff on joint appointment by agreement, Honorary Research Fellows or Honorary Research Associates): Will only count if HSRC designation is indicated with the name(s) of the listed author(s).</li> <li>• African Research Fellows are included for purposes of calculating performance against this target.</li> </ul>

<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Output (measuring number of publications)</li> <li>• <b>Efficiency indicator:</b> Measures research excellence, i.e. number of publications per senior researcher</li> <li>• <b>Quality indicator:</b> Measures research output quality against international industry standards</li> </ul>
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Publications:</b> eRKC (quality control and capturing of data submitted by research programmes)</li> <li>• <b>Staff:</b> HR</li> <li>• <b>Ratio:</b> RMS (IT)</li> </ul>

## Indicator 1.2: Scholarly books published

<b>Indicator title</b>	Scholarly books published
<b>Short definition</b>	<b>Number:</b> The number of scholarly books with at least one HSRC researcher listed as author or co-author, published during the period under review
<b>Purpose/importance</b>	<p>Indicator for research excellence:</p> <ul style="list-style-type: none"> <li>• Productivity of HSRC research staff (number of scholarly books authored, co-authored, edited or co-edited) and quality of HSRC work (recognised scholarly books published).</li> <li>• Proof of research excellence is critical for research to be taken seriously, and to be able to attract research collaborators and research funding.</li> <li>• Publications in books ensure that research findings are made accessible, and have an impact over a relatively long period of time. This is aligned with the HSRC's mandated objectives.</li> </ul>
<b>Source/collection of data</b>	<b>Research Management System (RMS), drawing information from:</b> Research outputs database (eRKC) (scholarly books captured in the database)
<b>Method of calculation</b>	Count the number of scholarly books with one or more HSRC researcher recognised as author or editor (i.e. no adjustment for multiple authors or multiple editors) published during the period under review
<b>Data limitations</b>	<p><b>Recognised (scholarly) books:</b> Peer-reviewed, non-periodical scholarly or research publications disseminating original research on developments within specific disciplines, sub-disciplines or fields of study, published in South Africa or internationally. Examples of scholarly books include monographs and collected works.</p> <ul style="list-style-type: none"> <li>• The book must be a minimum of 60 pages, excluding references, bibliography and appendices.</li> <li>• The book must have an International Serial Book Number (ISBN).</li> <li>• The book must be peer-reviewed prior to publication, with supporting evidence of the review process provided in the book or obtained from the publishers of the book. Such evidence must accompany the copy of the book or book chapter submitted to eRKC for purposes of capturing.</li> </ul> <p>In the case of the HSRC, books based on research commissioned and paid for by external organisations may be included, on condition that they have been independently peer reviewed. Other than that, the 2015 DHET policy on research outputs will be applied.</p> <p>Excluded:</p> <ul style="list-style-type: none"> <li>• Dissertations and theses</li> <li>• Text books, manuals and study guides</li> <li>• Inaugural speeches</li> <li>• Works of fiction</li> <li>• Translations</li> <li>• Documentation of case studies</li> <li>• Book reviews</li> <li>• Dictionaries</li> <li>• Encyclopaedia</li> <li>• Autobiographies.</li> </ul> <p>Where uncertainty exists about recognition, the 2015 DHET policy on research outputs will be used to inform decisions.</p> <p>More detail on count of books:</p> <p><b>Count of books:</b> Recognised for period under review.</p> <p><b>More detail on HSRC researchers:</b> Researchers at all levels included, i.e. not only SRS/SRM or higher. Publications by authors who are in senior executive management positions (CEO, DCEO) are counted, and attributed to the research programme on whose work the book or book chapter was based, as indicated by the author when submitting the publication for consideration and possible subsequent capturing by eRKC</p>

<b>Data limitations (continued)</b>	<p>Publications produced by staff who were employed but left the employment of the HSRC during the course of the reporting period (financial year to date) will be counted during the reporting period, irrespective of when they left the HSRC.</p> <p>Publications by staff who had already left the HSRC may be reflected in subsequent reporting period(s) as long as the research unit concerned is able to submit proof, with the hard copy of the publication, that the publication had been completed and submitted to the publisher concerned while the staff member was still employed by the HSRC. Such proof must be signed by the Executive Director concerned and accompany the publication submitted to e Research Knowledge Centre (eRKC) for capturing.</p> <p><b>Publications by persons not appointed as staff members of the HSRC (e.g. assignees, staff on secondment from another institution, staff on joint appointment by agreement, Honorary Research Fellows or Honorary Research Associates):</b> Will only count if proof of institutional affiliation is provided as indicated below.</p> <p><b>Proof of institutional affiliation:</b> Author affiliation with the HSRC should be stated on the publication (whether at the start or in a footnote printed in the publication). If the Author's affiliation is not given in the publication, a letter confirming the author's affiliation to the HSRC, signed by the Executive Director (ED) concerned, must be provided with every submission. The letter should confirm the author's affiliation to HSRC, (e.g. Honorary Research Fellow, with proof of appointment letter as Honorary Research Fellow), and should also state that the publication is based on HSRC research that was conducted whilst the said person was based at HSRC, or formally associated with HSRC.</p>
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity Indicator:</b> Output (measures number of publications)</li> <li>• <b>Quality indicator:</b> Measures research output quality against international industry standards</li> </ul>
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Publications:</b> eRKC (quality control and capturing of data submitted by research programmes)</li> <li>• <b>Staff:</b> HR</li> <li>• <b>Number count:</b> RMS (IT)</li> </ul>

### Indicator 1.3: Scholarly book chapters published

<b>Indicator title</b>	Scholarly book chapters published
<b>Short definition</b>	<b>Number:</b> The number of scholarly book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review
<b>Purpose/importance</b>	<p>Indicator for research excellence:</p> <ul style="list-style-type: none"> <li>• Productivity of HSRC research staff (number of scholarly book chapters authored or co-authored) and quality of HSRC work (scholarly book chapters published).</li> <li>• Proof of research excellence is critical for research to be taken seriously, and to be able to attract research collaborators and research funding.</li> <li>• Publication of book chapters ensure that research findings are made accessible, and have an impact over a relatively long period of time. This is aligned with the HSRC's mandated objectives.</li> </ul>
<b>Source/collection of data</b>	<b>Research Management System (RMS), drawing information from:</b> Research outputs database (-eRKC) (book chapters captured in the database)
<b>Method of calculation</b>	Count number of scholarly book chapters with one or more HSRC researcher recognised as author (i.e. no adjustment for multiple authors).published during the period under review
<b>Data limitations</b>	<p>Recognised (scholarly) book chapters:</p> <ul style="list-style-type: none"> <li>• Individual chapters, with designated author(s), included in peer-reviewed, non-periodical scholarly or research publications disseminating original research on developments within specific disciplines, sub-discipline or field of study, published in South Africa or internationally.</li> <li>• The book in which the chapter is published must have an International Serial Book Number (ISBN), and meet the requirements of a scholarly book as outlined for Indicator 1.2.</li> <li>• The book chapter must be peer-reviewed prior to publication, with supporting evidence of the review process provided by the publishers of the book. Such evidence must accompany the copy of the book chapter submitted to eRKC for purposes of capturing</li> </ul>



**Data limitations  
(continued)**

In the case of the HSRC, book chapters based on research commissioned and paid for by external organisations may be included, on condition that they have been independently peer reviewed. Other than that, the 2015 DHET policy on research outputs will be applied:

Excluded:

- Dissertations and theses
- Text books, manuals and study guides
- Inaugural speeches
- Works of fiction
- Translations
- Documentation of case studies
- Book reviews
- Dictionaries
- Encyclopaedia
- Autobiographies.

More detail on count of book chapters:

**Count of book chapters:** Recognised for period under review.

**More detail on HSRC researchers.**

Publications by authors who are in senior executive management positions (CEO, DCEOs) are counted, and attributed to the research programme on whose work book chapter was based, as indicated by the author when submitting the publication for review and subsequent capturing by eRKC.

Publications produced by staff who were employed but left the employment of the HSRC during the course of the reporting period (financial year to date) will be counted during the reporting period, irrespective of when they left the HSRC.

Publications by staff who had already left the HSRC may be reflected in subsequent reporting period(s) as long as the research unit concerned is able to submit proof, with the hard copy of the publication, that the publication had been completed and submitted to the publisher concerned while the staff member was still employed by the HSRC. Such proof must be signed by the Executive Director concerned and accompany the publication submitted to eRKC for capturing.

**Publications by persons not appointed as staff members of the HSRC (e.g. assignees, staff on secondment from another institution, staff on joint appointment by agreement, Honorary Research Fellows or Honorary Research Associates):** Will only count if proof of institutional affiliation is provided as indicated below.

**Proof of institutional affiliation:** Author affiliation with the HSRC should be stated on the publication (whether at the start or in a footnote printed in the publication). If the Author's affiliation is not given in the publication, a letter confirming the author's affiliation to the HSRC, signed by the ED concerned, must be provided with every submission. The letter should confirm the author's affiliation to HSRC, (e.g. Honorary Research Fellow, with proof of appointment letter as Honorary Research Fellow), and should also state that the publication is based on HSRC research that was conducted whilst the said person was based at HSRC, or formally associated with HSRC.

**Type of indicator**

- **Quantity Indicator:** Output (measures number of publications)
- **Quality indicator:** Measures research output quality against international industry standards

**Calculation type**

Cumulative (year-end)

**Reporting cycle**

Quarterly

**New indicator**

No

**Desired performance**

Equal to or more than the agreed target

**Indicator responsibility**

- **Publications:** eRKC (quality control and capturing of data submitted by research programmes)
- **Staff:** HR
- **Number count:** RMS (IT)

## Indicator 1.4: HSRC Humanities and Social Sciences research seminars convened

<b>Indicator title</b>	HSRC Humanities and Social Sciences research seminars convened
<b>Short definition</b>	<b>Number:</b> The number of HSRC research seminars convened during the period under review
<b>Purpose/importance</b>	<b>Indicator for research relevance and potential use (application / impact):</b> Type of output focused on knowledge dissemination
<b>Source/collection of data</b>	Research Management System (RMS), drawing information from: <ul style="list-style-type: none"> <li>• Research outputs database (eRKC) (HSRC humanities and social sciences research seminars captured in the database) – source document is the summary document providing information on the seminar(s) hosted during the period under review, as submitted by the ED: RIA or designate.</li> <li>• Supporting information such as copies of workshop invitations and signed attendance lists will be kept on record by the person(s) designated to coordinate HSRC seminars.</li> </ul>
<b>Method of calculation</b>	Count the number of humanities and social sciences research seminars convened by the HSRC during the period under review.
<b>Data limitations</b>	<b>Research seminars:</b> The seminars will generally run a maximum of one to two hours, but not exceed one working day. Topics and invited delegates are identified based on the study and nature of information to be disseminated. The standard format of a seminar will be a presentation by a subject-matter expert or experts, followed by plenary discussion aimed at identifying key issues, policy options and/or a research agenda building on the issues identified.
<b>Type of indicator</b>	Output indicator (number of seminars), also measures effectiveness as it relates to achievement of HSRC mandate.
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<b>Research Knowledge Centre (eRKC)</b> (Capturing of data submitted by the Executive Director: RIA or designate)

## Indicator 1.5: *HSRC Review* publications

<b>Indicator title</b>	HSRC Review publications produced
<b>Short definition</b>	<b>Number:</b> The number of <i>HSRC Review</i> publications produced during the year under review
<b>Purpose/importance</b>	<b>Proof of research relevance and excellence:</b> Knowledge dissemination to external stakeholders to ensure that research findings are made available broadly. This is aligned with the HSRC's mandated objectives.
<b>Source/collection of data</b>	<b>Research Management System (RMS), drawing information from RIA reports:</b> Supporting information (electronic copies of the <i>HSRC Review</i> publication) will be accessible on the HSRC website.
<b>Method of calculation</b>	Count number of publications produced and published during the period under review (publications can be hard copy or electronic).
<b>Data limitations</b>	The <i>HSRC Review</i> is an edited news magazine produced by the HSRC, which contains accessible articles of recent research outputs, success stories of collaborative projects, and projects involving capacity development at community level.
<b>Type of indicator</b>	<b>Quantity Indicator:</b> Output (number of publications), also measures effectiveness as it relates to achievement of the HSRC mandate.
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Preparation, publication and notification of performance:</b> RIA ED or designate</li> <li>• <b>Quality control and capturing of data:</b> eResearch Knowledge Centre (eRKC)</li> <li>• <b>Number count:</b> RMS (IT)</li> </ul>

## Indicator 1.6: Policy briefs

<b>Indicator title</b>	The number of policy briefs produced and published by the HSRC
<b>Short definition</b>	<b>Number:</b> The number of policy briefs with at least one HSRC staff member serving as author or co-author, published by the HSRC during the period under review.
<b>Purpose/importance</b>	Indicator for research relevance and excellence: <ul style="list-style-type: none"> <li>• Productivity (number publications) of HSRC work.</li> <li>• The ED: RIA (or designate) will ensure that guidelines for the development and review of policy briefs are made available to HSRC researchers and research managers.</li> <li>• Policy briefs are only published following a review process to ensure that they are relevant and timely, and meet internal criteria of good research communication.</li> </ul>
<b>Source/collection of data</b>	<b>Research Management System (RMS), drawing information from:</b> Research outputs database (eRKC) (policy briefs captured in the database)
<b>Method of calculation</b>	Count the number of policy briefs published by the HSRC during the period under review.
<b>Data limitations</b>	Recognised policy briefs: <ul style="list-style-type: none"> <li>• Policy briefs are short papers that convey policy issues and outline courses of action to resolve them.</li> <li>• Policy briefs are published by the HSRC according to guidelines approved by the DCEO: Research or the ED meeting.</li> <li>• Quality control and sign-off prior to publication of the policy brief will be delegated to the executive directors or designated heads of research programmes.</li> <li>• Dissemination of the policy briefs, including submission to the RMS for capturing in the RMS by eResearch Knowledge Centre (eRKC), will be overseen by the executive directors or designated heads of research programmes, and facilitated by Research Use and Impact Assessment (RIA).</li> <li>• Policy briefs published by institutions other than the HSRC will be reflected as recognised research outputs of the HSRC, but not as “policy briefs produced and published by the HSRC”</li> </ul>
<b>Type of indicator</b>	Output indicator (measures number of publications)
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Planning and preparation of policy briefs:</b> Research programmes</li> <li>• <b>Quality control, including review process and sign-off prior to publication:</b> EDs or designated heads of research programmes</li> <li>• <b>Publication of policy briefs:</b> To be facilitated by RIA.</li> <li>• <b>Capturing of published policy briefs submitted by research programmes:</b> eRKC</li> </ul>

## Indicator 1.7: Targeted public dialogues

<b>Indicator title</b>	The number of public dialogues on poverty and inequality hosted by the HSRC
<b>Short definition</b>	<b>Number:</b> The number of public dialogues dealing with aspects of poverty or inequality hosted by the HSRC CEO or designate during the period under review
<b>Purpose/importance</b>	<p><b>Indicator for research relevance and excellence:</b> Productivity (number of public dialogues) dealing with issues of national and international importance.</p> <p>Public dialogues are expected to:</p> <ul style="list-style-type: none"> <li>• Focus on a pre-determined issue or research question with potential or immediate policy relevance</li> <li>• Present different perspectives based on prior research or engagement, for facilitated deliberation and discussion</li> <li>• Involve stakeholders who will be able to bring different perspectives on the issue. They will include citizens (members of the general public) as well as policy makers, experts and/or researchers.</li> <li>• Attempt to find, through structured and moderated two-way discussions, shared values or common views emerging. The emphasis is on finding acceptable solutions or at least recommending steps to take an issue forward.</li> </ul> <p>International best practice for facilitating public dialogues will be applied to local requirements by the HSRC. Hence, the definition and approach may be refined during the course of the reporting period.</p>

<b>Source/collection of data</b>	Research Management System (RMS), drawing information from reports on public dialogues that were hosted
<b>Method of calculation</b>	Count the number of public dialogues hosted by the HSRC during the period under review.
<b>Data limitations</b>	Targeted public dialogues will be planned and undertaken in consultation with the office of the CEO. Following the public dialogue, a short report on the dialogue will be prepared for review and approval of the CEO. Supporting information – such as invitations, agenda or signed attendance lists – will be kept on record by the person(s) designated to coordinate the public dialogues.
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Output indicator:</b> Measures number of dialogues hosted</li> <li>• <b>Effectiveness indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Sign-off on short report of public dialogue for capturing of performance information purposes:</b> CEO or designate</li> <li>• <b>Capturing of information:</b> eRKC</li> </ul>

## Indicator 1.8: Peer-reviewed journal articles with multiple citations

<b>Indicator title</b>	<b>Peer-reviewed journal articles with multiple citations:</b> Number of peer-reviewed (accredited) journal articles by an HSRC author or authors with at least 10 citations listed within 5 years from publication.
<b>Short definition</b>	<b>Number:</b> Number of recognised (peer-reviewed and DHET-accredited) journal articles by an HSRC author or authors with at least 10 citations listed (in SCOPUS or Google Scholar databases) within 5 years from the year of initial publication.
<b>Purpose/importance</b>	Indicator for recognition of research excellence and relevance: <ul style="list-style-type: none"> <li>• Citation of publications is regarded as an indicator of academic impact. It points to recognition of the relevance and quality of published HSRC work.</li> <li>• High impact, as measured through citation analysis, may contribute to the ability to attract collaboration and research funding.</li> </ul>
<b>Source/collection of data</b>	Research outputs database (eRKC): All accredited journal articles recognised as HSRC outputs and captured in the research outputs database in the five years preceding the reporting period.
<b>Method of calculation</b>	Determine the number of citations listed for each accredited journal m, article (as defined) captured in the HSRC research outputs database in the 5 years preceding the period under review. Citation count will be determined by using both SCOPUS and Google Scholar, and will recognise the number of citations recorded at the date of analysis, reported separately for each database. If the SCOPUS and Google Scholar counts yield different numbers, only one number, namely the highest of either the SCOPUS count or the Google Scholar count, will be selected for reporting purposes. Select and record those journal articles with ten or more unique citations recorded to date on the SCOPUS or Google Scholar reporting systems. <b>Count:</b> The number of journal articles with ten or more unique citations so selected and recorded.
<b>Data limitations</b>	Recognised (peer-reviewed and accredited) journal articles as already captured in the RMS for five full financial years preceding the current financial year. Subscription to SCOPUS is a prerequisite for this method of citation analysis.
<b>Type of indicator</b>	<b>Impact indicator:</b> Measures academic impact of research against international industry standards
<b>Calculation type</b>	Non-cumulative (annual target)
<b>Reporting cycle</b>	Annual
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	Quality control, selection of articles and citation analysis: eRKC

## Indicator 2.1: Active collaboration with historically disadvantaged institutions (HDIs)

<b>Indicator title</b>	Number of HDIs with which the HSRC has actively collaborated during the reporting period
<b>Short definition</b>	<b>Number:</b> Number of historically disadvantaged institutions (HDIs) in South Africa with which the HSRC has actively collaborated during the period under review.
<b>Purpose/importance</b>	<p>The purpose is to reflect the number of verified, reported instances of active collaboration with counterpart institutions, with particular reference to HDIs in South Africa. This relates directly to mandated objectives of the HSRC to support research collaboration, capacity development, networks and institutional linkages in the human sciences research community.</p> <p>Records and counts the number of active collaborations with other research institutions in order to obtain an understanding of the range of verified inter-institutional collaboration.</p>
<b>Source/collection of data</b>	<p>Stakeholder engagement or memorandum of understanding database (Business Development and International Liaison – BDIL)</p> <p>Verify and capture examples of inter-institutional collaboration submitted by research programmes, in relation to various role players in the South African National System of Innovation.</p> <p>For the university sector, ten of the 26 publicly-funded universities are recognised as HDIs for purposes of reporting on this indicator.</p>
<b>Method of calculation</b>	Count the total number of HDIs with whom the HSRC has been actively collaborating during the period under review.
<b>Data limitations</b>	<p>Instances of collaborative activities:</p> <ul style="list-style-type: none"> <li>• Joint projects (signed contract in place)</li> <li>• Joint workshops or conferences (programme or title should recognise institutional collaboration)</li> <li>• Joint academic appointments or formalised postgraduate supervisory agreements (contract or letter of appointment in place)</li> <li>• At least one collaborative activity during the period under review, captured or submitted for capturing in the stakeholder engagement or MoU reporting module by the research programme concerned and confirmed by BDIL.</li> </ul> <p>Historically Disadvantaged Institutions: Seven HDIs as recognised by the Council on Higher Education (CHE), plus three publicly funded universities established after 2010:</p> <ul style="list-style-type: none"> <li>• Mangosuthu University of Technology (MUT)</li> <li>• University of Fort Hare (UFH)</li> <li>• University of Limpopo</li> <li>• University of Venda</li> <li>• University of the Western Cape</li> <li>• University of Zululand</li> <li>• Walter Sisulu University</li> </ul> <p>and</p> <ul style="list-style-type: none"> <li>• Sefako Makgatho Health Sciences University</li> <li>• Sol Plaatje University</li> <li>• University of Mpumalanga</li> </ul>
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity Indicator:</b> Activity (measures number of HDIs where collaborative activities were recorded).</li> <li>• <b>Effectiveness indicator:</b> Measures the extent of achieving the HSRC mandate</li> </ul>
<b>Calculation type</b>	Cumulative (Year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Activity reporting:</b> Research programme(s) with collaborative activities for the period under review</li> <li>• <b>Verification and reporting:</b> BDIL</li> </ul>

## Indicator 2.2: African research fellows

<b>Indicator title</b>	The number of research fellows from elsewhere in Africa hosted by the HSRC
<b>Short definition</b>	<b>Number:</b> Number of persons hosted by the HSRC during the reporting period as research fellows from elsewhere in Africa
<b>Purpose/importance</b>	Counts the number of persons from elsewhere in Africa serving as a research fellow at the HSRC, to strengthen research links and help contribute to Africa's progress through research
<b>Source/collection of data</b>	Staff database (HR) and short-term assignees
<b>Method of calculation</b>	Count the total number of African research fellows hosted by the HSRC during the period under review.
<b>Data limitations</b>	Persons indicated as African research fellows in their engagement letters, and who had assumed duty in this capacity at the HSRC. <b>Further clarification:</b> Recruitment and selection guidelines as stipulated in the relevant HR policy
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Input (measures number of African research fellows)</li> <li>• <b>Effectiveness indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>
<b>Calculation type</b>	Cumulative – (year to date) for the year
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Staff:</b> HR</li> <li>• <b>Total (cumulative) number:</b> RMS (IT)</li> </ul>

## Indicator 2.3: Peer-reviewed journal articles with African (non-SA) co-author(s)

<b>Indicator title</b>	Peer-reviewed journal articles with African (non-SA) co-author(s)
<b>Short definition</b>	<b>Number:</b> The number of peer-reviewed (DHET-accredited) journal articles by an HSRC author or authors with at least one co-author from an African country other than South Africa
<b>Purpose/importance</b>	Indicator for research collaboration and relevance: <ul style="list-style-type: none"> <li>• In support of HSRC mandated objective – Africa collaboration</li> <li>• Related to proxy indicator appearing in DST strategic plan</li> </ul>
<b>Source/collection of data</b>	Research outputs database (eRKC) (peer-reviewed (accredited) journal articles captured in the database) Staff database (HR) <b>Source of verification:</b> Sign-off document submitted to LIS for capturing of journal article, and institutional affiliations of author(s) appearing with the published article
<b>Method of calculation</b>	Number of articles so verified and captured
<b>Data limitations</b>	The journal article must have as authors at least one HSRC researcher as defined for recognised HSRC research outputs, and one non-HSRC researcher who has an institutional affiliation in an African country which is not South Africa. The ethnic or racial categorisation of the African (non-South African) co-author is not a consideration; it is the country of origin / residence / affiliation of the co-author.
<b>Type of indicator</b>	<b>Output indicator:</b> Measures the number of publications meeting specific requirements
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Publications:</b> eRKC (quality control and capturing of data submitted by research programmes)</li> <li>• <b>Staff:</b> HR</li> </ul>

## Indicator 3.1: Master's level interns

<b>Indicator title</b>	The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC
<b>Short definition</b>	<b>Number:</b> Number of persons employed by the HSRC during the reporting period as Master's level interns
<b>Purpose/importance</b>	Counts the number of persons employed by the HSRC as Master's level interns during the period under review, as an indication of capacity development initiatives
<b>Source/collection of data</b>	Staff database (HR)
<b>Method of calculation</b>	Count the total number of Master's level interns (research trainees) employed by the HSRC during the period under review.
<b>Data limitations</b>	Persons who in their appointment letters are indicated as Master's Intern or Master's Research Trainee and who have assumed duty at the HSRC Further clarification: <ul style="list-style-type: none"> <li>• Appointment and period of appointment in accordance with Board-approved Researcher Trainee Policy</li> <li>• The necessary supporting documentation (e.g. proof of registration at higher education institution or agreement with HSRC mentor) must be available for auditing purposes.</li> </ul>
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Input (measures number of Master's interns appointed)</li> <li>• <b>Effectiveness indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>
<b>Calculation type</b>	Cumulative (year to date)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Submission of supporting documents:</b> Research programmes, coordinated by HR (Learning and Development)</li> <li>• <b>Staff:</b> HR</li> <li>• <b>Total (cumulative) number:</b> RMS (IT)</li> </ul>

## Indicator 3.2: PhD level interns

<b>Indicator title</b>	The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC
<b>Short definition</b>	<b>Number:</b> Number of persons employed by the HSRC during the reporting period as doctoral (PhD) level interns
<b>Purpose/importance</b>	Counts the number of persons employed by the HSRC as PhD level interns during the period under review, as an indication of capacity development initiatives.
<b>Source/collection of data</b>	Staff database (HR)
<b>Method of calculation</b>	Count the total number of PhD level interns (research trainees) employed by the HSRC during the period under review.
<b>Data limitations</b>	Persons who in their appointment letters are indicated as PhD Intern, doctoral Intern, PhD Research Trainee or Doctoral Research Trainee and who have assumed duty at the HSRC Further clarification: <ul style="list-style-type: none"> <li>• Appointment and period of appointment in accordance with Board-approved Researcher Trainee Policy</li> <li>• The necessary supporting documentation (e.g. proof of registration at higher education institution) must be available for auditing purposes</li> </ul>
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Input (measures number of PhD interns appointed)</li> <li>• <b>Effectiveness indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>
<b>Calculation type</b>	Cumulative (year to date)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Submission of supporting documents:</b> Research programmes, coordinated by HR (Learning and Development)</li> <li>• <b>Staff:</b> HR</li> <li>• <b>Total (cumulative) number:</b> RMS (IT)</li> </ul>

### Indicator 3.3: Post-doctoral fellows

<b>Indicator title</b>	The number of post-doctoral fellows (research associates) appointed at the HSRC
<b>Short definition</b>	<b>Number:</b> Number of persons employed by the HSRC during the reporting period as post-doctoral fellows (research associates)
<b>Purpose/importance</b>	Counts the number of persons employed by the HSRC as post-doctoral fellows during the period under review, as an indication of capacity development initiatives.
<b>Source/collection of data</b>	Staff database (HR)
<b>Method of calculation</b>	Count the total number of post-doctoral fellows (research associates) employed by the HSRC during the period under review.
<b>Data limitations</b>	Persons who in their appointment letters are indicated as post-doctoral fellows and who have assumed duty at the HSRC Further clarification: <ul style="list-style-type: none"> <li>• Appointment and period of appointment in accordance with Board-approved Researcher Trainee Policy</li> <li>• The necessary supporting documentation (e.g. proof of successful completion of doctoral studies) must be available for auditing purposes.</li> </ul>
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Input (measures number of post-doctoral fellows appointed)</li> <li>• <b>Effectiveness indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>
<b>Calculation type</b>	Cumulative (year to date)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Submission of supporting documents:</b> Research programmes, coordinated by HR (Learning and Development)</li> <li>• <b>Staff:</b> HR</li> <li>• <b>Total (cumulative) number:</b> RMS (IT)</li> </ul>

### Indicator 3.4: Completed Master's level research internships

<b>Indicator title</b>	Completed Master's level research internships
<b>Short definition</b>	<b>Number:</b> Number of interns (research trainees) enrolled in a Master's programme who have completed the programme during the period under review.
<b>Purpose/importance</b>	Counts the number of Master's level interns who have completed their programme during the period under review, as an indication of capacity development initiatives.
<b>Source/collection of data</b>	Staff database (HR)
<b>Method of calculation</b>	Count the total number of Master's level interns (research trainees) employed by the HSRC who have completed their programme during the period under review.
<b>Data limitations</b>	Persons who in their appointment letters are indicated as Master's Intern or Master's Research Trainee and who have assumed duty at the HSRC Further clarification: <ul style="list-style-type: none"> <li>• Appointment and period of appointment in accordance with Board-approved Researcher Trainee Policy</li> <li>• The necessary supporting documentation (e.g. proof of registration at higher education institution, HSRC appointment letter, and proof of completion of degree studies) must be available for auditing purposes.</li> <li>• In cases where proof of successful completion of academic studies is submitted after the intern has left the employment of the HSRC: This will be recognised as a completed Master's level research internship if documentary proof is provided that the dissertation/thesis prepared by the intern had been submitted for examination purposes and receipt acknowledged by the higher education institution in question, before the intern left the employment of the HSRC.</li> </ul>
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Output (measures number of internships completed)</li> <li>• <b>Effectiveness indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>



Calculation type	Cumulative (year-end)
Reporting cycle	Quarterly
New indicator	No
Desired performance	Equal to or more than the agreed target
Indicator responsibility	<ul style="list-style-type: none"> <li>• <b>Submission of supporting documents:</b> Research programmes, coordinated by HR (Learning and Development)</li> <li>• <b>Staff:</b> HR</li> <li>• <b>Total (cumulative) number:</b> RMS (IT)</li> </ul>

### Indicator 3.5: Completed PhD level research internships

Indicator title	Completed PhD level research internships
Short definition	<b>Number:</b> Number of interns (research trainees) enrolled in a PhD programme who have completed the programme during the period under review.
Purpose/importance	Counts the number of PhD level interns who have completed their programme during the period under review, as an indication of capacity development initiatives.
Source/collection of data	Staff database (HR)
Method of calculation	Count the total number of PhD level interns (research trainees) employed by the HSRC who have completed their programme during the period under review.
Data limitations	<p>Persons who in their appointment letters are indicated as PhD Intern or Master’s Research Trainee and who have assumed duty at the HSRC</p> <p>Further clarification:</p> <ul style="list-style-type: none"> <li>• Appointment and period of appointment in accordance with Board-approved Researcher Trainee Policy</li> <li>• The necessary supporting documentation (e.g. proof of registration at higher education institution, HSRC appointment letter, and proof of completion) must be available for auditing purposes</li> <li>• In cases where proof of successful completion of academic studies is submitted after the intern has left the employment of the HSRC: This will be recognised as a completed PhD level research internship if documentary proof is provided that the dissertation / thesis prepared by the PhD intern had been submitted for examination purposes and receipt acknowledged by the higher education institution in question, before the intern left the employment of the HSRC.</li> </ul>
Type of indicator	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Output (measures number of interns completed)</li> <li>• <b>Effectiveness Indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>
Calculation type	Cumulative (year-end)
Reporting cycle	Quarterly
New indicator	Yes
Desired performance	Equal to or more than the agreed target
Indicator responsibility	<ul style="list-style-type: none"> <li>• <b>Submission of supporting documents:</b> Research programmes, coordinated by HR (Learning and development)</li> <li>• <b>Staff:</b> HR</li> <li>• <b>Total (cumulative) number:</b> RMS (IT)</li> </ul>

### Indicator 3.6: Training academies hosted (“winter/summer schools” or methodology workshops)

Indicator title	Training academies hosted (“winter/summer schools” or methodology workshops) hosted
Short definition	<b>Number:</b> The number of formal training events dealing with research methodology in the human or social sciences hosted by the HSRC for attendance by academics and (postgraduate) students
Purpose/importance	Counts the number of formal training events offered as an indication of capacity development initiatives.

<b>Source/collection of data</b>	Training programme and attendance registers for the events obtained from Learning and Development or the host research programme(s)
<b>Method of calculation</b>	Count the number of recognised formal training events offered during the period under review as per attendance register.
<b>Data limitations</b>	The programme of the workshop or event should cover two to three days. The programme of the event should be coordinated by the Executive Director or Head of a research programme of the HSRC (or designate). The topic of the workshop should deal with methodological issues relevant to HSRC research or research data. At least 20 academics or students should register and participate in the event.
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Output (measures number of workshops hosted)</li> <li>• <b>Effectiveness indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	Yes
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• <b>Submission and capturing of supporting documents:</b> Workshop coordinator.</li> <li>• <b>Total number:</b> RMS (IT)</li> </ul>

## Indicator 4.1: Preserved datasets

<b>Indicator title</b>	Preserved datasets
<b>Short definition</b>	<b>Number:</b> The number of HSRC research datasets that were preserved and made available for secondary use during the period under review.
<b>Purpose/importance</b>	Counts the number of unique datasets that were preserved for future use, for the first time during the period of review. This serves as an indicator of the extent to which the HSRC responds to its mandated objective of developing and making publicly available new datasets to underpin research, policy development and public discussion.
<b>Source/collection of data</b>	List of datasets preserved and made available for secondary use during the period under review.
<b>Method of calculation</b>	Count the total number of unique datasets that were preserved and made available for secondary use, for the first time during the period of review.
<b>Data limitations</b>	Data refers to computer-readable research data and may be: Quantitative data files consisting of a matrix of numbers or words and its related metadata, such as variable labels, code labels and missing value definitions, including data with spatial references and maps based on these references, or summary data tables. The final dataset might include both raw data and derived variables which would be described in the documentation associated with the dataset and/or Qualitative data sets that might include transcripts, thematic coding and conceptual maps, photographs, videos, and audio data with the related documentation. A dataset as an entity for performance measuring purposes refers to a collection of measurements that describe a particular phenomenon under review.
<b>Type of indicator</b>	<ul style="list-style-type: none"> <li>• <b>Quantity indicator:</b> Output (measures number of data sets)</li> <li>• <b>Effectiveness indicator:</b> Measures extent of achieving HSRC mandate</li> </ul>
<b>Calculation type</b>	Cumulative (year-end)
<b>Reporting cycle</b>	Quarterly
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• eRKC</li> <li>• <b>Total number:</b> RMS (IT)</li> </ul>

## Indicator 4.2: Secondary use of preserved data

<b>Indicator title</b>	<b>Secondary use of preserved data:</b> The number of unique downloads of HSRC curated data sets during the period under review
<b>Short definition</b>	<b>Number:</b> The number of unique instances of HSRC curated datasets that are downloaded for secondary use via the designated HSRC web “research data” interface during the period under review
<b>Purpose/importance</b>	Indicator for research quality, relevance and impact: <ul style="list-style-type: none"> <li>• In support of the HSRC mandated objective of making data available</li> <li>• Data that is re-used is subject to further quality control, and is also contributing to increased efficiencies and cost savings in the international science system.</li> </ul>
<b>Source/collection of data</b>	The downloads are registered in a database linked to the HSRC curated datasets made available via the HSRC website. Prospective users of curated HSRC data sets register on the database. <b>The Head:</b> Data Curation in LIS is responsible for managing the system of capturing downloads and extracting the required statistics from the database.
<b>Method of calculation</b>	IT is responsible for managing the system of capturing downloads and extracting the required statistics from the database. This is subsequently verified by the Head: Digital Curation in the eRKC.
<b>Data limitations</b>	It will be the number of downloads of curated data sets registered annually: <ul style="list-style-type: none"> <li>• The unique downloads per data set per person are captured in the database linked to the system.</li> <li>• Downloads when people download the same data file multiple times or multiple formats of the same file are counted only once.</li> <li>• Downloads from users such as developers and data curation staff are excluded.</li> <li>• The downloads are registered in a database linked to the website. This is queried to provide the required statistic.</li> <li>• The source download data and the database queries used for the calculation reside in the relevant IT system which produces the performance report on the RMS.</li> </ul>
<b>Type of indicator</b>	<b>Impact indicator:</b> Measures number of instances of data sets downloaded for secondary use.
<b>Calculation type</b>	Non-cumulative (Annual target)
<b>Reporting cycle</b>	Annual
<b>New indicator</b>	No
<b>Desired performance</b>	Equal to or more than the agreed target
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• eRKC</li> <li>• <b>Total number:</b> RMS (IT)</li> </ul>

## Indicator 5.1: Senior researchers who are African (see footnote)

<b>Indicator title</b>	Researchers at senior level (SRS/SRM or above) who are African
<b>Short definition</b>	<b>Percentage:</b> The number of South African researchers at senior level (SRS/SRM or above) who are African, divided by the total number of researchers at senior level (SRS/SRM or above) employed by the HSRC at the end of the reporting period, expressed as a percentage
<b>Purpose/importance</b>	Tracks the relative growth in senior South African researchers who are African, as an indicator of the progress made in achieving equity and excellence in a highly skilled and scarce category of staff.
<b>Source/collection of data</b>	Staff database (HR)
<b>Method of calculation</b>	<ol style="list-style-type: none"> <li>Number of African<sup>1</sup> (“African” as per StatsSA population information) South African citizens appointed at SRS/SRM level or above</li> <li>Number of African South African permanent residents or African foreign nationals (excluding African Research Fellows) appointed at SRS/SRM level or above</li> <li>Number of all researchers appointed at SRS/SRM level or above (excluding African Research Fellows)</li> </ol> <b>Percentage:</b> [(a+b)/c]x100
<b>Data limitations</b>	As above

1 This target refers to the StatsSA classification of “African” in terms of population group reporting, i.e. black persons of African origin. It is intended to redress past inequalities and associated backlogs in representivity and access, by promoting capacity building and career development of Black African South African researchers; it is not intended to perpetuate past divisions based on racial classifications.

Type of indicator	Equity indicator: Measures extent of achieving equity targets
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Equal to or more than the agreed target
Indicator responsibility	<ul style="list-style-type: none"> <li>• Head: HR</li> <li>• Total number: RMS (IT)</li> </ul>

## Indicator 5.2: Senior researchers who are female

Indicator title	Researchers at senior level (SRS/SRM or above) who are female.
Short definition	<b>Percentage:</b> The number of researchers at senior level (SRS/SRM or above) who are female, divided by the total number of researchers at senior level (SRS/SRM or above) employed by the HSRC at the end of the reporting period, expressed as a percentage
Purpose/importance	Tracks the relative growth in senior researchers who are female as an indicator of the progress made in achieving equity and excellence in a highly skilled and scarce category of staff.
Source/collection of data	Staff database (HR)
Method of calculation	<ol style="list-style-type: none"> <li>Number of female senior researchers appointed at SRS/SRM level or above</li> <li>Number of all researchers appointed at SRS/SRM level or above (excluding African Research Fellows)</li> </ol> <p><b>Percentage:</b> <math>[a/b] \times 100</math></p>
Data limitations	As above
Type of indicator	Equity indicator: Measures extent of achieving equity targets
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Equal to or more than the agreed target
Indicator responsibility	<ul style="list-style-type: none"> <li>• Head: HR</li> <li>• Total number: RMS (IT)</li> </ul>

## Indicator 6.1: Extra-parliamentary income

Indicator title	The percentage of total income that is extra-parliamentary
Short definition	The percentage of total income of the HSRC that comes from sources other than its parliamentary allocation
Purpose/importance	Tracks the extent to which the HSRC is able to augment its parliamentary income with external income, and monitors the balance between parliamentary and extra-parliamentary income as an indicator of financial sustainability linked to relative independence.
Source/collection of data	<b>Source:</b> Financial information (actual income received) as reflected in "statement of financial performance" at the end of the reporting period
Method of calculation	<p>Identify the following sources of income:</p> <ol style="list-style-type: none"> <li>Research revenue</li> <li>Parliamentary grants</li> <li>Other income</li> </ol> <p><b>Percentage:</b> <math>[(a+c)/(a+b+c)] \times 100</math></p>
Data limitations	As above
Type of indicator	Input indicator

Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Equal to or more than the agreed target
Indicator responsibility	<ul style="list-style-type: none"> <li>• Data: CFO</li> </ul>

## Indicator 6.2: Multi-year grants

Indicator title	The percentage of research grants that are multi-year (at least three years)
Short definition	The number of approved current research contracts or agreements that run over a period of at least three budget years, as a percentage of the number of approved current research contracts or agreements that are in place for the year under review.
Purpose/importance	Tracks the extent to which the HSRC is able to depend on longer-term external research funding sources to achieve external funding targets, as a measure of financial sustainability over time.
Source/collection of data	Contract information from Contracts Registry: Income-generating contracts only.
Method of calculation	<ol style="list-style-type: none"> <li>Select from the contracts repository, all approved current (open), income-generating contracts in the "research contracts" folder</li> <li>From (a) select all contracts with a total value that is equal to or greater than R500 000 (excluding VAT) over the total life span of the contract</li> <li>From (b) select all the contracts with a start date and end date indicating that the contract has a life span of at least 3 financial years (Multi-year research grants)</li> </ol> <p>Percentage: <math>c/b \times 100</math></p>
Data limitations	<p><b>Clarification:</b> The following research-related contracts are excluded for reporting purposes: Contracts with a total monetary value of less than R500 000 (excluding VAT).</p> <p><b>For contracts selected for inclusion:</b></p> <p>Current open contract:</p> <ul style="list-style-type: none"> <li>• The contract has an end date in the course of, or after the current financial year, and is linked to a project in a research programme, as approved by Finance.</li> <li>• Modifications / extensions of research contracts are not treated as separate contracts, but as forming part of the original contract that has been modified or extended. Such modifications / extensions to contracts may have an impact on the total duration of the contract, as well as to the total value of the contract.</li> </ul> <p>Total duration of the contract:</p> <ul style="list-style-type: none"> <li>• Read start date and end date of contract as recorded by Legal Services when capturing the original contract on the contracts repository</li> </ul> <p>To accommodate any approved formal amendments to original contract:</p> <ul style="list-style-type: none"> <li>• Read start date as per original contract and end date as per most recent formal amendment, as approved and recorded by Legal Services.</li> </ul> <p>Total rand value over the full life time of the contract:</p> <ul style="list-style-type: none"> <li>• Calculate the total rand value of the contract, excluding VAT if applicable, and as recorded by Legal Services when capturing the original contract on the contracts repository.</li> </ul> <p>To accommodate any approved formal amendments to original contract:</p> <ul style="list-style-type: none"> <li>• Add or subtract any additions or reductions to the agreed original total contract amount (excluding VAT) as per formal amendment(s) approved and recorded by Legal Services</li> </ul>
Type of indicator	Input indicator relevant to effectiveness: More large-scale, long-term contracts reduce the burden of ongoing fundraising activities and the need to manage various small projects instead of fewer but larger projects.
Calculation type	Non-cumulative
Reporting cycle	Quarterly
New indicator	No
Desired performance	Equal to or more than the agreed target
Indicator responsibility	<ul style="list-style-type: none"> <li>• Data: CFO &amp; RMS</li> <li>• Contract information – Legal Services</li> </ul>







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