HUMAN SCIENCES RESEARCH COUNCIL annual performance plan 2022 2023

science & innovation
Department:
Science and Innovation
REPUBLIC OF SOUTH AFRICA

HSRC
Human Sciences
Research Council

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Statement of the Executive Authority

The Human Sciences Research Council's Annual Performance Plan 2022/23 is guided by the National Development Plan, government's Medium-Term Strategic Framework outcomes 2019–2024 and Agenda 2063. It also considers other relevant policies such as the 2019 White Paper on Science and Technology and its decadal plans, the White Paper for Post-School Education and Training and the United Nations Sustainable Development Goals. The Annual Performance Plan (APP) is fully aligned with the entity's Strategic Plan for 2020–2025, the organisation's mandate and government priorities.

The APP will be implemented under the auspices of the Human Sciences Research Council's Accounting Authority, the Board, and implementation will be monitored through the quarterly and annual reporting structures.

Dr BE Nzimande, MP
MINISTER OF HIGHER EDUCATION, SCIENCE AND INNOVATION
Executive Authority of the
Human Sciences Research Council

Statement of the Accounting Authority

The HSRC will continue its focus on poverty and inequality over the current five-year strategic plan period, which commenced in April 2020. Through its vision of being a national, regional and global leader in the production and dissemination of transformative social science and humanities research in the interests of a just and equal society, the HSRC will contribute to addressing the major developmental challenges in South Africa and on the continent. It will use its unique knowledge-production abilities to support national developmental priorities by:

- Contributing to poverty alleviation
- Offering solutions to reduce the inequality gap
- Facilitating innovation around employment creation.

The approach to this is through a focused and consolidated programme of work organisationally structured to respond to national priorities.

As the HSRC's Accounting Authority, the Board has approved and adopted this Annual Performance Plan as being a proper representation of what the Council wishes to achieve during the financial year. In its oversight role, the Board will monitor, track and report on the implementation thereof.

Dr Cassius Lubisi
CHAIRPERSON: HSRC BOARD
for the Accounting Authority of
the Human Sciences Research Council

Official Sign-Off

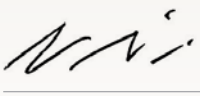
It is hereby certified that this Annual Performance Plan:

- Was developed by the Board and management of the Human Sciences Research Council (HSRC) under the guidance of the Minister of Higher Education, Science and Innovation
- Takes into account all the relevant policies, legislation and other mandates for which the HSRC is responsible
- Accurately reflects the Impact, Outcomes and Outputs which the HSRC will endeavour to achieve over the period 2022 to 2023.

Ms Jacomien Rousseau
CHIEF FINANCIAL OFFICER

Prof. Leickness Simbayi
CHIEF EXECUTIVE OFFICER (ACTING)

Dr Cassius Lubisi
ACCOUNTING AUTHORITY



Approved

Dr BE Nzimande
EXECUTIVE AUTHORITY

Abbreviations

4IR	Fourth Industrial Revolution
AISA	Africa Institute of South Africa
APP	Annual Performance Plan
ASSAf	Academy of Science of South Africa
CEO	Chief Executive Officer
CeSTII	Centre for Science, Technology and Innovation Indicators
CFO	Chief Financial Officer
COP	Community of Practice
DHET	Department of Higher Education and Training (now Ministry of Higher Education, Science and Technology)
DPME	Department of Planning, Monitoring and Evaluation
ED	Executive Director
EE	Employment Equity
ENE	Estimates of National Expenditure
eRKC	eResearch Knowledge Centre
HDI	Historically Disadvantaged Institutions
HEI	Higher Education Institution
HESTIIL	Higher Education, Science, Technology and Innovation Institutional Landscape
HR	Human Resources
H&SS	Human and Social Sciences
HSRC	Human Sciences Research Council
IT	Information Technology
IPTT	Intellectual Property and Technological Transfer
ISBN	International Serial Book Number
MoU	Memorandum of Understanding
MTEF	Medium-Term Expenditure Framework
MTSF	Medium-Term Strategic Framework
NDP	National Development Plan
NSI	National System of Innovation
OHSA	Occupational Health and Safety Act
PFMA	Public Finance Management Act
POPIA	The Protection of Personal Information Act (POPI), (Act No. 4 of 2013)
PSET	Post-School Education and Training
RD	Research Director
RMS	Research Management System
SDG	Sustainable Development Goal
SRM	Senior Research Manager
SRS	Senior Research Specialist
STI	Science, Technology and Innovation
TIDS	Technical Indicator Descriptions

our mandate

Updates to legislative and policy mandates

Two changes in legislation occurred in the preceding period and, that is the Science and Technology Laws Amendment Act was promulgated in October 2020 and the Protection of Personal Information Act which came into effect on 1 July 2021, after a one-year grace period for compliance with the Act.

The HSRC mandate is informed by the major legislation as outlined below:

1. The Constitution of the Republic of South Africa (1996)
2. The HSRC Act, 2008 (Act No. 17 of 2008)
3. The Science and Technology Laws Amendment Act (Act 9 of 2020
4. The Public Finance Management Act, 1999 (Act No. 1 of 1999 as amended)
5. The National Health Act 2003, (Act No. 61 of 2003)
6. The Protection of Personal Information Act (POPI), (Act No. 4 of 2013)

Major policy developments that are considered in the 2022/23 Annual Performance Plan include the Science, Technology and Innovation Decadal Plan 2020, the Economic Reconstruction and Recovery Plan and the 2020 Review of South Africa's Higher Education, Science, Technology and Innovation Institutional Landscape (HESTIIL) Report entitled *"A New Pathway 2030: Catalysing South Africa's NSI for Urgent Scaled Social and Economic Impact"*.

Constitutional mandate

As supreme law of the country, the Constitution of the Republic of South Africa (1996) applies to all laws, and binds all organs of state, including the Human Sciences Research Council (HSRC). In particular, the values enshrined in Chapter 1 of the Constitution and the Bill of Rights outlined in Chapter 2 affirm the democratic values of human dignity, equality and freedom that underpin and permeate the research agenda of the HSRC. More specifically, in outlining the principles of co-operative government and intergovernmental relations, Section 41 of the constitution requires the provision of effective, transparent, accountable and coherent government for the republic as a whole, by all spheres of government and all organs of state. The HSRC has a particular role and mandate to fulfil in this, by informing the effective formulation and monitoring of policy, and evaluating the implementation of policy.

Specific sections in the Bill of Rights confer particular rights and responsibilities to a research institution such as the HSRC. Section 16 addresses freedom of expression, including the right to academic freedom and freedom of scientific research. Section 12(2)(c) highlights the right not to be subjected to medical or scientific experiments without informed consent, which reminds the HSRC of its responsibility to ensure that all its research that involves or relates to human participants is undertaken ethically and with integrity.

2

Legislative and policy mandates

The HSRC is a statutory research council, mandated to perform in terms of the Human Sciences Research Council Act, 2008 (Act No. 17 of 2008) (HSRC Act). This act highlights the public purpose of the HSRC and, in terms of Section 3, requires the organisation to:

- A Initiate, undertake and foster strategic basic and applied research in human sciences, and to address developmental challenges in the republic, elsewhere in Africa and in the rest of the world by gathering, analysing and publishing data relevant to such challenges, especially by means of projects linked to public sector oriented collaborative programmes:
  - The Science and Technology Laws Amendment Act (Act 9 of 2020) expanded on this objective by providing for the Council to perform its functions in any territory outside of the Republic.
- B Inform the effective formulation and monitoring of policy, as well as evaluate the implementation thereof
- C Stimulate public debate through the effective dissemination of fact-based research results
- D Help build research capacity and infrastructure for the human sciences.
- E Foster research collaboration, networks and institutional linkages
- F Respond to the needs of vulnerable and marginalised groups in society through research and analysis of developmental issues, thus contributing to the improvement of the quality of their lives
- G Develop and make available data sets underpinning research, policy development and public discussion of developmental issues
- H Develop new and improved methodologies for use in the development of such data sets.

While most of the clauses under Section 3 explain how the HSRC should do its work, Section 3(f) provides a strategic lens to help focus the research agenda of the organisation. The emphasis is on engaged research to address needs and development issues relevant to (unequal and poor) vulnerable and marginalised groups in such a way that it contributes to improving the quality of their lives.

In terms of Section 4 of the HSRC Act, the organisation is also allowed to undertake or commission research on any subject in the field of the human sciences and to charge fees for research conducted or services rendered at the request of others.

Section 2(2) of the HSRC Act confirms that the Public Finance Management Act, 1999 (Act No. 1 of 1999 as amended) (PFMA) applies to the organisation. The HSRC is listed as a national public entity in Schedule 3A of the PFMA, and complies with the PFMA requirements set for institutional governance, as well as for financial and performance management and reporting.

The way in which the HSRC undertakes research is also informed by clauses in the National Health Act 2003, (Act No. 61 of 2003). The definition for 'health research' is broad, and explicitly includes "any research which contributes to knowledge of the biological, clinical, psychological or social processes in human beings". The HSRC thus adheres to the requirements for ethical conduct of research outlined in Chapter 9 of the National Health Act and associated regulations and guidelines.

The Protection of Personal Information Act (POPI), (Act No. 4 of 2013) ("POPIA") is intended to promote the right to privacy as stipulated in the Constitution, while at the same time protecting the flow of information and advancing the right of access to and protection of information.

In its operations, the HSRC processes various categories of personal information, such as Research, Human Resources, Finance, Supply Chain Management, Information Technology, Legal, Communications and Building & Maintenance Services. In processing any information in these categories, the HSRC will adhere to the conditions for lawful processing of personal information as set out in the Act. Policies and procedures are in place to ensure that all publicly available datasets are de-identified.

In addition, the HSRC Research Ethics Committee (REC) has received ongoing presentations and information sessions relating to POPIA and its implications for research. All research ethics applications received by the HSRC REC are being reviewed for POPIA compliance.

It is of interest to note that POPIA provides certain exceptions from the lawful conditions of processing personal information for personal information that is processed for research purposes, for example, the provision regarding collection directly from the data subject can be waived for research, and the further processing of personal information is permissible for research purposes, where there are organisational safeguards in place to protect the confidentiality of the information and any potential harm to the data subject(s), and where the information will not be published in an identifiable form.

The Academy of Science of South Africa (ASSAf) is currently finalising a Code of Conduct under POPIA for Research. POPIA provides that a sufficiently representative body can develop a code of conduct to provide clear guidance on the interpretation and implementation of the provisions of POPIA for a distinct sector. Once the ASSAf POPIA Code of Conduct for Research is approved by the Information Regulator, following publication in the Government Gazette for public input, the Code will be binding law on all institutions and individuals conducting research in South Africa.

The policy framework in which the HSRC operates and aligns itself to, includes key national and international policies and strategies, notably:

1. The National Development Plan
2. The Medium-term Strategic Framework 2019-2024
3. The 2019 White Paper on Science and Technology and its decadal implementation plans
4. The White Paper for Post-school Education and Training (2013)
5. The United Nations Sustainable Development Goals
6. The African Union Agenda 2063

The HSRC Strategic Plan is strongly aligned with national strategies, notably the National Development Plan (NDP), Vision 2030 (2012), the White Paper on Science, Technology and Innovation (2019) and associated five-year and decadal implementation plans, and government's Medium-Term Strategic Framework (MTSF) for the 2019 – 2024 electoral period.

The overarching emphasis of the **National Development Plan** and its five-year implementation plans is to eliminate income poverty and reduce inequality, by building on three pillars, namely Achieving a More Capable State, Driving a Strong and Inclusive Economy and Building and Strengthening the Capabilities of South Africa. The research agenda of the HSRC is strategically aligned around these pillars and purposes.

The **Medium-Term Strategic Framework 2019–2024** echoes the NDP implementation pillars and identifies seven apex priorities through which to achieve the NDP aims. The HSRC supports the apex priority commitments of the Department of Science and Innovation as illustrated below:

FIGURE 1: NATIONAL DEVELOPMENT PLAN IMPLEMENTATION PILLARS AND SEVEN APEX PRIORITIES

NDP Pillar	01 Achieving a more capable state		02 Driving a Strong and Inclusive Economy		03 Building and strengthening the capabilities of South Africans		
Apex Priority	01 Building a capable, ethical and developmental state	07 A better Africa and world	02 Economic transformation and job creation	04 Consolidating the social wage through reliable and quality basic services	03 Education, skills and health	05 Spatial integration, human settlements and local government	06 Social cohesion and safe communities
DSI Commitment			• Improve competitiveness through ICT adoption • GERD of 1.1% as a percentage of GDP by 2024		Expanded access to PSET opportunities # of PhD students awarded bursaries # of pipeline postgraduate students awarded bursaries		
HSRC Support and/or Output Indicators			CeSTII R&D Surveys to measure and track		• HSRC trainee programme • The percentage of researchers (excluding trainees) with PhDs • The number of PhD trainees		
DSI Commitment					Improved success and efficiency of the PSET system Proportion of university lecturers who hold doctoral degrees (gender, race, disability and age) # of emerging researcher grants to improve % of PhD qualified staff		
HSRC Support and/or Output Indicators					• HSRC trainee programme • The percentage of researchers (excluding trainees) with PhDs • The number of PhD trainees		
DSI Commitment					A responsive PSET system # of graduates and students placed in DSI funded work opportunities # of people reached through outreach, awareness and training programmes in priority sciences		
HSRC Support and/or Output Indicators					DSI-HSRC Internship Programme • The number of conferences or training academies for emerging scholars • The number of structured research engagements with government, policy makers and implementers • The number of research-related engagements with communities and civil society forums • The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers • The number of community innovations supported or enabled by HSRC research		

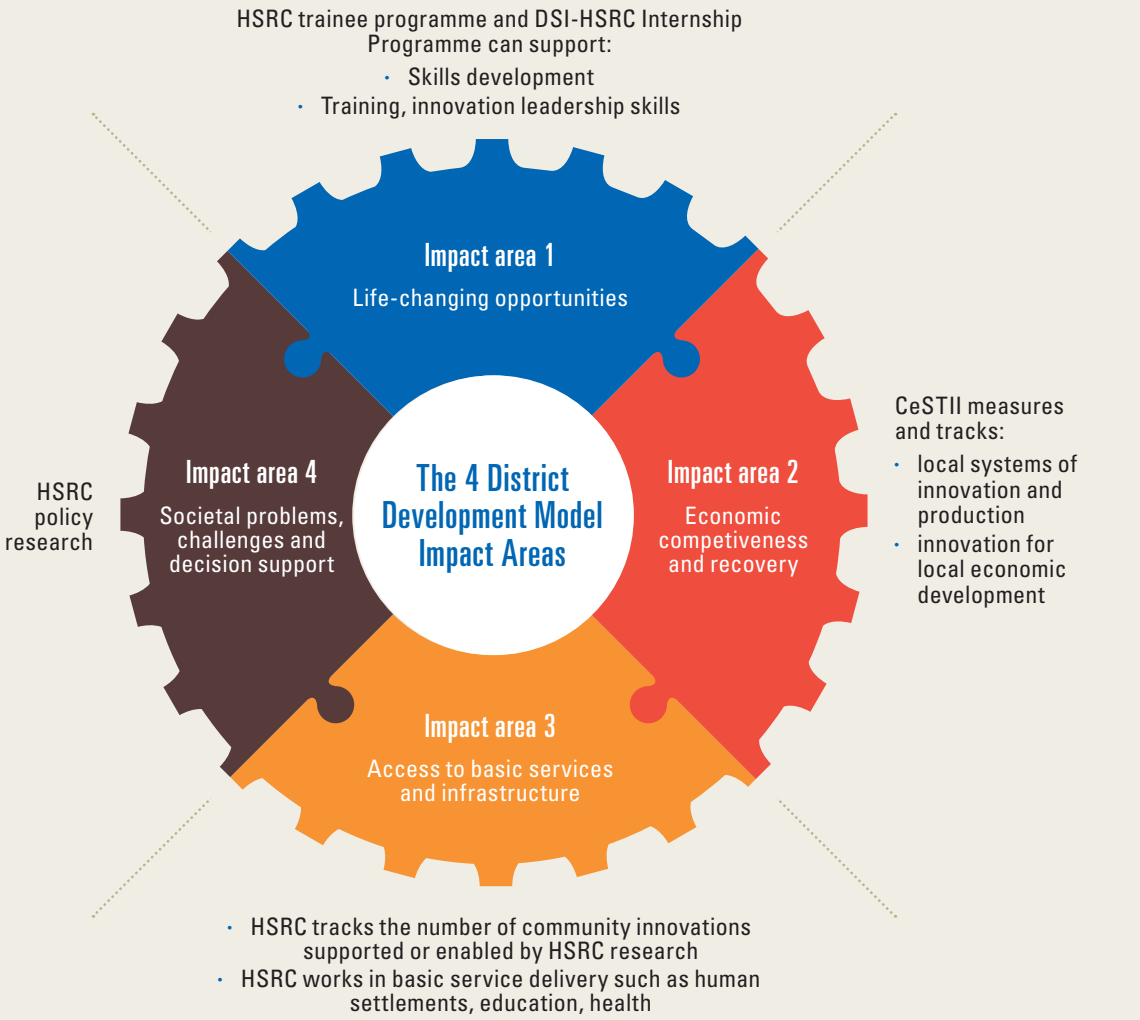
The cross-cutting focus areas of women, youth and people with disabilities point to a commitment to address the needs of all, including vulnerable and marginalised members of society. This commitment resonates well with the public-purpose mandate of the HSRC.

Priority 1 introduces the President's **District Development Model** (DDM). The HSRC, in its renewed focus on the use and impact of its research, has an important contribution to make in monitoring and evaluating the implementation of the model, and assessing the social implications and potential impact thereof in the affected communities. A Synthesis Evaluation Study of the District Development Model is underway in three piloted municipalities in Limpopo, the Eastern Cape and Kwa-Zulu Natal provinces. The study aims are to:

- Conduct a desktop and empirical study on the practical workings of the DDM to determine how it responds to service delivery and development in a concerted and coherent manner within the three piloted municipalities in Limpopo, Eastern Cape, and Kwa-Zulu Natal Provinces;
- Draw on regional and international experiences as case studies to inform the implementation of the successful DDM, for example, review the Ethiopian Agriculture Led-Industrialization from which South Africa developed the DDM; and
- Propose policy options or recommendations to inform the implementation of the DDM in response to the developmental local government mandate.

It is envisaged that the proposed research should be of strategic value to the DPME in the Presidency, COGTA and SALGA to make sure that the DDM works successfully with maximum benefits and minimised risk. The research should also enhance COGTA's role in local government oversight and SALGA's active support to municipalities and local government stakeholders. A report on this work is anticipated to be available by April 2022.

The DSI has identified four DDM impact areas. The key priorities in these areas can be supported by the HSRC as illustrated below:[1]



1. Based on DSI-identified priorities

The **2019 White Paper on Science, Technology and Innovation** (STI) ("the White Paper on STI") identified the following as priorities:

- Raising the profile of STI in South Africa by instilling an innovation culture and integrating STI into cross-cutting government planning at the highest levels
- Strengthening partnerships between business, government, academia and civil society, and creating a more enabling environment for STI
- Focusing on innovation for social benefit and fundamental economic transformation
- Expanding and transforming the human resource base of the National System of Innovation (NSI)
- Increasing investment, both public and private, in STI.

The HSRC's outcomes and outcome indicators are aligned with these priorities, and its research agenda is strongly focused on research for social benefit, as well as economic and societal transformation.

The **Science, Technology and Innovation Decadal Plan** serves as an implementation plan for the White Paper on STI, aimed at increasing the NSI's contribution in achieving South Africa's national objectives through the implementation of the policy intents of the White Paper on STI, in a changing world.[2]

The National Advisory Council on Innovation (NACI) conducted a review of the 2002 National Research and Development Strategy (NRDS) and the Ten-Year Innovation Plan (2008-2018) (TYIP) to establish the successes and weaknesses in the implementation of these policy documents in 2018. The Foresight Study identified nine high-level thematic focus areas, which, together with the review of the National Research and Development Strategy (NRDS) and the Ten-year Innovation Plan (TYIP) enable the formation of the Decadal Plan (DP) interventions.[3]

The Foresight Study thematic areas are framed at the level of five societal grand challenges in the Decadal Plan:[4]

- Climate Change & Sustainability
- Future-proof education and skills
- Health & Well-being
- The future of production & employment
- The future of society

The HESTIIL Review report also identifies the first four of the Foresight Study's thematic areas. The HSRC's Strategic Plan for 2020-2025 aligns very well with all the five societal grand challenges, with the exception of Climate Change as there is minimal research focus of the area at present.

The **White Paper for Post-School Education and Training** (PSET), 2013, sets out strategies to improve the capacity of the post-school education and training system to meet South Africa's needs. It outlines policy directions to guide the Department of Higher Education and Training (DHET), (now known as the Ministry of Higher Education, Science and Technology), and the institutions for which it is responsible, in order to contribute to building a developmental state with a vibrant democracy and a flourishing economy. Its main policy objectives are:

- A post-school system that can assist in building a fair, equitable, non-racial, non-sexist and democratic South Africa
- A single, co-ordinated post-school education and training system
- Expanded access, improved quality and increased diversity of provision
- A stronger and more co-operative relationship between education and training institutions and the workplace
- A post-school education and training system that is responsive to the needs of individual citizens; employers in both public and private sectors; as well as broader societal and developmental objectives.

2. 2021, Department of Science and Innovation, *Science, Technology and Innovation Decadal Plan 2020*, May 2021 Draft
3. 2021, Department of Science and Innovation, *Science, Technology and Innovation Decadal Plan 2020*, May 2021 Draft
4. 2021, Department of Science and Innovation, *Science, Technology and Innovation Decadal Plan 2020*, May 2021 Draft

The HSRC is not primarily tasked with post-school education and training, however, it is cognisant of the provisions and objectives of the PSET White Paper where these concern objectives that the HSRC can support through its work. One such area is in linking education and the workplace. The HSRC continues to provide training opportunities to post-graduate students through its Master's, PhD and Post-doctoral Fellow Trainee Programme. Further, the White Paper identifies skills planning as a weakness, being a result of, inter alia, inadequate research. This is an area where the HSRC can offer direct assistance and has done so in the recent past through the Labour Market Intelligence Partnership. The HSRC will continue to support the objectives as envisaged in the PSET White Paper through a programme of work clustered together as *Responsive Education, Dignified Work and Meaningful Livelihoods*.

Agenda 2063
The Africa we Want

The HSRC's Strategic Plan and associated research agenda are also strongly aligned with the United Nations **Sustainable Development Goals** (SDGs) and the African Union Agenda 2063.

The SDGs seek to:

- End poverty and hunger in the world
- Combat inequalities within and among countries
- Build peaceful, just and inclusive societies
- Protect human rights and promote gender equality
- Ensure the lasting protection of the planet and its natural resources.

The achievement of these goals depends on conditions that enable sustainable and inclusive economic growth, shared prosperity and decent work for all. Several of the SDG goals and targets are addressed, directly or indirectly, through the strategically realigned research agenda of the HSRC.

Agenda 2063 is described as "both a vision and an action plan" for the socioeconomic transformation of Africa over the next fifty years. It builds on, and seeks to accelerate the implementation of past and existing continental initiatives for growth and sustainable development, and presents seven clear aspirations for "the Africa we want", namely:

- A prosperous Africa based on inclusive growth and sustainable development
- An integrated continent, politically united and based on the ideals of Pan-Africanism and the vision of Africa's Renaissance
- An Africa of good governance, democracy, respect for human rights, justice and the rule of law
- A peaceful and secure Africa
- An Africa with a strong cultural identity, common heritage and shared values and ethics
- An Africa whose development is people-driven, relying on the potential of African people, especially its women and youth, and caring for children
- Africa as a strong, united and influential global player and partner.

5. 2020, The South African Economic Reconstruction and Recovery Plan

With its mandated focus on developmental issues that are of national, continental and global importance, the work of the HSRC, also in the context of this new strategic planning period, is integrally related to the aspirations of Agenda 2063.

The Africa Institute of South Africa (AISA) of the HSRC will lead, provide strategic direction and co-ordinate the HSRC's existing Pan-African programme of work, and stimulate new streams of research which are informed by the vision of transforming African societies into dynamic, prosperous and safe and secure spaces.

The **Economic Reconstruction and Recovery Plan** is aimed at stimulating equitable and inclusive growth. The Plan proposes three phases, that is *Engage and Preserve* - which includes a comprehensive health response to save lives and curb the spread of the pandemic; *Recovery and Reform* - which includes interventions to restore the economy while controlling the health risks; and lastly, *Reconstruct and Transform* - which entails building a sustainable, resilient and inclusive economy.5

The Plan acknowledges the particular role of Science, Technology and Innovation in supporting economic reconstruction and recovery, as well as to improve service delivery. While it points out the significance of Research, Development and Innovation to drive economic recovery, it is in addressing the social distress caused by the COVID-19 pandemic and the lockdowns implemented to slow the spread of the disease, that the HSRC is uniquely placed to contribute, and has already contributed significantly through various surveys since March 2020. While this work continues and feeds back to Government via the DSI, the HSRC will also play a vital role in supporting the DSI with:

- analysis of existing data to understand and explain reasons around unemployment and soft skills as part of job readiness and economic recovery; and
- identifying short-, medium- and long-term impacts.

3

Updates to Institutional Policies and Strategies over the five-year planning period

The HSRC has already implemented a suite of policies in support of its core mandate and does not envisage development of new policies. Instead, it will continue revising and strengthening existing policies to guide its strategic research focus, within the broader legal and policy framework outlined above. These policies include, but are not limited to the:

- HSRC Research Policy
- HSRC Code of Research Ethics
- HSRC Data Management Policy
- HSRC Research Integrity Policy
- HSRC Authorship Policy
- HSRC Performance Information Management Policy
- Language Policy.

The following strategies are instrumental in implementing the HSRC's Strategy and will be developed or strengthened in support thereof:

1

Human Resources Strategies

A set of Human Resources (HR) strategies must support the organisation in transforming research capabilities, by building research capacity and transforming human capital. These strategies will focus on recruitment of suitably skilled human resources, retention, transformation and capacity development.

2

Information Technology Strategies

The Information Technology (IT) Strategy will provide such support, processes and structures as are necessary to enable the organisation to implement its core strategy. The IT Strategy will provide solutions for global knowledge generation and dissemination; create an enabling research and technical environment; and foster new skills and capabilities by conducting research, and analysing and publishing data using Fourth Industrial Revolution (4IR) technologies.

In addition to IT, a range of knowledge management activities will be established to oversee and manage data services, collections and resources. These will range from infrastructure that provides data access, and longitudinal studies, to platforms that enable data analytics.

3

Research Use Strategies

These strategies will focus on increasing research *use* through appropriate knowledge-brokering of outputs generated in the research portfolio. The strategies will enable and co-ordinate support and mechanisms for collaboration, convening and communicating.

In support of and to give effect to the Language Policy, the Research Use Strategies will include strategies to address language inclusivity.

Business Development Strategy

A robust Business Development Strategy is required to forge funding partnerships and unlock new funding sources in order to enhance the organisation's sustainability.

4

Updated Situational analysis

The following situational analysis assesses the HSRC's position in relation to government, the NSI and the external and internal forces impacting on its mandate. It is based on the Situational Analysis described in the HSRC's Strategic Plan 2020–2025, but also considers the advent of the COVID-19 pandemic and the impact thereof on the HSRC.

our strategic focus

4

Updated situational analysis

The following situational analysis assesses the HSRC's position in relation to government, the NSI and the external and internal forces impacting on its mandate. It is based on the Situational Analysis described in the HSRC's Strategic Plan 2020–2025, but also considers the advent of the COVID-19 pandemic and the impact thereof on the HSRC.

4.1 The HSRC and Government

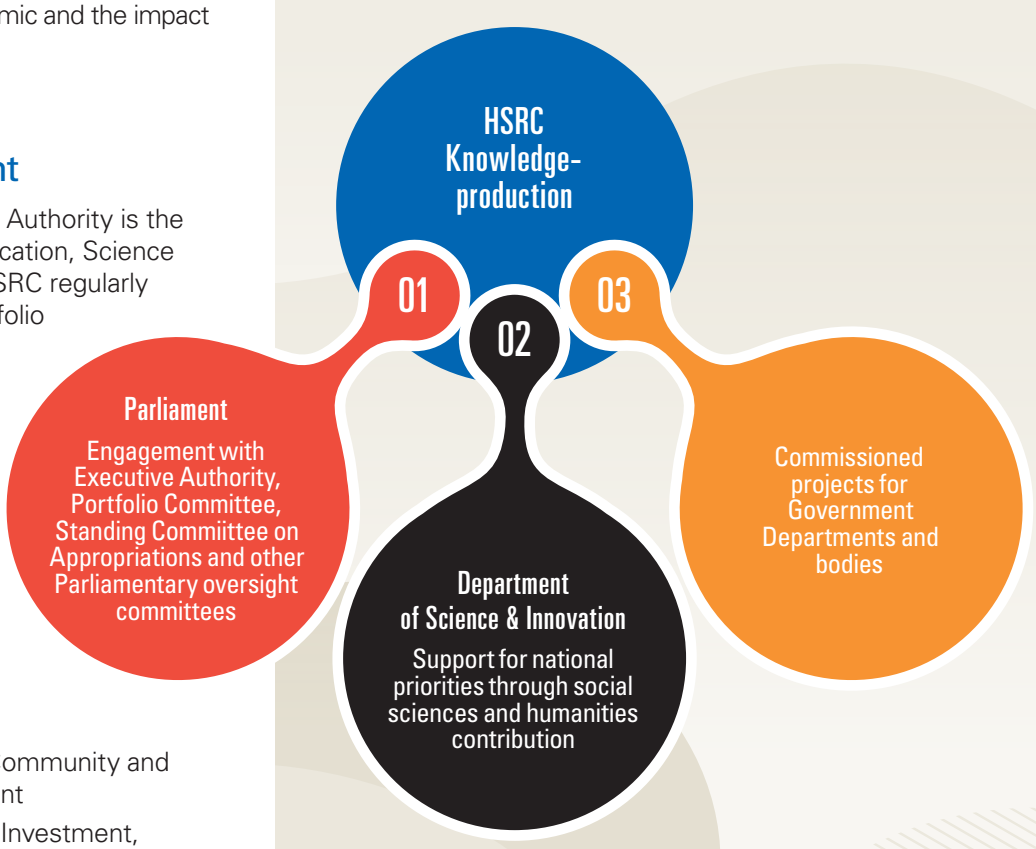
The HSRC's Executive Authority is the Minister of Higher Education, Science and Innovation. The HSRC regularly engages with the Portfolio Committee on Higher Education, Science and Technology on regulatory matters such as the Annual Performance Plan and Annual Report.

The HSRC's work responds mainly to the following Government clusters:

- Social Protection, Community and Human Development
- Economic Sectors, Investment, Employment and Infrastructure Development
- Governance, State Capacity and Institutional Development

In its 2020-2025 Strategic Plan, the HSRC defines one of its 5-year Strategic Outcomes as "A consolidated relationship of trust and influence with government to help guide and inform policy".

This will be achieved through a three-pronged approach:



4.2 The HSRC in the National System of Innovation

The institutions that make up the NSI are similar in many ways. They have similar challenges and opportunities. In the current economic environment, all the SET institutions have had to adjust to reduced levels of financial support from government. All institutions face challenges in developing and retaining skilled members of staff. 'Mandate creep' also sees institutions developing overlapping research agendas. What, in this environment of similarity, sets the HSRC apart from its sister institutions in the NSI?

Science councils

The obvious distinctiveness of the HSRC is its mandate. It must focus on human behaviour and the implications of such on social development. Other entities also have an interest in human behaviour, however, it is not their primary focus. One way of understanding this focus is to say that the HSRC, in relation to its sister SET institutions, has to lead the way for the country in the development of cutting-edge social science and humanities research and the methodologies for producing this research. In this regard, the HSRC has done better in the broad area of the social sciences than it has done in the humanities. It has a track record in conducting large-scale longitudinal surveys, in providing for the country new understandings of the key problems it has to deal with. Examples of this include the scientific capacity and practical experience the HSRC has made available in several key national surveys: illuminating the scope of the HIV/AIDS pandemic; developing improved approaches to dealing with early childhood development; and making clear to the country the extent of the challenge of learning achievement in literacy and numeracy.

Scientific capacity

The HSRC has specialist resources for understanding what the socially determined problems of the country are, why they exist and how they may be solved.

Research

The HSRC has an extensive complement of capabilities in project management, implementation of fieldwork projects, data analysis and data curation. It is also firmly establishing dissemination and research use capacity.

University sector

This sector consists of 26 publicly funded institutions with multiple faculties and research units. The HSRC is a relatively small role player. Where universities primarily focus on the development of human capabilities, the HSRC's mandate and obligation concentrate on solution-orientated research.

Historically, the considerations below were useful in distinguishing between the HSRC and universities:

- The focus of the HSRC is predominantly on research related to the human and social sciences to address developmental issues, to inform policy, and to inform solutions to improve the quality of life of people
- While university-based research is often (though not exclusively) concerned with basic research, grounded in a particular academic discipline, the HSRC is primarily concerned with applied research in accordance with its mandate as spelled out in the HSRC Act
- The HSRC, more so than universities may be able to, works with multi- and transdisciplinary research teams in designated research domains, to focus on specific questions affecting socioeconomic and human development such as poverty, service delivery, governance, education, and the social aspects of health provision
- While universities are vested with the right to academic freedom, the HSRC's autonomy is balanced by a more direct line of accountability, its research agenda being informed by the mandate to undertake research in the broad areas of human and social sciences and for the benefit of the public.

However, these differences are diminishing as universities are being pressurised to move towards more engaged forms of research. This has produced, as seen in Figure 1, a spectrum on which research institutions, such as the HSRC, can be placed in relation to universities.

FIGURE 2: THE RESEARCH MANDATE OF THE HSRC IN RELATION TO UNIVERSITIES

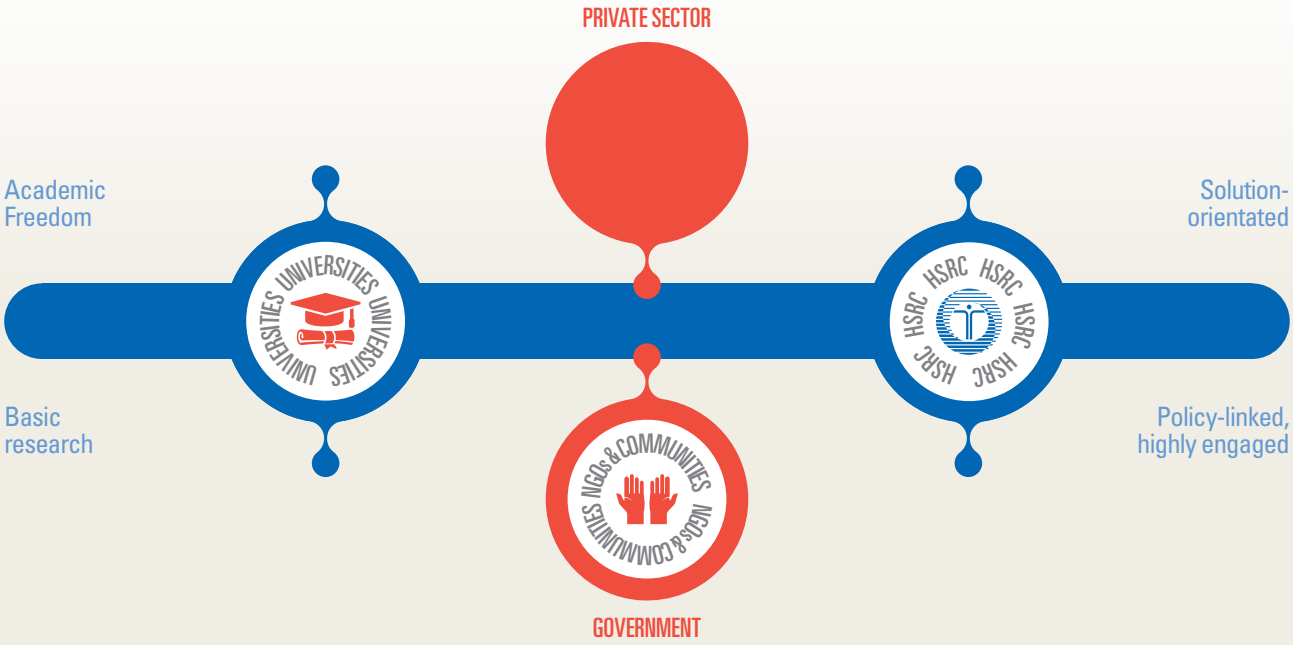


Figure 1 also depicts potential users and/or funders of HSRC research. Active collaborations in the scientific community, both in the public and private sectors, will allow the HSRC to share in available resources – thereby also diversifying its external income sources – and provide complementary research to other research disciplines.

When considering the HSRC's value proposition (as opposed to that of universities) to attract government funding for solution-orientated research, an opportunity presents itself for the HSRC to show its distinctiveness through 'engagement' or engaged research. It will also, in this value chain, place emphasis on the use of research as opposed to only its generation. It furthermore has an important role in establishing appropriate impact metrics across the NSI.

The NSI includes other agencies besides universities and science councils, such as think tanks, private sector research facilities and commercial consultancies. While the HSRC will occasionally co-operate with these organisations, it is often in direct competition with them, including competition for government funding. The difference between the HSRC and these organisations is its obligation to concentrate on questions relating to public good.

The location of the departments of Higher Education and Training, and Science and Innovation under the single Ministry for Higher Education, Science and Innovation, is an opportunity for much closer collaboration and complementary work with universities, as well as with the National Institute of Humanities and Social Sciences (NIHSS). One particular opportunity is now presented to work closely with the NIHSS and the South African Population Research Infrastructure Network (SAPRIN) to respond to the Minister of Higher Education, Science and Innovation's call for mobilisation of the Human and Social Sciences for Covid-19 Management and the Economic Reconstruction and Recovery plan. Similarly, it will collaborate with anchor institutions and role players of the National Policy Data Observatory (NPDO) to achieve its objectives of tracking socio-economic and health impacts from COVID-19, tracking policy responses, and supporting decision-making that can lead to long-term, sustainable recovery in a post-COVID-19 world economic recovery.

The HSRC's intention to collaborate with Universities, Science Councils and other role players in the Social Sciences and Humanities is also given credence in the five-year strategic plan through the strategic outcome of "Recognition as a trusted and engaged research partner within scientific communities and civil society".

The HSRC will continue working with its Executive Authority to explore and unlock opportunities, such as the above, in the wider NSI to enable collaboration as opposed to competition. The challenges in realising this is addressed as part of the external environment analysis that follows.

4.3 External environment analysis

The HSRC's international and national context for the next five years is characterised by a number of key political, economic, social and technological features. While it is true that the external environment also presents several opportunities, the biggest constraint for the HSRC is that despite its broad mandate, it is allocated limited core funding. The following considerations describe the environment and its impact on the HSRC's ability to fulfil its mandate.

4.3.1 The political landscape/Government

(i) An important point of departure in characterising the contemporary situation in South Africa is that it is still in a transition. It is consolidating the gains of becoming a democracy in 1994. In this process lie the challenges of building legitimate public institutions and governance arrangements in which citizens have trust. Following the 2019 elections, the HSRC has had to manage the following realities:

- **A** Being able to inform government policy while, as a non-partisan state entity, simultaneously providing it with critical advice and analysis. As the Ministry of Higher Education, Science and Innovation mobilised the National System of Innovation for a coordinated response to Covid-19 in 2020, the HSRC has responded promptly and will continue adding to these efforts by gathering, assimilating and sharing information that will assist government in understanding the social aspects of the pandemic.
- **B** Consolidating its position as a trusted public institution amid general public mistrust and the disruptiveness of corruption and maladministration in State-Owned Entities.
- **C** A realigned ministry and line department.
- **D** Changing government priorities.

(ii) International dynamics, including support to the HSRC received from foreign governments, have a bearing on the financial support available to it. The deterioration of multilateralism has an associated decline in support for international development agendas. Major players such as the USA, UK and European Union are becoming more internally focused, with global developmental agendas at risk of not receiving the attention and support pledged in the past.

The USA, in particular, attempted to realign its foreign assistance policies under the Trump administration, which, along with budget cuts and the "America First" approach caused some anxiety in the implementation of a development policy.

There are positive indications that the new administration will put aid at the centre of its foreign policy. Focus areas are likely to include, amongst other, strengthening of health systems and addressing other impacts of COVID-19 and supporting democracy.[6]

4.3.2 The economic landscape

(i) The global economic climate impacts on how the HSRC will be supported:

The impact of COVID-19 on economies has been divergent. Richer economies, such as the USA and China seem set for quick recovery, while low-income countries have less favourable prospects, often because of slow access to vaccines and weak public finances.[7] According to the International Monetary Fund's (IMF) July 2021 World Economic Outlook update, the global economy is projected to grow by 6% in 2021 and 4,9% in 2022. However, the outlook for developing economies is marked down for 2021, with vaccine access being a major factor impacting on countries' capacity to normalise or face further resurgent infections.[8]

The devastating effect of the COVID-19 pandemic across the Global-South has highlighted the importance of international aid. It has also changed foreign aid trends – where the emphasis of recent years was on long-term growth and infrastructure projects to decrease poverty rates, it is now focused towards immediate health and material needs in direct response to the pandemic. The risk in sustaining this trend of redirecting aid towards immediate COVID-19 responses, however, is that it might increase the burden of disease when other important health priorities, such as HIV and AIDS and maternal and child health, are sacrificed.[9]

The HSRC's exiting multi-year grants have thus far not been affected by the global economic downturn. However, raising new external income has been a challenge in the wake of local and international fiscal reprioritisation. Although the dialogue on the impact of the pandemic on future development aid and RDI investment is continuing, it is anticipated that raising external income will remain challenging over the immediate period and medium-term, as funders prioritise domestic demands.

6. Kordell Kirsten A. 2020. *"What's Next for Foreign Aid Under Biden?"*. Council on Foreign Relations. [Accessed 8 January 2021.] https://www.cfr.org/in-brief/whats-next-foreign-aid-under-biden
7. Anzetse Were. 2021. *"Divergent recoveries from COVID-19 in Africa require intentional action"*. OECD Development Matters. [Accessed 29 September 2021.] https://oecd-development-matters.org/2021/05/25/divergent-recoveries-from-covid-19-in-africa-require-intentional-action/
8. 2021. Fault Lines Widen in the Global Recovery. World Econoimc Outlook Update. International Monetary Fund. [Accessed 29 September 2021]. https://www.imf.org/en/Publications/WEO/Issues/2021/07/27/world-economic-outlook-update-july-2021
9. Brown S. *The impact of COVID-19 on development assistance*. International Journal. 2021;76(1):42-54. [Accessed 29 September 2021] https://journals.sagepub.com/doi/10.1177/0020702020986888

(i) Local economic climate:

The consolidated government expenditure budget for South Africa for 2021/22 , a total of R2,02 trillion, included a R17,4 billion allocation for innovation, science and technology. This constitutes only 8,4% of the R208,5 billion Economic Development allocation.[10] This is disconcerting when considering that gross domestic expenditure on research and development (GERD) for 2018/19 declined by 5% and that Government remained the main source of funding for RDI in the country, contributing 47,5% of the total spend. Both the business sector and science councils and universities' own contribution also declined. A positive indication for the HSRC, however, is that the biggest R&D-spend (22,4%) is concentrated in the social sciences.[11]

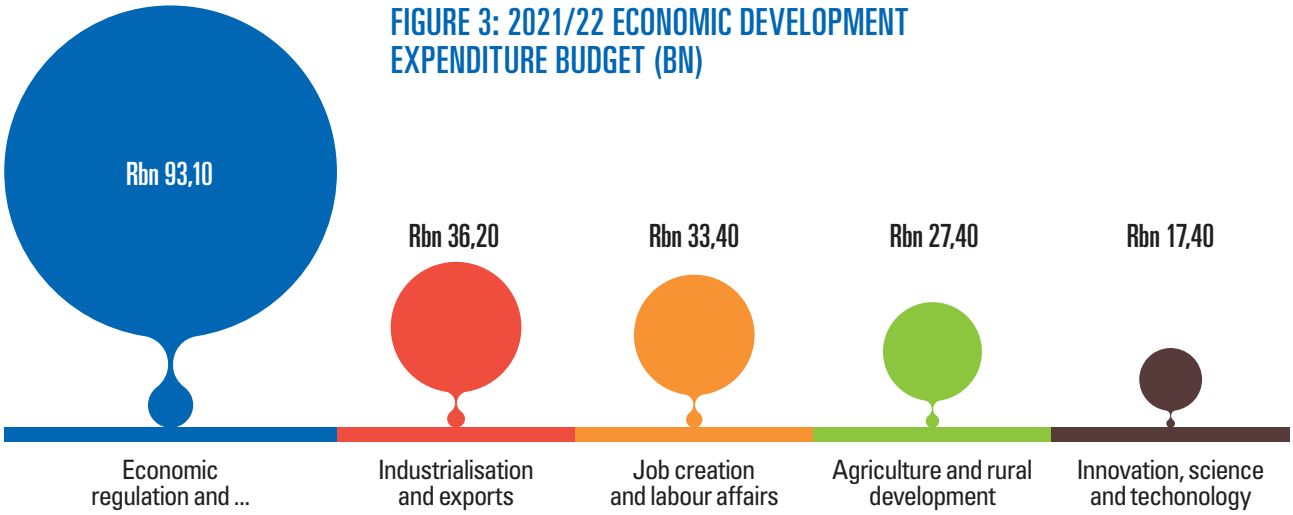
According to the National Treasury, the impact of COVID-19 and slow vaccine roll-out continue to slow down economic recovery. The macro-economic outlook therefore remains constrained. The wage bill and financial weakness of SOEs remain major fiscal risks and the fiscal policies over the medium-term will be geared towards mitigating all risks to public finance. A guiding principle for the 2022 Medium-Term Expenditure Framework is therefore that no additional baseline funding will be dispensed, and the fiscal consolidation framework remains in force.[12]

The adverse effect of the local economic climate on the HSRC has been documented in various submissions and planning documents. As a knowledge institution, the organisation's biggest resource and expense is human resources. This poses a problem in several regards:

- With the continuing fiscal consolidation framework in force, organisations are compelled to contain their CoE. The inability to make appointments to enhance the senior research capacity, coupled with the inability to offer cost-of-living and performance-based increases to staff have resulted in a downward trend of declining staff morale and increasing pressure.
- With the greater part of the Parliamentary Grant allocated to cover the wage bill, researchers remain under pressure to raise external income to supplement the Parliamentary Grant to fund the HSRC's mandate.
- The appointment of PhD trainees had to be adjusted downward as part of the ongoing limitations on CoE.
- The continuing limitation on CoE does not support the prioritisation of research and full-time researcher growth in critical areas of the economy and society, as articulated in the HESTIIL Report recommendations.

Despite these challenges, the HSRC has an obligation and desire to respond to the most pressing social questions in the country and will continue to redirect funding within its available envelope to respond to national priorities, including COVID-19. Whereas the Parliamentary Grant was supplemented with external income to a reasonable extent in previous years, it is accepted that the current financial year will see a sharp decline in external income, as both public and private funders are compelled to reprioritise budget allocations.

FIGURE 3: 2021/22 ECONOMIC DEVELOPMENT EXPENDITURE BUDGET (BN)



10. 2021, National Treasury, Budget Review 2021 [Accessed 29 September 2021]. http://www.treasury.gov.za/documents/national%20budget/2021/review/FullBR.pdf
11. 2021, Centre of Science, Technology and Innovation Indicators, Human Sciences Research Council, South African National Survey of Research and Experimental Development 2018/19.
12. 2021, National Treasury, Medium Term Expenditure Framework, Technical Guidelines 2022.

4.3.3 Social Considerations

(i) The HSRC previously articulated two pertinent social considerations that have a direct impact on it fulfilling its mandate. These were:

- **A** The bias in both the public and private sectors towards the 'hard sciences' as opposed to what are considered to be 'soft sciences'; and
- **B** Changes in the burden of disease in the country. While funding streams are still being accessed in response to e.g. TB and HIV/AIDS, non-communicable diseases are increasingly posing major challenges requiring dedicated resources.

Both considerations remain valid. Changes in the burden of disease now require the organisation to redirect both its focus and available resources to respond to the COVID-19 pandemic. This cannot be done, however, in isolation of or at the cost of progress in understanding, explaining and offering solutions to other life-threatening diseases. A balanced and integrated approach is therefore required to retain momentum in HIV/AIDS and TB work, while contributing to the programme of work on COVID-19.

As a public social science institute, the HSRC has a definitive and distinct role to play in generating an understanding of a pandemic for which the best guidance available is based on social factors – social distancing and associated behavioural changes. The complexities around those factors in a society which is grossly unequipped for it, are questions for which social scientists are best prepared to respond. Paying attention now only to the biomedical and the pharmaceutical aspects of the crisis will not sufficiently address its complexity. A fuller response demands insights into and understanding of human behaviour and the multi-dimensional socio-economic fabric underpinning and influenced by such behaviour. Out of this could come an integrated and multidisciplinary response to the crisis. In this the HSRC will play a convening role in the social science community.

A further important point in addressing COVID-19 is acknowledging how significantly it is exacerbating the challenges of poverty and inequality in South Africa and globally. Mindful of its strategic commitment to assisting government in its objective of alleviating poverty and reducing inequality, the HSRC seeks also to assist the country and the world in finding ways of using the opportunity presented by the crisis to reset their political and social agendas. The HSRC has already commenced with a three-year period project of convening Macroeconomic policy dialogues to promote evidence-informed solutions to diverse macroeconomic puzzles that hinder transformational development.

(ii) Public awareness, understanding and use of sciences. The uptake of knowledge among members of the public – the intended beneficiaries of the HSRC's work – is often not adequate because of a lack of trust and/or scientific literacy.

4.3.4 Technology considerations

(i) Fourth Industrial Revolution

The Fourth Industrial Revolution is a time of accelerating technological change, in which new technologies are increasingly intertwining the physical, digital, and biological worlds. These changes play important roles in social and economic dynamics, and in public policy. In South Africa, the notion of the Fourth Industrial Revolution (4IR) has come to form an organising principle for thinking about technological change. The HSRC has contributed significantly to the research and policy discourses of the 4IR. The HSRC established an internal 4IR task team, led several 4IR-related research projects, was represented in the Presidential Commission on the 4IR, and participated in forums such as 4IRSA, the DSI 4IR committee, and the SA-EU Dialogue programme.

Following the completion of the work of the Presidential Commission, and the publication of its findings and recommendations, the HSRC continues to undertake research and policy engagement in thematic areas relevant to the 4IR. Research into social aspects of artificial intelligence includes the issues of AI ethics, the social and economic impacts of AI, and the regulation of AI. Related research focusses on data protection, data privacy, and data justice. The theme of digitalisation cuts across the HSRC's research activities, including those focussed on education, inclusive growth, and public health. During the COVID-19 pandemic, digitalisation has acquired additional significance, as it underpins adaptive forms of education, work, and social interaction. The analysis of social media also cuts across multiple HSRC research areas, including the analysis of public discourses related to the COVID-19 pandemic. Through the South African Social Attitudes Survey, the HSRC has developed a rich database of public perceptions of automation and AI.

The HSRC has an important role to play in the context of the 4IR. As a statutory public research institute, the HSRC holds a critical position in the research-policy nexus, and has the necessary research capabilities to ask important questions.

The HSRC's public mandate indicates a responsibility to engage with issues of technological disruption, with a focus on research and analysis in the context of poverty, unemployment, and inequality. In line with this mandate, the HSRC will continue to lead research into the key areas of enquiry of the 4IR, and engage with policy makers and other stakeholders to continue informing and shaping the ways in which South Africa harnesses technological change for the public good.

(ii) Social Media

Traditional and conventional methods of communication are limited in providing frameworks for optimal advocacy. The HSRC continues to struggle with opportunities and challenges to achieve the desired visibility to create impact. Social media platforms must be exploited intensively as part of a successful stakeholder relations strategy.

With the commencement of the national lockdown and the associated restrictions, the HSRC successfully managed to leverage opportunities presented through social media and other online platforms to collect data for several surveys to understand attitudes, perceptions and behaviours in relation to COVID-19.

4.3.4 Environmental Factors

Environmental factors as a consideration in an analysis of the external environment in which the HSRC operates, does not pose significant threats or risks, other than the threats of climate change, including water scarcity, and regular power disruptions.

Instead, the organisation can, and has, responded to some opportunities in this regard. The National Development Plan envisages the promotion of environmental sustainability in South Africa by making an equitable transition to a low-carbon economy, and transforming human settlements for improved local governance and spatial integration.

CeSTII in the HSRC worked with the non-profit company Trade and Industrial Policy Strategies (TIPS) to produce a report entitled 'Measurement of Green Economy Research and Development 2010/11–2016/17. TIPS and the Department of Science and Innovation, with the support of CeSTII, also released a pioneering assessment of SA's investment in green R&D.

The HSRC has considerable expertise in spatial economic development (rural, urban and regional), human settlement formation and community dynamics. These expertise support key stakeholders such as the national departments of Trade, Industry and Competition; Human Settlements; Agriculture, Land Reform and Rural Development; Local government; and National Treasury, along with key provinces and metropolitan municipalities towards achieving spatial economic transformation.

4.3.5 Legislative Factors

(i) The HSRC business model and reporting standards comply with requirements set by the PFMA. While the PFMA intendeds to provide an enabling, performance-oriented, transparent and accountable business environment for government departments and public entities, some provisions are arguably a better fit for government departments than for entities such as the HSRC. For instance, the PFMA intends to promote a fair, open and transparent procurement process, and Treasury Regulations pertaining to supply chain management and preferential procurement are also clearly intended to promote these principles. However, the constraints placed by the promulgation and interpretation of some Treasury Regulations place a dual burden on the HSRC in terms of its business and funding model:

A. Ability to form long-term collaborative and funding relationships: Because of the onus placed on government departments to procure services in the open market, it is very difficult for the HSRC to form long-term relationships with government departments, where the HSRC is able to help inform research strategies and priorities, and also to be appointed to perform or help co-ordinate research intended to deliver on these strategies.

B. Flexibility and dexterity of research partnerships when responding to funding opportunities: The HSRC is expected to follow open and transparent procurement processes when looking for trusted collaborators in research projects. While the appeal for collaboration within the NSI - among science councils and universities – has been emphasised at various junctures, including during the HSRC Institutional Review of 2018 and the recent HESTIIL review, this mandate is not supported, and is in fact actively discouraged, by the prevalent procurement legislation under the PFMA and associated regulations.

(ii) The Employment Equity Act (Act 55 of 1998) is aimed at achieving equity in the workplace. One mechanism through which this is achieved, is the mandatory submission of Employment Equity Plans, the implementation of which is monitored by the Department of Employment and Labour. A major challenge of the legislation is that it fails, in its mechanistic approach, to consider sector-specific challenges and barriers to Employment Equity. The HSRC, like its sister councils and universities, have long been grappling with challenges that are unique to the higher education, research and innovation environment, the single most significant being the limited pool of academics and senior researchers from designated groups. Furthermore, the HSRC, by virtue of its Act, has a continental mandate. As such, it is not possible to have a nationalistic approach or aim to not employ any international researchers. This, coupled with inefficient immigration policies has rendered it impossible for the HSRC to pursue African Research Fellows and the collaborations that would enable it to promote an African research agenda.

(iii) As a VAT-registered entity, the HSRC's Parliamentary Grant is inclusive of VAT. This implies that 15% of the total Grant is not accessible for use by the organisation. A due-diligence on the feasibility of VAT deregistration has shown that it is not an option for the organisation.

These challenges are policy matters that require intervention at the Executive Authority level.

> "Rain does not fall on one roof alone."
>
> AFRICAN PROVERB

4.4 Internal environment analysis

A resource-based view was used to reflect on the internal environment. Pertinent aspects in relation to the internal environment were considered in terms of:

- Tangible assets, such as investments and interest, cash flow, property, infrastructure, equipment and the financial model
- Non-tangible assets in terms of technical knowledge and expertise
- Capabilities, including human resources and organisational structures.

When considering the internal environment, the HSRC is confronted with both strengths in support of, and weaknesses to overcome, in its capacity to deliver on its mandate. Some of the most pertinent considerations are outlined below:

(i) Human Resources

A The HSRC faces the challenges of a limited number of senior researchers, who are required not only to raise funds, but also to implement a range of contract research projects, and reach scholarship targets. At 30 September 2021, the HSRC employed 148 researchers. Of these, 78 were employed at the level of Senior Research Specialist (SRS)/Senior Research Manager (SRM) or above, including Executive-level staff. This constitutes 52,7% of research staff.

The organisation needs to employ more senior researchers on permanent conditions of service to ease the burden of fund raising, and to provide reliable mentoring to its research trainees. Filling of vacancies for senior research staff has been constrained by salary caps implemented by the National Treasury and further reductions in the allocation for the Compensation of Employees (CoE). While the appointment of additional, new research staff is not possible to the extent required, opportunities for providing tenure to existing staff are being considered within the framework of enabling organisational policies.

B The organisation has historically struggled to achieve its transformation targets at senior researcher levels. Resignation data shows that black researchers are in demand and are offered very high salaries in the university and private sectors. The organisation loses its transformation capital when it loses these researchers. The HSRC Human Resource strategic focus therefore remains on growth in and retention of transformation capital through career path development and recruitment.

(ii) Information Technology

A The organisation is working with outdated equipment and has no dedicated capital expenditure allocation for infrastructure. Although it has platforms to showcase longitudinal survey information and to share data, these are not state-of-the-art.

The extent of the risks around the organisation's lack of IT infrastructure and resources has been emphasised as staff were required to work from home and as cyber security alerts were once again raised globally. The HSRC will increasingly be reliant on IT infrastructure to conduct day-to-day work and deliver on projects.

A substantial allocation for IT infrastructure was enabled through retained earnings at the 2019/20 financial year-end, and with the approval of the National Treasury. However, with no *capital expenditure allocation* or *dedicated* budget allocation for IT support and infrastructure, this remains a major obstacle and strategic risk to the organisation.

B Moving beyond the purely technical aspects of infrastructure provision, the IT Unit has begun to be more strategic in supporting research. It leverages disruptive modern technologies such as mobility, cloud technologies and real-time data capturing at source to optimise the research environment and introduce efficiencies into the ways in which research is conducted. Although the HSRC has begun to embrace new technologies, it needs to ensure that it remains abreast of developments in the field if it is to become a major competitor in the social science arena. This, however, is largely dependent on access to resources.

(iii) Information Services

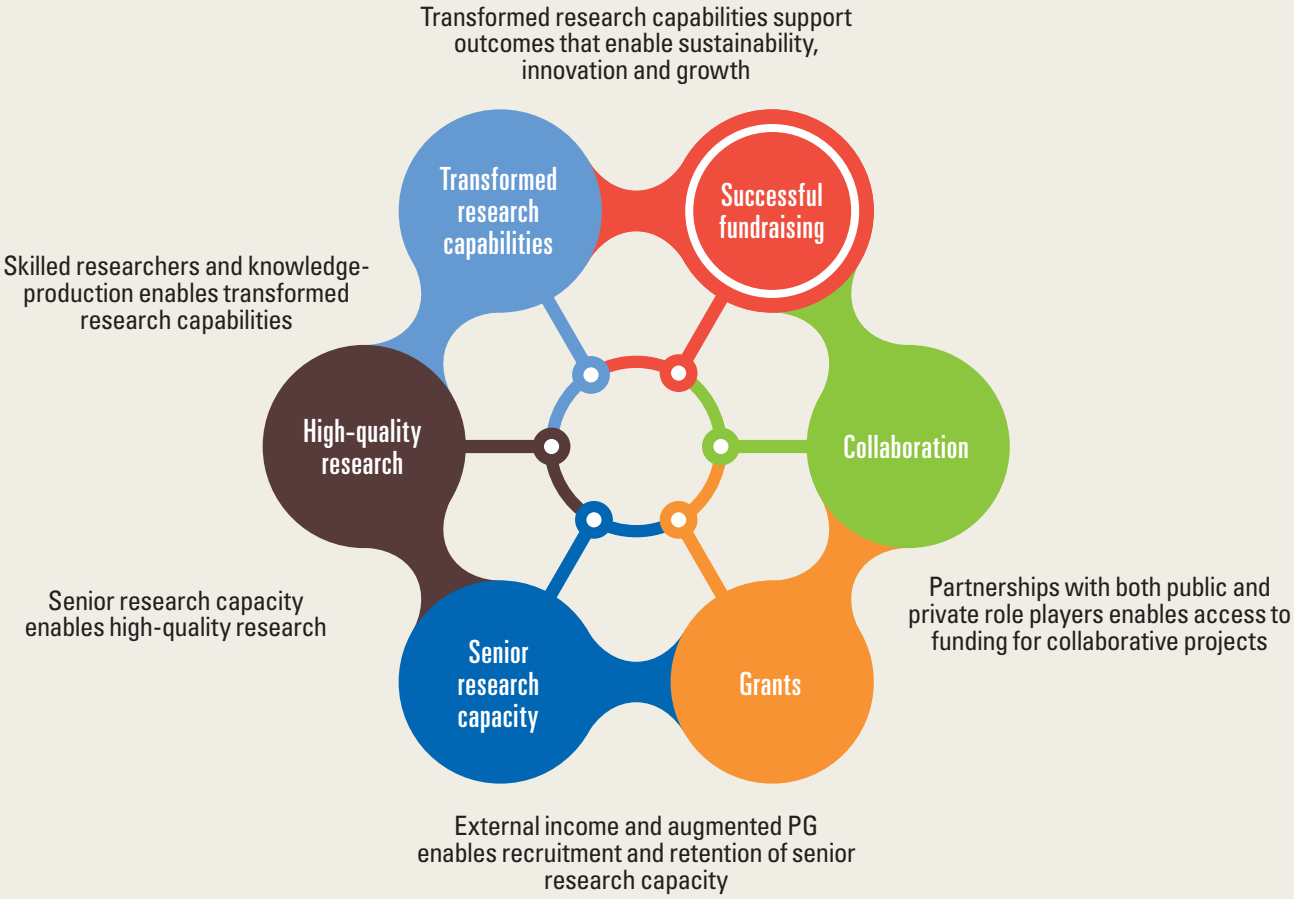
A critical partner to IT and to the rest of the organisation is the eResearch Knowledge Centre (eRKC). It supports the research process by providing professional research information services, establishing data standards, preserving and sharing HSRC data and research outputs, and offering spatial computation and data analytics. The organisation has strong eRKC support systems in place. Ensuring the relevance and further strengthening of these systems remain a priority within the available funding resources.

(iv) Financial Resources

The current financial model of the HSRC depends significantly on external funding to support research and the broader mandate of the HSRC. The recently audited ratio of parliamentary funding to external income for the financial year ending 31 March 2021 is 61:39.

Given the current economic climate, it is unlikely that the HSRC will be able to grow its external income while public and private funders are under pressure to redirect and reprioritise funding.

The 2018 Institutional Review panel articulated crucial observations and recommendations regarding the business and financial models. The inputs, activities, outputs and ultimately outcomes, as defined in the HSRC's Theory of Change, are closely aligned to these observations and recommendations. The ability to attract adequate funding (grants) – both through the Parliamentary Grant and from external income – is central to these recommendations. As such, it creates a number of interdependencies to realise key elements of the Theory of Change. These are illustrated below and explained in terms of the 2018 Review panel's observations and recommendations:



The panel pointed out that an overhaul of the financial model required a thorough appreciation of the difference between "grants" and "contracts". Whereas grants are funds secured for investigator-initiated research that fits into the researcher's long-term research plan, contracts are funder-initiated research that may or may not have relevance to the researcher's long-term plan. The panel was of the view that securing more grants would support the HSRC's long-term vision and assist it in doing away with the "short-termism" of smaller contracts.

It proposed that one way of doing this, is for the HSRC to access more sizeable grants through establishing active partnerships locally and internationally with matching funding on projects wherever possible. Another would be for the HSRC to illustrate its value-proposition in order to bring about stronger integration with the private sector.

The panel further recommended structural changes to the HSRC's staffing profile, both in terms of increased internationalisation and seniority as prerequisites for leadership and delivery of the vision of a centre for excellence in humanities and social sciences of global and regional reputation. It observed that the short-term contract research model consumed a large percentage of valuable senior staff time and was fraught with risks as quality monitoring of products and services could not be carefully guaranteed. The HSRC should, it pointed out, come up with innovative strategies to bring in leading African and international scholars to give credibility to its vision for a centre of excellence.[13]

The obstacles to some of these recommendations have been articulated as part of the legislative environmental analysis and elsewhere in the APP. Because of the interrelatedness and relevance to the HSRC's financial resources, it is prudent to provide a brief overview of those challenges and the support required by the Executive Authority to address them:

A Collaboration and jointly-funded partnerships

Per the current National Treasury instructions and regulations, issued in terms of the PFMA, the HSRC is not at liberty to freely collaborate with Government -, academic – or private partners based on expertise, mutual objectives or in the interests of multi-disciplinary pursuits. Instead, it is required to select partnerships through stringent, open procurement processes, leaving none of the academic freedom that is desirable in science and innovation. Similarly, when suitable opportunities are presented through the broader Government framework (National Departments, Provincial Departments, Municipalities, Local Government etc.), the HSRC is required to compete for such projects through an open tender process.

Addressing this would require intervention at the national policy level. The Executive Authority, on behalf of its entities, should engage the National Treasury to facilitate a review of the procurement practices that inhibit the work of science councils. As pointed out by the 2018 Review, these practices consistently compromise the ability of the organisation to respond quickly and flexibly to challenges that arise, or to be proactive in utilising its vast existing networks and collaborators. This tends to render the HSRC less competitive in the "market" in which it operates.

B Senior scholarship – local, continental and international

Similarly, intervention is required at the policy level to assist science councils in facilitating work permits for scholars and academics, particularly from the rest of Africa. Both Immigration and Employment Equity (in limiting the numbers for Foreign Nationals) legislation are prohibitive, rather then enabling in this regard.

The attraction and retention of skilled employees, especially those from designated groups, have historically been particularly difficult, but more so recently with the introduction of stringent limitations on the CoE. The inability to offer employees any performance-based rewards or inflation-linked increases, or to offer permanent contracts in the wake of budget uncertainties, has made it almost impossible to offer competitive packages to attract or retain suitable staff.

The Executive Authority, in consultation with the National Treasury, should allow for some autonomy to public entities, especially those whose Parliamentary Grant is augmented by external income, to determine their own CoE practices within their means.

Lastly, the 2018 Review found that the HSRC needs to do longitudinal research in order to pursue long-term change, and a long-term research agenda demands a different funding approach. Previous attempts to access Government funding to conduct longitudinal studies have not come to fruition. Whereas these studies, such as SABSSM, SASAS and TIMSS, provide valuable trend-data to Government, the HSRC has not been able to secure dedicated funding or grants from Government to support these surveys. The Executive Authority should assist the HSRC in reviving these attempts within the cluster, to reduce its reliance on external sources of funding for surveys that are in the national, public interest.

13. 2018 HSRC Institutional Review Report

C

measuring our performance

5

Institutional performance information

5.1 Programme 1: Administration

Purpose

This programme is responsible for the strategic direction and overall management of the HSRC.

An **Impact Centre** was established in 2020 to focus on research use and impact, providing support and mechanisms for collaboration, convening and communicating the HSRC's work so that it is able to position itself as the flagship for human and social sciences research in the country. A coherent and articulated strategy that helps answer the questions underpinning impact is being combined with a process for making the HSRC's work more visible. This work informs reporting on a key indicator of the extent to which there is uptake and utilisation of the knowledge produced at the HSRC to create impact in communities. The goal is to occupy the conceptual leadership space on impact within the broader national system of innovation and in the country, with a view to building towards greater international presence in the impact research environment.

The DSI Internship Programme was relocated from the NRF to the HSRC during the 2021/22 financial year. Management of the Programme is currently located in the Office of the DCEO: Research.

The key objectives of the programme in the HSRC are to

- Establish and increase the pool of skilled human resources for the Public and Private Sector, Science Councils, Science Institutions and the National System of Innovation;
- Provide university graduates and post-graduates with work experience in SET fields commensurate with their qualifications, thus increasing their chances of employment;
- Provide SET graduates and post-graduates with exposure to research and development projects that are critical to the National System of Innovation (NSI); and to attract them to pursue careers in the NSI; and
- Build capacity in research management at higher education institutions (HEIs) and research institutions throughout the country.

Interns and mentors will have access to a capacity building programme over the duration of the programme, the objectives of which are to:

- Recognise and nurture capabilities and competencies across all interns;
- Facilitate a result-oriented approach to capacity development with a focus on enhancing core technical, foundational and transversals skills progression;
- Strengthen the quality of mentoring provided to interns; and

Support career planning and promote skills for enhancing labour market access of interns.

398 interns will be recruited and placed during the 2021-2023 period. The HSRC will be conducting a Monitoring and Evaluation programme on the project to assess the outcomes of the programme in relation to the stated objectives, including implementing an effective track and trace study of Programme beneficiaries (interns and their hosts) to have feedback on their career progression after exit.

The Administration Programme further provides centralised shared services to support the core research activities and ensure that such activities comply with good governance principles, applicable legislation and funder requirements.

Programme 1 consists of:

The Office of the Chief Executive Officer (CEO)

- CEO
- Board Secretariat
- Legal Services, Intellectual Property and Compliance
- Internal Audit
- Planning, Monitoring and Evaluation

The Office of the Deputy Chief Executive Officer: research (DCEO: R)

- Research Coordination, Ethics and Integrity
- Capacity Development and Internships
- HSRC Publishing
- eResearch Knowledge Centre

The Group Executive: Impact Centre

- Science in Society
- Impact Assessment
- Strategic Partnerships
- Engagement and Communication

The Office of the Chief Financial Officer (CFO)

- Finance
- Supply Chain Management
- Enterprise Risk Management

The Office of the Group Executive: Shared Services

- Human Resources
- Facilities and Occupational Health and Safety
- Information Technology

"Tomorrow belongs to people who prepare for it today."

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TABLE 1: OUTCOMES, OUTPUTS, OUTPUT INDICATORS AND TARGETS FOR PROGRAMME 1

	Outcome	Output	Output indicators	
1	National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment	High-impact publications and knowledge products	1.5	The number of HSRC research articles that have achieved a citation count of at least 10 within five years of initial publication
		High-quality research	1.6	The number of curated datasets downloaded for secondary use
		Use mechanisms	1.7	The number of events dealing with the eradication of poverty, reduction of inequalities and/or promotion of employment convened by the HSRC
3	Recognition as a trusted and engaged research partner within scientific communities and civil society	Partnerships	3.4	The number of collaborative research projects with universities (including HDIs) and science councils in South Africa
4	Transformed research capabilities	Trained researchers: Skills	4.1	The percentage of senior researchers (SRS/SRM+) who are black
			4.2	The percentage of senior researchers (SRS/SRM+) who are female
			4.3	The percentage of researchers (excluding trainees) with PhDs
			4.4	The number of PhD trainees
			4.5	The number of conferences or training academies for emerging scholars
5	Sustainable income streams	Partnerships	5.1	The percentage of total income that is extra-parliamentary
			5.2	The number of internationally funded collaborative projects involving multi-year grants of R5 million or more

Annual targets

Audited performance			Estimated performance	MTEF targets		
2018/19 (Year ending 31/03/2019)	**2019/20** (Year ending 31/03/2020)	**2020/21** (Year ending 31/03/2021)	**2021/22** (Year ending 31/03/2022)	**2022/23** (Year ending 31/03/2023)	**2023/24** (Year ending 31/03/2024)	**2024/25** (Year ending 31/03/2025)
171	313	179	160	165	170	170
661	608	556	546	574	603	605
New	New	1	2	1	2	1
New	New	6	4	6	7	7
Revised	Revised	46.25%	48%	51%	53%	53%
Revised	Revised	32.5%	37%	39%	42%	42%
New	New	78.51%	76%	77%	78%	78%
54	47	31	27	28	30	32
New	New	3	2	2	3	3
45.54%	37.06%	38.93%	45%	46%	47%	48%
New	New	4	3	5	7	7

5.2 Programme 2: Research, Development and Innovation

Purpose

This programme conducts basic and applied research in order to generate and apply knowledge with a distinct social science and humanities focus to support national developmental priorities.

Programme 2 includes the Africa institute of South Africa (AISA) under the leadership of a Coordinator. Operationally the Coordinator reports to the CEO.

Inclusive Economic Development

Purpose » Research to identify priority actions to generate faster national economic growth.

01

Work in this sub-programme is divided into two streams as illustrated below:

CHANGING ECONOMIES

City region economies

Socio-economic dynamics of innovation

EDUCATION & LIVELIHOODS

Post-schooling and work

The context of learning

Sustainable livelihoods

The Kaleidoscope series, evidence, engagement and policy innovations

FLAGSHIP PROJECTS »

- Macro-economic policy options for (South) Africa
- Land, Agrifood systems and Climate
- The Imprint of Education
- Trends in International Mathematics and Science
- Youth futures in refracted economies

Human and Social Capabilities

Purpose » To actively explore the ways in which agency, attitudes, aspirations, capabilities and other psychosocial factors reinforce or liberate people from the constraints imposed by their social environments.

02

Work in this sub-programme is divided as illustrated below:

CENTRE FOR COMMUNITY-BASED RESEARCH

Sweetwaters

HEALTH & WELLBEING

Health Surveillance

Health promotion & health systems research

Social and biomedical issues of health and disease

IDENTITY & BELONGING

Race, culture and identity in societies and systems in transition

Genders & Sexualities

Under-served, vulnerable and marginalised communities

FLAGSHIP PROJECTS »

South African Behaviour Sero-Surveillance and Media (SABSSM) Series

Developmental, Capable and Ethical State

Purpose » Research, implementation and advocacy support in the service of the public good and South Africa's national priorities to strengthen social cohesion; create safe communities; build a capable, ethical and developmental state; and work towards a better Africa and world.

03

Work in this sub-programme is arranged around themes as illustrated below:

PEACE AND SUSTAINABLE SECURITY

Economic & Political Security
Climate Change
Food, Water and Energy Security
Social Protection

DEMOCRACY, GOVERNANCE & CITIZENSHIP

Electoral Research
Social Cohesion & Citizenship
Local Governance
Democracy & Constitutionalism

BRICS RESEARCH CENTRE

Brics and Multilateralism
Brics and South-South Relations
Brics, Sustainability and Governance
Brics and the Right to Development

FLAGSHIP PROJECTS »

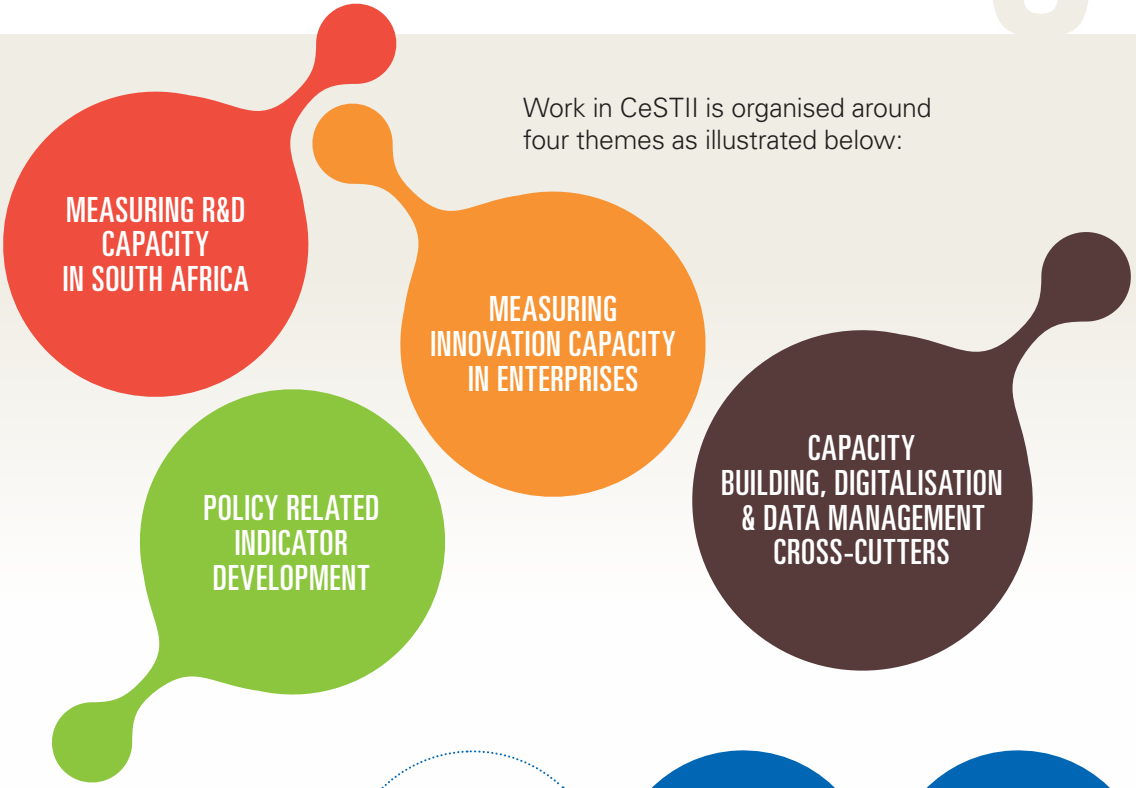
- South African Social Attitudes Survey (SASAS)
- State of the Nation

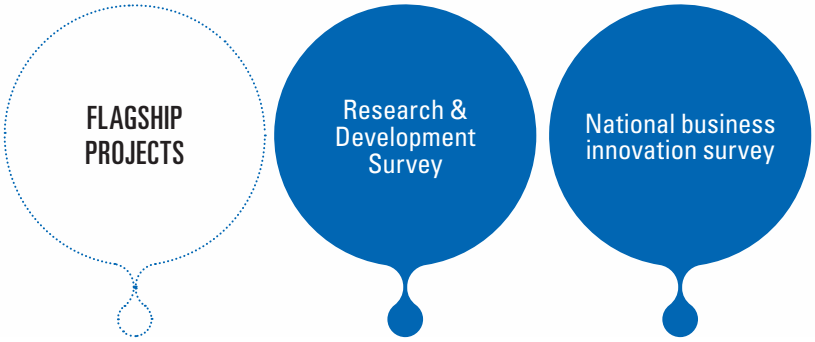
Centre for Science, Technology and Innovation Indicators (CeSTII)

Purpose » CeSTII is mandated by the Minister Higher Education, Science and Technology to contribute to official science, technology and innovation statistics in South Africa. Countries measure and monitor research and experimental development (R&D) and innovation activities, to track the dynamics and patterns of human resources, expenditure and focus areas, in relation to how they promote economic growth.

04

Work in CeSTII is organised around four themes as illustrated below:





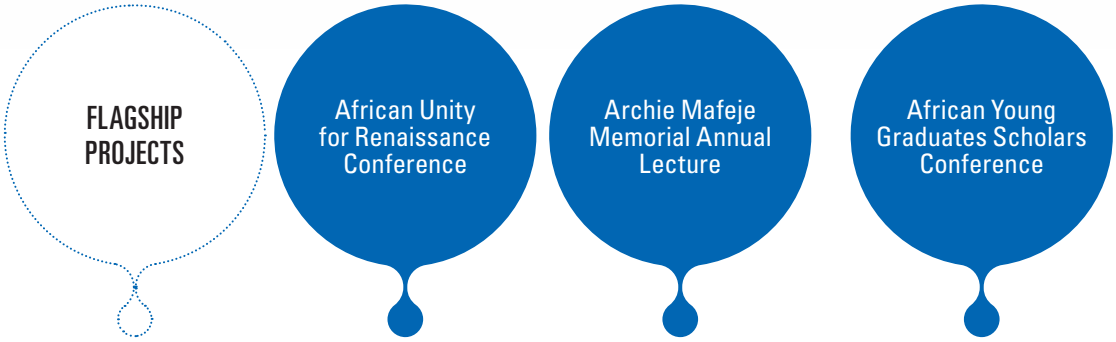
Africa Institute of South Africa

Purpose » To lead, provide strategic direction and co-ordinate the organisation's Pan-African programme of work by:

- Providing a hub for Africa centred knowledge production and dissemination, policy engagement, and implementation support;
- Providing thought leadership on key questions facing the continent and be a catalyst for transformation;
- Driving the intellectual project for a "Better Africa";
- Collaborating with and convene African leaders, scholars, practitioners, policymakers and civil society, amplifying African voices, and leveraging existing capacities to improve knowledge, policy and practice; and
- Building capacity and training young scholars, future leaders and women in Africa.

05

Work in AISA is organised themes as illustrated below:



“Knowledge is a garden. If it isn’t cultivated, you can’t harvest it.”

AFRICAN PROVERB

TABLE 2: OUTCOMES, OUTPUT, OUTPUT INDICATORS AND TARGETS FOR PROGRAMME 2

	Outcome	Output		Output indicators
1	National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment	High-impact publications and knowledge products	1.1	The number of peer-reviewed journal articles published per HSRC researcher
			1.2	The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa
			1.3	The number of scholarly books published by HSRC researchers
			1.4	The number of scholarly book chapters published by HSRC researchers
2	A consolidated relationship of trust and influence with government to help guide and inform policy	High-impact publications and knowledge products	2.1	The number of policy briefs and/ or evidence reviews completed and published
		Use mechanisms	2.2	The number of structured research engagements with government, policy makers and implementers
3	Recognition as a trusted and engaged research partner within scientific communities and civil society	Use mechanisms	3.1	The number of research-related engagements with communities and civil society forums
			3.2	The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers
		High-quality research Use mechanisms	3.3	The number of community innovations supported or enabled by HSRC research
		Trained researchers: Skills	3.5	The number of incoming international exchange visits or fellowships active during the period under review

Annual targets

Audited performance			Estimated performance	MTEF targets		
2018/19 (Year ending 31/03/2019)	**2019/20** (Year ending 31/03/2020)	**2020/21** (Year ending 31/03/2021)	**2021/22** (Year ending 31/03/2022)	**2022/23** (Year ending 31/03/2023)	**2023/24** (Year ending 31/03/2024)	**2024/25** (Year ending 31/03/2025)
1.06	0.78	1.17	1	1.1	1.1	1.1
10	9	19	12	15	18	18
18	17	13	8	8	9	10
93	86	118	47	48	49	50
Revised	Revised	12	9	12	12	13
New	New	9	6	7	8	8
New	New	9	6	7	8	8
New	New	2	1	2	2	2
New	New	1	1	1	1	1
Revised	Revised	4	4	6	8	8

5.3 Output indicators

TABLE 3: INSTITUTIONAL ANNUAL AND QUARTERLY TARGETS: PROGRAMME 1 AND PROGRAMME 2

Cumulative Year-To-Date Annual Non-Cumulative

	Output indicators	Annual target 2022/23	Q1	Q2	Q3	Q4
1	**National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment**					
1.1	The number of peer-reviewed journal articles published per HSRC researcher	1.1	0.1	0.3	0.6	1.1
1.2	The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa	15	0	1	7	15
1.3	The number of scholarly books published by HSRC researchers	8	0	2	4	8
1.4	The number of scholarly book chapters published by HSRC researchers	48	4	16	26	48
1.5	The number of HSRC research articles that have achieved a citation count of at least 10 within five years of initial publication	165	N/A	N/A	N/A	165
1.6	The number of curated datasets downloaded for secondary use	574	N/A	N/A	N/A	574
1.7	The number of events dealing with the eradication of poverty, reduction of inequalities and/or promotion of employment convened by the HSRC	1	0	0	1	1
2	**A consolidated relationship of trust and influence with government to help guide and inform policy**					
2.1	The number of policy briefs and/or evidence reviews completed and published	12	0	0	5	12
2.2	The number of structured research engagements with government, policy makers and implementers	7	0	1	3	7
3	**Recognition as a trusted and engaged research partner within scientific communities and civil society**					
3.1	The number of research-related engagements with communities and civil society forums	7	1	2	4	7

Cumulative Year-To-Date Annual Non-Cumulative

Output indicators	Annual target 2022/23	Q1	Q2	Q3	Q4
3.2 The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers	2	0	0	0	2
3.3 The number of community innovations supported or enabled by HSRC research	1	N/A	N/A	N/A	1
3.4 The number of collaborative research projects with universities (including HDIs) and science councils in South Africa	6	2	2	5	6
3.5 The number of incoming international exchange visits or fellowships active during the period under review)	6	2	2	4	6
4 Transformed research capabilities					
4.1 The percentage of senior researchers (SRS/SRM+) who are black	51%	45%	47%	48%	51%
4.2 The percentage of senior researchers (SRS/SRM+) who are female	39%	34%	35%	37%	39%
4.3 The percentage of researchers (excluding trainees) with PhDs	77%	73%	74%	75%	77%
4.4 The number of PhD trainees	28	16	19	25	28
4.5 The number of conferences or training academies for emerging scholars	2	N/A	N/A	N/A	2
5 Sustainable income streams					
5.1 The percentage of total income that is extra-parliamentary	46%	10%	20%	30%	46%
5.2 The number of internationally funded collaborative projects involving multi-year grants of R5 million or more	5	2	2	3	5

6

Explanation of planned performance over the medium-term period

The HSRC will utilise its unique knowledge-production capabilities over the medium-term to achieve the following outcomes:

- National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment
- A consolidated relationship of trust and influence with government to help guide and inform policy
- Recognition as a trusted and engaged research partner within scientific communities and civil society.

The HSRC's research impact in these areas will support (i) Government's NDP 2030 Vision and NDP Five-Year Implementation Plan's pillars of Inclusive Economic Growth, Capabilities of South Africans, and a Capable State by creating impact in these areas (ii) the United Nations Sustainable Development Goals.

National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment

Through its vision of being a national, regional and global leader in the production and dissemination of transformative social science and humanities research in the interests of a just and equal society, the HSRC will contribute to addressing the major developmental challenges in South Africa and on the continent.

By **conducting** basic and applied research, it will **generate and apply knowledge** with a distinct social sciences and humanities focus, to support South Africa's national developmental priorities by:

- Contributing to poverty alleviation
- Offering solutions to reduce the inequality gap
- Facilitating innovation around employment creation.

It will lead in **initiating and convening** to foster and increase co-operation, collaboration and communication among excellent researchers and research institutions, with the aim of delivering knowledge for policy making and exploring solutions to pressing public matters.

Desired outputs to achieve this outcome are:

1. **High-impact publications and knowledge products**
2. **High-quality research** to demonstrate research excellence and the capacity to initiate and lead in convening experts at appropriate fora; and
3. **Use mechanisms** for effective knowledge-brokering.

The selected output indicators on publications, citations and events will measure success in these areas.

A consolidated relationship of trust and influence with government to help guide and inform policy

The HSRC will demonstrate the value and impact of the knowledge it produces to forge relationships with all spheres of government, including parliament and the judiciary, in support of creating a Capable State. By being a trusted partner to government, the HSRC can assist policy makers by guiding and informing policies and decision-making through the careful knowledge-brokering of high-quality, high-impact output.

The desired outputs in support of this outcome are:

1. **High-impact publications and knowledge products** to assist policy-makers through evidence
2. **Use mechanisms** for effective knowledge-brokering
3. **Partnerships** to become a preferred partner to government in response to its research needs.

The selected output indicators will track requests received and information provided to government; and will be used to monitor meaningful partnerships within government as well as the organisation's success in disseminating relevant information in suitable formats to government stakeholders.

Recognition as a trusted and engaged research partner within scientific communities and civil society

The HSRC will contribute to developing the capabilities of South Africans by establishing itself as a trusted and engaged partner within both scientific communities and civil society. By forging active collaborations in the scientific community, it will be able to share, and share in, resources and provide complementary research to other research disciplines. These collaborations will be used to stimulate community innovation through knowledge sharing and by enhancing the understanding and use of science by communities.

Desired outputs in support of this outcome are:

1. **Use mechanisms** to effectively share and enhance the understanding and use of science by communities
2. **Partnerships** to enable collaboration and multidisciplinary approaches to solution-oriented research
3. **High-quality research** to stimulate and support community innovation
4. **Trained researchers and skills** to build trust in research communities.

The selected output indicators will track community involvement and active collaboration in the science community, including reciprocal skills transfer with colleagues in the Global South, to monitor progress on this.

In addition to the above, the HSRC will (i) Transform research capabilities and (ii) Secure sustainable income streams, both as enablers to the outcomes of its programme of work.

Transformed research capabilities

The HSRC's approach to transformation over the medium term will not be limited to demographic transformation. It will, more broadly, focus on:

1. Developing the required internal processes and systems to enable economic, efficient and effective implementation of the HSRC mandate
2. Approaching the research life-cycle – including data gathering, reporting and dissemination, data storage and sharing, and knowledge use – in new and innovative ways
3. Building research capacity and transforming human capital.

The desired output to achieve this outcome is:

- **Trained researchers and skills:** Towards this end, the organisation will measure progress against a set of indicators on employment equity and learning and development.

Sustainable income streams

The HSRC must secure a steady income stream to ensure its sustainability and alleviate the pressure on senior researchers to raise income year-on-year. In order to achieve this, it is imperative to focus on securing multi-year grants of between three and five years.

The desired output in support of this outcome is:

- **Partnerships:** Partnerships are required to stimulate external income.

The selected indicators will measure success in terms of sustaining a reasonable percentage of extra-parliamentary income and in particular, multi-year, external income from international sources.

7

Programme Resource Considerations

7.1 Institutional Revenue Estimates

TABLE 4: INSTITUTIONAL REVENUE ESTIMATES

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Revenue Rand thousand	Audited outcome	Audited outcome	Audited outcome	Approved Budget	Planning Budget Estimate	Planning Budget Estimate	Planning Budget Estimate
Non-tax revenue	**220 513**	**160,720**	**160,356**	**267,767**	**237,850**	**248,558**	**270,348**
Research revenue	178 793	118,076	117,150	229,068	204,725	213,950	235,050
Other non-tax revenue	34 013	33,960	36,695	30,339	24,389	25,479	25,986
Interest, dividends and rent on land	7 707	8,684	6,511	8,360	8,736	9,129	9,312
Transfers received	**264 116**	**272,917**	**251,587**	**314,394**	**321,098**	**322,332**	**336,808**
Total revenue	**484 629**	**433,637**	**411,943**	**582,161**	**558,948**	**570,890**	**607,156**

7.2 Institutional Expenditure Estimates

TABLE 5: ESTIMATES OF EXPENDITURE: PROGRAMME 1 AND PROGRAMME 2

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Expenses Rand thousand	Audited outcome	Audited outcome	Audited outcome	Approved Budget	Planning Budget Estimate	Planning Budget Estimate	Planning Budget Estimate
Objective/Activity							
Administration	181,610	124,527	117,765	280,997	259,289	271,279	275,542
Research, development, and innovation	304,251	296,808	271,687	339,163	299,659	299,611	331,614
Total	**485,861**	**421,335**	**389,452**	**620,160**	**558,948**	**570,890**	**607,156**
Economic classification							
Current payments	**485,239**	**418,967**	**344,585**	**574,196**	**510,545**	**521,804**	**557,089**
Compensation of employees	**286,670**	**291,809**	**231,584**	**273,386**	**284,912**	**297,590**	**310,952**
Salaries and wages	286,670	291,809	231,584	273,386	284,912	297,590	310,952
Social contributions	–	–	–	–	–	–	–
Goods and services	**182,940**	**116,329**	**103,196**	**283,991**	**207,910**	**205,326**	**226,871**
Of which							
Agency and support/ outsourced services	3,725	1,561	477	5,372	5,502	5,934	6,052
Audit costs	4,720	4,710	4,976	5,621	5,924	6,129	6,252
Bank charges	419	745	3,425	2,889	3,607	3,859	3,936
Communication	15,983	4,437	5,734	18,375	13,045	14,019	14,984
Computer services	–	773	104	2,122	1,045	1,064	1,085
Contractors	13,254	–	–	20,813	2,002	1,873	1,910
Inventory	1,950	7,236	–	6,314	6,671	6,900	7,038
Lease Payments	11,814	18	8,406	16,162	7,609	10,939	11,153
Legal fees	164	21	33	529	556	576	588

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Expenses Rand thousand	Audited outcome	Audited outcome	Audited outcome	Approved Budget	Planning Budget Estimate	Planning Budget Estimate	Planning Budget Estimate
Non-life insurance	2,122	–	–	–	–	–	–
Repairs and maintenance	15,012	14,660	5,286	14,379	10,809	9,678	9,992
Research and development	5,521	30,418	47,655	138,163	89,611	82,249	105,990
Training and staff development	1,898	1,621	372	31,085	43,817	36,530	37,954
Travel and subsistence	3,954	23,575	12,169	3,774	4,206	4,459	2,330
Venues and facilities	–	–	–	–	–	–	–
Other unclassified expenditure	12,404	26,554	14,559	18,393	13,505	21,117	17,607
Depreciation	**14,377**	**9,403**	**9,263**	**15,371**	**16,179**	**17,277**	**17,623**
Interest, dividends and rent on land	**1,252**	**1,426**	**542**	**1,448**	**1,544**	**1,611**	**1,643**
Interest	1,252	1,426	542	1,448	1,544	1,611	1,643
Losses from	**622**	**2,368**	**15**	**–**	**–**	**–**	**–**
Sales of fixed assets	622	2,368	15	–	–	–	–
Transfers and subsidies	**–**	**–**	**44,852**	**45,964**	**48,404**	**49,086**	**50,067**
Departmental agencies and accounts	–	–	44,852	45,964	48,404	49,086	50,067
Total Expenditure	**485,861**	**421,335**	**389,452**	**620,160**	**558,948**	**570,890**	**607,156**

TABLE 6: ESTIMATES OF EXPENDITURE: PROGRAMME 1

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Expenses Rand thousand	Audited outcome	Audited outcome	Audited outcome	Approved Budget	Planning Budget Estimate	Planning Budget Estimate	Planning Budget Estimate
Objective/Activity							
Administration	**181,610**	**124,527**	**117,765**	**280,997**	**259,289**	**271,279**	**275,542**
Economic classification							
Current payments	**180,988**	**123,685**	**102,102**	**261,820**	**238,140**	**249,484**	**253,312**
Compensation of employees	**99,245**	**79,523**	**61,529**	**128,953**	**134,369**	**140,348**	**146,650**
Salaries and wages	99,245	79,523	61,529	128,953	134,369	140,348	146,650
Social contributions	–	–	–	–	–	–	–
Goods and services	**69,101**	**36,146**	**33,634**	**119,492**	**90,091**	**94,745**	**91,983**
Of which							
Agency and support/ outsourced services	1,561	477	3,151	3,048	3,463	3,532	1,561
Audit costs	3,994	4,703	5,621	5,924	6,129	6,252	3,994
Bank charges	63	3,365	2,889	3,607	3,859	3,936	63
Communication	4,437	4,406	11,091	5,406	6,098	6,905	4,437
Computer services	–	–	1,153	–	–	–	–
Contractors	–	–	18,955	–	–	–	–
Inventory	–	–	5,055	5,288	5,542	5,653	–
Lease Payments	18	8,406	14,742	5,966	9,410	9,593	18
Legal fees	21	33	529	556	576	588	21
Non-life insurance	–	–	–	–	–	–	–
Repairs and maintenance	14,660	5,286	13,464	9,846	8,677	8,971	14,660
Research and development	–	–	–	–	–	–	–
Training and staff development	309	120	29,234	41,822	34,506	35,890	309

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Expenses Rand thousand	Audited outcome	Audited outcome	Audited outcome	Approved Budget	Planning Budget Estimate	Planning Budget Estimate	Planning Budget Estimate
Travel and subsistence	2,540	2,634	2,528	2,845	3,082	925	2,540
Venues and facilities	–	–	–	–	–	–	–
Other operating payments	6,536	8,543	4,204	11,080	5,783	13,403	9,738
Depreciation	**11,390**	**6,590**	**6,397**	**11,927**	**12,136**	**12,780**	**13,036**
Interest, dividends and rent on land	**1,252**	**1,426**	**542**	**1,448**	**1,544**	**1,611**	**1,643**
Interest	1,252	1,426	542	1,448	1,544	1,611	1,643
Losses from	**622**	**842**	**–**	**–**	**–**	**–**	**–**
Sales of fixed assets	622	842	–	–	–	–	–
Transfers and subsidies	**–**	**–**	**15,663**	**19,177**	**21,149**	**21,795**	**22,230**
Departmental agencies and accounts	–	–	15,663	19,177	21,149	21,795	22,230
Total Expenditure	**181,610**	**124,527**	**117,765**	**280,997**	**259,289**	**271,279**	**275,542**

TABLE 7: ESTIMATES OF EXPENDITURE: PROGRAMME 2

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Expenses Rand thousand	Audited outcome	Audited outcome	Audited outcome	Approved Budget	Planning Budget Estimate	Planning Budget Estimate	Planning Budget Estimate
Objective/Activity							
Research and development	**304,251**	**296,808**	**271,687**	**339,163**	**299,659**	**299,611**	**331,614**
Economic classification							
Current payments	**304,251**	**295,282**	**242,483**	**312,376**	**272,404**	**272,320**	**303,777**
Compensation of employees	187,425	212,286	170,055	144,433	150,543	157,242	164,302
Salaries and wages	187,425	212,286	170,055	144,433	150,543	157,242	164,302
Social contributions	–	–	–	–	–	–	–
Goods and services	**113,839**	**80,183**	**69,562**	**164,499**	**117,818**	**110,581**	**134,888**
Of which							
Agency and support/ outsourced services	594	–	–	2,221	2,454	2,471	2,520
Audit costs	424	716	273	–	–	–	–
Bank charges	60	682	60	–	–	–	–
Communication	4,190	–	1,328	7,284	7,639	7,921	8,079
Computer services	–	773	104	969	1,045	1,064	1,085
Contractors	3,977	–	–	1,858	2,002	1,873	1,910
Inventory	775	7,236	–	1,259	1,383	1,358	1,385
Lease Payments	983	–		– 1,420	1,643	1,529	1,560
Legal fees	61	–	–	–	–	–	–
Non-life insurance	–	–	–	–	–	–	–
Repairs and maintenance	186	–	–	915	963	1,001	1,021
Research and development	95,521	30,418	47,655	138,163	89,611	82,249	105,990
Training and staff development	775	1,312	252	1,851	1,995	2,024	2,064
Travel and subsistence	426	21,035	9,535	1,246	1,361	1,377	1,405

	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24	2024/25
Expenses Rand thousand	Audited outcome	Audited outcome	Audited outcome	Approved Budget	Planning Budget Estimate	Planning Budget Estimate	Planning Budget Estimate
Venues and facilities	–	–	–	–	–	–	–
Other operating expenses	5,868	18,011	10,355	7,313	7,722	7,714	7,869
Depreciation	**2,987**	**2,813**	**2,866**	**3,444**	**4,043**	**4,497**	**4,587**
Interest, dividends and rent on land	**–**	**–**	**–**	**–**	**–**	**–**	**–**
Interest	–	–	–	–	–	–	–
Losses from	**–**	**1,526**	**15**	**–**	**–**	**–**	**–**
Sales of fixed assets	–	1,526	15	–	–	–	–
Transfers and subsidies	**–**	**–**	**29,189**	**26,787**	**27,255**	**27,291**	**27,837**
Departmental agencies and accounts	–	–	29,189	26,787	27,255	27,291	27,837
Total Expenditure	**304,251**	**296,808**	**271,687**	**339,163**	**299,659**	**299,611**	**331,614**

7.3 Explanation of the contribution of resources towards achievement of outputs

The spending focus over the medium term will be on funding of research that serves the public, contributes to good governance and public service delivery, and helps to address the challenges of poverty and inequality. Research and administrative expenses are expected to support more large-scale, longitudinal, and cross-sectional studies in supporting government's monitoring and evaluation mandate; more innovative and collaborative research dissemination work; development of research infrastructure, including staff for data curation and knowledge-brokering; and activities aimed at enhancing inter-institutional collaboration and capacity enhancement, nationally and globally. Spending will also be allocated to finalise the maintenance of the HSRC's infrastructure and the building in Pretoria, to provide research facilities that are conducive to producing good research outputs.

Being a research institute, human capital is central to the Council and as such, expenditure on compensation of employee's accounts for an estimated 45%, or R842 million, of the total projected expenditure over the MTEF. The Council's staff complement for 2021/22 has been reduced to the current 420 and is expected to be retained at this level as the reduction of staff that was implemented served to limit the staff complement to only essential positions and vacancies in line with Treasury instructions on salary caps.

Expenditure amounting to R407 million, or 49% of total projected spending over the MTEF, is allocated to implementation and support of research activities. The main cost drivers include direct research costs, which incorporate fieldwork expenses, travel, accommodation, and other sundry research costs. This includes the provision of personal protective equipment (PPE) and other Covid-19 related protocols put in place as part of the HSRC's response to the ongoing pandemic. Goods and services encompass expenses required to run the institution optimally, namely, research costs, operating costs, administrative costs and capital expenditure through depreciation and amortisation.

8

Updated Key Risks

TABLE 8: KEY RISKS AND MITIGATION

Key risk	Outcome	Risk mitigation
Financial sustainability of the HSRC is compromised	• Sustainable income streams • Relationship of trust and influence with government • Transformed research capabilities	• Medium-term funding from Government • Securing of multi-year external grants • Known HSRC value proposition
Lack of relevance and Impact of the HSRC	• Relationship of trust and influence with government • Trusted and engaged research partner with communities and civil society • National, regional and global leadership in production and use of targeted knowledge	• Impact Centre established and resourced • Focussed HSRC research topics to prioritise poverty and inequality • Approved and benchmarked research methodologies
Human Resources: **A Lack of senior research capacity** **B Inability to achieve desired transformation targets**	• National, regional and global leadership in production and use of targeted knowledge • Transformed research capabilities	• Approved talent management plan • Approved mechanisms to provide tenure to productive researchers • Continuous monitoring of exit interview results and implementation of appropriate interventions • Approved EE plan and strategic performance indicator targets for transformation
Inadequate ICT capability	• Transformed research capabilities	• Additional budget allocated to ICT • ICT Strategy and Plan approved by the Board • Penetration and vulnerability test done • Additional roles assigned and outsourced where possible • Business continuity plan
Inability to adapt to changing research industry post and during COVID-19	• National, regional and global leadership in production and use of targeted knowledge • Trusted and engaged research partner with communities and civil society • Sustainable income streams	Respondent's information through digital or other means implemented

“Knowledge without wisdom is like water in the sand.”

AFRICAN PROVERB

technical indicator descriptions (tids)

TABLE 9: TECHNICAL INDICATOR DESCRIPTIONS

Indicator title 1.1	The number of peer-reviewed journal articles published per HSRC researcher
Definition	**A Peer-reviewed journal articles** These are articles published in journals recognised by the Ministry of Higher Education, Science and Technology for subsidy purposes, and recognised as HSRC outputs during the period under review. To be recognised as an HSRC output, at least one of the authors or co-authors listed in the publication must be affiliated with the HSRC. Further detail on HSRC affiliation: • The contact address of an author appearing on the published research output must be the address of the HSRC, and the author must be employed by the HSRC during the financial year under review • A letter from the Executive or head of the research unit submitting the output (supported by relevant research project- or HR-related evidence) is required in the following cases: – If the publication does not contain reference to institutional affiliation with the HSRC – In cases where the author claiming institutional affiliation was employed by the HSRC during a prior period but retired or left such employment before the financial year under review – In cases of visiting scholars or honorary research fellows claiming institutional affiliation. **B Researchers** These are HSRC research staff on the 'permanent' payroll (1 year or longer), appointed at the levels of researcher or above and excluding research interns/ trainees appointed in accordance with the HSRC researcher trainee policy, and also excluding staff on incoming exchange visits, as at the last day of the reporting period.
Source of data	A Research Management System (RMS) research outputs B HR staff database
Method of calculation/ assessment	A Count total number of recognised articles B Count total number of researchers Calculate ratio: A / B expressed as a decimal fraction
Means of verification	Copy of published output as captured in the RMS
Assumptions	Source data are complete and accurate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A

Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	For journal articles: • Research programmes to deliver, and submit information for capture on the RMS • eResearch Knowledge Centre (eRKC) for verification prior to reporting For researcher information: • Director HR for updated staff information

Indicator title 1.2	The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa
Definition	Peer-reviewed journal articles: As per Indicator 1.1(a) At least one of the authors listed in the publication must be affiliated with the HSRC as per Indicator 1.1(a), and at least one of the other authors listed in the publication must be a non-HSRC researcher affiliated with an institution in an African country other than South Africa.
Source of data	Research Management System (RMS) research outputs
Method of calculation/ assessment	Count the total number of articles with at least one co-author from an African country other than South Africa
Means of verification	Copy of published output as captured in the RMS
Assumptions	Source data are complete and accurate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research programmes to deliver, and submit information for capturing on RMS • e-Research Knowledge Centre (eRKC) to verify prior to reporting

Indicator title 1.3

The number of scholarly books published by HSRC researchers

Definition	Scholarly books are non-periodical scholarly or research publications, disseminating original research, that meet the requirements for recognition the 2015 DHET Policy on Research Outputs, and have been published in South Africa or internationally during the period under review: • Examples of scholarly books include monographs or collected works • The length of the book must be a minimum of 60 pages, excluding references, bibliography and appendices • The book must have an International Serial Book Number (ISBN) • 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 • 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. To be recognised as an HSRC output, at least one of the authors or editors associated with the book publication as a whole must be affiliated with the HSRC, as per Indicator 1.1.
Source of data	Research Management System (RMS) research outputs
Method of calculation/ assessment	Count total number of scholarly books with at least one author or editor of the entire book affiliated with the HSRC
Means of verification	Copy of published output as captured in the RMS
Assumptions	Source data are complete and accurate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research programmes to deliver, and submit information for capturing on RMS • eResearch Knowledge Centre (eRKC) to verify prior to reporting

Indicator title 1.4	The number of scholarly book chapters published by HSRC researchers
Definition	Scholarly book chapters are free-standing, peer-reviewed contributions to an edited scholarly book as per Indicator 1.3, consisting of substantially new material attributed to a chapter author or authors, and published during the period under review. 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. To be recognised as an HSRC output, at least one of the authors associated with the book chapter must be affiliated with the HSRC, as per Indicator 1.1.
Source of data	Research Management System (RMS) research outputs
Method of calculation/ assessment	Count total number of scholarly book chapters with at least one author affiliated with the HSRC
Means of verification	Copy of published output as captured in the RMS
Assumptions	Source data are complete and accurate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research programmes to deliver, and submit information for capturing on RMS • eResearch Knowledge Centre (eRKC) to verify prior to reporting

Indicator title 1.5	The number of HSRC research articles that achieved a citation count of at least 10 within five years of initial publication
Definition	These are the number of HSRC research outputs, recognised as HSRC peer-reviewed journal articles in the five annual reporting periods preceding the year under review, but limited to only those articles indexed in the SCOPUS database, with at least 10 citations listed in the SCOPUS database as at the last day of the year under review.
Source of data	Research Management System (RMS) research outputs
Method of calculation/ assessment	• Identify all HSRC peer-reviewed journal articles captured in the RMS for the five years prior to the year under review (current reporting period) • Select from these articles only those listed on the SCOPUS database • Obtain and capture the number of citations listed on the SCOPUS database for each selected research output, as at the 31 March of the current reporting period • Identify those research outputs with a citation count of 10 or more • Count the total number of peer-reviewed journal articles with a citation count of 10 or more
Means of verification	Copy of published output as captured in the RMS
Assumptions	Source data are complete and accurate The HSRC subscription to SCOPUS is maintained
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Annual, i.e. non-cumulative
Reporting cycle	Annual
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	Director: eResearch Knowledge Centre (eRKC)

Indicator title 1.6	The number of curated datasets downloaded for secondary use
Definition	This is the number of instances where HSRC-curated datasets are downloaded for secondary use via the HSRC's research data repository during the period under review.
Source of data	Report as reflected in Research Management System (RMS)
Method of calculation/ assessment	**Number:** Count the number of downloads of curated data sets during the period under review
Means of verification	• Register of downloads as prepared by IT and verified by Head: Digital Curation – the downloads are registered in a database linked to the HSRC's research data repository • IT is responsible for managing the HSRC's research data repository and extracting the required statistics from the database. • This is subsequently verified by the Head: Digital Curation at the eRKC
Assumptions	• At least ten new datasets are curated and released per year • The data repository and associated software for reporting will not be changed over the planning period
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Annual, i.e. non-cumulative
Reporting cycle	Annual
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	For reporting: Head of Data Curation in eRKC

Indicator title 1.7	The number of events dealing with the eradication of poverty, reduction of inequalities and/or promotion of employment convened by the HSRC
Definition	This is an event with a thematic focus associated with the eradication of poverty, reduction of inequalities and/or promotion of employment, which is convened by the HSRC during the period under review. It must: • Have a trans-/cross-/interdisciplinary approach • Be problem oriented, involving presenters from different disciplines; and involving at least two institutions • Be at least a half-day event • Have at least 20 participants; with a signed attendance list • Have a resolution adopted by participants at the conclusion of the event.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	Count the number of events convened
Means of verification	Event report with supporting documentation, approved by the Deputy CEO: Research or designate
Assumptions	Funding will be made available to support convening of the events
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Deputy CEO: Research to review, approve and authorise capturing on RMS for reporting purposes • Designated research programme(s)/project leader to deliver and report

Indicator title 2.1	The number of policy briefs and/or evidence reviews completed and published
Definition	This constitutes the number of policy briefs, described in 2.1(a) below, PLUS the number of evidence reviews, described in 2.1(b) below, published by the HSRC during the period under review.
Source of data	(A) Policy briefs and (B) Evidence reviews published by HSRC and made available on the HSRC website
Method of calculation/ assessment	(A) Count the number of policy briefs published during the period under review (B) Count the number of evidence briefs published during the period under review Total: (A) + (B)
Means of verification	Copy of research output as captured in the RMS
Assumptions	As per the more detailed descriptions for 2.1(a) and 2.1(b) below
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research units to deliver and submit • Corporate Communication to publish on-line • eRKC (outputs) to verify prior to reporting

Indicator title 2.1(a)	The number of policy briefs completed and published
Definition	Policy briefs are short papers that convey policy issues and outline courses of action to resolve them. This indicator requires 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.
Source of data	Policy briefs published by HSRC and made available on the HSRC website
Method of calculation/ assessment	Count the number of policy briefs published during the period under review
Means of verification	Copy of policy brief as captured in the RMS
Assumptions	• Policy briefs are published by the HSRC according to guidelines approved by the Deputy CEO: Research • Quality control and sign-off prior to publication of the policy brief will be delegated to the Executives or designated heads of research programmes • 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', unless an exception is explicitly approved by the Deputy CEO: Research, based on a motivated submission showing HSRC authorship and origination, as well as alignment of the said policy brief with existing HSRC guidelines
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research units to deliver and submit • Corporate Communication to publish on-line • eRKC (outputs) to verify prior to reporting

Indicator title 2.1(b)	The number of evidence reviews completed and published
Definition	An evidence review is a rigorous study of available information about a particular issue or topic, guided by a predetermined question, to establish what has already been done, what is known, and what gaps remain. It serves as a tool for planning for future work and policy advice on appropriate interventions. HSRC evidence reviews will be planned by Executive-led research teams, and results published on-line after due consultation, engagement with policy makers, peer review and Executive approval A brief report on the process followed to develop and publish the evidence review will be submitted to the Deputy CEO: Research (or designate) for approval prior to recognition as an evidence review of the HSRC.
Source of data	Research Management System (RMS) and link to published evidence report
Method of calculation/ assessment	Count the number of evidence reviews published during the period under review
Means of verification	Evidence review reports published on HSRC website
Assumptions	Funding and leadership to develop the evidence review are available
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research units to deliver and submit • Deputy CEO: Research to approve as HSRC evidence review • Corporate Communication to publish on-line eRKC (outputs) for verification prior to reporting

Indicator title 2.2	**The number of structured research engagements with South African government, policy makers and implementers**
Definition	These are structured engagements with South African government decision makers, policy makers and implementers (at national, provincial or local level) and are planned and arranged by HSRC researchers or research teams in consultation with counterpart units or contact persons in government or implementing agencies. • The event is planned around a specific topic (e.g. addressed in, or planned for, a policy brief or an evidence review) • At least half-day event • At least 15 participants, with an attendance list signed • Non-HSRC attendees should be the majority of attendees (at least 50%+1) and be from government, policy makers and/or implementing agencies • An Executive-approved meeting report is prepared and circulated to participants to encourage follow-up action or further communication
Source of data	Research Management System (RMS)
Method of calculation/ assessment	Count the number of Executive-approved meeting reports submitted for capturing on the RMS
Means of verification	Meeting report with supporting information (including agenda and signed attendance list)
Assumptions	Government counterparts and decision makers will be available to attend and participate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research programmes to deliver and report • Director Corporate Communications and Stakeholder Relations (or designate) to review, verify and capture on RMS reporting system

Indicator title 3.1	The number of research-related engagements with communities and civil society forums
Definition	A structured research-related engagement with community members and/or civil society forums is planned and arranged under the auspices of a Research Director (RD) or higher, and focuses on issues specific to a research project or research programme of work. • An engagement may involve (but is not limited to) consultation on an issue relevant to a research question; consultation with a view to obtaining gatekeeper permission to undertake research; or feedback to communities about the findings from a research project, but it excludes research project-related data gathering work • An agenda, programme, attendance list and report is prepared and submitted as evidence that the engagement took place • It is at least a half-day event • A Principal Investigator- or RD-approved meeting report is prepared and submitted for capturing on the RMS.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	Count the number of approved meeting reports submitted for capturing on the RMS
Means of verification	Meeting report with supporting information (including agenda, signed attendance list showing community-related affiliation or designation of participants)
Assumptions	Community members will be available to attend and participate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research programmes to deliver and report • eRKC to verify submitted report

Indicator title 3.2	The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers
Definition	A solution-orientated community of practice (COP) is a fit-for-purpose, short-term 'think tank', usually multi-disciplinary and problem orientated in nature. It has at least five regular members/active participants, of whom at least one is from the HSRC. Evidence of the active existence of a COP is a dedicated web presence with communication involving COP members and/or report(s) on activities added during period under review. The web presence will constitute at least a landing page that can be accessed via the HSRC website.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	Count the number of COP reports, approved by the Deputy CEO: Research, and captured in the RMS
Means of verification	Report by convenor of the COP, including information on the hyperlink to web landing page as well as new or additional activities during the period under review, reviewed and approved by the Deputy CEO: Research or designate
Assumptions	COP coordinators will report on their work
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research programmes to deliver and report, and capture on RMS following approval by Deputy CEO: Research • Corporate Communications and Stakeholder Relations to provide support for COP web presence • Deputy CEO: Research to review and approve COP reports

Indicator title 3.3	The number of innovations with community participation supported or enabled by HSRC research
Definition	In the context of this indicator, the term 'community' refers to members of a group participating in, involved in, or affected by, a research project, but who are not researchers or employed as researchers on the project. An innovation with community participation is usually a social innovation, which is described as "a process or product that is new to the community, devised and used with active involvement of community members or stakeholders in a community, to resolve a social or environmental challenge affecting their community". Innovations with community participation are usually context-specific but have the potential to be adapted or modified to be effective in different contexts. For this indicator, innovations with community participation need not be strictly limited to social or environmental challenges affecting the community. For instance, innovations that relate to new ways of communication or improved research methods may also be recognised. Recognition of an innovation involving community participation for purposes of this indicator requires the following: • It must be identified or enabled in the course of a research intervention and written up with community participation (e.g. by a member of the research team, in consultation with the community) • The description of the innovation must be submitted to the Head: Intellectual Property and Technological Transfer (IPTT) in Legal Services who will review it and indicate whether or not it meets the requirements of an innovation with community participation.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	Count the number of formal descriptions of research-related innovations with community participation accepted and filed by the IPTT Office
Means of verification	• All descriptions submitted to the IPTT Office will be reviewed, categorised according to relevant criteria, and kept on file by the IPTT Office • A description lodged with and signed off by the IPTT Manager, confirming that the requirements for innovations with community participation have been met, will serve as evidence of performance against this indicator
Assumptions	Examples of innovations with community participation will be recognised and reported
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A

Calculation type	Annual, i.e. non-cumulative
Reporting cycle	Annually
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• IPTT Manager to provide guidance, review, verify and capture on reporting system • Research programmes to deliver and report

Indicator title 3.4	The number of collaborative research projects with universities (including HDIs) and science councils in South Africa
Definition	Collaborative (current or completed during the year under review) research projects with universities and/or other science councils involve the following: • They are funded research projects, approved and registered on the RMS • The project team is listed on the RMS and includes at least one member from each of the recognised collaborating universities or science councils • A contractual agreement or Memorandum of Understanding (MoU) is signed, stipulating the nature of collaboration between HSRC and each of the recognised counterpart organisation(s).
Source of data	RMS project information and contracts database
Method of calculation/ assessment	Count the number of projects meeting the requirements
Means of verification	Summary report/checklist per project claimed as collaborative, prepared by lead research programme and captured on RMS
Assumptions	RMS and contract data are complete and correct
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research programmes to deliver and report • Deputy CEO: Research or designate to review and approve • Head: Legal Services to manage contract

Indicator title 3.5	The number of incoming international exchange visits or fellowships active during the period under review
Definition	This is the number of incoming international exchange visitors or research fellows hosted during the period under review.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	Count the number of completed or on-going incoming international exchange visitors or research fellows hosted at the HSRC during the period under review, as reflected on the RMS
Means of verification	• HR records and contractual agreements to support and report on incoming research visits or exchange visits • Relevant prerequisites for recognition of incoming international exchange visits or fellowships will be set and monitored by HR, in the context of an approved HR policy or policies • A minimum requirement for recognition of short-term incoming exchange visits is that at least one research-based seminar, led by the exchange visitor, must take place
Assumptions	Funding for incoming and outgoing fellowships is available from HSRC or external sources Relevant visa requirements are complied with before fellowships are taken up
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Director, HR as delegated to Head: Learning and Development (for co-ordination, facilitation and reporting) • Heads of research units (for delivery)

Indicator title 4.1 The percentage of senior researchers (SRS/SRM+) who are black

Definition	This is the number of HSRC researchers at senior level (SRS/SRM or above) who are black, according to the designated groups as defined in the Employment Equity Act. This number is 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, to express it as a percentage.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	(A) Count the total number of researchers who are employed at the level of Senior Research Specialist (SRS), Senior Research Manager (SRM) or higher on the 'permanent' payroll (1 year or longer) as at the last day of the period under review; excluding the CEO and Deputy CEO: Research, and also excluding staff on incoming exchange visits (B) Of the researchers identified in (a), count the number who are black, according to the designated groups as defined in the Employment Equity Act. Percentage: (B)/(A) x 100
Means of verification	HR data: HR spreadsheets as supported by staff files and letters of appointment
Assumptions	HR data are complete and accurate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Non-cumulative
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Director: HR (for reporting) • Heads of research units (for delivery)

Indicator title 4.2	The percentage of senior researchers (SRS/SRM+) who are female
Definition	This is the number of HSRC researchers at senior level (SRS/SRM or above) who are female, from designated groups (in accordance with Employment Equity Act definition), 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.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	(A) Count the number of researchers who are employed at the level of Senior Research Specialist (SRS), Senior Research Manager (SRM) or higher, who are on the 'permanent' payroll (1 year or longer) as at the last day of the period under review; excluding the CEO and Deputy CEO: Research, and also excluding staff on incoming exchange visits (B) Of the researchers identified in (a), count the number who are female, according to the designated groups as defined in the Employment Equity Act Percentage: (B)/(A) x 100
Means of verification	HR data: HR spreadsheets as supported by staff files and letters of appointment
Assumptions	HR data are complete and accurate
Disaggregation of beneficiaries (where applicable)	• Target for women: This indicator aims to increase the percentage of women among senior researchers (see annual and quarterly targets set) • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Non-cumulative
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Director: HR (for reporting) • Heads of research units (for delivery)

Indicator title 4.3 The percentage of researchers (excluding trainees) with PhDs

Definition	This is the percentage of researchers (at the level of researcher or above and excluding trainees appointed in accordance with the HSRC researcher trainee policy and also excluding staff on incoming exchange visits) who are employed by the HSRC and have a doctoral degree from a recognised university.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	(A) Count the number of researchers (excluding trainees appointed in accordance with the HSRC researcher trainee policy and also excluding staff on incoming exchange visits) who have been on the 'permanent' payroll (1 year or longer) at the level of researcher or above, as at the last day of the period under review (B) Of the researchers identified in (a), count the number who have a doctoral degree Percentage: (B)/(A) x 100
Means of verification	• Staff database (HR) showing appointment level during year under review • Supporting documents in HR staff files: • Copy of doctoral (PhD or equivalent, e.g. DSc, DPhil, i.e. recognised at NQF level 10) degree qualification obtained from a recognised university or HEI • Reported performance as captured in the RMS
Assumptions	HR data are complete and accurate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Non-cumulative
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Director: HR (for reporting) • Head: Learning and Development (for support)

Indicator title 4.4 The number of PhD trainees

Definition	This is the number of persons employed by the HSRC during the reporting period as doctoral (PhD) level trainees
Source of data	Reported performance as captured on the RMS
Method of calculation/ assessment	Count the total number of PhD level research trainees employed by the HSRC during the year under review
Means of verification	• Staff database (HR) showing employment status during the year under review • Supporting documents in HR staff files – letters of appointment: Persons appointed in the context of the Board-approved HSRC researcher trainee policy, as a PhD Intern, Doctoral Intern, PhD Research Trainee or Doctoral Research Trainee • Proof of registration at a recognised higher education institution, in accordance with requirements set out in the relevant HSRC policy.
Assumptions	HR data are complete and accurate
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Heads of research units (for delivery, and submission of supporting information) • Director: HR, supported by Head: Learning and Development (for quality control and reporting)

Indicator title 4.5	The number of conferences or training academies for young African scholars
Definition	These are events specifically designed to offer opportunities to emerging scholars (from South Africa and/or other countries on the African continent) to participate in presentations or interactive activities aimed at building capacity in research, research methods or research communication and help establish future research networks. A recognised conference and/or training event will involve: • A planning or steering committee representing at least two institutions (the HSRC and at least one counterpart institution) • Criteria to identify and select young African scholars to participate as identified by the planning or steering committee – participants may differ from event to event • An academic or research programme involving the HSRC and other experts to facilitate engagements, and young African scholars who actively participate • Evaluation/feedback forms or a feedback session with the young scholars • A conference report or published proceedings
Source of data	Research Management System (RMS)
Method of calculation/ assessment	Count the number of approved conference reports submitted and captured on the RMs for reporting
Means of verification	Conference report and supporting information as approved by the Deputy CEO: Research and submitted to the RMS for capturing
Assumptions	Funding will be allocated for these events at the beginning of each financial year
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Annual, i.e. non-cumulative
Reporting cycle	Annually
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Deputy CEO: Research to co-ordinate and approve report(s) • Research programmes to deliver and report

Indicator title 5.1	The percentage of total income that is extra-parliamentary
Definition	This is the percentage of total income to the HSRC that comes from sources other than its parliamentary allocation.
Source of data	Financial information (actual income received) as reflected in the 'statement of financial performance' at the end of the reporting period
Method of calculation/ assessment	Identify the following sources of income: Ⓐ Research revenue Ⓑ Parliamentary grants Ⓒ Other income Percentage: [Ⓐ+Ⓒ/Ⓐ+Ⓑ+Ⓒ]x100
Means of verification	Approved statement of financial performance report for the period under review
Assumptions	Financial records are correct and complete
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Non-cumulative
Reporting cycle	Quarterly (non-cumulative)
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	Chief Financial Officer

Indicator title 5.2	The number of internationally-funded collaborative projects involving multi-year grants of R5 million or more
Definition	This is the number of current (approved) research projects that are supported by contracts or grant agreements with international (non-South African) funders during the year under review. These contracts must: • Run over a period of at least three budget years • Have total grant value (inclusive of VAT) of at least R5 million over the duration of the contractual period • Have a contractual agreement (main contract or sub-contract) to involve at least one researcher from another research institution as a member of the research project team.
Source of data	Research Management System (RMS)
Method of calculation/ assessment	Count the number of research projects that meet the requirements set in the definition during the year under review
Means of verification	• RMS (current research projects) • Original contracts in the contracts database (Legal)
Assumptions	RMS data as well as the contracts database are correct, current and complete
Disaggregation of beneficiaries (where applicable)	• Target for women N/A • Target for youth N/A • Target for people with disabilities N/A
Spatial transformation (where applicable)	• Contribution to spatial transformation priorities N/A • Description of spatial impact N/A
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	• Research programmes: For reporting and delivery • Head: Legal (for contract management, monitoring and reporting)

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