

HUMAN SCIENCES RESEARCH COUNCIL

STRATEGIC PLAN

FOR THE FISCAL YEARS

2014/15 – 2018/19

&

ANNUAL PERFORMANCE PLAN

2014/15

20 YEARS
OF DEMOCRACY
& RESEARCH
EXCELLENCE



Foreword

Social Sciences and humanities form the body of knowledge of science and technology and the HSRC is one of the science councils forming part of research public entities in South Africa. One of the major challenges that science councils need to overcome in order to thrive, is knocking down the walls that confine them to their institutions and begin to collaborate with others. A move towards a more collaborative approach to scientific research has become critical as the need for innovative research-based solutions increases globally. Central to this research, is human behaviour, which occurs within the social context with its political, economic and cultural values and practices; the absorption of scientific or technological innovation requires this complex understanding. The Human Sciences Research Council (HSRC) has a program established to collaborate with universities and other science councils, nationally and internationally, to enhance the research undertaken and offer better explanatory power.

The HSRC is one of the seven public research entities that receives funding from the Department of Science and Technology and I congratulate them on maintaining a fiscal prudence evidenced by unqualified audits since its incorporation. In the 2012/13 financial year, the HSRC performed well by achieving more than 87% of their performance objectives, indicating their commitment to implementing the shareholder's compact, which I sign annually with the Board.

We appreciate the vigour with which the HSRC has convened policy dialogues, bringing together policy-makers and researchers to interrogate various policies, assessing the evidence that informed the development of these policies. It is essential to translate research into policy, and this mechanism, coupled with the introduction of policy briefs is a way to support turning research into action.

The HSRC is a key producer of research data emanating from large national repeat or longitudinal surveys, thus affording the opportunity of further analysis and establishment of trends over time. With the recently established Research Data Management Centre to support and maintain the quality of research data, the HSRC has created a platform for generating research evidence to enable better planning of policies and services across a broad spectrum. More scientists can now access HSRC data for secondary analysis.

The cabinet has taken a decision to incorporate AISA into the HSRC to reduce duplication and bring the work of AISA into mainstream research, a position that was supported by the National Assembly. Following the decision of the National Council of Provinces, I am pleased that both the Board and the management of the HSRC and AISA, together with the senior management of the Department of Science and Technology, are diligently working towards a successful incorporation that will advance the conduct of research on the African continent.

One of the key programs that the Department of Science and Technology is funding, is the Centre for Science, Technology and Innovation Indicators (CeSTII). This centre continues to fulfill its mandate of collecting research, development and innovation data, as well as undertaking policy-focused research and analyses on science and technology indicators. They carry out in-depth analysis of available data to contribute to academic discourse through publishing academic papers in peer-reviewed journals, books, book chapters and other academic outputs in line with the legal mandate of the HSRC to produce scientific evidence.

I look forward to working with the HSRC to achieve the goals set in the strategic plan, the annual performance plan as well as the shareholder's compact.



Minister Derek Hanekom
Department of Science and Technology
Executive Authority
Date:

Official sign-off

I hereby certify that this 5-year Strategic Plan:

- Was developed by the management of the Human Sciences Research Council (HSRC) under the guidance of the Board of the HSRC and the Department of Science & Technology (DST), based on the National Treasury Framework for Strategic Plans and Annual Performance Plans;
- Takes into account all the relevant policies, legislation and other mandates for which the HSRC is responsible; and
- Accurately reflects the strategic outcome-oriented goals and objectives which the HSRC will endeavour to achieve over the period 2014 - 2019.

Professor O. Shisana, Sc.D.
Chief Executive Officer
Human Sciences Research Council

Signature: 

Ms N. Badsha
Chair of the HSRC Board
Accounting Authority

Signature: 

Approved by:

Minister Derek Hanekom
Department of Science and Technology
Executive Authority

Signature: 

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Part A: Strategic Overview

Few countries have a statutory council dedicated to conducting human and social science research for the benefit of society. The few systems that have this type of council are located in industrialised countries. The African Union, realising the value of a social sciences organisation, is in the process of establishing a similar organisation for the continent. South Africa established the HSRC in 1968 and later reaffirmed its decision in 2008 to support the existence of this science council.

The value of the HSRC is in knowledge production and dissemination. The knowledge that the HSRC generates contributes to local, regional and global understanding of social phenomena. The scope of human and social sciences research is broad, requiring the participation of scientists from many disciplines. In the process, the scientists are creating a new scientific approach to knowledge generation that is integrated. By its nature, integrated science brings together scientists from varying disciplines to investigate social phenomena. The skill sets found in the HSRC allows it to undertake complex problem-oriented research in all economic sectors, as well as understanding social phenomena such as social cohesion, corruption, xenophobia, poverty and how they are manifested in society.

The HSRC also plays a vital role in producing evidence that supports policy development by decision-makers at national, provincial and local level. It responds to national priorities set by the government, but also initiates research projects that help in anticipation of future challenges. The organisation is non-partisan, assisting whichever administration is in office, always concerned about public interest. It is for this reason that the organisation works with the portfolio committee on science and technology, as well as the appropriations committee of Parliament to support them in their work on accountability. It further provides research necessary for all sectors of society to use as they exercise their democratic right.

To effectively play its role, the HSRC develops a rolling five year strategic plan and an annual performance plan and then seeks funding from government and non-parliamentary financial resources. It has managed over the last decade, except in 2010, to obtain adequate resources to achieve its mandate. Without augmentation of parliamentary resources with non-parliamentary resources, the HSRC could not meet its legislated mandate.

Below is the five year strategic plan as well as the annual performance plan that will guide the work of the HSRC.

1. Vision

The HSRC intends to serve as a knowledge hub for research-based solutions to inform human and social development in South Africa, the African continent and the rest of the world.

2. Mission

The mission of the HSRC is to be a research organisation that advances social sciences and humanities for public use.

3. Values

As an institution, the HSRC will at all times strive to:

- Be a scientific research organisation whose work is viewed as authoritative and non-partisan;
- Use its Parliamentary grant and other public funds to undertake and promote research that will benefit all the people of South Africa, particularly marginalised groups, and promote human well-being and the achievement of social justice;
- Collaborate with relevant groupings including government, higher education institutions, donors, non-governmental organisations, media and advocacy groups in the course of its work, while maintaining its independent identity;
- Be guided by its Code of Ethics in introducing, revising and implementing policies and procedures to guide Council members and employees in respect of ethical conduct in their different spheres of activity. The

HSRC's policies and procedures will thus seek to integrate ethical issues into day-to-day activities and decision-making within the organisation.

4. Legislative and other mandates

The Human Sciences Research Council Act, Act 17 of 2008, outlines the purpose and mandated objectives of the HSRC. The Public Finance Management Act (PFMA), Act 1 of 1999, applies to the way in which the HSRC, a national public entity listed in Schedule 3A of the PFMA, operates and accounts for its activities. National priorities outlined in the Medium-term Strategic Framework (MTSF), and specific performance targets entrusted to Ministers reflect Government's longer-term plans as well as electoral commitments. All of these are taken into account when identifying strategic priorities and ways of working in the HSRC in the forthcoming planning period. More specifically, the *White Paper on Science and Technology* (1996), the *National Research and Development Strategy* (2002), the *Ten-Year Plan for Science and Technology* (2008); the *Human and Social Dynamics in Development Grand Challenge Science Plan* (2010) developed by the Department of Science and Technology, as well as the performance agreement signed by the Minister of Science and Technology provide a more focused strategic context within which the HSRC plans and prioritises its activities.

The HSRC is required to address developmental issues through research, thereby contributing to policy formulation, monitoring and evaluation, as well as the improvement of the quality of lives of vulnerable communities. By virtue of the cross-cutting role of the HSRC (see Sections 4.2 and 5.1, below), other national strategies such as the New Growth Path, the National Development Plan, the Human Resource Development Strategy for South Africa, the National Skills Development Strategy, and the National Strategic Plan for HIV and AIDS and Sexually Transmitted Infections (STI) for South Africa and the Ten-Point plan for health and basic education also have a bearing on the work of the HSRC.

4.1. Constitutional mandates

The HSRC is not specifically mentioned in the South African Constitution, Act 108 of 1996. However, the Bill of Rights contained in the Constitution applies to all laws and binds all organs of state, such as the HSRC. The way in which the HSRC conducts its work is underpinned by the principles of the Bill of Rights, and its research also addresses questions around ways in which rights enshrined in the Constitution are applied, and increasingly made accessible to all the people of South Africa.

Other sections of the Constitution that specifically apply to the work of the HSRC include Section 12(2)(c), which highlights the right of not being subjected to medical or scientific experiments without informed consent, and Section 16 which addresses freedom of expression, including the right to academic freedom and freedom of scientific research.

The HSRC Code of Ethics addresses the way in which these rights are interpreted and applied in practice. An active and internationally-accredited Research Ethics Committee (REC) reviews HSRC research proposals to ensure that HSRC researchers, as well as project collaborators, adhere to the highest ethical standards. This service is also available to non-HSRC researchers. The HSRC media policy addresses the way in which freedom of expression is aligned with principles of scientific integrity and accountability.

4.2. Legislative mandates

The Human Sciences Research Council (HSRC) is a Schedule 3A national public entity in terms of the Public Finance Management Act, 1999 (Act No. 1 of 1999 as amended) and the Minister of Science and Technology is the Executive Authority, and the HSRC Board the Accounting Authority of the HSRC. The HSRC is governed by a Board appointed by the Minister of Science and Technology.

The HSRC was established in 1968 to undertake, promote and co-ordinate research in the human and social sciences. It operates in terms of the Human Sciences Research Council Act, 2008 (Act No. 17 of 2008), which replaces the Human Sciences Research Council Act, 1968 (Act No. 23 of 1968) and provides for the continued existence of the HSRC. The Act outlines the functions of the HSRC Board and mandates the HSRC to:

- Initiate, undertake and foster strategic basic and applied research in human sciences;
- 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;
- Inform the effective formulation and monitoring of policy, as well as to evaluate the implementation thereof;

- Stimulate public debate through the effective dissemination of fact-based research results;
- Help build research capacity and infrastructure for the human sciences;
- Foster research collaboration, networks and institutional linkages;
- 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;
- Develop and make available data sets underpinning research, policy development and public discussion of developmental issues, and to
- Develop new and improved methodologies for use in the development of such data sets.

The HSRC Act also allows the HSRC 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.

4.3. Policy mandates

The HSRC is committed to the outcomes approach as developed by Government (<http://www.info.gov.za/issues/outcomes/index.html>). It will contribute towards achieving outputs listed in the performance agreement between the Minister of Science and Technology and the President of South Africa. It is furthermore recognised as an important role player in a number of delivery agreements aimed at supporting the achievement of the twelve outcomes that had been agreed to for the 2009–2014 electoral period. Delivery agreements where specific reference is made of the HSRC, include those for Outcome 1 (Improved quality of basic education), Outcome 2 (A long and healthy life for all South Africans), and Outcome 5 (A skilled and capable workforce to support an inclusive growth path). It also has research-based contributions to make in relation to several other outcomes, and the related outputs that are clearly articulated in the delivery agreements between other Ministers and the President of South Africa.

In the delivery agreement for Outcome 1, the HSRC is listed as an agency whose work will contribute to knowledge in the area of quality basic education, and described as having been at “the forefront of educational research in the country”. Furthermore, the document suggests that ongoing collaboration with the HSRC and other statutory bodies is critical in supporting the work in basic education.

The delivery agreement for Outcome 5 contains specific reference towards the need to establish a credible institutional mechanism for skills planning (output 5.1), where it is proposed that a partnership MoU involving the Departments of Higher Education and Training, Science and Technology as well as the HSRC be established for the provision of analysis, surveys, studies, investigations and research into the supply and demand of skills.

The HSRC is listed as one of the sources of data on health, to help monitor the delivery agreement for Outcome 2. These include outcomes related to combating HIV and AIDS and decreasing the burden of diseases from tuberculosis, infant, child and maternal mortality, as well as chronic lifestyle diseases.

5. Situational analysis

5.1. Performance environment

The HSRC is one of the statutory research councils operating in the South African National System of Innovation (NSI). As a national public entity, it reports to Parliament via the Department and Minister of Science and Technology. It also has a cross-cutting responsibility, addressing priorities of several other government departments. In terms of mandated objectives listed in the HSRC Act, it is required to undertake research, inform policy, and provide data to help monitor and evaluate the implementation of policies dealing with developmental issues, thereby contributing to the improvement of the quality of life of vulnerable communities. This cross-cutting role of the HSRC and the areas of work it addresses are closely aligned with Government’s MTSF and specified desired outcomes over the next five years.

Through research that is often large-scale, multi-year, and collaborative in nature, the HSRC provides high-quality scientific evidence to inform monitoring and evaluation, further analysis, as well as debate, advocacy and decision-making by role players in government, the media, academia, and community-based groupings. The work of the HSRC is intended to inform policy development and good practice, thereby making a difference to the lives of people in South Africa and in the mother continent.

Large-scale cross-sectional and longitudinal surveys undertaken by the HSRC provide research-based data capable of informing government planning, monitoring and evaluation activities. By leveraging additional funding from external, international sources; the HSRC has contributed to national priorities while helping to grow the overall contribution to R&D expenditure in the country.

Other forms of support to decision makers regarding research and the utilisation of research findings, include secondments of HSRC staff members to government departments and special appointments of HSRC staff to serve in advisory bodies or commissions.

The HSRC also undertakes research and evaluation studies in areas of national priority, and ensures that relevant stakeholders and decision makers are informed about findings emerging from the research, and the implications of these for policy and practice. Presentations to Parliamentary portfolio committees are based on scientific evidence.

The HSRC is, by virtue of its legislated objectives, also required to foster and support research, help build capacity and infrastructure in the human sciences in South Africa and elsewhere in Africa, and to foster research networks and collaboration in the human sciences. However, the HSRC is a performing research council and not a grant-making institution such as the National Research Foundation (NRF). Its own research agenda needs to be co-financed from external sources (e.g. via contracts and grants for research services rendered). Collaboration with universities and fellow science councils generally takes place at project level, in some cases in the context of signed memoranda of understanding that were developed at institutional level.

The HSRC's ability to develop long-term plans involving external collaboration, capacity enhancement and infrastructure development remains relatively constrained by its funding model, and has led to negative perceptions from some role players in the National System of Innovation, about a bias towards "consultancy-driven" rather than strategy-driven collaboration.

Annexure A to this Strategic Plan contains a more detailed Strengths, Weaknesses, Opportunities and Threats (SWOT) analysis. The opportunities and threats captured in the analysis incorporate information on the performance environment of the HSRC that had an impact on the development of this strategic plan.

5.2. Organisational environment

The main function of the HSRC is research, and the effective communication of research findings. Administrative activities are carried out to provide an enabling environment for research, to support infrastructure needs and to ensure compliance with regulatory requirements. Annexure C to this Strategic Plan provides an overview of the structure of the HSRC. Over the next six years, the following elements of the structure will remain stable:

- The HSRC Board serves as governing body of the HSRC;
- The Chief Executive Officer (CEO) as an *ex officio* member of the HSRC Board, and reports to the HSRC Board;
- The *Office of the CEO* houses key units responsible for governance and outreach activities;
- The Deputy CEO for Research reports directly to the CEO and is responsible for the research portfolio of the HSRC. The executive directors of research programmes, as well as units for research ethics, research communication and utilisation, and research impact analysis report to the DCEO: Research.
- The Deputy CEO Management Support reports directly to the CEO and is responsible for assets and operational support functions of the HSRC, including activities related to staff and organisational development.
- The Chief Financial Officer (CFO) reports to the CEO and is responsible for financial matters and supply chain management.

The HSRC currently has offices in four of South Africa's nine provinces, namely Gauteng (Pretoria HSRC and AISA), KwaZulu-Natal (Durban and Sweetwaters), Western Cape (Cape Town) and Eastern Cape (Port Elizabeth).

The research agenda of the HSRC will be responsive to issues identified in the external environment, including various aspects of global change. Inequality will be a cross-cutting theme to inform research undertaken by the HSRC. A focus on the humanities will be mainstreamed. Intra- and inter-institutional collaboration will be fostered, and international research networks will involve a focus on strengthening research in geopolitical issues, the social sciences and humanities in the South, across Africa and globally.

5.3. Description of the strategic planning process

Strategic planning is an ongoing process in the HSRC. Its executive team remains alert to, and reflects on developments in the external and organisational environment that have a bearing on strategic planning issues throughout the year.

This Strategic Plan, which covers a five year period from 2014/15 onwards, builds on initial work done to develop the previous three Strategic Plans starting in 2010/11 and benefited from further inputs and insights gathered during the year. These inputs confirmed that the HSRC should remain on the trajectory embarked upon, but also helped to identify areas where some of the strategic objectives and envisaged contributions could be refined to ensure that the HSRC and its work remain pro-active, relevant, excellent and sustainable over time. Important inputs and events feeding into the strategic planning process of the HSRC include the following:

- Government's concerted drive to ensure co-ordinated support to address, ensure delivery and monitor progress towards achievement of national priorities in the context of the outcomes approach;
- Progress made with the implementation of the 10-year National Innovation Plan (2008–2018), especially in the context of the Grand Challenge of Human and Social Dynamics in Development, and ongoing engagements with the Department of Science and Technology (DST) around the refinement of the science plan for the Human and Social Dynamics in Development (HSDD) Grand Challenge;
- The promulgation of Act 17 of 2008, and the obligation to align mandated objectives of the organisation with performance planning and accountability cycles;
- The 2010 HSRC Institutional Review;
- The decision to incorporate the Africa Institute of South Africa (AISA) into the HSRC;
- The decision to host the BRICS Think Tank;
- The 2012 DST Ministerial Review; and
- Meetings with South African decision makers, other local and international stakeholders, as well as reflections on recent national and international studies highlighting issues and developments of strategic importance.

Inputs to feed into strategic plans and annual performance plans are obtained from executive directors and discussed at regular executive management meetings.

6. Strategic outcome-oriented goals of the HSRC

The strategic intent of the HSRC is aligned to the overall goals of Africa's Consolidated Plan of Action for Science and Technology (AU 2005: 10). The goals of the action plan are:

- To enable Africa to harness and apply science, technology and related innovations to eradicate poverty and achieve sustainable development; and
- To ensure that Africa contributes to the global pool of scientific knowledge and technological innovations.

Accordingly the strategic intent of the HSRC over the five-year period from 2014/15 to 2018/19 is:

To have addressed **key priorities** facing South Africa, Africa and the world through its research, and to have generated **new knowledge** that helps us understand the changing human and social environment in which we live).

The HSRC Board will provide the Executive Authority with, amongst others, an annual report that covers every material aspect on which the organisation is expected to report as detailed in the Shareholders' Compact; and a detailed Key Performance Indicator (KPI) report which presents HSRC's performance expressed in terms of a suite of generic key performance indicators for science councils.

The HSRC has identified the following six strategic outcome-oriented goals. These strategic business goals are informed by the mandated goals and institutional imperatives of the HSRC. These, in turn, relate strongly to national priorities, global developmental goals, the Grand Challenges in the 10-year National Innovation Plan (in particular the Human and Social Dynamics in Development Grand Challenge), and to the vision of the HSRC.

| Strategic Outcome Oriented Goal 1 | A - Knowledge advancement |
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| Goal Statement: | The HSRC will have advanced social sciences and humanities for public use by initiating, undertaking and fostering basic and applied research in human and social sciences, and geopolitical issues; stimulated public debate and disseminated research results through scientific publications, seminars and institutional linkages, thereby contributing to global knowledge generation and dissemination by end of the 2018/19 financial year. |

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| Strategic Outcome Oriented Goal 2 | D - Contribution to development and social progress in Africa. |
| Goal Statement: | The HSRC will have contributed to the development and social progress in Africa by conducting research, analysing and publishing data that aims to address developmental challenges in South Africa and elsewhere in Africa and the rest of the world; and promoted an African research agenda through knowledge and research partnerships elsewhere in Africa by end of the financial year 2018/19. |

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| Strategic Outcome Oriented Goal 3 | E- Enhanced skills |
| Goal Statement: | By end of 2018/19 the HSRC will have contributed to the development of a skilled and capable workforce in the Republic and elsewhere in Africa by providing opportunities for masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC in order to grow an echelon of suitable qualified and experienced social scientists and strengthened its capacity building programme focusing on training unemployed graduates and expanding the coaching skills initiative for managers; career growth and succession planning. |

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| Strategic Outcome Oriented Goal 4 | P - Preserved data and knowledge |
| Goal Statement: | The HSRC will have preserved its library holdings through digitisation and preserved data sets from data collected by HSRC researchers and shared it with others for further analysis by end of fiscal year 2018/19. |

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| Strategic Outcome Oriented Goal 5 | T- Transformation |
| Goal Statement: | By the end of the 2018/19 financial year the HSRC will have transformed at senior level to reflect the national demographic composition with respect to race and gender. |

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| Strategic Outcome Oriented Goal 6 | S- Financial sustainability |
| Goal Statement: | By the end of the 2018/19 financial year the HSRC will have improved and implemented effective and efficient systems of financial management and good corporate governance; and ensured sustainability of research funding through long-term research projects and longitudinal studies. |

In the context of this strategic intent and in line with its vision and mandated objectives the HSRC plans to achieve its outcome oriented goals by carrying out activities related to the strategic objectives; these are detailed in Part B and C of this document.

Part B: Strategic Objectives

7. Programme 1: Administration

Purpose: This programme is responsible for providing strategic direction; overall management and centralised support services to ensure that all activities of the HSRC comply with good governance principles, applicable legislation and funder requirements whilst ensuring that the strategic direction of the institution is aligned with the mandated objectives and government priorities. There are two sub-programmes:

(i) Office of the CEO

The office of the CEO acts as door-opener for institutional collaboration and provides strategic direction and champions application of good governance principles in the day-to-day running of the HSRC business. The CEO's office is responsible for the allocation of resources to achieve the agreed upon targets in the annual performance plan and appointing senior and permanent staff to ensure the organisation is well-resourced to undertake its responsibilities. It has the following business units:

- **Board Secretariat:** The Board Secretariat coordinates the activities of the HSRC Board and Board Committees. The unit also facilitates liaison between the HSRC and the Department of Science and Technology.
- **Business Development & International Liaison:** The business development and international liaison sub-programme is responsible for the promotion of HSRC business both locally and internationally and the maintenance of HSRC MoUs with international organisations.
- **Enterprise Risk Management:** The Enterprise Risk Management Unit is responsible for ensuring implementation of good governance principles in relation to risk management, compliance management and preparation of the HSRC strategic plan, annual performance plan and performance reports.
- **Financial Management:** The Financial Management sub-programme is responsible for ensuring compliance with all relevant financial statutes and regulations, notably the Public Finance Management Act (PFMA). It is also mandated to ensure that the HSRC has and maintains an effective and efficient system of financial management and internal control as well as an effective and transparent system of supply chain management that strengthens the effectiveness and efficiency of strategic sourcing with an impact on demand management, logistics and contract management processes.
- **Internal Audit:** The internal audit function is outsourced. It is responsible for providing assurance activities on all identified risk areas and advise management of emerging risks and areas of internal control weaknesses.

(ii) Management Support

The Management support sub-programme is headed by the Deputy CEO: Management Support and is responsible for all operational and data management activities.

- **Operations:** The Operations sub-programme is responsible for all operational activities of the HSRC and its deliverables are divided amongst the following business units:
 - Information Technology
 - Legal Services
 - Human Resources & Capacity Enhancement
 - Information Services
 - Facilities
 - Cafeteria
 - Building & Maintenance
 - Protection Services
- **Research Data Management Centre:** The Research Data Management Centre (RMDC) sub-programme is responsible for research data collection, capturing, cleaning & coding; secondary data analysis; data curation, preservation, dissemination and archiving.

7.1. Strategic objectives

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| Strategic objective 3.1 | Attraction of skills for the development of a skilled & capable workforce |
| Objective statement | The HSRC will have recruited masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC and strengthened its capacity building programme focusing on recruitment of unemployed graduates, expanding the coaching skills initiative for managers; career growth and succession planning by 2018/19. |
| Baseline | In 2012/13 the HSRC achieved the following: 41 trainees enrolled in the HSRC Masters' programme. 42 trainees enrolled in the HSRC PhD programme. 22 Post-doctoral fellows were appointed at the HSRC. |
| Justification | The internship programme will strengthen HSRC and National research capacity by developing enhanced research skills and coupled with the MoU, it will serve to improve the footprint and sustainability of the HSRC. |
| Links | This objective is linked to Government initiatives such as the National Research and Development Strategy, the DST 10 Year Plan, the South African Charter for the Humanities and Social Sciences and the New Growth Path. It is also a mandated objective of the HSRC; to help in building research capacity and infrastructure for the human sciences in the republic and elsewhere in Africa. |

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| Strategic objective 4.1 | Research data management and curation |
| Objective statement | The HSRC will have expanded the number of data sets already available in the public domain and established standards for the management and preservation of research data by end of the financial year 2018/19. |
| Baseline | 22 research data-sets were curated in 2012/13. |
| Justification | <ul style="list-style-type: none"> • Preserve numerous data sets that would otherwise be at risk of being lost or become unusable; • Significantly increase the optimal use of secondary research data; • Contribute to improving the standard of data management practices within the research community; • Contribute to the development of research skills in the social sciences, and • Provide evidence to inform monitoring and evaluation, debate, advocacy and decision-making by researchers, role players in government, the media, academia, community-based groupings and the public at large. |
| Links | This project contributes sharing and disseminating of HSRC data for secondary use. It is also linked to the mandated objective of the HSRC to develop and make publicly available, new data sets to underpin research, policy development and public discussion on key issues of development, and to develop new and improved methodologies for use in their development. |

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| Strategic objective 5.2 | Awareness & reporting on transformation |
| Objective statement | By end of the financial year 2018/19, the HSRC will have raised awareness, assessed its transformation status and prepared annual & quarterly reports on Employment Equity levels activities to raise awareness on gender and diversity. |
| Baseline | In 2012/13 the HSRC achieved the following: <ul style="list-style-type: none"> • The annual employment equity report was submitted to the Department of Labour. • 4 quarterly employment equity reports were tabled at the Board meetings. |
| Justification | In line with the employment equity numerical targets, the HSRC aims to increase the proportion of Senior African women researchers, which will not only help achieve the targets, set by the Department of Labour, but will increase the proportion of senior researchers in the organisation. |
| Links | Compliance with Section 21 of the Employment Equity Act 55 of 1998. |

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| Strategic objective 6.3 | Good corporate governance principles effectively championed |
| Objective statement | By end of the financial year 2018/19, the HSRC will have championed implementation of good corporate governance principles and produced quarterly reports on risk management, compliance, anti-corruption initiatives and facilitated activities related to the governance of the Board, to ensure financial sustainability. |
| Baseline | In 2012/13 this programme achieved the following in terms of its financial sustainability initiatives: <ul style="list-style-type: none"> • The annual anti-corruption campaign was attended by 39% of officials in the Durban & Cape Town offices. • The rate of annual declaration of business interests by officials was 73.66%. • Compliance audits were conducted for 12 applicable legislation & prescripts and 4 compliance reports were tabled at the HSRC Board. |
| Justification | The deliverables of this objective are in line with the requirements of the PFMA and outcome 9 of national government priorities that promote a responsive, accountable, effective and efficient public service. |
| Links | This objective links to Section 51(1) of the PFMA that requires the HSRC to maintain an effective and efficient system of financial and risk management and internal control. |

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| Strategic objective 6.4 | Effective and efficient systems of financial management and internal control |
| Objective statement | By end of the financial year 2018/19, to have ensured that the HSRC BBBEE status moves from 3 in 2012/13 to 1; and ensure that on an annual basis the HSRC receives an unqualified external audit report by developing and implementing effective and efficient systems of financial, procurement and compliance management. |
| Baseline | In 2012/13 this programme achieved the following in terms of its financial sustainability initiatives: <ul style="list-style-type: none"> • Unqualified report for 2012/13 • BBBEE level 3 • 100% PPPFA compliance |
| Justification | The deliverables of this objective are in line with the requirements of the PFMA and outcome 9 of national government priorities that promote a responsive, accountable, effective and efficient public service. |
| Links | This objective links to Section 51(1) of the PFMA that requires the HSRC to maintain an effective and efficient system of financial and risk management and internal control. |

7.2. Resource considerations

7.2.1. Expenditure trends

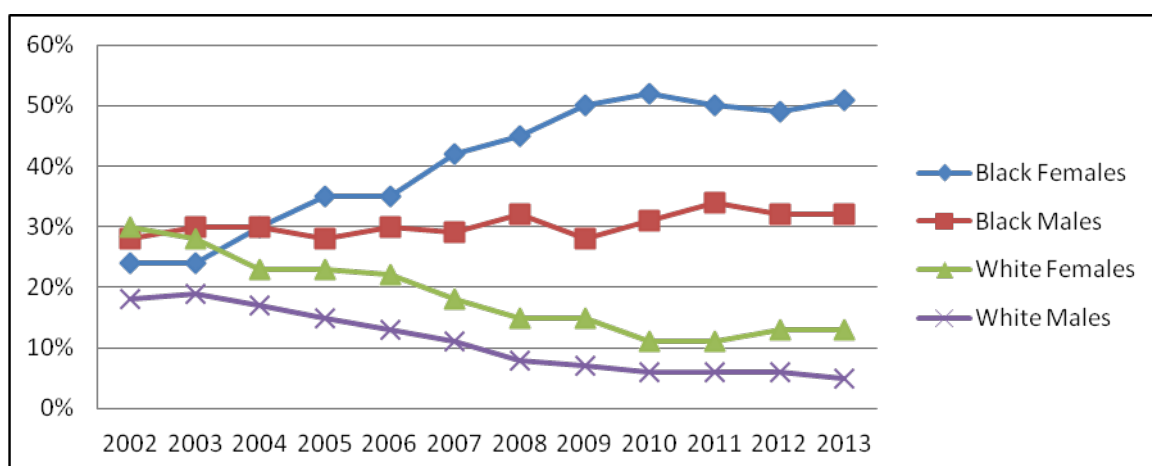
One of the key expenditure considerations under this programme is maintenance and repairs of the Pretoria building and infrastructure upgrade. Due to the age of the building, most of its supporting infrastructure needs upgrading and replacement in order to support the strategic priorities of the HSRC and to ensure compliance with Occupational Health and Safety Act requirements. Expenditure of this programme is expected to evolve in the next five years to support:

- Building and IT infrastructure upgrade and maintenance;
- Activities aimed at enhancing inter-institutional collaboration and capacity enhancement initiatives.

7.2.2. Trends in key categories of staff

One of the key responsibilities of this programme is to source, maintain and support the people aspect of the HSRC Strategic Plan, this includes ensuring that the employment equity targets are attained and that all business units have skilled and capable staff. In order to ensure attainment of its employment equity targets, the HSRC continues to monitor its progress in terms of overall racial and gender representivity. Figure 1 below illustrates the trends in gender representivity over time.

Figure 1: Racial & gender representivity over time



7.2.3. Trends in the supply of key inputs

Appropriately skilled and experienced staff are key inputs to support the work of the HSRC that is carried out by this programme. Another equally important input is IT infrastructure, which includes video conferencing facilities, computer equipment and knowledge management systems. Over the years the HSRC was not able to invest in the required upgrade and replacement of these key inputs due to non-approval of its MTEF bid for infrastructure items. As a result the existing infrastructure has been utilised despite its anachronistic state, leading to slow response from the computer systems and frequent interruptions of video conferences.

7.3. Risk management

Risks are managed on a continuous basis in all the research sub-programmes and the HSRC Board monitors progress in implementing risk response strategies as well as their impact on the overall risk profile of the HSRC. The following were identified as the top-three risks that could affect the performance of this programme:

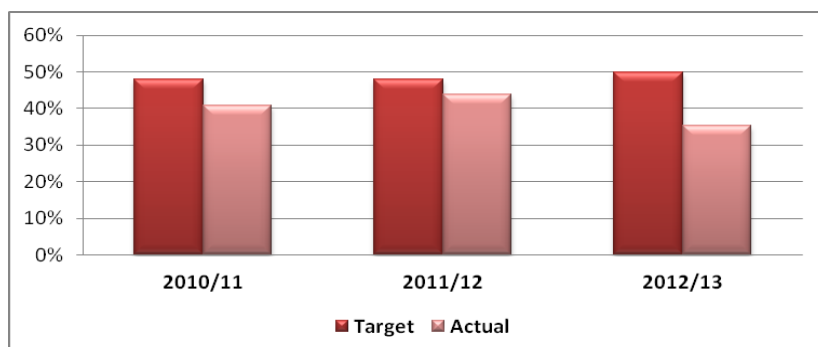
(a) Liquidity risk

One of the risks facing this programme is the going concern status of the institution. Although the net asset position is achieved, the net current liabilities exceed the net current assets and therefore affecting the institution's ability to pay its suppliers in the event of having to rely on net current assets to cover all its financial obligations. However, the HSRC is a public institution established in terms of an Act of Parliament and relies on government for its existence, therefore even though the liquidity risk is identified; it is a low risk and is at an acceptable level in terms of the institution's risk tolerance.

(b) Attraction of critical skills

The HSRC has committed itself to improve the percentage of researchers at senior level who are African and over the years it has proved to be difficult to achieve its targets due to tight competition in the labour market for specialist skills and inadequate funding to support such appointments. Figure 2 below illustrate the trends in the number of senior researchers who are African over time.

Figure 2: Performance against targets for senior researchers who are African



(c) Building infrastructure deterioration

Due to the age of the HSRC-owned building, accompanied with high maintenance costs and poor upgrade and wear/tear of infrastructure such as the lifts, air-conditioning and carpets, the building poses a health and safety risk to the occupants. This is one of the high risks because it involves the health and safety of about 1000 occupants, excluding the public who frequently visit the building to access public services, as part of the building is leased to the Department of Social Development (DSD).

Risk response strategies implemented included infrastructure bids to National Treasury for replacement and upgrade of infrastructure; however, these bids were not successful. The HSRC is exploring other possible strategies which include sourcing a new building.

8. Programme 2: Research, Development and Innovation (RDI)

Purpose: This programme facilitates knowledge generation through research and development in key priority areas and also to inform government's policy/planning, monitoring and evaluation in national priority areas. It also facilitates preservation of data sets and assesses the impact of our research.

Following the decision by the Minister to incorporate AISA into the HSRC with effect from 01 April 2014, joint research workshops have been held to identify areas of research alignment, build on past collaborations, and identify key joint research projects for the 2014/15 financial year. Project proposals have been developed and funding is being sought. AISA and the HSRC are currently collaborating on book project on BRICS as a new global actor within the context of the interests of South Africa, Africa and the Global South that will be published by HSRC Press. AISA researchers participated in the HSRC 2013 social science and humanities research conference which had as its theme "Inequalities and Justice: Influences, Effects, Intersections and Evidence". This conference provided researchers with a platform to prepare for the 2015 World Social Science Forum (WSSF) by critically reviewing current research, ideas and policy around the Forum theme of transforming global relations for a just world.

Under the leadership and strategic oversight of the DCEO: Research, this programme's activities are distributed between the following sub-programmes that focus in specialist research areas:

(a) Centre for Science, Technology & Innovation Indicators (CeSTII)

The Centre for Science, Technology and Innovation Indicators (CeSTII) is responsible for the production of science, technology and innovation (STI) indicators in South Africa as well as conducting research in the same and related fields. CeSTII was established in 2002 as a long term commitment of the Department of Science and Technology (DST) to produce STI indicators to enable the measurement and assessment of progress of the department's strategic plans. It conducts research based on the data it collects from the R&D and innovation surveys and publishes the results in scientific journals.

The Cabinet Memorandum 14 of 2001 and the subsequent Memorandum of Agreement (MoA) between Statistics South Africa (Stats SA) and DST concluded in 2004, provides the DST with a mandate for the statistical production that covers R&D, innovation, human resources in science and technology and related human mobility data as part of the national STI indicator system. The availability of reliable and consistent information on these STI indicators is critical for policy development and implementation for a developing country like South Africa.

(b) Democracy, governance and service delivery (DGSD)

The Democracy, Governance and Service Delivery (DGSD) research sub-programme actively enhances the contribution of the HSRC as a strategic partner in knowledge production and a resource for informing and deepening public debate, national dialogue and theoretical discourse on key national, regional and international issues and dominant trends related to democracy; development; justice; governance and service delivery. The thematic research thrusts of the programme are as follows:

- **Democracy and Development:**

The DGSD thematic thrust on democracy and development focuses on the constitutional imperative that all South Africans should have access to and participate in a vibrant democracy that ensures a better life for all.

Issues of social justice; inequality; citizenship, culture, national identity and social cohesion; and women

and gender in a democratic South Africa are examined under this theme. The sub-theme of crime, safety and justice focuses on access to justice; understanding the scale, causes and impact of crime and violence; and examines issues of citizenship, participatory democracy and political violence.

In conducting research on inequality, poverty and social justice, DGSD researchers seek to define, measure and address (in)equality in South Africa, Africa and globally within the context of democratic politics and transitional and distributive justice.

- ***Governance:***

The thematic thrust of governance focuses on the intersections between national, provincial and local government, and addresses issues related to good governance, cooperative governance and the relationship between modern and traditional institutions of governance. Sub-themes include ethics and accountability, as well as investigations into, and development of, anti-corruption strategies. Researchers in this area also have expertise in impact assessment of government policy and the monitoring and evaluation of institutions of governance. An area of specialisation is the role of women in leadership and governance in South Africa and the continent.

- ***Service Delivery:***

DSGD undertakes evidence-based research to analyse and measure access to public services and to monitor and evaluate the role of the state and other stakeholders in service delivery. Capacity at national, provincial and local government level is assessed in order to contribute to the measurement of performance at all levels of government and the development of strategies for capacity enhancement. Included under this thematic thrust is research into the effectiveness of partnerships involving the public sector, private sector, civil society and communities; the monitoring of service delivery; assessing the fulfillment of socio-economic rights; and the prevention of fraud and corruption within the public service.

(c) Economic performance and development (EPD)

This sub-programme is mandated to generate robust knowledge, evidence and policy proposals through rigorous research for lasting solutions to the pressing economic and developmental challenges of unemployment, inequality, poverty and growth facing South Africa and the rest of Africa. The thematic research thrusts of the programme are as follows:

- ***Macro-micro dynamics of structural change:***

This theme involves the analysis of the structural dynamics of the economy and the kinds of shifts required to improve productivity and innovation, while creating employment, reducing inequalities and poverty.

- ***Spatial development and migration:***

This theme analyses the interactions between the spatial economy, settlement patterns and migration trends with a view to creating more prosperous and vibrant places, and tackling entrenched geographical inequalities.

- ***Sustainable development:***

This theme's objective is to understand and improve the functioning of social programmes with broader developmental objectives, including policies to improve the social wage, to protect vulnerable groups, to promote food security, to promote rural development in order to reduce poverty and address environmental and ecological concerns. In general, to enhance social protection and improve livelihoods and assets.

- ***Labour market dynamics:***

This theme focuses on the how, why and what of sustainable employment creation. It explores the role of different stakeholders in job creation, retention and progression. It includes issues of decent jobs, and various labour market policies and programmes.

(d) Education and skills development (ESD)

The Education and Skills Development research sub-programme researches education, skills development and capability enhancement at the individual, institutional and systemic levels. It is unique in its ability to harness research work both across and at the interface of these three areas as well as across multiple levels of provision. Education and skills development promote individual, social and economic development and are key to the

exercise of citizenship.

High-quality education and appropriate competences and capabilities held by both individuals and firms are a prerequisite for growth, development and citizenship, which in turn can afford more people the opportunity to learn, more firms to enhance their capabilities, and for both to contribute to a productive society. For these reasons, the research within this programme focuses on national priorities related to both an Improved Quality of Basic Education for all, and a Skilled and Capable Workforce to Support an Inclusive Growth Path. The thematic research thrusts of the programme are as follows:

- Education and training for development, with an emphasis on understanding how contexts, policies, institutions and systems shape and distribute educational and training opportunities;
- Ensuring equitable access for individuals to basic, intermediate and high level learning and skills;
- Skills and capability development in educational institutions and firms in the context of changing technological opportunities and a knowledge-based economy; and
- Transitions through education and from education to the world of work

(e) HIV/AIDS and Sexually transmitted diseases and Tuberculosis (HAST)

HAST is a research sub-programme that undertakes applied social sciences and public health research on HIV/AIDS, STIs and TB (HAST) within South Africa. It also provides experiential training to young researchers and expert consultation to government, civil society organisations and international agencies on these issues. It is a large multi-disciplinary team with over 50 full-time researchers trained in various social sciences disciplines and public health, many of whom hold doctorate degrees. It also provides some technical assistance and advice to the government, South African National AIDS Council (SANAC), civil society and donors/research grant makers within South Africa, throughout Sub-Saharan Africa through the Social Aspects of HIV/AIDS Research Alliance (SAHARA), and also globally through its collaborating status with the Global HIV Prevention Working Group and other international organisations. There are four main focus areas:

- Biological and behavioural surveillance of HIV (and TB) in the general population and different sectors of the economy
- Social and behavioural prevention intervention research on HIV/AIDS, STIs and TB
- Monitoring and impact evaluations of national and provincial HIV/AIDS, STIs and TB programmes as well as those run by donor organisations and NGOs
- Operational and implementation research on new evidence-based interventions

(f) Human and social development (HSD)

Human and Social Development (HSD) is a research sub-programme that promotes social science and humanities research concerning the social conditions and identity markers that shape people's life opportunities (or human development) and promote social cohesion in the midst of ongoing and dynamic change, and alongside the social movements that emerge in response to these challenges. Arising from the current movement toward a knowledge-based economy and from the renewed focus on Human and Social Dynamics as one of grand challenges facing South Africa identified by the Department of Science and Technology, the HSD research programme researches individuals, social contexts and public policies in six main areas. These thematic thrusts of the programme include two cross-cutting themes, that of the humanities and diversity, along with four focused research target groups, namely children, youth, families and communities.

- ***Humanities:***

Our humanities focus permeates all our research, but currently include work on sport, performing arts, the role of music in cultural reproduction, and identity-work. Our approach is historical, anthropological and philosophical with a strong emphasis on contemporary narratives and the role of fiction and media in shaping dialogues and social discourse.

- ***Diversity:***

In understanding the social conditions of people's lives, we are as interested in considering how diversity in gender, culture, language and identity shape social cohesion as we are in examining social discourse and policies that contribute to change at multiple levels in South African society. To build a socially cohesive society following a legacy of historic racial and ethnic division requires an investigation of our divided history, marginal sexualities, moral values, and views regarding justice, equity, restitution, and

reconciliation (including xenophobia).

- **Children:**

A spotlight on childhood vulnerabilities, including those orphaned and made vulnerable by HIV/AIDS and poverty, is central in our approach to children. Social and emotional learning, early childhood development, resilience in the face of poverty, and the mental health of children and caregivers, as part of families and society form the mainstay of our research.

- **Youth:**

The focus on young people includes providing up to date data on their status as well as providing an evidence-base for positive youth development. Studies are conducted on the resources and assets of youth, including their demographic presence, navigational capacities for employment and transitions, moral values, capacity to cope with rapid change, and their openness to the future. These include quality work-oriented education, employment, civic participation, and health and well-being.

- **Families:**

Families are the fundamental building block for positive human development and the principal safety net for people facing chronic and acute challenges. They are also the repository of social values, livelihoods, and legacy. The work of HSD focuses on work-family combinations for men and women, care and care-giving including interactions between services and home care, reproductive choices, the role of men in families and patterns of fathering, and intergenerational relations in families.

- **Communities:**

In understanding the dynamics of social and individual change (including urbanisation, migration, climate change and technological change) HSD seeks to address both the disjunctures and opportunities for civil society and the State. Furthermore we are interested in understanding social movements: how they develop, operate and impact on people's life opportunities in the context of change, and the values that drive and sustain them. Of special interest are the social aspects of climate change in South Africa and Africa.

(g) Population health, health systems and innovation (PHHSI)

The PHHSI is a research sub-programme that conducts primary and secondary research on Health, Science and Technology and Innovation, which enables evidence-based decision-making by our partners. PHHSI works with external partners; the research programmes of the HSRC and, through various networks, builds Health and Science and Technology expertise in South Africa and the continent. The principal activities in this research programme involve:

- Developing innovative research methods and strategies to analyse population health and to make recommendation on necessary, evidence based, interventions;
- Contributing to the better understanding and use of the health care systems and health financing in South Africa and the African continent with the aim of achieving better population health;
- Defining the social and environmental determinants of health in South Africa and the continent;
- Compiling spatial data sets to provide a comprehensive picture of South Africa's and Africa's population health;
- Designing, implementing and analysing quantitative and qualitative data of national surveys in the Health, Science and Technology and Innovation domains. The data from such surveys are used for evidence based policy formulation;
- Designing and validating primary and composite indicators in Health as well in Science, Technology and Innovation;
- Conceptualising and implementing research project, programme and strategic evaluations and promotion of monitoring and evaluation;
- Working with peers across the African continent and internationally to promote social scientific research, grow capabilities and share knowledge and experience across our fields of expertise.

The thematic research thrusts of the programme are as follows:

- Life course, life styles and health
- Demographic profile of South Africa
- Infant, child and maternal health including reproductive health
- Population health including malaria

- Determinants of health: smoking, alcohol, stress, drugs, physical activity/fitness and other social factors
- Environmental health
- Mental health
- Nutrition
- Health systems
 - ✓ Access to health care
 - ✓ Human resource (include community health workers, mid-level workers)
 - ✓ Quality of health services
 - ✓ Management of health care
 - ✓ Equipment
- Financing of health care [National Health Insurance (NHI)]

(h) Research Use and Impact Assessment (RIA)

The Research Use and Impact Assessment unit consolidates the dissemination and knowledge management activities of the HSRC into a single unit that plays a strategic role in supporting researchers in maximising the impact of their research by engaging in activities such as knowledge exchange, synthesis and application. The specific focus areas of this sub-programme are as follows:

- Building the bridge between research, policy and action
- Research use and impact assessment
- Knowledge management

8.1. Strategic objectives

This programme has the following strategic objectives aligned to the strategic outcomes-oriented goals of the HSRC:

| Strategic objective 1.1 | Dissemination of knowledge through public dialogue and publications. |
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| Objective statement | The HSRC will have stimulated public debate through effective dissemination of fact-based research results, thereby contributing to knowledge generation and dissemination globally by hosting public dialogue and publishing peer-reviewed journal articles in internationally accredited scientific journals; recognised books and book chapters with at least one HSRC researcher listed as author or co-author; and non-peer reviewed journal articles by the end of 2018/19. |
| Baseline | In 2012/13 the HSRC produced the following research outputs: <ul style="list-style-type: none"> • Published 115 journal articles (1.77 per senior researcher) in internationally accredited journals; • Hosted 8 Human and Social Dynamics (HSD) seminars; • Hosted 45 research seminars; • Published 4 <i>HSRC Reviews</i> and 4 <i>From Policy to Action</i> newsletters. |
| Justification | <p>HSRC is a statutory research council mandated to produce scientific publications to inform policy making and contributing to scientific knowledge generation in South Africa, Africa and the globe. By expanding the scope and breadth of publications, particularly to cater for the humanities and as well as books with more plain language and greater accessibility, a broader readership of academic books can be reached and dissemination and impact increased.</p> <p>It is a measure of productivity of research staff and quality of research undertaken in the organisation. It is also a measure of dissemination of scientific knowledge.</p> <p>Within the ambit of the New Growth Path, the effectiveness of government's implementation plan on poverty reduction and job creation depends on research evidence informed policy making and programme development.</p> |
| Links | This is in line with the requirement for academic publications which are monitored by the Department of Higher Education. It is also linked to the Department of Science and Technology requirements for South Africans to contribute to scientific outputs that are comparable internationally. The objective will help contribute to increasing research outputs in a global context. It will also ensure financial viability and sustainability of |

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| | the organisation. To increase South Africa's global ranking in the production of scientific literature in line with DST's goals thereby enhancing the global knowledge base in social science and humanities; and also to inform government's policy/planning, monitoring and evaluation in national priority areas. |
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| Strategic objective 1.2 | Inform effective formulation of government policy & evaluate its implementation |
| Objective statement | The HSRC will have informed effective formulation of government policy and evaluated the effectiveness of its implementation by conducting research and increasing the number of policy briefs published from 6 in 2011/12 to 28 by end of the financial year 2018/19. |
| Baseline | In 2012/13 the HSRC produced 8 policy briefs. |
| Justification | In line with the mandated objective of the HSRC to inform effective formulation of policy as well as evaluate the implementation thereof. |
| Links | Links to the requirements of the HSRC Act 17 of 2008. |

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| Strategic objective 1.3 | Institutional collaboration agreements |
| Objective statement | The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by working closely with government, universities, non-governmental organisations and donor organisations by end of the financial year 2018/19. |
| Baseline | In 2012/13 the HSRC had 27 active MoUs with other research institutions, government, universities, non-governmental organisations and donor organisations. |
| Justification | Enhancing the global and national status of social sciences and humanities research as a valuable and reliable source of information to base decisions on. |
| Links | This objective is linked to the mandated objective of the HSRC; to foster and support research collaboration, networks and institutional linkages within the human sciences research community. |

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| Strategic objective 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives. |
| Objective statement | By end of the financial year 2018/19 the HSRC will have sourced funding and undertaken longer-term, longitudinal or cross-sectional projects providing critical data to inform planning or monitoring progress in relation to Government outcomes. |
| Baseline | In 2012/13 the HSRC conducted 18 research surveys and produced 13 research reports. |
| Justification | Research is the core business of the HSRC and this strategic goal is in line with the mandated objectives of the HSRC in terms of the HSRC Act, 2008. |
| Links | The HSRC will be assessing progress on the 12 national outcomes agreed between the Ministers and the President of the Republic of South Africa. An example of such agreements is the one signed by the Department of Health which seeks to improve the health status of the entire population and to contribute to Government's vision of "A Long and Healthy Life for All South Africans" (Outcome 2). In particular, it will evaluate Output 1: Increasing Life Expectancy especially in the areas of sexual and reproductive health and risk for chronic diseases such as heart disease, diabetes and mental illness. These indicators are also key to our country's international reporting obligations such as on the Millennium Development Goals (MDG) and UNGASS. |

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| Strategic objective 2.2 | Promoting an African research agenda |
| Objective statement | The HSRC will have promoted an African research agenda through knowledge and research partnerships elsewhere in Africa and by encouraging comparative work and the involvement of expert participants and reviewers from other parts of Africa by |

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| | 2018/19. |
| Baseline | In 2012/13 the HSRC appointed 16 African Research Fellows. |
| Justification | The HSRC Act mandates the HSRC to address developmental challenges in South Africa, Africa and globally by gathering, analysing and publishing data relevant to such challenges, by means of projects linked to public sector programmes. |
| Links | This objective is linked to the mandated objective of the HSRC; to help in building research capacity and infrastructure for the human sciences in the republic and elsewhere in Africa. |

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| Strategic objective 2.3 | Structured collaborative research |
| Objective statement | The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by conducting research projects in collaboration with government, universities, non-governmental organisations and donor organisations; and conducting 25 collaborative research projects between its research programmes by end of the financial year 2018/19. |
| Baseline | This is a new objective. |
| Justification | Enhancing the global and national status of social sciences and humanities research as a valuable and reliable source of information to base decisions on. |
| Links | This is a mandated objective of the HSRC; to foster and support research collaboration, networks and institutional linkages within the human sciences research community. |

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| Strategic objective 3.2 | Research capacity for the human sciences |
| Objective statement | The HSRC will have provided mentorship and coaching for masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC in order to grow an echelon of suitable qualified and experienced social scientists, ensuring that research trainees & post doctoral fellows produce publications and participate in research projects by end of the financial year 2018/19. |
| Baseline | This is a new indicator |
| Justification | The internship programme will strengthen HSRC and National research capacity by developing enhanced research skills and coupled with the MoU, it will serve to improve the footprint and sustainability of the HSRC. |
| Links | <p>This objective is linked to Government initiatives such as the National Research and Development Strategy, the DST 10 Year Plan, the South African Charter for the Humanities and Social Sciences and the New Growth Path.</p> <p>It is also linked to the mandated objective of the HSRC; to help in building research capacity and infrastructure for the human sciences in the republic and elsewhere in Africa.</p> |

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| Strategic objective 5.1 | Transformation: Senior researchers |
| Objective statement | By end of the financial year 2018/19, the HSRC will have maintained 56% of senior researchers (SRS/SRM and above), who are African and 50% senior researchers who are female. |
| Baseline | In 2012/13 the HSRC achieved 35.38% of all researchers at senior level (SRS/SRM and above) who are African and 47.69% of all senior researchers who are female. |
| Justification | South Africa underwent democratic change in 1994 and the HSRC also began its programme of transformation to ensure race and gender representation towards achieving democratic representation. Much progress has been made at lower levels of the organisation, however, in the top and management of the organisation and senior |

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| | research echelons there is still underrepresentation by race, particularly African women. |
| Links | In line with the employment equity numerical targets, the HSRC aims to increase the proportion of Senior African women researchers, which will not only help achieve the targets, set by the Department of Labour, but will increase the proportion of senior researchers in the organisation. |

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| Strategic objective 6.1 | Extra-parliamentary income |
| Objective statement | By end of the financial year 2017/18, the HSRC will have maintained extra-parliamentary funding of 40% (60:40 ratio). |
| Baseline | The percentage of total income that is extra-parliamentary was 47% in 2010/11; 48% in 2011/12 and 52.02% in 2012/13. |
| Justification | Research income forms a large fraction of HSRC's revenue and reduction in research funding will have a serious impact on the going concern of the institution. |
| Links | The Department of Science and Technology has as an objective to increase funding for research and development in the country to 1% of the GDP. The increase in the HSRC funding will contribute to this. |

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| Strategic objective 6.2 | Multi-year grants |
| Objective statement | By end of the financial year 2017/18, the HSRC will have increased the number of multi-year (at least three years) projects from 44% in 2011/12 to 56%. |
| Baseline | The percentage of research grants that are multi-year (at least three years) was 34% in 2010/11; 44% in 2011/12 & 51.56% in 2012/13. |
| Justification | Research income forms a large fraction of HSRC's revenue and reduction in research funding will have a serious impact on the going concern of the institution. |
| Links | The issue of funding has been discussed with DST and they are sympathetic to the HSRC's concern and will be able to increase HSRC's allocation if Treasury increases their budget, and they have already started to increase this allocation in the previous year. |

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| Strategic objective 6.5 | Improved stakeholder relations |
| Objective statement | The HSRC will have developed stakeholder intelligence for targeted need satisfaction at national, regional and international levels, through 24 stakeholder engagements and 2 research projects registered to develop the research domain of science communication and public understanding of science by end of the financial year 2017/18. |
| Baseline | New indicator |
| Justification | Stakeholder engagement forms part of ensuring the sustainability of the HSRC whilst keeping our stakeholders involved in our activities, this also forms part of our reputational risk management activities. |
| Links | Stakeholder engagement links to the HSRC mandate of hosting public dialogue. |

8.2. Resource considerations

8.2.1. Expenditure trends

The HSRC applies for funding to donors to undertake research. Projects funded for one year at a time tend to put researchers on "treadmill" and exhaust their energies, not having enough time to be creative since they work to short deadlines on reports. For the HSRC to conduct longitudinal studies that allow them to innovate and think strategically on a long-term basis, they need to get long-term funding. While the HSRC has made progress

in securing long-term research funding largely from international development agencies and private foundations, it is important that the proportion of these types of grants should be increased.

HSRC researchers spend an inordinate amount of time raising funds to undertake mandated work; consequently many are stressed and fail to achieve the objectives they are set to achieve. While fundraising is desirable it enables the staff to compete with their peers internationally, if the amount to be raised is too high staff begin to burn out and productivity decreases.

Research and administrative expenses of this programme are expected to support:

- More large-scale, longitudinal and cross-sectional studies aimed to support government's monitoring and evaluation mandate;
- More innovative and collaborative research dissemination work;
- Infrastructure for data curation and dissemination; and
- Activities aimed at enhancing inter-institutional collaboration and capacity enhancement nationally as well as globally.

8.2.2. Trends in key categories of staff

Appropriately skilled and experienced staff and sufficient levels of funding are key inputs to support the work of the HSRC. There is a great deal of competition for the services of highly qualified research staff in academia, the public sector as well as in the private sector resulting in the number of senior research staff having declined over time, hence the need to focus on growing new research staff by means of trainee programmes, retain the services of good researchers and to increase joint appointments.

Research staff (senior researcher and above) have increased from 95 in 2010/11 to 110 in 2011/12. This is a key category of staff that is continuously monitored by management, the HSRC Board and the Department of Science and Technology.

8.2.3. Trends in the supply of key inputs

According to current projections, the HSRC will have to secure a greater portion of external research income in the next few years if it is to retain its current staffing and budget levels. This pressure is bound to increase if major additional capital or research expenses have to be incurred.

DST provides primary sources of funding for CeSTII for the purposes of conducting the National Research and Experimental Development Surveys (R&D Surveys) and the South African Innovation Surveys as well as other related STI activities. Annual business plans serve as a basis for funding allocation both through the parliamentary grant to the HSRC and funding directed at specific projects.

8.3. Risk management

Risks are managed on a continuous basis in all the research sub-programmes and the HSRC Board monitors progress in implementing risk response strategies as well as their impact on the overall risk profile of the HSRC. The following were identified as the top-three risks that could affect the performance of this programme:

(a) Evolving international understanding of innovation surveys

One of the highest risks facing this programme is that understanding of innovation surveys is not yet established internationally making it difficult to accurately extrapolate data and therefore affect the quality of the survey.

Risk response strategies implemented include the following:

- Keeping abreast with international innovation literature;
- Implementation of the Quality Management Plan (QMP) and ensure that the quality of the survey is independently assessed by SASQAF on a regular basis.

(b) Retention of critical skills

High reliance on a few people who know the survey very well poses a risk of not meeting the expected quality or delivery dates in the event of loss of critical skills.

Risk response strategies implemented include the following:

- Strengthening capacity building initiatives to increase the number of people who can perform innovation surveys; and
- Job-sharing.

(c) Respondent fatigue

The business sector is already over surveyed and may not fully participate in the surveys resulting in a low response rate. Risk response strategies implemented include use of statistical methods that make allowance for low response rate when extrapolating data.

(d) Research funding risk

One of the highest risks facing this programme is research funding liquidity. A positive trend in terms of external research income is the number of larger-scale, multiyear projects, providing more security in terms of future external research income. During the 2012/13 financial year 33 out of the 64 (51.56%) research grants received by the HSRC were multi-year (at least 3-years) and 48% of extra-parliamentary funding was achieved.

The need to recover administrative and essential overheads from the Parliamentary grant, including support for building and research infrastructure, implies that the overall institutional budgeted ratio of 52% Parliamentary grant, complemented by a required 48% for total external income, cannot be carried through to the research sub-programme level. Typically, external income targets at sub-programme level are set at more than 60% of total income. Some research sub-programmes were given additional Parliamentary grant support for earmarked initiatives.

The instability of revenue depicted by the above graph impacts on long-term planning of the HSRC and as such makes it impossible for the HSRC to plan financing for longitudinal studies without additional funding from the Parliamentary grant or other South African governments institutions.

Risk response strategies implemented include the following:

- Increasing the number of multi-year grants (at least 3-years) and lobbying for additional funding to finance longitudinal studies;
- Diversifying funding sources and exploring opportunities of improving private sector research spending on social sciences and humanities;
- Collaboration with other institutions to develop joint research funding proposals; and
- Continuously striving to improve extra-parliamentary income.

(e) Possibility of donor-driven research agenda

Another high risk faced by this programme is the probability of the HSRC research agenda being donor-driven due to the large portion of research revenue that is generated from international funding agencies. The HSRC has continued to receive funding support from international sources over recent years. This extends the science and technology funding base of the country as a whole, and the benefits are experienced not only by the HSRC, but also by its collaborators on these projects in higher education institutions and NGOs.

A stable ratio of 60:40 (Parliamentary Grant versus external funding) is pursued; however, the overall budget for research in the country is still very low. Much work needs to take place at strategic level to improve the country's investment in research. This is not an HSRC specific risk, but an industry specific risk as it affects various other science councils and research institutions and its impact is country-wide. The following graphs illustrate international donor-funding as a percentage of research revenue and overall revenue over time.

Figure 3: Trends in international funding in relation to research income

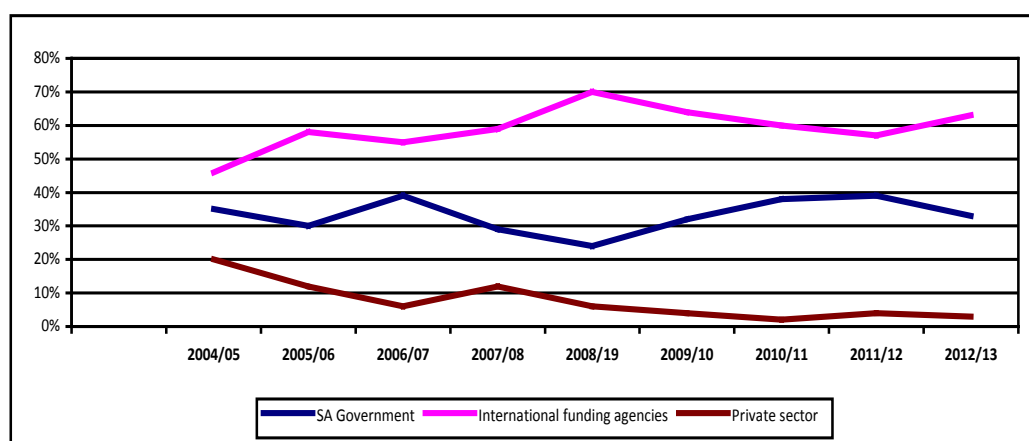
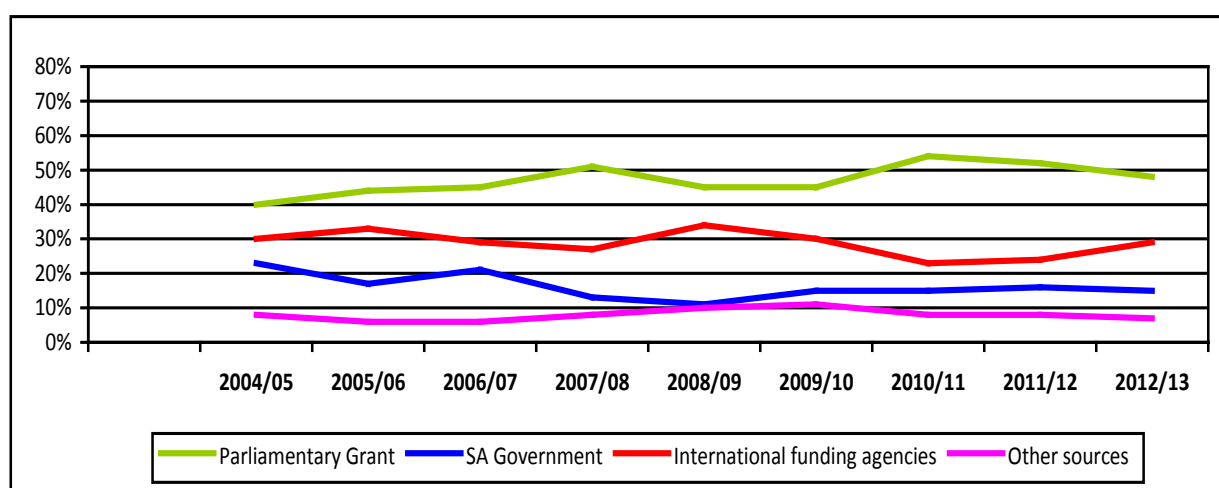


Figure 4: Trends in international funding in relation to total income



International donor-funding in 2012/13 represented 63% of research income and 29% of overall income of the HSRC and the funding ratio (PG vs external income) was at 48:52 indicating a reduction from the 52:48 ratio of 2010/11. Continued reliance on international donor-funding is anticipated if the Parliamentary allocation and revenue from South African government institutions remains unchanged.

Risk response strategies implemented include the following:

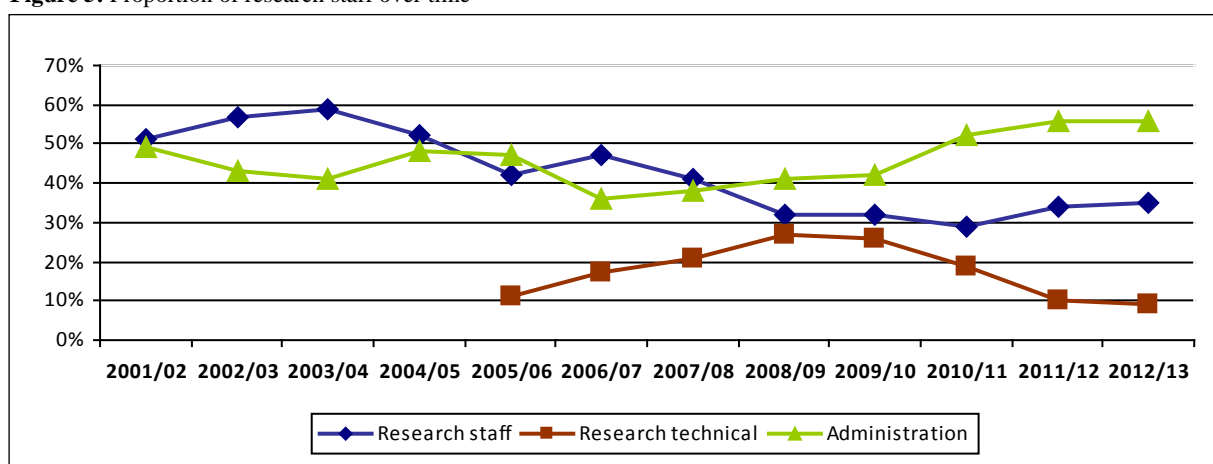
- The funding model (60:40 ratio) ensures that the requirement to raise external funding is minimised and the administrative burden on researchers is reduced.
- This risk is managed at strategic level with ongoing discussions with key stakeholders to increase the research funding envelope.

(f) Erosion of research capacity

Over the recent years there has been a reduction in the proportion of senior research staff as compared to administration staff; and loss of critical skills was one of the contributing factors to non-achievement of research-related performance targets for 2012/13. As at the end of the 2011/12 financial year the proportion of research staff to administration staff slightly reduced to 44:56 as compared to 45:55 reported in the previous financial year. An ideal proportion, as recommended by the 2010 HSRC Institutional Review Report, would be 65:35 to prevent the erosion of research capacity, however, there is a great deal of competition for the services of highly qualified research staff in academia, the public sector as well as in the private sector. Another dimension is the high quality of HSRC researchers which makes them highly marketable in the country and abroad.

The following graph illustrates the proportion of research staff over time:

Figure 5: Proportion of research staff over time



Risk response strategies implemented include the following:

- Conversion of contract to permanent employment for research staff: An ongoing process has been initiated in discussion with DST regarding funds to be able to appoint more staff on permanent basis.
- Through the performance management process qualifying staff were promoted or offered permanent positions.
- Freeze administration posts and use the funds for research.

9. Programme 3: Africa Institute of South Africa (AISA)

The Africa Institute of South Africa conducts research based on its Research Agenda 2011-2015, which clearly articulates research themes that are in line with national government priorities of “a better Africa and better world”. The Research Agenda is entitled: “*Seeking Solutions for Africa’s Developmental Challenges*”. The key drivers of AISA’s research agenda are as follows: a) The South African government priorities (2009-2015) on education, employment creation, health, rural development and safety and security; b) the National Development Plan; c) vision of the African Union which seeks “the actualisation of human dignity, development and prosperity for the entire African people ... anchored on a vision of an integrated, prosperous and peaceful Africa ... driven and managed by its own citizens... and representing a dynamic force in the international arena” and; d) Department of Science and Technology’s research strategy, ten year innovation plan and human capital development plan for knowledge based economy.

The research agenda has three broad thematic priorities, which address challenges common to African states:

- Engendering developmental states in Africa*: concentrating on improvement of public services, health care, access to quality education, poverty reduction, governance and democracy issues as well as an analysis of the effectiveness and impact of African multilateral and global governance regimes.
- Building cohesive and sustainable communities void of conflict, crime and corruption*: focusing on fragile states and human security as well as examining the effectiveness of safety and security programmes across the continent.
- Sustainable resource management and use, rural development, food security and land reform*: AISA will intensify studies on food security strategies across the continent and investigate natural resource management in Africa that positively impact on economic growth and sustainable livelihoods.

Each year AISA researchers cover a combination of the above thematic areas in varying degrees at the national, sub-regional and continental levels. Research at AISA is undertaken through three programmes i.e. Governance and Security, Sustainable Development and knowledge transfer and Science and Technology. In addition, AISA collects, collates and analyses data on Africa’s development through its Geo-Information Systems (GIS). Data

analysed are presented in the form of maps produced by AISA's Cartography sub-unit. Both GIS and Cartography provide back up support to research programmes.

9.1. Strategic objectives

| | |
|--------------------------------|---|
| Strategic objective 1.1 | Dissemination of knowledge through public dialogue, policy briefs and publications. |
| Objective statement | The HSRC will have disseminated knowledge globally by hosting public dialogue, publishing policy briefs; peer-reviewed journal articles in internationally accredited scientific journals; recognised books and book chapters with at least one HSRC researcher listed as author or co-author by the end of 2017/18. |
| Baseline | In 2012/13 AISA produced the following research outputs: <ul style="list-style-type: none"> • 15 Journal articles (1.5 per senior researcher) in IBSS, ISI and DHET accredited journals; • 29 Policy Briefs; • 11 books (5 internal and 6 external contributors); • 13 edited conference proceedings; and • 6 Monographs/Occasional Papers/Technical papers. |
| Justification | <p>HSRC is a statutory research council mandated to produce scientific publications to inform policy making and contributing to scientific knowledge generation in South Africa, Africa and the globe. By expanding the scope and breadth of publications, particularly to cater for the humanities and as well as books with more plain language and greater accessibility, a broader readership of academic books can be reached and dissemination and impact increased.</p> <p>It is a measure of productivity of research staff and quality of research undertaken in the organisation. It is also a measure of dissemination of scientific knowledge.</p> <p>Within the ambit of the New Growth Path, the effectiveness of government's implementation plan on poverty reduction and job creation depends on research evidence informed policy making and programme development.</p> |
| Links | This is in line with the requirement for academic publications which are monitored by the Department of Higher Education and Training. It is also linked to the Department of Science and Technology requirements for South Africans to contribute to scientific outputs that re comparable internationally. The objective will help contribute to increasing research outputs in a global context. It will also ensure financial viability and sustainability of the organisation. To increase South Africa's global ranking in the production of scientific literature in line with DST's goals thereby enhancing the global knowledge base in social science and humanities; and also to inform government's policy/planning, monitoring and evaluation in national priority areas. |

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| Strategic objective 1.2 | Inform effective formulation of government policy & evaluate its implementation |
| Objective statement | The HSRC will have informed effective formulation of government policy and evaluated the effectiveness of its implementation by conducting research and increasing the number of policy briefs published from 6 in 2011/12 to 28 by end of the financial year 2018/19. |
| Baseline | In 2012/13 the HSRC produced 8 policy briefs. |
| Justification | In line with the mandated objective of the HSRC to inform effective formulation of policy as well as evaluate the implementation thereof. |
| Links | Links to the requirements of the HSRC Act 17 of 2008. |

| | |
|--------------------------------|--|
| Strategic objective 1.3 | Institutional collaboration agreements |
| Objective statement | The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by working closely with government, universities, non-governmental organisations and donor organisations by end of the financial year 2018/19. |
| Baseline | In 2012/13 the HSRC had 27 active MoUs with other research institutions, government, universities, non-governmental organisations and donor organisations. |
| Justification | Enhancing the global and national status of social sciences and humanities research as a valuable and reliable source of information to base decisions on. |
| Links | This objective is linked to the mandated objective of the HSRC; to foster and support research collaboration, networks and institutional linkages within the human sciences research community. |

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| Strategic objective 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives. |
| Objective statement | By end of the financial year 2017/18 the HSRC will have sourced funding and undertaken longer-term, longitudinal or cross-sectional projects providing critical data to inform planning or monitoring progress in relation to Government outcomes. |
| Baseline | Research was conducted in seven African countries namely: Botswana, Mauritius, Kenya, Tanzania, South Sudan, Burundi and South Africa. Seven research reports were produced during 2012/13. |
| Justification | The HSRC Act mandates the HSRC to address developmental challenges in South Africa, Africa and globally by gathering, analysing and publishing data relevant to such challenges, by means of projects linked to public sector programmes. |
| Links | This objective is linked to the mandated objective of the HSRC; to help in building research capacity and infrastructure for the human sciences in the republic and elsewhere in Africa. |

| | |
|--------------------------------|--|
| Strategic objective 2.2 | Promoting an African research agenda |
| Objective statement | The HSRC will have promoted an African research agenda through knowledge and research partnerships elsewhere in Africa and by encouraging comparative work and the involvement of expert participants and reviewers from other parts of Africa by 2017/18. |
| Baseline | In 2012/13 AISA produced 6 books as outputs by African Research Fellows. |
| Justification | The HSRC Act mandates the HSRC to address developmental challenges in South Africa, Africa and globally by gathering, analysing and publishing data relevant to such challenges, by means of projects linked to public sector programmes. |
| Links | This objective is linked to the mandated objective of the HSRC; to help in building research capacity and infrastructure for the human sciences in the republic and elsewhere in Africa. |

| | |
|--------------------------------|--|
| Strategic objective 3.1 | Skilled & capable workforce |
| Objective statement | The HSRC will have provided opportunities for masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC in order to grow an echelon of suitable qualified and experienced social scientists and strengthened its capacity building programme focusing on expanding the coaching skills initiative for managers; career growth and succession planning by 2017/18. |
| Baseline | In 2012/13 this programme mentored 10 interns some of which have been absorbed into the job market and others absorbed into universities for postgraduate studies. |

| | |
|----------------------|--|
| Justification | The internship programme will strengthen HSRC and National priorities of job creation by developing skills and preparing graduates for the working environment and meaningful impact to the economy. |
| Links | This objective is linked to Government of job creation and developing a skilled and capable workforce. |

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|--------------------------------|---|
| Strategic objective 4.2 | Preserved library holdings |
| Objective statement | The HSRC will have preserved library holdings electronically through digitisation of Africa Insight, publications, maps and photo collection by end of the financial year 2017/18. |
| Baseline | In 2012/13 LDS bought 60 books and received 300 direct subscription periodicals, 2 new Journals titled <i>International Journal of African Renaissance Studies</i> and <i>African Security Journals</i> were added to the library collection. |
| Justification | Produce and encourage knowledge production and dissemination on African affairs through well preserved library holdings. |
| Links | This objective is directly linked to Programme 2 of DST. To create and support multidirectional policy and institutional linkages between research and development and commercialization in order to increase the commercialization potential of research and development outcomes. |

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|--------------------------------|---|
| Strategic objective 5.1 | Transformation: Senior researchers |
| Objective statement | By end of the financial year 2018/19, the HSRC will have maintained 56% of senior researchers (SRS/SRM and above), who are African and 50% senior researchers who are female. |
| Baseline | In 2012/13 the HSRC achieved 35.38% of all researchers at senior level (SRS/SRM and above) who are African and 47.69% of all senior researchers who are female. |
| Justification | South Africa underwent democratic change in 1994 and the HSRC also began its programme of transformation to ensure race and gender representation towards achieving democratic representation. Much progress has been made at lower levels of the organisation, however, in the top and management of the organisation and senior research echelons there is still underrepresentation by race, particularly African women. |
| Links | In line with the employment equity numerical targets, the HSRC aims to increase the proportion of Senior African women researchers, which will not only help achieve the targets, set by the Department of Labour, but will increase the proportion of senior researchers in the organisation. |

9.2. Resource considerations

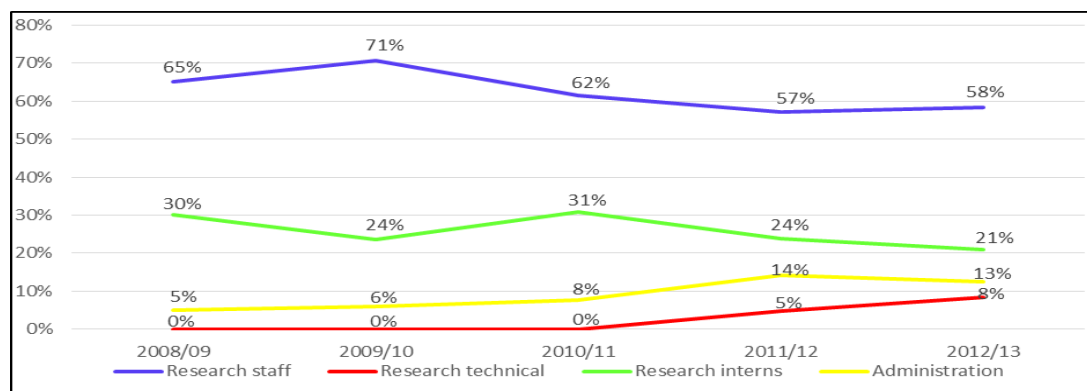
9.2.1. Expenditure trends

Expenditure increased from R28,2 million in 2008/09 to R31,1 million in 2012/13 at an annual average rate of 1.9% per annum. The increase was as a result of the inflationary increases of employee costs and increase in funding to conduct research fieldwork, hosting of conferences and seminars, as well as the increase in operational expenditure. Estimated expenditure for the 2014/15 financial year reflects a projected 7.5% overall increase from 2013/14. Expenditure over the medium term is expected to have increased to R47,4 million by end of the financial year 2016/17.

9.2.2. Trends in key categories of staff

AISA has over the years invested in a diverse workforce through the recruitment of people from culturally and linguistically diverse backgrounds. AISA operated with a total staff compliment of 60 for the 2012/13 financial year. 40% of the staff complement refers to researchers and research interns, administrators and technical staff within the research division.

Figure 6: Proportion of AISA research staff over time



10. HSRC's infrastructure needs

As a national public entity, the HSRC is required to provide for all capital and infrastructural requirements from its own budget. It submitted MTEF applications for infrastructure and research equipment support, but has not been successful as yet. In the light of critical needs to maintain and upgrade existing assets, the HSRC aims to develop a long-term infrastructure plan and other capital plans in consultation with the Department of Science and Technology and National Treasury. The next strategic plan of the HSRC will contain a detailed plan prepared with support from the DST.

The long-term infrastructure and capital plan of the HSRC covers the following items:

- HSRC-owned building maintenance and upgrading costs:** The HSRC moved into its own building in Pretorius Street, Pretoria, in 1987. This ageing, multi-storey building is in need of ongoing maintenance and upgrading. Some maintenance and upgrading projects are critical from an occupational health and safety perspective. The HSRC commissioned a due diligence study on maintenance requirements for the building and equipment in 2007. Based on recommendations by the experts as well as recent experience with equipment failures, the HSRC needs to repair or replace critical structures or equipment in the building within the next financial year. Without CAPEX funds from Treasury, or other forms of financial or in-kind support arranged for urgent and essential maintenance and upgrading, the HSRC building is deteriorating to dangerous levels, posing a risk to business continuity in the HSRC, as well as to the health and safety of HSRC staff members, other occupants (notably from the Department of Social Development) and visitors to the building. Furthermore, there is a need to upgrade one floor to accommodate AISA staff at the HSRC.
- Other HSRC-occupied buildings:** The cost of leasing office space in other parts of the country needs to be factored into a long-term plan.
- IT infrastructure:** The costs of maintenance and repair of IT equipment include provision for software upgrades and licence fees to keep abreast with technological developments and compliance with the King III report. The costs of migrating from an outdated e-mail programme suite to a state-of-the-art solution have been factored into plans for 2013/14. The HSRC utilises its video conference facilities to host staff meetings, project meetings, seminar series and training events. Its current facilities were installed more than 10 years ago and need to be upgraded to accommodate new developments in technology and save maintenance costs in the medium to long term. Long-term planning for IT infrastructure will also take into account special infrastructure requirements for large-scale surveys feeding into government monitoring and evaluation needs.

10.1. Factors influencing HSRC's ability to deliver on its infrastructure plan

Needed refurbishment and/or additions to existing facilities could not be achieved due to lack of resources and have contributed to potential non-compliance with Occupational Health and Safety requirements. The recent growth of the HSRC was based on a combination of additional Parliamentary grant funding received, and large project-specific grants mainly received from international agencies. The HSRC, with support from the Minister: Department of Science and Technology will continue to pursue opportunities to grow its Parliamentary grant allocation alongside external income sources.

Part C: Annual Performance Plan 2014-2015

11. Updated situational analysis

The 2010 HSRC institutional review highlighted key issues that have influenced the strategic planning process.

Other important inputs and events feeding into the strategic planning process of the HSRC include the following:

- Government's concerted drive to ensure co-ordinated support to address, ensure delivery and monitor progress towards achievement of national priorities in the context of the outcomes approach;
- Progress made with the implementation of the 10-year National Innovation Plan (2008–2018), especially in the context of the Grand Challenge of Human and Social Dynamics in Development, and ongoing engagements with the Department of Science and Technology (DST) around the refinement of the science plan for the Human and Social Dynamics in Development (HSDD) Grand Challenge;
- Meetings with South African decision makers, other local and international stakeholders, as well as reflections on recent national and international studies highlighting issues and developments of strategic importance; and
- The HSRC's annual research planning Lekgotla took place on 25 October 2013. This annual research Lekgotla and the associated stakeholder consultation inform the HSRC's strategic planning processes with the overarching goal of improving the organisation's fulfillment of all of its statutory mandates. The event was attended by members of the HSRC Board, representatives from the Public Service Commission, the Water Research Commission, the Innovation Hub, and DST and brought together senior researchers from both the HSRC and AISA.

The day concluded with a summary of projects across the HSRC programmes (including AISA), to be prioritised in support of the National Development Plan (NDP), COHORT and BRICS respectively.

The research priority areas agreed to are:

- Assessment of Impact of Courts
- Peace & Security
- South African Social Attitudes Survey (SASAS)
- Job Creation
- Infrastructure
- Rural Development
- South African Health and Nutrition Examination Survey (SANHANES)
- Health indicators for BRICS
- Maternal Mortality
- Education & Skills
- Innovation
- Sectoral Systems of Innovation ApproachSouth African Population Based Survey on HIV/AIDS, Behavioural and Mass Media (SABSSM)
- Production and Access to Medicines
- Prevention Technologies
- Science Policy Nexus
- Migration
- Science Communication
- Navigational Capacities for Youth Development

- National Identity, Nationhood and Commemorative Symbolic representation as well as Comparative Perspectives
- International Youth Survey
- Longitudinal Study on ARV users (Economic value of ARVs)
- Towards New and Appropriate Development and STI indicators
- African Union Agenda 2063; Strategic Development Goals
 - Migration
 - Food Security
 - Youth
 - Inequality (Africa Focus Book)

11.1. Performance delivery environment

The HSRC is one of the statutory research councils operating in the South African National System of Innovation (NSI). Through research that is often large-scale, multi-year, and collaborative in nature, the HSRC provides high-quality scientific evidence to inform monitoring and evaluation, further analysis, as well as debate, advocacy and decision-making by role players in government, the media, academia, and community-based groupings. The work of the HSRC is intended to inform policy development and good practice, thereby making a difference to the lives of people in South Africa and in the continent.

Large-scale cross-sectional and longitudinal surveys undertaken by the HSRC provide research-based data capable of informing government planning, monitoring and evaluation activities. By leveraging additional funding from external, international sources, the HSRC has contributed to national priorities while helping to grow the overall contribution to R&D expenditure in the country. Other forms of support to decision makers regarding research and the utilisation of research findings include secondments of HSRC staff members to government departments, and special appointments of HSRC staff to serve in advisory bodies or commissions. The HSRC also undertakes research and evaluation studies in areas of national priority. It ensures that relevant stakeholders and decision makers are informed about findings emerging from the research, and the implications of these for policy and practice. Presentations to parliamentary portfolio committees are based on scientific evidence.

The HSRC is, by virtue of its legislated objectives, also required to foster and support research, help build capacity and infrastructure in the human sciences in South Africa and elsewhere in Africa and to foster research networks and collaboration in the human sciences. However, the HSRC is a performing research council and not a grant-making institution such as the National Research Foundation (NRF). Its own research agenda needs to be co-financed from external sources (e.g. via contracts and grants for research services rendered). Collaboration with universities and fellow science councils generally takes place at project level, in some cases in the context of signed memoranda of understanding that were developed at institutional level. The HSRC's ability to develop long-term plans involving external collaboration, capacity enhancement and infrastructure development remains relatively constrained by its funding model, and has led to negative perceptions from some role players in the National System of Innovation, about a bias towards "consultancy-driven" rather than strategy-driven collaboration.

There has been no change in the service delivery environment since the compilation of the strategic plan and no changes are foreseen over the medium term, save to say that competition for scarce resources like funding and human capital will probably intensify. The HSRC will continue to strive to attract high calibre staff to ensure that it delivers on its mandate.

11.2. Organisational environment

The HSRC had a major restructuring in 2010, so no changes are expected in the organisational environment. However, with the incorporation of AISA, efforts are underway to reduce duplication and strengthen the Africa focus program. Furthermore, AISA staff will be accommodated in the HSRC, which will include the HSRC and AISA presses being accommodated in the HSRC.

12. Revisions to legislative and other mandates

There were no significant changes to the HSRC's legislative and other mandates. The repeal of the AISA Act and subsequent incorporation of AISA implies that there will be changes in the way the HSRC and AISA will operate. This will strengthen the two organizations.

13. Overview of 2014/15 budget and MTEF estimates

13.1. Expenditure estimates

Table 1: Expenditure Estimates - Human Sciences Research Council

| Programme R thousand | Actual/Audited outcomes | | | Adjusted appropriation | Medium-term expenditure estimate | | |
|---|-------------------------|----------------|----------------|---------------------------|----------------------------------|----------------|----------------|
| | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1. Administration | 93 460 | 116 956 | 148 726 | 163 934 | 173 281 | 181 949 | 190 319 |
| 2. Research, Development & Innovation | 226 247 | 233 577 | 251 501 | 237 954 | 248 710 | 254 949 | 266 677 |
| 3. Africa Institute of South Africa (AISA) | 37 710 | 33 343 | 31 094 | 39 437 | 42 672 | 44 976 | 47 405 |
| Subtotal | 357 417 | 383 876 | 431 321 | 441 325 | 464 663 | 481 874 | 504 401 |
| Direct charges against the National Revenue Fund | - | - | - | - | - | - | - |
| | - | - | - | - | - | - | - |
| Total | 357 417 | 383 876 | 431 321 | 441 325 | 464 663 | 481 874 | 504 401 |
| Change to 2013/14 budget estimate | - | - | - | - | - | - | - |
| Economic classification | | | | | | | |
| Current payments | 340 221 | 366 504 | 418 625 | 402 041 | 422 955 | 438 287 | 458 848 |
| Compensation of employees | 185 038 | 189 275 | 214 152 | 214 122 | 225 394 | 236 090 | 247 371 |
| Goods and services | 155 182 | 177 229 | 204 473 | 187 919 | 197 561 | 202 197 | 211 477 |
| <i>Of which:</i> | | | | | | | |
| Communication | 8 455 | 8 883 | 9 202 | 11 569 | 12 147 | 12 708 | 13 295 |
| Consultants, contractors & special services | 18 131 | 15 615 | 15 361 | 17 202 | 18 652 | 19 494 | 20 374 |
| Maintenance repairs & running costs | 12 122 | 13 297 | 11 810 | 15 075 | 15 817 | 16 543 | 17 302 |
| Operating leases | 8 188 | 8 252 | 9 902 | 9 985 | 10 984 | 11 663 | 12 363 |
| Travel and subsistence | 4 014 | 4 491 | 4 727 | 4 888 | 5 131 | 5 366 | 5 611 |
| Research Costs | 74 378 | 93 501 | 119 826 | 90 997 | 93 774 | 92 880 | 97 146 |
| Other Operating Costs | 29 895 | 33 190 | 33 645 | 38 203 | 41 056 | 43 543 | 45 356 |
| Other costs | 16 574 | 12 791 | 12 696 | 11 821 | 12 415 | 12 947 | 13 503 |
| Depreciation | 11 997 | 13 280 | 9 384 | 10 155 | 10 665 | 11 117 | 11 589 |
| Interest and rent on land | 1 524 | 1 595 | 3 312 | 1 666 | 1 750 | 1 830 | 1 914 |
| Financial transactions in assets and liabilities | 3 053 | -2 084 | - | - | - | - | - |
| Transfers and subsidies to: | - | - | - | 27 463 | 29 293 | 30 640 | 32 050 |
| Universities and technikons | - | - | - | - | - | - | - |
| Non-profit institutions | - | - | - | 27 463 | 29 293 | 30 640 | 32 050 |
| Payment for capital assets | - | - | - | - | - | - | - |
| Total | 356 794 | 379 295 | 431 321 | 441 325 | 464 663 | 481 874 | 504 401 |

13.2. Relating expenditure trends to strategic outcome oriented goals

Contribution of Budget and MTEF allocation to the realisation of strategic outcome-oriented goals.

- Appropriately skilled and experienced staff as well as sufficient levels of funding are key inputs to support the work of the HSRC. There is a great deal of competition for the services of highly qualified research staff – in academia, the public sector as well as in the private sector. The number of senior research staff in the HSRC has declined over time, hence the need to focus on growing new research staff by means of trainee programmes and to retain the services of good researchers.
- The HSRC funding from the parliamentary grant has increased over the past few years, however, there is still a great deal of pressure on the HSRC and its senior research staff to earn additional funds to enable the organisation to deliver on mandated objectives. According to current projections, the HSRC will have to secure a greater portion of external research income in the next few years if it is to retain its current staffing and budget levels. This pressure is bound to increase if major additional capital or research expenses have to be incurred. It should be noted that the report of the 2010 HSRC Institutional Review Panel contains a recommendation suggesting a ratio of 80% parliamentary grant in relation to 20% external research funding. The Director-General of the Department of Science and Technology had also publicly indicated that he supported a much more favourable ratio of parliamentary grant funding versus external research funding, however, any additional allocations would depend on the National Treasury allocations to the Department of Science and Technology.

Impact of allocations in the Budget and MTEF on performance targets

- The HSRC receives funding via the MTEF; however, this allocation does not sufficiently fund the mandate of the HSRC. One of the HSRC's mandates is to promote social and human sciences in South Africa, Africa and the global South, over the years this mandate has been funded from externally generated income.
- Long-term visioning and planning is hampered by uncertainty of actual total budget to be achieved in years to come.
- Although performance targets have been set insufficient budget allocation will hamper the HSRC's ability to meet its mandated objectives.

Strategies to address the impact of allocations in the Budget and MTEF on performance targets

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

14. Strategic performance indicators and targets 2014-2015

The following table presents a consolidated view of organisational strategic performance indicators and targets for the financial year 2014-2015, against which the performance of the HSRC will be reported during the course of the financial year. Annual performance targets for the fiscal years 2014/15 to 2018/19 are presented in Annexure C of this document.

Table 2: Strategic performance indicators and targets 2014-2015

| Table 2: Strategic performance indicators and targets 2014-2015 | | | | | | |
|--|--|------------------------|-------------------------------|------|------|------|
| Indicator No. | Goals, objectives & performance indicators | Annual Targets 2014/15 | Quarterly Performance Targets | | | |
| | | | Q1 | Q2 | Q3 | Q4 |
| A-Advance | | | | | | |
| Objective 1.1: Dissemination of knowledge through public dialogue and publications | | | | | | |
| 1 | Peer-reviewed journal articles. | 1.9 | 0.48 | 0.48 | 0.48 | 0.46 |
| 2 | Scholarly books published. | 13 | 1 | 4 | 4 | 4 |
| 3 | Scholarly book chapters published. | 52 | 5 | 14 | 17 | 16 |
| 4 | HSRC research seminars. | 50 | 10 | 13 | 13 | 14 |
| 5 | <i>HSRC Review</i> publications. | 6 | 1 | 2 | 1 | 2 |
| 6 | New publishing imprint. | 3 | 0 | 1 | 1 | 1 |

| Indicator No. | Goals, objectives & performance indicators | Annual Targets 2014/15 | Quarterly Performance Targets | | | |
|--|--|------------------------|-------------------------------|-----|------|-----|
| | | | Q1 | Q2 | Q3 | Q4 |
| Objective 1.2: Inform effective formulation of government policy & evaluate its implementation | | | | | | |
| 7 | Policy briefs | 39 | 4 | 7 | 13 | 15 |
| Objective 1.3: Institutional collaboration agreements | | | | | | |
| 8 | Active MoUs. | 35 | 4 | 6 | 10 | 15 |
| D-Develop | | | | | | |
| Objective 2.1: Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | |
| 9 | Research projects completed. | 16 | 0 | 3 | 5 | 8 |
| 10 | Research reports produced. | 26 | 2 | 5 | 8 | 11 |
| Objective 2.2: Promoting an African research agenda | | | | | | |
| 11 | African research fellows. | 15 | 7 | 9 | 12 | 15 |
| Objective 2.3: Structured collaborative research | | | | | | |
| 12 | Structured collaborative research projects completed. | 14 | 1 | 3 | 4 | 6 |
| E-Enhance | | | | | | |
| Objective 3.1: Attraction of Skills for the development of a skilled & capable workforce | | | | | | |
| 13 | Master's level interns. | 39 | 12 | 22 | 32 | 39 |
| 14 | PhD level interns. | 47 | 10 | 20 | 30 | 47 |
| 15 | Post Doctoral Fellows. | 27 | 5 | 12 | 18 | 27 |
| 16 | Students reached in the research seminars/lecture campus series. | 500 | 125 | 125 | 125 | 125 |
| 17 | Schools engaged in the outreach programme. | 180 | 45 | 45 | 45 | 45 |
| Objective 3.2: Research capacity for the human sciences | | | | | | |
| 18 | Completed Master's level internship. | 8 | 0 | 0 | 2 | 6 |
| 19 | Peer-reviewed journal articles per Master's intern. | 0.9 | 0.2 | 0.2 | 0.2 | 0.3 |
| 20 | Completed PhD level internship. | 6 | 0 | 0 | 0 | 6 |
| 21 | Peer-reviewed journal articles per PhD intern. | 0.9 | 0.2 | 0.2 | 0.2 | 0.3 |
| 22 | Peer-reviewed journal articles per Post-Doctoral Fellow. | 1.75 | 0.4 | 0.4 | 0.45 | 0.5 |
| P: Preserve | | | | | | |
| Objective 4.1: Research data management and curation | | | | | | |
| 23 | Preserved datasets. | 23 | 2 | 5 | 7 | 9 |
| 24 | Datasets generated and prepared for preservation. | 23 | 2 | 5 | 7 | 9 |
| Objective 4.2: Preserved library holdings | | | | | | |
| 25 | Digitised library holdings; maps and photo collection. | 637 | 158 | 160 | 159 | 160 |
| T-Transform | | | | | | |
| Objective 5.1: Transformation: Senior researchers | | | | | | |
| 26 | Senior researchers who are African. | 54% | 54% | 54% | 54% | 54% |
| 27 | Senior researchers who are female. | 48% | 48% | 48% | 48% | 48% |
| Objective 5.2: Awareness & reporting on transformation | | | | | | |
| 28 | Annual employment equity reports produced. | 100% | 0% | 0% | 100% | 0% |
| 29 | Quarterly employment equity reports produced. | 4 | 1 | 1 | 1 | 1 |
| 30 | Diversity awareness events hosted. | 1 | 0 | 0 | 1 | 0 |
| 31 | Gender awareness events hosted. | 1 | 0 | 1 | 0 | 0 |
| S-Sustain | | | | | | |
| Objective 6.1: Extra-Parliamentary Income | | | | | | |
| 32 | Extra-Parliamentary income. | 48% | 48% | 48% | 48% | 48% |
| Objective 6.2: Multi-year grants | | | | | | |

| Indicator No. | Goals, objectives & performance indicators | Annual Targets 2014/15 | Quarterly Performance Targets | | | |
|--|--|------------------------|-------------------------------|------|------|------|
| | | | Q1 | Q2 | Q3 | Q4 |
| 33 | Multi-year grants. | 52% | 52% | 52% | 52% | 52% |
| Objective 6.3: Good corporate governance principles effectively championed | | | | | | |
| 34 | Officials attending the anti-corruption campaign. | 70% | 0% | 0% | 0% | 70% |
| 35 | Eligible officials who have declared their interests. | 100% | 0% | 0% | 60% | 100% |
| 36 | Compliance reports produced. | 4 | 1 | 1 | 1 | 1 |
| Objective 6.4: Effective and efficient systems of financial management and internal control | | | | | | |
| 37 | Unqualified external audit report. | 100% | 0% | 100% | 0% | 0% |
| 38 | BBBEE Status | 3 | 3 | 3 | 3 | 3 |
| 39 | PPPFA Compliance | 100% | 100% | 100% | 100% | 100% |
| Objective 6.5: Improved stakeholder relations | | | | | | |
| 40 | Stakeholder engagement. | 16 | 4 | 4 | 4 | 4 |
| 41 | Registered research projects to improve public understanding of science. | 2 | 0 | 0 | 1 | 1 |

15. Programme and sub-programme plans

The HSRC's main focus is to conduct large-scale, policy-relevant, social-scientific projects for public-sector users, non-governmental organisations and international development agencies in partnership with researchers globally, but specifically in Africa. To implement its strategic plan, the following strategic objective annual targets have been allocated to the various HSRC business units whose details are presented in the following sub-sections:

- Programme 1: Administration
- Programme 2: Research, Development & Innovation (RDI)
- Programme 3: Africa Institute of South Africa (AISA)

15.1. Programme 1: Administration

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

15.1.1. Strategic objective annual targets for 2014/15 to 2016/17

Detailed strategic objectives and performance indicators are presented in Annexure C of this document. Table 3 below presents strategic objective performance targets for the Administration programme.

Table 3: Strategic objective annual targets - Administration

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 38 | 38 | 41 | 30 | 39 | 41 | 43 |
| 14 | PhD level interns | 25 | 38 | 42 | 34 | 47 | 49 | 51 |
| 15 | Post Doctoral Fellows | 18 | 17 | 22 | 22 | 27 | 28 | 29 |
| 4.1 | Research data management and curation | | | | | | | |
| 23 | Preserved datasets | 16 | 19 | 22 | 23 | 23 | 23 | 23 |
| 5.2 | Awareness & reporting on transformation | | | | | | | |
| 28 | Annual employment equity reports produced | 100% | 100% | 100% | 100% | 100% | 100% | 100% |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|---|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 29 | Quarterly employment equity reports produced | 4 | 4 | 4 | 4 | 4 | 4 | 4 |
| 30 | Diversity awareness events hosted | 1 | 1 | 0 | 1 | 1 | 1 | 1 |
| 31 | Gender awareness events hosted | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| 6.3 | Good corporate governance principles effectively championed | | | | | | | |
| 34 | Officials attending the anti-corruption campaign | 18% | 92% | 39% | 60% | 70% | 80% | 80% |
| 35 | Eligible officials who have declared their interests | 43% | 71% | 73.66% | 80% | 100% | 100% | 100% |
| 36 | Compliance reports produced | New | 2 | 4 | 4 | 4 | 4 | 4 |
| 6.4 | Effective and efficient systems of financial management and internal control | | | | | | | |
| 37 | Unqualified external audit report | New | New | 100% | 100% | 100% | 100% | 100% |
| 38 | BBBEE Status | New | New | 3 | 3 | 3 | 2 | 2 |
| 39 | PPPFA Compliance | New | New | 100% | 100% | 100% | 100% | 100% |

15.1.2. Quarterly targets for 2014/15

Table 4 below presents this programme's quarterly performance targets for the 2014/15 financial year.

Table 4: Programme 1 - Quarterly targets for 2014/15

| Strategic objective & performance indicator titles | | Annual Target 2014/15 | Quarterly Targets | | | |
|--|--|--------------------------|-------------------|-----------------|-----------------|-----------------|
| | | | 1 st | 2 nd | 3 rd | 4 th |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | |
| 13 | Master’s level interns | 39 | 6 | 16 | 25 | 39 |
| 14 | PhD level interns | 47 | 10 | 20 | 30 | 47 |
| 15 | Post Doctoral Fellows | 27 | 5 | 12 | 18 | 27 |
| 4.1 | Research data management and curation | | | | | |
| 23 | Preserved datasets | 23 | 2 | 5 | 7 | 9 |
| 5.2 | Awareness & reporting on transformation | | | | | |
| 28 | Annual employment equity reports produced | 100% | - | - | 100% | - |
| 29 | Quarterly employment equity reports produced | 4 | 1 | 1 | 1 | 1 |
| 30 | Diversity awareness events hosted | 1 | - | - | 1 | - |
| 31 | Gender awareness events hosted | 1 | - | 1 | - | - |
| 6.3 | Good corporate governance principles effectively championed | | | | | |
| 34 | Officials attending the anti-corruption campaign | 70% | - | - | - | 70% |
| 35 | Eligible officials who have declared their interests | 100% | - | - | 60% | 100% |
| 36 | Compliance reports produced | 4 | 1 | 1 | 1 | 1 |
| 6.4 | Effective and efficient systems of financial management and internal control | | | | | |
| 37 | Unqualified external audit report | 100% | - | 100% | - | - |
| 38 | BBBEE Status | 3 | 3 | 3 | 3 | 3 |
| 39 | PPPFA Compliance | 100% | 100% | 100% | 100% | 100% |

15.1.3. Sub-Programme performance indicators and annual targets for 2014/15 to 2016/17

(a) Office of the CEO (OCEO)

Purpose: The office of the CEO acts as door-opener for institutional collaboration and provides strategic direction and champions application of good governance principles in the day-to-day running of the HSRC business. Table 5 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 5: OCEO performance indicators and annual targets

| Strategic objective & performance indicator titles | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|---|---------|---------|-----------------------|---------------------|---------|---------|
| | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 6.3 | Good corporate governance principles effectively championed | | | | | | |
| 34 | Officials attending the anti-corruption campaign | 18% | 92% | 39% | 60% | 70% | 80% |
| 35 | Eligible officials who have declared their interests | 43% | 71% | 73.66% | 80% | 100% | 100% |
| 36 | Compliance reports produced | New | 2 | 4 | 4 | 4 | 4 |
| 6.4 | Effective and efficient systems of financial management and internal control | | | | | | |
| 37 | Unqualified external audit report | New | New | 100% | 100% | 100% | 100% |
| 38 | BBBEE Status | New | New | 3 | 3 | 3 | 2 |
| 39 | PPPFA Compliance | New | New | 100% | 100% | 100% | 100% |

(b) Management Support

Purpose: The Management support sub-programme is headed by the Deputy CEO: Management Support and is responsible for all operational and data management activities. Table 6 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 6: Management Support performance indicators and annual targets

| Strategic objective & performance indicator titles | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------|---------|-----------------------|---------------------|---------|---------|
| | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | |
| 13 | Master's level interns | 38 | 38 | 41 | 30 | 33 | 41 |
| 14 | PhD level interns | 25 | 38 | 42 | 34 | 47 | 51 |
| 15 | Post Doctoral Fellows | 18 | 17 | 22 | 22 | 27 | 29 |
| 4.1 | Research data management and curation | | | | | | |
| 23 | Preserved datasets | 16 | 19 | 22 | 23 | 23 | 23 |
| 5.2 | Awareness & reporting on transformation | | | | | | |
| 28 | Annual employment equity reports produced | 100% | 100% | 100% | 100% | 100% | 100% |
| 29 | Quarterly employment equity reports produced | 4 | 4 | 4 | 4 | 4 | 4 |
| 30 | Diversity awareness events hosted | 1 | 1 | 0 | 1 | 1 | 1 |
| 31 | Gender awareness events hosted | 1 | 1 | 1 | 1 | 1 | 1 |

15.1.4. Reconciling performance targets with the Budget and MTEF

Expenditure estimates

Table 7: Expenditure estimates - Administration

| Sub-Programme | Actual/Audited outcomes | | | Adjusted appropriation | Medium-term expenditure estimate | | |
|---|-------------------------|----------------|----------------|------------------------|----------------------------------|----------------|----------------|
| | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| R thousand | | | | | | | |
| Administration | 93 460 | 116 956 | 112 096 | 163 934 | 173 281 | 181 949 | 190 319 |
| Subtotal | 93 460 | 116 956 | 112 096 | 163 934 | 173 281 | 181 949 | 190 319 |
| Direct charges against the National Revenue Fund | - | - | - | - | - | - | - |
| | - | - | - | - | - | - | - |
| Total | 93 460 | 116 956 | 112 096 | 163 934 | 173 281 | 181 949 | 190 319 |
| Change to 2013/14 budget estimate | - | - | - | - | - | - | - |
| Economic classification | | | | | | | |
| Current payments | 120 157 | 131 047 | 140 415 | 145 034 | 153 301 | 161 049 | 168 458 |
| Compensation of employees | 62 099 | 71 946 | 83 338 | 81 133 | 85 197 | 89 116 | 93 216 |
| Goods and services | 58 050 | 59 101 | 57 077 | 63 901 | 68 104 | 71 933 | 75 242 |
| <i>Of which:</i> | | | | | | | |
| Communication | 5 736 | 5 893 | 5 475 | 7 174 | 7 534 | 7 880 | 8 243 |
| Consultants, contractors & special services | 17 737 | 15 092 | 14 484 | 16 190 | 17 607 | 18 417 | 19 264 |
| Maintenance repairs & running costs | 11 843 | 13 011 | 11 485 | 14 754 | 15 483 | 16 195 | 16 940 |
| Operating leases | 5 594 | 5 558 | 6 791 | 6 725 | 7 398 | 7 738 | 8 094 |
| Travel and subsistence | 3 821 | 4 393 | 4 673 | 3 753 | 3 942 | 4 124 | 4 313 |
| Research Costs | 674 | - | - | - | - | - | - |
| Other Operating Costs | 12 653 | 15 154 | 10 422 | 15 305 | 16 140 | 17 579 | 18 388 |
| Other costs | 9 821 | 11 066 | 8 310 | 6 732 | 7 119 | 7 446 | 7 788 |
| Depreciation | 8 020 | 8 735 | 6 593 | 5 066 | 5 369 | 5 616 | 5 874 |
| Interest and rent on land | 1 519 | 1 595 | 1 717 | 1 666 | 1 750 | 1 830 | 1 914 |
| Financial transactions in assets and liabilities | 282 | 736 | - | - | - | - | - |
| Transfers and subsidies to: | - | - | - | 12 168 | 12 861 | 13 454 | 14 073 |
| Universities and technikons | - | - | - | - | - | - | - |
| Non-profit institutions | - | - | - | 12 168 | 12 861 | 13 454 | 14 073 |
| Payment for capital assets | - | - | - | - | - | - | - |
| Total | 129 978 | 142 113 | 148 726 | 163 934 | 173 281 | 181 949 | 190 319 |

Performance and expenditure trends

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

Measures to be put in place to ensure that the strategic objectives continue to be realised include large-scale longitudinal and cross-sectional studies aimed to support government's monitoring and evaluation mandate.

15.2. Programme 2: Research, Development & Innovation

Purpose: This programme facilitates knowledge generation through research and development in key priority areas and also to inform government's policy/planning, monitoring and evaluation in national priority areas. It also facilitates preservation of data sets and assesses the impact of our research.

15.2.1. Strategic objective annual targets for 2014/15 to 2016/17

Detailed strategic objectives and performance indicators are presented in Annexure C of this document. Table 8 below presents strategic objective performance targets for the Research, Development & Innovation programme.

Table 8: Strategic objective annual targets

| Strategic objective & performance indicator titles | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|---------------------|----------------|----------------|-----------------------|---------------------|---------|---------|
| | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 Peer-reviewed journal articles | 1.5 | 1.68 [96/57] | 1.77 | 1.7 | 1.9 | 1.9 | 2 |
| 2 Scholarly books published | New | 2 | 8 | 9 | 10 | 13 | 18 |
| 3 Scholarly book chapters published | New | 10 | 39 | 33 | 45 | 47 | 55 |
| 4 HSRC research seminars | 30 | 40 | 45 | 48 | 50 | 50 | 55 |
| 5 HSRC Review publications | 4 | 4 | 4 | 4 | 6 | 6 | 8 |
| 6 New publishing imprint | New | New | New | 5 | 3 | 5 | 5 |
| 1.2 Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 Policy briefs | 5 | 6 | 8 | 14 | 15 | 17 | 23 |
| 1.3 Institutional collaboration agreements | | | | | | | |
| 8 Active MoUs | New | 25 | 27 | 18 | 30 | 36 | 43 |
| 2.1 Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 Research projects completed | New | 25 | 13 | 15 | 15 | 18 | 22 |
| 10 Research reports produced | New | 23 | 18 | 24 | 23 | 26 | 31 |
| 2.2 Promoting an African research agenda | | | | | | | |
| 11 African research fellows | 7 | 7 | 10 | 11 | 9 | 11 | 11 |
| 2.3 Structured collaborative research | | | | | | | |
| 12 Structured collaborative research projects completed. | New | New | New | 7 | 15 | 18 | 18 |
| 3.2 Research capacity for the human sciences | | | | | | | |
| 18 Completed Master's level internship | New | New | New | 6 | 8 | 5 | 5 |
| 19 Peer-reviewed journal articles per Master's intern | New | New | New | 0.9 | 0.9 | 1 | 1 |
| 20 Completed PhD level internship | New | New | New | 3 | 6 | 4 | - |
| 21 Peer-reviewed journal articles per PhD intern | New | New | New | 0.9 | 0.9 | 1 | 1 |
| 22 Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | 1 | 1.75 | 1.1 | 1.1 |
| 4.1 Research data management and curation | | | | | | | |
| 24 Datasets generated and prepared for preservation. | 16 | 19 | 22 | 23 | 23 | 23 | 23 |
| 5.1 Transformation: Senior researchers | | | | | | | |
| 26 Senior researchers who are African | 40.7% [22/54] | 43.86% [25/57] | 35.38% [23/65] | 53% | 54% | 56% | 56% |
| 27 Senior researchers who are female | New | New | 47.69% [31/65] | 48% | 48% | 49% | 49% |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|---|------------------------------|------------------------------|---------------------------------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 32 | Extra-parliamentary income | 56% [R140.3m/ R322.4m] | 48% [R169.7m/ R350.5m] | 52.02% [R203.7m/ R391.6m] | 48% | 48% | 48% | 48% |
| 6.2 | Multi-year grants | | | | | | | |
| 33 | Multi-year grants | 34.2% [40/117] | 44% [31/71] | 51.56% [33/64] | 50% | 52% | 56% | 56% |
| 6.5 | Improved stakeholder relations | | | | | | | |
| 40 | Stakeholder engagement | New | New | New | 8 | 16 | 16 | 18 |
| 41 | Registered research projects to improve public understanding of science | New | New | New | 2 | 2 | 2 | 2 |

15.2.2. Quarterly targets for 2014/15

Table 9 below presents this programme's quarterly performance targets for the 2014/15 financial year.

Table 9: Programme 2 - Quarterly targets for 2014/15

| Strategic objective & performance indicator titles | | Annual Target 2014/15 | Quarterly Targets | | | |
|--|--|-----------------------|-------------------|-----------------|-----------------|-----------------|
| | | | 1 st | 2 nd | 3 rd | 4 th |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | |
| 1 | Peer-reviewed journal articles | 1.9 | 0.48 | 0.48 | 0.48 | 0.46 |
| 2 | Scholarly books published | 10 | 1 | 3 | 3 | 3 |
| 3 | Scholarly book chapters published | 45 | 5 | 12 | 14 | 14 |
| 4 | HSRC research seminars | 50 | 10 | 13 | 13 | 14 |
| 5 | HSRC Review publications | 6 | 1 | 2 | 1 | 2 |
| 6 | New publishing imprint | 3 | - | 1 | 1 | 1 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | |
| 7 | Policy briefs | 15 | - | 3 | 5 | 7 |
| 1.3 | Institutional collaboration agreements | | | | | |
| 8 | Active MoUs. | 30 | 4 | 6 | 10 | 10 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | |
| 9 | Research projects completed | 15 | - | 3 | 5 | 7 |
| 10 | Research reports produced | 23 | 2 | 5 | 6 | 10 |
| 2.2 | Promoting an African research agenda | | | | | |
| 11 | African research fellows | 9 | 1 | 3 | 6 | 9 |
| 2.3 | Structured collaborative research | | | | | |
| 12 | Structured collaborative research projects completed | 14 | 1 | 3 | 4 | 6 |
| 3.2 | Research capacity for the human sciences | | | | | |
| 18 | Completed Master's level internship | 8 | - | - | 2 | 6 |
| 19 | Peer-reviewed journal articles per Master's intern | 0.9 | 0.2 | 0.2 | 0.2 | 0.3 |
| 20 | Completed PhD level internship | 6 | - | - | - | 6 |
| 21 | Peer-reviewed journal articles per PhD intern | 0.9 | 0.2 | 0.2 | 0.2 | 0.3 |
| 22 | Peer-reviewed journal articles per Post-doctoral fellow | 1.75 | 0.4 | 0.4 | 0.45 | 0.5 |
| 4.1 | Research data management and curation | | | | | |
| 24 | Datasets generated and prepared for preservation. | 23 | 2 | 5 | 7 | 9 |
| 5.1 | Transformation: Senior researchers | | | | | |

| Strategic objective & performance indicator titles | | Annual Target 2014/15 | Quarterly Targets | | | |
|--|---|-----------------------|-------------------|-----------------|-----------------|-----------------|
| | | | 1 st | 2 nd | 3 rd | 4 th |
| 26 | Senior researchers who are African | 54% | 54% | 54% | 54% | 54% |
| 27 | Senior researchers who are female | 48% | 48% | 48% | 48% | 48% |
| 6.1 | Extra-Parliamentary Income | | | | | |
| 32 | Extra-parliamentary income | 48% | 48% | 48% | 48% | 48% |
| 6.2 | Multi-year grants | | | | | |
| 33 | Multi-year grants | 52% | 52% | 52% | 52% | 52% |
| 6.5 | Improved stakeholder relations | | | | | |
| 40 | Stakeholder engagements | 16 | 4 | 4 | 4 | 4 |
| 41 | Registered research projects to improve public understanding of science | 2 | - | - | 1 | 1 |

15.2.3. Sub-Programme performance indicators and annual targets for 2014/15 to 2016/17

(c) Centre for Science, Technology & Innovation Indicators (CeSTII)

Purpose: The Centre for Science, Technology and Innovation Indicators (CeSTII) is responsible for the production of science, technology and innovation (STI) indicators in South Africa as well as conducting research in the same and related fields.

Table 10 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 10: CeSTII performance indicators and annual targets

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 | Peer-reviewed journal articles | 1.67 | 2.38 | 2.30 | 1.7 | 1.9 | 1.9 | 2 |
| 2 | Scholarly books published | New | 2 | 1 | 1 | 1 | 2 | 3 |
| 3 | Scholarly book chapters published | New | 0 | 4 | 2 | 2 | 2 | 3 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 | Policy briefs | New | 1 | 2 | 2 | 1 | 2 | 3 |
| 1.3 | Institutional collaboration agreements | | | | | | | |
| 8 | Active MoUs | New | 2 | 2 | 3 | 2 | 2 | 2 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 | Research project completed | New | 3 | 4 | 2 | 2 | 2 | 3 |
| 10 | Research reports produced | New | 3 | 3 | 4 | 2 | 2 | 3 |
| 2.2 | Promoting an African research agenda | | | | | | | |
| 11 | African research fellows | 3 | 2 | 2 | 1 | 1 | 2 | 2 |
| 2.3 | Structured collaborative research | | | | | | | |
| 12 | Structured collaborative research projects completed | New | New | New | 1 | 2 | 3 | 3 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 6 | 5 | 3 | 3 | 3 | 3 | 3 |
| 14 | PhD level interns | 4 | 8 | 6 | 3 | 8 | 8 | 8 |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|---|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 15 | Post Doctoral Fellows | 4 | 4 | 3 | 1 | 3 | 4 | 4 |
| 3.2 | Research capacity for the human sciences | | | | | | | |
| 18 | Completed Master's level internship | New | New | New | 1 | - | 1 | 1 |
| 19 | Peer-reviewed journal articles per Master's intern | New | New | New | 0 | 0.9 | 1 | 1 |
| 20 | Completed PhD level internship | New | New | New | 0 | 0 | 1 | 1 |
| 21 | Peer-reviewed journal articles per PhD intern | New | New | New | 0 | 0.9 | 1.1 | 1.1 |
| 22 | Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | 0 | 1.75 | 2 | 3 |
| 4.1 | Research data management and curation | | | | | | | |
| 24 | Datasets generated and prepared for preservation. | 1 | 2 | 4 | 2 | 2 | 2 | 2 |
| 5.1 | Transformation: Senior researchers | | | | | | | |
| 22 | Senior researchers who are African | 33.33% | 50% | 40% | 53% | 54% | 56% | 56% |
| 23 | Senior researchers who are female | New | New | New | 48% | 48% | 50% | 50% |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 28 | Extra-parliamentary income | 33.32% | 44.60% | 85.67% | 52% | 60% | 60% | 60% |
| 6.2 | Multi-year grants | | | | | | | |
| 29 | Multi-year grants | 31% | 33% | 40% | 50% | 52% | 52% | 52% |

(d) Democracy, governance and service delivery (DGSD)

Purpose: The Democracy, Governance and Service Delivery (DGSD) research sub-programme actively enhances the contribution of the HSRC as a strategic partner in knowledge production and a resource for informing and deepening public debate, national dialogue and theoretical discourse on key national, regional and international issues and dominant trends related to democracy; development; justice; governance and service delivery.

Table 11 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 11: DGSD performance indicators and annual targets

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------------|---------------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 | Peer-reviewed journal articles | 0.22 [2/9] | 0.40 [2/5] | 0.25 [2/8] | 1.5 | 1.9 | 1.9 | 2 |
| 2 | Scholarly books published | New | 0 | 1 | 1 | 1 | 1 | 2 |
| 3 | Scholarly book chapters published | New | 3 | 14 | 5 | 6 | 6 | 7 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 | Policy briefs | 0 | 0 | 0 | 1 | 2 | 2 | 3 |
| 1.3 | Institutional collaboration agreements | | | | | | | |
| 8 | Active MoUs | New | 2 | 2 | 2 | 4 | 5 | 6 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 9 | Research projects completed | New | 3 | 2 | 2 | 2 | 3 | 3 |
| 10 | Research reports produced | New | 11 | 1 | 4 | 3 | 4 | 5 |
| 2.2 | Promoting an African research agenda | | | | | | | |
| 11 | African research fellows | 1 | 1 | 1 | 2 | 1 | 1 | 1 |
| 2.3 | Structured collaborative research | | | | | | | |
| 12 | Structured collaborative research projects completed | New | New | New | 1 | 2 | 2 | 2 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 6 | 4 | 4 | 5 | 3 | 4 | 4 |
| 14 | PhD level interns | 5 | 4 | 4 | 5 | 3 | 4 | 5 |
| 15 | Post Doctoral Fellows | 3 | 2 | 2 | 4 | 3 | 3 | 4 |
| 3.2 | Research capacity for the human sciences | | | | | | | |
| 16 | Completed Master's level internship | New | New | New | 1 | 1 | 2 | 2 |
| 17 | Peer-reviewed journal articles per Master's intern | New | New | New | 0 | 0.9 | 1 | 1 |
| 18 | Completed PhD level internship | New | New | New | 0 | 1 | 2 | 2 |
| 19 | Peer-reviewed journal articles per PhD intern | New | New | New | 0 | 0.9 | 1 | 1 |
| 20 | Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | 0 | 1 | 1 | 1.1 |
| 4.1 | Research data management and curation | | | | | | | |
| 21 | Datasets generated and prepared for preservation. | 6 | 2 | 4 | 4 | 3 | 3 | 4 |
| 5.1 | Transformation: Senior researchers | | | | | | | |
| 22 | Senior researchers who are African | 44% | 20% | 12.5% | 53% | 54% | 56% | 56% |
| 23 | Senior researchers who are female | New | New | New | 48% | 48% | 49% | 49% |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 28 | Extra-parliamentary income | 59.88% | 55.09% | 46.78% | 60% | 60% | 60% | 60% |
| 6.2 | Multi-year grants | | | | | | | |
| 29 | Multi-year grants | 33% | 25% | 12.5% | 50% | 52% | 56% | 56% |

(e) Economic performance and development (EPD)

Purpose: This sub-programme is mandated to generate robust knowledge, evidence and policy proposals through rigorous research for lasting solutions to the pressing economic and developmental challenges of unemployment, inequality, poverty and growth facing South Africa and the rest of Africa.

Table 12 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 12: EPD performance indicators and annual targets

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 | Peer-reviewed journal articles | 2.40 | 0.71 | 1.13 | 1.7 | 1.9 | 1.9 | 2 |
| 2 | Scholarly books published | New | 1 | 2 | 1 | 1 | 1 | 2 |
| 3 | Scholarly book chapters published | New | 5 | 5 | 5 | 6 | 6 | 7 |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 | Policy briefs | 0 | 2 | 1 | 1 | 2 | 2 | 3 |
| 1.3 | Institutional collaboration agreements | | | | | | | |
| 8 | Active MoUs | New | 4 | 5 | 3 | 4 | 5 | 6 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 | Research projects completed | New | 2 | 0 | 2 | 2 | 3 | 3 |
| 10 | Research reports produced | New | 2 | 2 | 3 | 4 | 5 | 6 |
| 2.2 | Promoting an African research agenda | | | | | | | |
| 11 | African research fellows | 1 | 0 | 1 | 1 | 1 | 1 | 1 |
| 2.3 | Structured collaborative research | | | | | | | |
| 12 | Structured collaborative research projects completed | New | New | New | 1 | 2 | 2 | 2 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 2 | 2 | 6 | 6 | 6 | 7 | 7 |
| 14 | PhD level interns | 2 | 2 | 3 | 5 | 5 | 6 | 6 |
| 15 | Post Doctoral Fellows | 0 | 1 | 2 | 4 | 5 | 5 | 6 |
| 3.2 | Research capacity for the human sciences | | | | | | | |
| 16 | Completed Master's level internship | New | New | New | New | 2 | 2 | 2 |
| 17 | Peer-reviewed journal articles per Master's intern | New | New | New | New | 0.9 | 1 | 1 |
| 18 | Completed PhD level internship | New | New | New | New | 1 | 2 | 2 |
| 19 | Peer-reviewed journal articles per PhD intern | New | New | New | New | 0.9 | 1 | 1 |
| 20 | Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | New | 1 | 1 | 1.1 |
| 4.1 | Research data management and curation | | | | | | | |
| 21 | Datasets generated and prepared for preservation. | 0 | 1 | 2 | 4 | 3 | 3 | 4 |
| 5.1 | Transformation: Senior researchers | | | | | | | |
| 22 | Senior researchers who are African | 20% | 42.86% | 37.5% | 53% | 54% | 56% | 56% |
| 23 | Senior researchers who are female | New | New | New | 48% | 48% | 49% | 49% |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 28 | Extra-parliamentary income | 46.86% | 48.38% | 54.8% | 56% | 56% | 56% | 56% |
| 6.2 | Multi-year grants | | | | | | | |
| 29 | Multi-year grants | 8% | 0% | 16.67% | 50% | 50% | 56% | 56% |

(f) Education and skills development (ESD)

Purpose: The Education and Skills Development research sub-programme researches education, skills development and capability enhancement at the individual, institutional and systemic levels. It is unique in its ability to harness research work both across and at the interface of these three areas as well as across multiple levels of provision. Education and skills development promote individual, social and economic development and are key to the exercise of citizenship.

Table 13 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 13: ESD performance indicators and annual targets

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 | Peer-reviewed journal articles | 0.09 | 0.4 | 0.91 | 1.8 | 1.9 | 1.9 | 2 |
| 2 | Scholarly books published | New | 1 | 3 | 1 | 1 | 1 | 1 |
| 3 | Scholarly book chapters published | New | 3 | 12 | 5 | 7 | 7 | 8 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 | Policy briefs | 2 | 2 | 2 | 2 | 2 | 2 | 2 |
| 1.3 | Institutional collaboration agreements | | | | | | | |
| 8 | Active MoUs | New | 4 | 4 | 3 | 4 | 4 | 5 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 | Research projects completed | New | 5 | 3 | 2 | 2 | 2 | 2 |
| 10 | Research reports produced | New | 2 | 3 | 2 | 2 | 2 | 2 |
| 2.2 | Promoting an African research agenda | | | | | | | |
| 11 | African research fellows | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| 2.3 | Structured collaborative research | | | | | | | |
| 12 | Structured collaborative research projects completed | New | New | New | 1 | 2 | 2 | 2 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 9 | 8 | 6 | 5 | 5 | 5 | 5 |
| 14 | PhD level interns | 2 | 5 | 8 | 7 | 7 | 7 | 7 |
| 15 | Post Doctoral Fellows | 3 | 3 | 5 | 4 | 4 | 4 | 4 |
| 3.2 | Research capacity for the human sciences | | | | | | | |
| 16 | Completed Master's level internship | New | New | New | 1 | 1 | 1 | 1 |
| 17 | Peer-reviewed journal articles per Master's intern | New | New | New | 0.9 | 0.9 | 1 | 1 |
| 18 | Completed PhD level internship | New | New | New | 1 | 1 | 1 | 1 |
| 19 | Peer-reviewed journal articles per PhD intern | New | New | New | 0.9 | 0.9 | 1 | 1 |
| 20 | Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | 1 | 1 | 1 | 1 |
| 4.1 | Research data management and curation | | | | | | | |
| 21 | Datasets generated and prepared for preservation. | 4 | 4 | 4 | 4 | 4 | 4 | 4 |
| 5.1 | Transformation: Senior researchers | | | | | | | |
| 22 | Senior researchers who are African | 36.36% | 40% | 36.36% | 53% | 54% | 54% | 54% |
| 23 | Senior researchers who are female | New | New | 55% | 55% | 48% | 49% | 49% |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 28 | Extra-parliamentary income | 62.16% | 65.5% | 63.21% | 70% | 65% | 65% | 65% |
| 6.2 | Multi-year grants | | | | | | | |
| 29 | Multi-year grants | 47% | 64% | 94% | 50% | 50% | 50% | 50% |

(g) HIV/AIDS, Sexually transmitted diseases and Tuberculosis (HAST)

Purpose: HAST is a research sub-programme that undertakes applied social sciences and public health research on HIV/AIDS, STIs and TB (HAST) within South Africa. It also provides experiential training to young researchers and expert consultation to government, civil society organisations and international agencies on these issues. It is a large multi-disciplinary team with over 50 full-time researchers trained in various social sciences disciplines and public health, many of whom hold doctorate degrees. It also provides some technical assistance and advice to the government, South African National AIDS Council (SANAC), civil society and donors/research grant makers within South Africa, throughout Sub-Saharan Africa through the Social Aspects of HIV/AIDS Research Alliance (SAHARA), and also globally through its collaborating status with the Global HIV Prevention Working Group and other international organisations.

Table 14 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 14: HAST performance indicators and annual targets

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 | Peer-reviewed journal articles | 2.35 | 3.11 | 1.6 | 1.8 | 1.9 | 1.9 | 2 |
| 2 | Scholarly books published | New | 2 | 2 | 1 | 2 | 2 | 2 |
| 3 | Scholarly book chapters published | New | 5 | 5 | 4 | 7 | 8 | 9 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 | Policy briefs | 1 | 0 | 3 | 2 | 2 | 3 | 4 |
| 1.3 | Institutional collaboration agreements | | | | | | | |
| 8 | Active MoUs | New | 2 | 1 | 2 | 4 | 6 | 7 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 | Research projects completed | New | 1 | 2 | 2 | 2 | 2 | 3 |
| 10 | Research reports produced | New | 2 | 4 | 3 | 3 | 3 | 3 |
| 2.2 | Promoting an African research agenda | | | | | | | |
| 11 | African research fellows | 1 | 3 | 1 | 3 | 1 | 1 | 1 |
| 2.3 | Structured collaborative research | | | | | | | |
| 12 | Structured collaborative research projects completed | New | New | 1 | 1 | 1 | 2 | 2 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 9 | 14 | 9 | 7 | 5 | 5 | 5 |
| 14 | PhD level interns | 10 | 15 | 11 | 9 | 8 | 8 | 8 |
| 15 | Post Doctoral Fellows | 5 | 4 | 7 | 3 | 3 | 3 | 3 |
| 3.2 | Research capacity for the human sciences | | | | | | | |
| 16 | Completed Master's level internship | New | New | New | 2 | 2 | 2 | 2 |
| 17 | Peer-reviewed journal articles per Master's intern | New | New | New | 0.9 | 0.9 | 1 | 1 |
| 18 | Completed PhD level internship | New | New | New | 2 | 2 | 3 | 3 |
| 19 | Peer-reviewed journal articles per PhD intern | New | New | New | 0.9 | 0.9 | 1 | 1 |
| 20 | Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | 2 | 3 | 3 | 3 |
| 4.1 | Research data management and curation | | | | | | | |
| 21 | Datasets generated and prepared for preservation. | 3 | 8 | 4 | 3 | 4 | 3 | 3 |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|---|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 5.1 | Transformation: Senior researchers | | | | | | | |
| 22 | Senior researchers who are African | 52.94% | 55.55% | 44.44% | 53% | 54% | 56% | 56% |
| 23 | Senior researchers who are female | New | New | New | 48% | 48% | 49% | 49% |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 28 | Extra-parliamentary income | 61.19% | 61.49% | 66% | 63% | 50% | 50% | 50% |
| 6.2 | Multi-year grants | | | | | | | |
| 29 | Multi-year grants | 54% | 52% | 50% | 50% | 56% | 56% | 56% |

(h) Human and social development (HSD)

Purpose: Human and Social Development (HSD) is a research sub-programme that promotes social science and humanities research concerning the social conditions and identity markers that shape people's life opportunities (or human development) and promote social cohesion in the midst of ongoing and dynamic change, and alongside the social movements that emerge in response to these challenges. Arising from the current movement toward a knowledge-based economy and from the renewed focus on Human and Social Dynamics as one of grand challenges facing South Africa identified by the Department of Science and Technology, the HSD research programme researches individuals, social contexts and public policies in six main areas.

Table 15 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 15: HSD performance indicators and annual targets

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 | Peer-reviewed journal articles | 4.5 | 2.4 | 2.4 | 1.7 | 1.9 | 1.9 | 2 |
| 2 | Scholarly books published | New | 2 | 1 | 2 | 2 | 3 | 4 |
| 3 | Scholarly book chapters published | New | 3 | 5 | 5 | 6 | 7 | 8 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 | Policy briefs | 1 | 1 | 2 | 2 | 2 | 2 | 3 |
| 1.3 | Institutional collaboration agreements | | | | | | | |
| 8 | Active MoUs | New | 1 | 1 | 3 | 4 | 5 | 6 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 | Research projects completed | New | 1 | 0 | 2 | 2 | 3 | 4 |
| 10 | Research reports produced | New | 0 | 0 | 2 | 3 | 4 | 5 |
| 2.2 | Promoting an African research agenda | | | | | | | |
| 11 | African research fellows | 0 | 0 | 1 | 1 | 2 | 2 | 2 |
| 2.3 | Structured collaborative research | | | | | | | |
| 12 | Structured collaborative research projects completed | New | New | New | 1 | 2 | 2 | 2 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 5 | 4 | 7 | 3 | 4 | 5 | 6 |
| 14 | PhD level interns | 1 | 3 | 3 | 4 | 4 | 4 | 5 |
| 15 | Post Doctoral Fellows | 2 | 3 | 3 | 3 | 4 | 4 | 4 |
| 3.2 | Research capacity for the human sciences | | | | | | | |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|---|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 16 | Completed Master's level internship | New | New | New | 1 | 1 | 1 | 1 |
| 17 | Peer-reviewed journal articles per Master's intern | New | New | New | 2 | 0.9 | 1 | 1 |
| 18 | Completed PhD level internship | New | New | New | 1 | 0 | 1 | 1 |
| 19 | Peer-reviewed journal articles per PhD intern | New | New | New | 2 | 0.9 | 1 | 1 |
| 20 | Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | 4 | 1.75 | 1.75 | 1.75 |
| 4.1 | Research data management and curation | | | | | | | |
| 21 | Datasets generated and prepared for preservation. | 2 | 2 | 3 | 3 | 3 | 4 | 5 |
| 5.1 | Transformation: Senior researchers | | | | | | | |
| 22 | Senior researchers who are African | 25% | 40% | 40% | 53% | 54% | 56% | 56% |
| 23 | Senior researchers who are female | New | New | New | 48% | 48% | 49% | 49% |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 28 | Extra-parliamentary income | 46.30% | 59.86% | 54.85% | 60% | 60% | 60% | 60% |
| 6.2 | Multi-year grants | | | | | | | |
| 29 | Multi-year grants | 17% | 43% | 50% | 50% | 50% | 50% | 50% |

(i) Population health, health systems and innovation (PHHSI)

Purpose: The PHHSI is a research sub-programme that conducts primary and secondary research on Health, Science and Technology and Innovation, which enables evidence-based decision-making by our partners. PHHSI works with external partners; the research programmes of the HSRC and, through various networks, builds Health and Science and Technology expertise in South Africa and the continent.

Table 16 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 16: PHHSI performance indicators and annual targets

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 | Peer-reviewed journal articles per senior researcher (do so for all please) | 1.67 | 2.38 | 2.30 | 1.9 | 1.9 | 1.9 | 2 |
| 2 | Scholarly books published | New | 2 | 1 | 1 | 1 | 2 | 3 |
| 3 | Scholarly book chapters published | New | 0 | 4 | 2 | 6 | 6 | 7 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 | Policy briefs | New | 1 | 2 | 2 | 2 | 2 | 3 |
| 1.3 | Institutional collaboration agreements | | | | | | | |
| 8 | Active MoUs | New | 4 | 5 | 6 | 4 | 5 | 6 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 | Research project completed | New | 3 | 2 | 1 | 2 | 2 | 3 |
| 10 | Research reports produced | New | 3 | 5 | 2 | 2 | 2 | 3 |
| 2.2 | Promoting an African research agenda | | | | | | | |
| 11 | African research fellows | 3 | 2 | 2 | 1 | 1 | 2 | 2 |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 2.3 | Structured collaborative research | | | | | | | |
| 12 | Structured collaborative research projects completed | New | New | New | 1 | 2 | 3 | 3 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 6 | 5 | 3 | 2 | 3 | 3 | 3 |
| 14 | PhD level interns | 4 | 8 | 6 | 4 | 8 | 8 | 8 |
| 15 | Post Doctoral Fellows | 4 | 4 | 3 | 3 | 3 | 4 | 4 |
| 3.2 | Research capacity for the human sciences | | | | | | | |
| 16 | Completed Master's level internship | New | New | New | 2 | - | 1 | 1 |
| 17 | Peer-reviewed journal articles per Master's intern | New | New | New | 0.9 | 0.9 | 1 | 1 |
| 18 | Completed PhD level internship | New | New | New | 1 | 1 | 1 | 1 |
| 19 | Peer-reviewed journal articles per PhD intern | New | New | New | 0.9 | 0.9 | 1.1 | 1.1 |
| 20 | Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | 1 | 1 | 1.2 | 1.3 |
| 4.1 | Research data management and curation | | | | | | | |
| 21 | Datasets generated and prepared for preservation. | 1 | 2 | 4 | 1 | 3 | 3 | 3 |
| 5.1 | Transformation: Senior researchers | | | | | | | |
| 22 | Senior researchers who are African | 33.33% | 50% | 40% | 40% | 54% | 56% | 56% |
| 23 | Senior researchers who are female | New | New | New | 40% | 48% | 50% | 50% |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 28 | Extra-parliamentary income | 33.32% | 44.60% | 85.67% | 74% | 60% | 60% | 60% |
| 6.2 | Multi-year grants | | | | | | | |
| 29 | Multi-year grants | 31% | 33% | 40% | 50% | 52% | 52% | 52% |

(j) Research use and impact assessment (RIA)

Purpose: The Research Use and Impact Assessment unit consolidates the dissemination and knowledge management activities of the HSRC into a single unit that plays a strategic role in supporting researchers in maximising the impact of their research by engaging in activities such as knowledge exchange, synthesis and application.

Table 17 below presents this sub-programme's performance indicators and annual performance targets aligned to the strategic outcomes-oriented goals of the HSRC.

Table 17: RIA performance indicators and annual targets

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 | Dissemination of knowledge through public dialogue and publications | | | | | | | |
| 1 | Peer-reviewed journal articles | 2.0 | 2.38 | 0.25 | 1.7 | 1.9 | 1.9 | 2 |
| 2 | Scholarly books published | New | 0 | 0 | 1 | 1 | 1 | 1 |
| 3 | Scholarly book chapters published | New | 0 | 1 | 3 | 5 | 5 | 6 |
| 4 | HSRC research seminars convened | 30 | 40 | 45 | 48 | 50 | 50 | 55 |
| 5 | HSRC Review publications | 4 | 4 | 4 | 4 | 6 | 6 | 8 |
| 6 | New publishing imprint | New | New | New | 5 | 3 | 3 | 3 |
| 1.2 | Inform effective formulation of government policy & evaluate its implementation | | | | | | | |

| Strategic objective & performance indicator titles | | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 7 | Policy briefs | New | 1 | 2 | 2 | 2 | 2 | 2 |
| 1.3 | Institutional collaboration agreements | | | | | | | |
| 8 | Active MoUs | New | 0 | 3 | 3 | 4 | 4 | 5 |
| 2.1 | Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 | Research projects completed | New | New | 0 | 1 | 1 | 1 | 1 |
| 10 | Research reports produced | New | New | 0 | 4 | 4 | 4 | 4 |
| 2.2 | Promoting an African research agenda | | | | | | | |
| 11 | African research fellows | 1 | 1 | 1 | 1 | 1 | 1 | 1 |
| 2.3 | Structured collaborative research | | | | | | | |
| 12 | Structured collaborative research projects completed | New | New | New | 2 | 2 | 2 | 2 |
| 3.1 | Attraction of Skills for the development of a skilled & capable workforce | | | | | | | |
| 13 | Master's level interns | 0 | 5 | 8 | 6 | 4 | 4 | 8 |
| 14 | PhD level interns | 0 | 8 | 3 | 4 | 4 | 4 | 4 |
| 15 | Post Doctoral Fellows | 1 | 4 | 2 | 2 | 2 | 2 | 2 |
| 3.2 | Research capacity for the human sciences | | | | | | | |
| 16 | Completed Master's level internship | New | New | New | - | 1 | 1 | 1 |
| 17 | Peer-reviewed journal articles per Master's intern | New | New | New | 0.9 | 0.9 | 0.9 | 1 |
| 18 | Completed PhD level internship | New | New | New | 0 | 0 | 1 | 1 |
| 19 | Peer-reviewed journal articles per PhD intern | New | New | New | 0.9 | 0.9 | 1 | 1 |
| 20 | Peer-reviewed journal articles per Post-doctoral fellow | New | New | New | 1 | 2 | 2 | 2 |
| 4.1 | Research data management and curation | | | | | | | |
| 21 | Datasets generated and prepared for preservation. | 0 | 2 | 0 | 1 | 1 | 1 | - |
| 5.1 | Transformation: Senior researchers | | | | | | | |
| 22 | Senior researchers who are African | 0% | 50% | 25% | 40% | 54% | 56% | 56% |
| 23 | Senior researchers who are female | New | New | New | 48% | 48% | 49% | 49% |
| 6.1 | Extra-Parliamentary Income | | | | | | | |
| 28 | Extra-Parliamentary income | 44.57% | 44.60% | 23.05% | 70% | 48% | 48% | 48% |
| 6.2 | Multi-year grants | | | | | | | |
| 29 | Multi-year grants | 25% | 33% | 40% | 50% | 50% | 50% | 50% |
| 6.4 | Improved stakeholder relations | | | | | | | |
| 33 | Stakeholder engagement | New | New | New | 8 | 16 | 16 | 18 |
| 34 | Registered research projects to improve public understanding of science | New | New | New | 2 | 2 | 2 | 2 |

13.3.4. Reconciling performance targets with the Budget and MTEF

Expenditure estimates

Table 18: Expenditure Estimates - Research, Development & Innovation

| Programme R thousand | Actual/Audited outcomes | | | Adjusted appropriation | Medium-term expenditure estimate | | |
|---|-------------------------|----------------|----------------|---------------------------|-------------------------------------|----------------|----------------|
| | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| Research, Development & Innovation | 226 247 | 233 577 | 284 197 | 237 954 | 248 710 | 254 949 | 266 677 |
| Subtotal | 226 247 | 233 577 | 284 197 | 237 954 | 248 710 | 254 949 | 266 677 |
| Direct charges against the National Revenue Fund | - | - | - | - | - | - | - |
| | - | - | - | - | - | - | - |
| Total | 226 247 | 233 577 | 284 197 | 237 954 | 248 710 | 254 949 | 266 677 |
| Change to 2012/13 budget estimate | - | - | - | - | - | - | - |
| Economic classification | | | | | | | |
| Current payments | 183 936 | 203 023 | 248 161 | 218 625 | 228 047 | 233 337 | 244 070 |
| Compensation of employees | 102 496 | 98 961 | 113 826 | 111 583 | 117 154 | 122 543 | 128 179 |
| Goods and services | 81 440 | 104 062 | 134 335 | 107 042 | 110 893 | 110 794 | 115 891 |
| <i>Of which:</i> | | | | | | | |
| Communication | 1 984 | 2 342 | 3 155 | 3 794 | 3 982 | 4 166 | 4 357 |
| Consultants, contractors & special services | - | 9 | - | 420 | 441 | 461 | 482 |
| Maintenance repairs & running costs | 156 | 212 | 246 | 240 | 252 | 264 | 276 |
| Operating leases | 382 | 260 | 433 | 315 | 346 | 362 | 379 |
| Travel and subsistence | - | 48 | 9 | 1 088 | 1 141 | 1 193 | 1 248 |
| Research Costs | 73 410 | 93 269 | 119 594 | 90 760 | 93 533 | 92 634 | 96 895 |
| Other Operating Costs | 5 509 | 7 922 | 10 898 | 10 425 | 11 198 | 11 714 | 12 254 |
| Other costs | 5 170 | 816 | 3 340 | 4 034 | 4 231 | 4 426 | 4 630 |
| Depreciation | 2 394 | 3 636 | 1 745 | 4 034 | 4 231 | 4 426 | 4 630 |
| Interest and rent on land | 5 | - | 1 595 | - | - | - | - |
| Financial transactions in assets and liabilities | 2 771 | - 2 820 | - | - | - | - | - |
| Transfers and subsidies to: | - | - | - | 15 295 | 16 432 | 17 186 | 17 977 |
| Universities and technikons | - | - | - | - | - | - | - |
| Non-profit institutions | - | - | - | 15 295 | 16 432 | 17 186 | 17 977 |
| Payment for capital assets | - | - | - | - | - | - | - |
| Total | 189 106 | 203 839 | 251 501 | 237 954 | 248 710 | 254 949 | 266 677 |

Performance and expenditure trends

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

Measures to be put in place to ensure that the strategic objectives continue to be realised include large-scale longitudinal and cross-sectional studies aimed to support government's monitoring and evaluation mandate; innovative and collaborative research dissemination work; infrastructure (including staff) for data curation and dissemination; and enhancing inter-institutional collaboration and conducting joint research projects.

15.3. Programme 3: Africa Institute of South Africa (AISA)

Purpose: This programme facilitates knowledge generation through research and development in key priority areas of understanding African affairs through leading social scientists acting in concert and across all disciplines and through training and education on African affairs. It also collects, processes and disseminates information on African affairs, and promotes awareness and consciousness of Africa at grassroots level.

The five-year research agenda of this programme outlines the priorities and areas of study to be undertaken on an annual basis. For the next five years, research conducted by this programme will be focusing on the theme: “Seeking solutions for Africa’s developmental challenges”. The performance indicators detailed in the following sub-sections are aligned to this theme.

(a) Strategic objectives programme performance indicators and annual targets for 2014/15

Detailed strategic objectives, performance indicators and targets for the AISA programme are presented in Table 19 below. This programme has the following performance indicators and annual targets aligned to the strategic outcomes-oriented goals of the HSRC:

Table 19: AISA performance indicators and annual targets.

| Strategic objective & performance indicator titles | Audited performance | | | Estimated performance | Medium-term targets | | |
|--|---------------------|---------|---------|-----------------------|---------------------|---------|---------|
| | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| 1.1 Knowledge Production and Dissemination through public dialogue and publications | | | | | | | |
| 1 Peer-reviewed journal articles | New | New | New | New | 1 | 1.5 | 1.8 |
| 2 Scholarly books published | New | New | New | New | 3 | 3 | 4 |
| 3 Scholarly book chapters published | New | New | New | New | 7 | 7 | 8 |
| 1.2 Inform effective formulation of government policy & evaluate its implementation | | | | | | | |
| 7 Policy briefs | New | New | New | New | 4 | 5 | 5 |
| 1.3 Institutional collaboration agreements | | | | | | | |
| 8 Active MoUs | New | New | New | New | 4 | 5 | 6 |
| 2.1 Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | |
| 9 Research projects completed | New | New | New | New | 1 | 1 | 1 |
| 10 Research reports produced | New | New | New | New | 3 | 3 | 4 |
| 2.1 Promoting an African research agenda: Enhance Research Networks & Collaboration | | | | | | | |
| 11 African research fellows | New | New | New | New | 6 | 6 | 6 |
| 3.1 Research capacity for the human sciences | | | | | | | |
| 13 Master’s level interns | New | New | New | New | 6 | 6 | 6 |
| 16 Students reached in the Research Seminars/ Lecture Campus Series | New | New | New | New | 500 | 550 | 600 |
| 17 Schools engaged in the School Outreach Programme | New | New | New | New | 180 | 185 | 190 |
| 4.2 Preserved library holdings | | | | | | | |
| 25 Digitised library holdings; maps and photo collection. | New | New | New | New | 158 | 158 | 160 |
| 5.1 Transformation: Senior researchers | | | | | | | |
| 26 Senior researchers who are African | New | New | New | New | 85% | 85% | 85% |
| 27 Senior researchers who are female | New | New | New | New | 40% | 40% | 40% |

(b) Quarterly targets for 2014/15

Table 20: AISA Quarterly targets for 2014/15

| Performance indicator | Reporting Period | Annual Target 2014/15 | Quarterly Targets | | | |
|---|------------------|-----------------------|-------------------|-----------------|-----------------|-----------------|
| | | | 1 st | 2 nd | 3 rd | 4 th |
| 1.1. Dissemination of knowledge through public dialogue and publications | | | | | | |
| 1 Peer-reviewed journal articles | Quarterly | 1 | 0.25 | 0.25 | 0.25 | 0.25 |
| 2 Scholarly books published | Quarterly | 3 | - | 1 | 1 | 1 |
| 3 Scholarly book chapters published | Quarterly | 7 | - | 2 | 3 | 2 |
| 1.2. Inform effective formulation of government policy and evaluate its implementation | | | | | | |
| 7 Policy briefs | Quarterly | 4 | 1 | 1 | 1 | 1 |
| 1.3. Institutional collaborative agreements | | | | | | |
| 8 Active MoUs. | Quarterly | 4 | 1 | 1 | 1 | 1 |
| 2.1. Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | |
| 9 Research projects completed. | Annually | 1 | - | - | - | 1 |
| 10 Research reports produced. | Quarterly | 3 | - | - | 1 | 2 |
| 2.2. Promoting an African research agenda | | | | | | |
| 11 African research fellows | Annually | 6 | 6 | - | - | - |
| 3.1. Attraction of skills for the development of a skilled & capable workforce | | | | | | |
| 13 Master's level interns | Quarterly | 6 | 6 | - | - | - |
| 16 Students reached in the Research Seminars/ Lecture Campus Series | Quarterly | 500 | 125 | 125 | 125 | 125 |
| 17 Schools engaged in the School Outreach Programme (LDS). | Quarterly | 180 | 45 | 45 | 45 | 45 |
| 4.2. Preserved Library Holdings | | | | | | |
| 25 Digitised AISA library holdings; maps and photo collection. | Quarterly | 158 | 28 | 30 | 50 | 50 |
| 5.1. Transformation: Senior researchers | | | | | | |
| 26 Senior researchers who are African | Quarterly | 85% | 85% | 85% | 85% | 85% |
| 27 Senior researchers who are female | Quarterly | 40% | 40% | 40% | 40% | 40% |

(c) Reconciling performance targets with the Budget and MTEF

Expenditure estimates

Table 21: Expenditure estimates - AISA

| Programme | Actual/Audited outcomes | | | Adjusted appropriation | Medium-term expenditure estimate | | |
|---|-------------------------|---------------|---------------|------------------------|----------------------------------|---------------|---------------|
| | 2010/11 | 2011/12 | 2012/13 | | 2014/15 | 2015/16 | 2016/17 |
| R thousand | | | | | | | |
| Africa Institute of South Africa (AISA) | 37 710 | 33 343 | 31 094 | 39 437 | 42 672 | 44 976 | 47 405 |
| Subtotal | 37 710 | 33 343 | 31 094 | 39 437 | 42 672 | 44 976 | 47 405 |
| Direct charges against the National Revenue Fund | - | - | - | - | - | - | - |
| | - | - | - | - | - | - | - |
| Total | 37 710 | 33 343 | 31 094 | 39 437 | 42 672 | 44 976 | 47 405 |

| Programme | Actual/Audited outcomes | | | Adjusted appropriation | Medium-term expenditure estimate | | |
|-------------------------------------|-------------------------|---------------|---------------|------------------------|----------------------------------|---------------|---------------|
| | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 |
| R thousand | | | | | | | |
| Change to 2012/13 budget estimate | - | - | - | - | - | - | - |
| Economic classification | | | | | | | |
| Current payments | 37 710 | 33 343 | 31 094 | 39 437 | 42 672 | 44 976 | 47 405 |
| Compensation of employees | 20 443 | 18 368 | 16 988 | 21 406 | 23 043 | 24 431 | 25 976 |
| Goods and services | 15 684 | 14 066 | 13 060 | 16 976 | 18 564 | 19 470 | 20 344 |
| <i>Of which:</i> | | | | | | | |
| Communication | 735 | 648 | 572 | 601 | 631 | 662 | 695 |
| Computer services | 394 | 514 | 581 | 592 | 604 | 616 | 628 |
| Maintenance repairs & running costs | 123 | 74 | 79 | 81 | 82 | 84 | 86 |
| Operating leases | 2 212 | 2 434 | 2 677 | 2 945 | 3 240 | 3 563 | 3 920 |
| Travel and subsistence | 193 | 50 | 46 | 47 | 48 | 49 | 50 |
| Training & staff development | 294 | 232 | 232 | 237 | 241 | 246 | 251 |
| Other Operating Costs | 11 733 | 10 114 | 8 873 | 12 473 | 13 718 | 14 250 | 14 714 |
| Other costs | 1 583 | 909 | 1 046 | 1 055 | 1 065 | 1 075 | 1 085 |
| Depreciation | 1 583 | 909 | 1 046 | 1 055 | 1 065 | 1 075 | 1 085 |
| Transfers and subsidies to: | - | - | - | - | - | - | - |
| Universities and technikons | - | - | - | - | - | - | - |
| Non-profit institutions | - | - | - | - | - | - | - |
| Payment for capital assets | - | - | - | - | - | - | - |
| Total | 37 710 | 33 343 | 31 094 | 39 437 | 42 672 | 44 976 | 47 405 |

Performance and expenditure trends

Expenditure increased from R28,2 million in 2008/09 to R31,1 million in 2012/13 at an annual average rate of 1.9% per annum. The increase was as a result of the inflationary increases of employee costs and increase in funding to conduct research fieldwork, hosting of conferences and seminars, as well as the increase in operational expenditure. Estimated expenditure for the 2014/15 financial year reflects a projected 7.5% overall increase from 2013/14. Expenditure over the medium term is expected to have increased to R47,4 million by end of the financial year 2016/17.

Part D: Links to Other Plans

Links to the long-term infrastructure and other capital plans

As a national public entity, the HSRC is required to provide for all capital and infrastructural requirements from its own budget. It submitted MTEF applications for infrastructure and research equipment support, but has not been successful as yet. In the light of critical needs to maintain and upgrade existing assets, the HSRC aims to develop a long-term infrastructure plan and other capital plans in consultation with the Department of Science and Technology and National Treasury. The next strategic plan of the HSRC will contain a detailed plan, prepared with support from the DST.

The long-term infrastructure and capital plan of the HSRC will cover the following items:

| No. | Project Name | Project description/ Type of structure | Outputs | Estimated project costs | Expenditure to date if any | Project duration | |
|-------------------------------------|--|---|---|-------------------------|----------------------------|------------------|------------|
| | | | | | | Start | Finish |
| Upgrades and additions (R thousand) | | | | | | | |
| 1. | Building upgrade projects | Several floors due for full refurbishment, in the short term, and if the HSRC does not succeed to procure a new building that is not of the age of the current building | Occupational health and safety compliance & Improvement in building functionality | 31 000 000 | - | April 2014 | March 2016 |
| 2. | Information Technology | Purchasing of Computer equipment for our Researchers, Implementation of service continuity (disaster recovery solution), purchase of equipment for the E Learning Centre | Functional equipment capable of supporting our research activities | 12 982 000 | - | April 2014 | March 2015 |
| 3. | Upgrade of Lifts control gear and other related parts in the Pretoria Building | Lifts 25 years old and spare parts difficult to obtain due to age of installation, and redundancy of old equipment. | Safe and economical elevator system | 6 525 000 | - | April 2014 | March 2015 |
| 4. | Painting of building exterior | HSRC Building in Pretoria painted 13 years ago and serious wear and tear now visible. | Occupational health and safety compliance & Improvement in building functionality | 4 700 000 | - | April 2014 | March 2015 |
| 5. | Upgrade of pneumatic air conditioning fan coil units | 25 year old pneumatic controllers on fan coil units have become obsolete and needs to be replaced with FX 3 electronic control units. (PHASE 2) | Occupational health and safety compliance & Improvement in building functionality | 2 880 000 | - | April 2014 | March 2015 |
| 6. | Replacement of ageing videoconference facilities | HSRC relies heavily on videoconference facilities in Cape Town, Durban & Pretoria for meetings and research seminars and save significantly on travel and accommodation cost. | Functional and reliable video conferencing facilities. | 1 500 000 | - | April 2014 | March 2015 |
| 7. | Refurbishment of conference auditoria | Service of seating, change light dimmer control, replaces audio system, paint and carpet replacement. | Occupational health and safety compliance & Improvement in building functionality | 1 500 000 | - | April 2014 | March 2015 |
| 8. | Replacement of Uninterruptible Power Supply | Replace existing fully depreciated uninterruptible power supply clean power to network computer equipment and other essential equipment in the HSRC Building. Most spare parts obsolete for some time. If it breaks down the lack of uninterruptible supply to networks and other essential equipment could seriously disrupt the business of both the HSRC and the Department of Social Development. | A functional and reliable UPS system. | 1 000 000 | - | April 2014 | March 2015 |
| 9. | Replace fire evacuation system | Fire evacuation public announcement system 25 years old and unreliable and some components obsolete. Announcements during building emergencies unclear and occupants at risk if evacuation instructions not followed. | Occupational health and safety compliance & Improvement in building functionality | 900 000 | - | April 2014 | March 2015 |

| No. | Project Name | Project description/ Type of structure | Outputs | Estimated project costs | Expenditure to date if any | Project duration | |
|-------------------------------------|---|--|--|-------------------------|----------------------------|------------------|------------|
| | | | | | | Start | Finish |
| 10. | Upgrade of pneumatic air conditioning fan coil units. | 25 year old pneumatic controllers on fan coil units has become obsolete and needs to be replaced with FX 3 electronic control units.(PHASE 1) | Functional pneumatic controllers | 840 000 | - | April 2014 | March 2015 |
| 11. | Electrical inspection and issue of compliance certificate | Legal requirements. Compliance with OHS Act No. 85 of 1993, SABS Code of practice for Wiring of Premises No. SANS 10142-1 and 10142-2 as well as National Building Regulations | Occupational health and safety compliance & Improvement in building functionality | 600 000 | - | April 2014 | March 2015 |
| 12. | Installation of speed drives on electric motors | Installation of speed drives on large 3-phase electric motors drastically reduce power consumption and improve efficiency of motors | Functional electric motors able to save power | 540 000 | - | April 2014 | March 2015 |
| 13. | Create facilities for differently abled | Convert a number of existing ablution facilities to fully comply with relevant standards for these facilities. Installation of wheelchair ramps in conference auditoriums and other areas to comply with relevant standards. | Occupational health and safety compliance & Improvement in building functionality | 500 000 | - | April 2014 | March 2015 |
| 14. | Refurbishment of Pietermaritzburg office | Research from this office to continue for at least four more years. HSRC responsible for maintenance of building interior and occupational health and safety. | Occupational health and safety compliance & Improvement in building functionality | 500 000 | - | April 2014 | March 2015 |
| 15. | NAE network controller for Building Management System (BMS) | BMS is 15 years old and unreliable. BMS capacity and no more power saving devices able to connect. Unable to meet our energy savings targets if we can't connect equipment and control with BMS. | Functional BMS that is reliable | 455 000 | - | April 2014 | March 2015 |
| 16. | Replacement of basement extractor fans | Equipment 25 years old and should it fail, dangerous CO2 and carbon monoxide fumes not extracted from parking basement can lead to an occupational safety hazard. Equipment unreliable with frequent break downs. | Functional extractor fans | 240 000 | - | April 2014 | March 2015 |
| 17. | Replacement of catering kitchen equipment | Equipment 25 years old and certain components on deep fryers, tilting pans, dishwasher and freezers obsolete. | Functional and reliable fridges and freezers. | 200 000 | - | April 2014 | March 2015 |
| 18. | Replacement of motor vehicle | Replace existing maintenance nine year old fully depreciated truck. | Functional motor vehicle to facilitate research activities | 140 000 | - | April 2014 | March 2015 |
| 19. | Replacement sewerage sump pumps and pipes | Old pumps unreliable and when pumps fail, safety and health risk when basement floods | Functional, safe and economical Galvanised storm water & Sewerage pit pipes and Chilled water shut-off valves. | 140 000 | - | April 2014 | March 2015 |
| 20. | Replacement of storm water sump pumps | Old pumps unreliable and when pumps fail, safety risk due to basement flooding | Functional, safe and economical Galvanised storm water & Sewerage pit pipes and Chilled water shut-off valves. | 120 000 | - | April 2014 | March 2015 |
| Total upgrades and additions | | | | 67 262 000 | - | | |

ANNEXURE

Annexure A: SWOT analysis

| Strengths | |
|---|--|
| <p>Mandated objectives support a research focus on national, Africa-wide and global priorities:</p> <ul style="list-style-type: none">• The HSRC Act (2008) gives a strong ‘public purpose’ research mandate.• Priority areas or research are strongly aligned with the national priorities highlighted in the Medium-Term Strategic Framework (MTSF).• The work programme and mandated objectives are geared to support the implementation of the Human and Social Dynamics in Development Grand Challenge (HSDD GC) in the 10-year National Innovation Plan developed by DST.• World-class research on HIV and AIDS; and Poverty and Inequality• Support and monitoring of Millennium Development Goals (MDGs).• Research surveys and a new emphasis on impact assessment work serve as a resource for evidence-based public planning and policy making.• Africa focus strengthened through incorporation of AISA as of 2013/14 <p>Good working relationships with government and civil society:</p> <ul style="list-style-type: none">• Good relationships with decision makers in government departments provide better opportunities for research uptake and impact.• Community-based research projects enable positive relationships with communities. <p>International role and recognition:</p> <ul style="list-style-type: none">• HSRC staff members contributed chapters to the recent UNESCO/ISSC publication entitled <i>World Social Science Report 2010: Knowledge Divides</i>• The HSRC, with DST and support from other higher education institutions and science councils, led a successful South African bid to host the World Social Science Forum (WSSF) in 2015. (The 2012 WSSF will be hosted in China.)• The CEO of the HSRC was elected President of the International Social Science Council (ISSC) at its plenary meeting in Japan, December 2010.• The HSRC is regarded as a key player in the social sciences and humanities research on the African continent by research leaders in the North as well as in the global South. | <p>Positive public image:</p> <ul style="list-style-type: none">• Reputation as a research council that is concerned with important social issues.• Research that is generally regarded high quality and findings as credible.• High public profile in the print and electronic media.• Public visibility of its senior researchers as experts in their fields.• Received gold award in the category for Best Reputation: Training, Research and Development Sector, as voted by the citizens of South Africa for two consecutive years (2009 and 2010). <p>Positive image with key stakeholders:</p> <ul style="list-style-type: none">• Many donors, government departments, labour interested organisations, NGOs, research and higher education organisations are willing to partner with the HSRC.• The Department of Science and Technology (DST) as well as other government departments are favourably disposed to the organisation. <p>Positive image amongst staff members:</p> <ul style="list-style-type: none">• HSRC staff generally regard the organisation as an important national resource; are aware of organisational business objectives and are willing to work hard to meet deadlines and deliverables entrusted to them. <p>Positive image amongst staff members:</p> <ul style="list-style-type: none">• HSRC staff generally regard the organisation as an important national resource; are aware of organisational business objectives and are willing to work hard to meet deadlines and deliverables entrusted to them. <p>Good corporate governance and management functions:</p> <ul style="list-style-type: none">• The HSRC has a history of unqualified audits and compliance with requirements of |

World-class researchers in a well-functioning organisation:

- Researchers consistently attract funding for projects relevant to their respective areas of expertise from both within and outside the country.
- Staff publish widely in peer-reviewed international journals.
- Staff books, research reports and monographs that are read globally.
- Staff are respected scientists who play leading roles in professional organisations and domestic and international conferences.
- Staff are committed; they regard their work at the HSRC as important and aligned with their areas of expertise and interest.

Transformed organisation:

- The HSRC's total staff complement, including senior research staff, is increasingly becoming more representative of the South African population.
- HSRC staff in general regard the organisation as representative, with equal opportunities for all regardless of race or gender.

Sustainable research funding from a range of sources:

- A Parliamentary grant provides a stable source of funding to establish basic infrastructure, build research capacity and support research in priority areas.
- Increased funding received from the Parliamentary grant is a positive development, enabling the organisation to appoint more senior research staff in permanent positions.
- Proven world-class research capability attracts large, multi-year, multi-disciplinary, collaborative projects from around the world.

Flexible geographical locations:

- Offices in four provinces allow convenient access and interaction with clients and other stakeholders.
- Decentralised office locations are conducive to research collaboration with neighbouring higher education and research institutions.

the PFMA ever since the introduction of this Act.

- The HSRC Research Ethics Committee is aligned with the requirements of the US Department of Health and Human Services, and the South African National Department of Health. Not sure what this bullet means – unclear.
- The HSRC is recognised as a well-managed, well-governed organisation with prudent and effective financial management and, largely, harmonious labour relations.

Responsive to new strategic imperatives:

- The HSRC has on more than one occasion revealed its ability to restructure or regroup rapidly in response to new strategic imperatives. Its staff and management systems have proven themselves to be resilient, reliable, flexible and resourceful under changing circumstances.

Good research support resources:

- Support services are well aligned with organisational priorities.
- Capacity exists to manage multi-site, multi-country projects and financial transactions.

Growing national and international networking and collaboration, increasingly formalised and coordinated by means of Memoranda of Understanding (MoUs):

- Links with other researchers and research organisations in other parts of Africa, for example, CODESRIA and more than 30 countries and general university-industry linkages
- Links with international organisations and higher education institutions, for example, the UNAIDS, WHO, ISSC, UNICEF and the University of Bologna.
- Links with South African Higher Education Institutions (HEIs), for example, University of South Africa (UNISA), University of Stellenbosch (US), University of Fort Hare (UFH), University of Kwa-Zulu Natal (IKZN) and the University of the Witwatersrand (Wits).
- Links with the South African public sector and government departments, for example, Department of Health, Department of Higher Education, Department of Basic Education, and Department of Agriculture.

Weaknesses

Infrastructure deficiencies:

- Needed refurbishment of and/or additions to existing facilities continue to be critical with no infrastructure funding allocation.
- Potential non-compliance with Occupational Health and Safety requirements due to lack of funding to improve the ageing building in Pretoria.

Financial constraints hampering delivery on mandated objectives:

- Although a comprehensive plan for data curation has been developed, insufficient funding may hamper the HSRC's ability to meet its mandated objective of making research data available to the broader community.
- The HSRC does not disburse agency funding and has to secure funds from its own resources to support inter-institutional networking and collaboration, the sharing of resources as well as capacity development.
- Even though it has a pivotal role, including the promotion of social sciences and humanities in South Africa, Africa and the global South, funding for this is limited.

Limited provision for career development and succession planning:

- The HSRC is dependent on a few key senior staff members in research and support positions for critical delivery in key performance areas.
- Limited provision for career pathing and succession planning may place the organisation in jeopardy if such persons should leave the organisation or retire. (This will be / is being addressed by virtue of restructuring processes – more emphasis on capacity enhancement, career development and planning and appointment of the next layer of leaders at the Deputy Executive Director levels.)

Transformation challenges remaining:

- Representativeness in the organisation generally, and in the top echelons in particular, fall short of the stated targets, especially with respect to women in senior researcher and executive management positions, and men in middle-level and entry positions. Efforts are being made to ensure these appointments are being made.

Financial constraints:

- Inability to maintain and replace crucial infrastructure, especially with the imminent expiry of lease agreements with current tenants. Renewal of these leases will consider the state of existing infrastructure and the HSRC may not be able to retain its tenants.
- Research units, even those with ring-fenced support, are faced with large external funding targets.
- Inability to match salaries and conditions of service offered to highly skilled African researchers in the private sector and in government.
- Greater number of research and project offices requiring infrastructure support place constraints on corporate support and CAPEX budgets.

Dependence on external funding:

- Long-term visioning and planning is hampered by uncertainty of actual total budget to be achieved in years to come.
- The research agenda of the HSRC is at risk of being donor-driven, hence focus on own strategic priorities and the ability of researchers to become internationally-renowned specialists in a specific area of expertise.

Tension between individuals and units

- "Competition" between research units sometimes leads to sub-optimal performance and perceptions of institutional fragmentation.
- Negative perceptions exist amongst some staff regarding management styles, interpersonal trust and open communication.

Pressures on staff

- The number of senior research staff (SRS/SRM or higher) has been declining over time, but is now on the upward trend. The decision by the CEO to alert her of any contract not renewed and any pending resignation has significantly reduced the number of world-class scientists leaving the HSRC. More top-level scientists still need to be appointed and this is receiving attention.
- There is high workload, which may lead to burnout. Staff are under constant pressure to deliver on a broad range of important performance targets.

Opportunities

Growing national investment in R&D:

- Government has assigned high priority to R&D and is spending more money in this regard. However, the recent economic climate may create budget cuts. This will be augmented with external funding, even though this creates pressure for staff.

HSRC mandated objectives and research agenda aligned with national priorities:

- Capacity development programme.
- Role of HSRC as impact assessment agency.
- Increased capacity and impact through collaboration and implementation networks.
- HSRC's role in the development of the Brazil, Russia, India, China and South Africa (BRICS) Think Tank
- International role in research coordination involving colleagues in Africa and the rest of the world.
- Research-based support for Government monitoring and evaluation activities.

Opportunities to become involved in emerging and cross-cutting priority areas of research in the socio-economic sciences and humanities, including

- Poverty and Inequality.
- Green economy.
- Scenario planning.
- Social cohesion.

Data gathering, analysis and dissemination mandate supported in HSRC Act, as well as the Human and Social Dynamics Grand Challenge Implementation Plan.

- Existing longitudinal studies (SASAS, Birth to 20, R&D strategy, SAGE, SANHANES SABSSM) to gain greater recognition and support.
- Opportunities to analyse data from own and other longitudinal studies (Analysis of Stats SA data, NIDS, household surveys, SABSSM, SASAS).
- Opportunities for focused research programmes and capacity development in the area of data analysis and dissemination (possible centre of excellence could be developed).

Recognition of social sciences and humanities as core elements of national and international research agendas:

- More emphasis on the role of the human sciences to gain new insights into our society and the African continent.
- Human and social sciences seen as part of the national system of innovation.

10-Year Plan for Innovation, and Human and Social Dynamics in Development Grand Challenge:

- Opportunity to help inform and implement work programmes aimed at improving decision making, monitoring and evaluation, and quality through research.
- HSRC role to identify opportunities and monitor progress.
- Recognition by custodian Department that the HSRC can become a hub for longitudinal studies in the country.
- Consequently, a funding allocation for longitudinal studies infrastructure is likely to be forthcoming.

Opportunities offered by new media and web technology:

- New research questions and methodologies, more effective and affordable forms of research collaboration as well as new approaches to research dissemination and communication strategies are becoming available.

Research infrastructure and data curation:

- Many completed research projects lend themselves to further analysis and further publications.
- Combination and comparison between findings of various related studies lend themselves to development of monographs and policy briefs and interrogations of new questions.
- Utilisation of SASAS survey results over time may save time and money when planning new research in related areas of work.

Opportunities for regional and international collaboration:

- Participation in the bilateral Science and Technology programme of the Department of Science and Technology (DST).
- Alignment with South Africa's policy to support regional work.
- Establishing further strategic partnerships with key international players.
- The HSRC is seen by some international players as an 'entry point' for collaboration in Africa.

- 10-year National Innovation Plan identified human and social dynamics as one of the five “grand challenges” that should inform the national research agenda.

Opportunities created by the teaching and career development imperatives placed on universities:

- Larger classes of undergraduate students and less prepared postgraduate students underscore the opportunity provided by the HSRC to provide complementary capacity development support to postgraduate research trainees.
- Increasing teaching and administrative workload on university staff paves the way for, and to, support staff exchange opportunities between universities, government departments and the HSRC.

Threats

Possibility of world economic crisis impacting negatively on the availability of funds for research:

- Decreases in available donor funding from private foundations.
- Downward pressure on global financial markets leading to more competition for fewer resources available to researchers.
- Donor fatigue and market saturation.
- Governments globally may focus on domestic rather than on international needs.
- Funded projects may not be aligned with mandated objectives of the HSRC, though researchers are selective on what to bid for.
- Increasing external competition for external grants and funded projects from universities, other research institutions and international research service providers.

Factors that could work against national and international collaboration:

- In some Higher Education quarters, the HSRC is perceived as a competitor for staff and for funded projects.
- Collaboration with researchers and research entities elsewhere in Africa could be compromised by national pride, competition and resentment of South Africa’s image as ‘big brother’.
- Collaboration with international funders is subject to the vagaries of global politics and therefore inherently unpredictable.

Unfavourable relations with some stakeholders:

- Unwelcome research findings have led to strained relations with some key stakeholders, but problems solved amicably.
- Isolated cases of poor project management, quality control and reporting to donor organisations as a result of staff turnover may lead to extensive audits and possible blacklisting of the organisation as a whole.
- Expectations and perceptions amongst some players in the higher education sector are based on incorrect premises, i.e. the HSRC is presented as a consultancy or as an institution that does not share its funding with others (based on the incorrect premise that the HSRC should be a funding organisation like the NRF).

Cost of compliance requirements for public entities:

- Supply Chain Management (SCM) requirements for procurement of goods and services have implications for turn-around times on projects and need to be factored into planning schedules.
- Ratio of researchers to support staff is unfavourable and costly because of the need to segregate duties as part of compliance requirements.

Annexure B: Materiality and significance framework

Materiality Framework in terms of Treasury Regulations 28.1.5

1. Introduction

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

2. Framework

| 3.1 Fiduciary duties of the accounting authority (PFMA section 50) | Quantitative (Amount) | Qualitative (Nature) |
|--|--|---|
| (1) The accounting authority must - (c) on request, disclose to the executive authority responsible for that public entity or the legislature to which the public entity is accountable, all material facts , including those reasonably discoverable, which in any way influence the decisions or actions of the executive authority or that legislature. | Any fact discovered of which the amount exceeds the determined materiality figure as calculated in Annexure A. | 1. Any item or event of which specific disclosure is required by law 2. Any fact discovered of which its omission or misstatement, in the Board's opinion, could influence the decisions or actions of the executive authority or legislature. |
| 3.2 Annual report and financial statements (PFMA section 55) | Quantitative (Amount) | Qualitative (Nature) |
| (2) The annual report and financial statements referred to in subsection (1) (d) must | | |
| (a) fairly present the state of affairs of the public entity, its business, its financial results, its performance against predetermined objectives and its financial position as at the end of the financial year concerned. | | |
| (b) include particulars of | | |
| (i) any material losses through criminal conduct and any irregular expenditure and fruitless and wasteful expenditure that occurred during the financial year; | 1. Losses through criminal conduct – any loss identified. | Any identified loss through criminal conduct. |
| (ii) any criminal or disciplinary steps taken as a consequence of such losses or irregular expenditure or fruitless and wasteful expenditure; | 2. Losses through irregular, fruitless or wasteful expenditure | |
| (iii) any losses recovered or written off; | | |
| (iv) any financial assistance received from the state and commitments made by the state on its behalf; and | | |
| (v) any other matters that may be prescribed | | |
| 3.3 Information to be submitted by the accounting authority (PFMA section 54) | Quantitative (Amount) | Qualitative (Nature) |
| (2) Before a public entity concludes any of the following transactions, the accounting authority for the public entity must promptly and in writing inform the relevant treasury of the transaction and submit relevant particulars of the transaction to its executive authority for approval of | | |

| | | |
|--|--|--|
| the transaction: | Not applicable | |
| (a) establishment or participation in the establishment of a company; | | |
| (b) participation in a significant partnership, trust, unincorporated joint venture or similar arrangement; | Above the materiality figure as defined in the framework | Any participation, outside of the approved strategic plan and budget. |
| (c) acquisition or disposal of a significant shareholding in a company; | Not applicable | Any acquisition or disposal, outside of the approved strategic plan and budget. |
| (d) acquisition or disposal of a significant asset; | Above the materiality figure as defined in the framework | <ol style="list-style-type: none"> Any asset that would increase or decrease the overall operational functions of the entity, outside of the approved strategic plan and budget. Disposal of the major part of the assets of the entity. |
| (e) commencement or cessation of a significant business activity; | Not applicable | |
| (f) a significant change in the nature or extent of its interest in a significant partnership, trust, unincorporated joint venture or similar arrangement. | | Any business activity that would increase or decrease the overall operational functions of the entity, outside of the approved strategic plan and budget. |

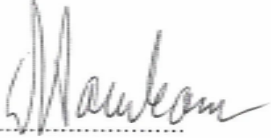
3. Determination of Materiality

| | | 2013/14 Budget | | 2014/15 Budget | | 2015/16 Budget | |
|-------------------------------------|-------------------|----------------|---------------------|----------------|---------------------|----------------|---------------------|
| Materiality bases | % of revenue (1%) | R'000 | Materiality (R'000) | R'000 | Materiality (R'000) | R'000 | Materiality (R'000) |
| Total revenue & materiality amounts | | 464 663 | 4 647 | 484 874 | 4 819 | 504 401 | 5 044 |

Due to the business nature of the HSRC, it is not a capital intensive business and the best indicator with regard to business activity is revenue. For this reason, materiality has been linked to revenue and **1%** is an appropriate level for the attention of the Accounting Authority, given the level of the HSRC's overall revenue.

4. Approval


 Ms N. Badsha
 Chair of HSRC Board


 Minister Derek Hanekom
 Department of Science & Technology

Annexure C: Strategic performance indicators and targets for 2014/15 to 2018/19

| No | Performance Indicator Description | Audited Performance | | | Estimated Performance | 5-year Performance Targets | | | | | Remarks |
|--|---|---------------------|-----------------|---------|-----------------------|----------------------------|---------|---------|---------|---------|----------------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 | 2018/19 | |
| Objective 1.1: Dissemination of knowledge through public dialogue and publications | | | | | | | | | | | |
| Objective statement: The HSRC will have stimulated public debate through effective dissemination of fact-based research results, thereby contributing to knowledge generation and dissemination globally by hosting public dialogue and publishing peer-reviewed journal articles in internationally accredited scientific journals; recognised books and book chapters with at least one HSRC researcher listed as author or co-author; and non-peer reviewed journal articles by the end of 2018/19. | | | | | | | | | | | |
| 1 | Peer-reviewed journal articles: The number of peer-reviewed publications in an internationally accredited scientific journal, per senior researcher (SRS/SRM and above) during the period under review. | 1.5 | 1.68 [96/57] | 1.77 | 1.7 | 1.8 | 1.9 | 2 | 2 | 2.2 | Non-cumulative |
| 2 | Scholarly books published: The number of recognised books with at least one HSRC researcher listed as author or co-author, published during the period under review. | New | 2 | 8 | 9 | 13 | 16 | 22 | 22 | 24 | Non-cumulative |
| 3 | Scholarly book chapters published: The number of recognised book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review. | New | 10 | 39 | 33 | 52 | 54 | 63 | 65 | 73 | Non-cumulative |
| 4 | HSRC research seminars convened: The number of HSRC research seminars hosted during the year under review. | 30 | 40 | 45 | 48 | 50 | 50 | 55 | 55 | 60 | Non-cumulative |
| 5 | HSRC Review publication: The number of <i>HSRC Review</i> publications produced during the year under review. | 4 | 4 | 4 | 4 | 6 | 6 | 8 | 8 | 10 | Non-cumulative |
| 6 | New publishing imprint: The number of titles published under the new imprint. | New | New | New | 5 | 3 | 5 | 5 | 5 | 5 | Non-cumulative |
| Objective 1.2: Inform effective formulation of government policy & evaluate its implementation | | | | | | | | | | | |
| Objective statement: The HSRC will have informed effective formulation of government policy and evaluated the effectiveness of its implementation by conducting research and increasing the number of policy briefs published from 8 in 2012/13 to 24 by the end of the financial year 2018/19. | | | | | | | | | | | |
| 7 | Policy briefs: The number of policy briefs produced by HSRC researchers and published by the HSRC during the period under review. | 5 | 6 | 8 | 14 | 19 | 22 | 28 | 28 | 30 | Non-cumulative |
| Objective 1.3: Institutional collaboration agreements | | | | | | | | | | | |
| Objective statement: The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by working closely with government, universities, non-governmental organisations and donor organisations by end of the financial year 2018/19. | | | | | | | | | | | |
| 8 | Active MoUs: The number of active Memoranda of Understanding (MoUs) with other research institutions or associations in place during the period under review. | New | 25 | 27 | 28 | 34 | 41 | 49 | 53 | 58 | Non-cumulative |

| No | Performance Indicator Description | Audited Performance | | | Estimated Performance | 5-year Performance Targets | | | | | Remarks |
|--|---|---------------------|---------|---------|-----------------------|----------------------------|---------|---------|---------|---------|----------------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 | 2018/19 | |
| Objective 2.1: Research and analysis of developmental problems to respond to the needs of marginalised groups and contribute to the improvement of their lives | | | | | | | | | | | |
| Objective statement: By end of the financial year 2018/19 the HSRC will have sourced funding and undertaken longer-term, longitudinal or cross-sectional projects providing critical data to inform planning or monitoring progress in relation to Government outcomes. | | | | | | | | | | | |
| 9 | Research projects completed: The number of research projects completed during the period under review. | New | 25 | 11 | 15 | 16 | 19 | 23 | 24 | 25 | Non-cumulative |
| 10 | Research reports produced: The number of research reports produced during the period under review. | New | 22 | 19 | 24 | 26 | 29 | 35 | 35 | 36 | Non-cumulative |
| Objective 2.2: Promoting an African research agenda | | | | | | | | | | | |
| Objective statement: The HSRC will have promoted an African research agenda through knowledge and research partnerships elsewhere in Africa and by encouraging comparative work and the involvement of expert participants and reviewers from other parts of Africa by 2018/19. | | | | | | | | | | | |
| 11 | African research fellows: The number of research fellows from elsewhere in Africa at the HSRC. | 7 | 7 | 10 | 11 | 15 | 17 | 17 | 17 | 17 | Cumulative |
| Objective 2.3: Structured collaborative research | | | | | | | | | | | |
| Objective statement: The HSRC will have created implementation networks for research projects as a means of bridging the gap between research and policy by conducting research projects in collaboration with government, universities, non-governmental organisations and donor organisations; and conducting 15 collaborative research projects between its research programmes by end of the financial year 2018/19. | | | | | | | | | | | |
| 12 | Structured collaborative research projects completed: The number of completed HSRC research projects involving structured collaboration between research programmes during the year under review. | New | New | New | 7 | 15 | 18 | 18 | 20 | 20 | Non-cumulative |
| Objective 3.1: Attraction of Skills for the development of a skilled & capable workforce | | | | | | | | | | | |
| Objective statement: The HSRC will have recruited masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC and strengthened its capacity building programme focusing on recruitment of unemployed graduates, expanding the coaching skills initiative for managers; career growth and succession planning by 2018/19. | | | | | | | | | | | |
| 13 | Master’s level interns: The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC. | 38 | 38 | 41 | 42 | 39 | 42 | 47 | 56 | 65 | Cumulative |
| 14 | PhD level interns: The number of interns (research trainees) enrolled in a PhD programme, appointed at the HSRC. | 25 | 38 | 42 | 43 | 47 | 49 | 51 | 53 | 55 | Cumulative |
| 15 | Post Doctoral Fellows: The number of post-doctoral fellows (research associates) appointed at the HSRC. | 18 | 17 | 22 | 24 | 27 | 29 | 31 | 34 | 36 | Cumulative |
| 16 | Students reached in the Research Seminars/Campus Lecture series: The number of students reached in the research seminars/campus lecture series during the period under review. | New | New | New | New | 500 | 700 | 750 | 800 | 850 | Non-cumulative |

| No | Performance Indicator Description | Audited Performance | | | Estimated Performance | 5-year Performance Targets | | | | | Remarks |
|--|---|---------------------|---------|---------|-----------------------|----------------------------|---------|---------|---------|---------|----------------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 | 2018/19 | |
| 17 | Schools engaged in Outreach Programme: The number of schools engaged in the Outreach Programme during the period under review. | New | New | New | New | 180 | 185 | 190 | 190 | 195 | Non-cumulative |
| Objective 3.2: Research capacity for the human sciences | | | | | | | | | | | |
| Objective statement: The HSRC will have provided mentorship and coaching for masters' and doctoral candidates as well as post-doctoral fellows on attachment from universities to do research at the HSRC in order to grow an echelon of suitable qualified and experienced social scientists, ensuring that research interns and doctoral fellows produce peer-reviewed publications by end of the financial year 2018/19. | | | | | | | | | | | |
| 18 | Completed Master's level research internship: The number of interns (research trainees) enrolled in a Master's programme, who has completed the programme during the period under review. | New | New | New | 6 | 8 | 5 | 5 | - | | Non-cumulative |
| 19 | Peer-reviewed journal articles per Master's intern: The number of peer-reviewed publications in an internationally accredited scientific journal, per Masters' intern during the period under review. | New | New | New | 0.9 | 0.9 | 1 | 1 | 1.1 | 1.1 | Non-cumulative |
| 20 | Completed PhD level research internship: The number of interns (research trainees) enrolled in a PhD programme, who have completed the programme during the period under review. | New | New | New | 3 | 6 | 4 | - | - | | Non-cumulative |
| 21 | Peer-reviewed journal articles per PhD intern: The number of peer-reviewed publications in an internationally accredited scientific journal, per PhD intern during the period under review. | New | New | New | 0.9 | 0.9 | 1 | 1 | 1.1 | 1.1 | Non-cumulative |
| 22 | Peer-reviewed journal articles per Post Doctoral Fellow: The number of peer-reviewed publications in an internationally accredited scientific journal, per Post-Doctoral Fellow during the period under review. | New | New | New | 1 | 1.75 | 1.1 | 1.1 | 1.2 | 1.2 | Non-cumulative |
| Objective 4.1: Research data management and curation | | | | | | | | | | | |
| Objective statement: The HSRC will have expanded the number of data sets already available in the public domain and established standards for the management and preservation of research data by end of the financial year 2018/19. | | | | | | | | | | | |
| 23 | Preserved datasets: The number of HSRC data sets that were preserved (archived/curated) during the period under review. | 16 | 19 | 22 | 23 | 23 | 23 | 23 | 23 | 24 | Non-cumulative |
| 24 | Datasets generated and prepared for preservation: The number of HSRC datasets that were generated and prepared for preservation (archiving/curation) during the period under review. | New | New | New | New | 23 | 23 | 23 | 23 | 24 | Non-cumulative |
| Objective 4.2: Preserved library holdings | | | | | | | | | | | |
| Objective statement: The HSRC will have preserved library holdings electronically through digitisation of Africa Insight, publications, maps and photo collection by end of the financial year 2017/18. | | | | | | | | | | | |

| No | Performance Indicator Description | Audited Performance | | | Estimated Performance | 5-year Performance Targets | | | | | Remarks |
|---|--|------------------------------|------------------------------|---------------------------------|-----------------------|----------------------------|---------|---------|---------|---------|----------------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 | 2018/19 | |
| 25 | Preserved library holdings: Digitised library holdings; maps and photo collection during the period under review. | New | New | New | New | 637 | 158 | 160 | 159 | 160 | Non-cumulative |
| Objective 5.1: Transformation: Senior researchers | | | | | | | | | | | |
| Objective statement: By end of the financial year 2018/19, the HSRC will have maintained 56% of senior researchers (SRS/SRM and above), who are African and 50% of senior researchers who are female. | | | | | | | | | | | |
| 26 | Senior researchers who are African: The percentage of all researchers at senior level (SRS/SRM and above) who are African. | 40.7% [22/54] | 43.86% [25/57] | 35.38% [23/65] | 53% | 54% | 56% | 56% | 56% | 56% | Cumulative |
| 27 | Senior researchers who are female: The percentage of all researchers at senior level (SRS/SRM and above) who are female. | New | New | 47.69% [31/65] | 48% | 48% | 49% | 49% | 50% | 50% | Cumulative |
| Objective 5.2: Awareness & reporting on transformation | | | | | | | | | | | |
| Objective statement: By end of the financial year 2018/19, the HSRC will have raised awareness and assessed its transformation status and prepared annual & quarterly reports on Employment Equity levels activities to raise awareness on gender and diversity. | | | | | | | | | | | |
| 28 | Annual Employment Equity reports produced: Annual employment equity report to Department of Labour. | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | 100% | Non-cumulative |
| 29 | Quarterly Employment Equity reports produced: Quarterly employment equity reports to the HSRC Board. | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | Non-cumulative |
| 30 | Diversity awareness events hosted: The number of diversity awareness events hosted during the year under review. | 1 | 1 | 0 | 1 | 1 | 1 | 1 | 1 | 1 | Non-cumulative |
| 31 | Gender awareness events hosted: The number of gender awareness events hosted during the year under review. | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | 1 | Non-cumulative |
| Objective 6.1: Extra-Parliamentary Income | | | | | | | | | | | |
| Objective statement: By end of the financial year 2018/19, the HSRC will have maintained extra-parliamentary funding of 40% (60:40 ratio). | | | | | | | | | | | |
| 32 | Extra-Parliamentary Income: The percentage of total income that is extra-Parliamentary. | 56% [R140.3m/ R322.4m] | 48% [R169.7m/ R350.5m] | 52.02% [R203.7m/ R391.6m] | 48% | 48% | 48% | 48% | 48% | 48% | Cumulative |
| Objective 6.2: Multi-year grants | | | | | | | | | | | |
| Objective statement: By end of the financial year 2018/19, the HSRC will have increased the number of multi-year (at least three years) projects from 44% in 2011/12 to 56%. | | | | | | | | | | | |
| 33 | Multi-year grants: The percentage of research grants that are multi-year (at least three years). | 34.2% [40/117] | 44% [31/71] | 51.56% [33/64] | 50% | 52% | 56% | 56% | 56% | 56% | Cumulative |
| Objective 6.3: Good corporate governance principles effectively championed | | | | | | | | | | | |

| No | Performance Indicator Description | Audited Performance | | | Estimated Performance | 5-year Performance Targets | | | | | Remarks |
|--|---|---------------------|---------|---------|-----------------------|----------------------------|---------|---------|---------|---------|----------------|
| | | 2010/11 | 2011/12 | 2012/13 | 2013/14 | 2014/15 | 2015/16 | 2016/17 | 2017/18 | 2018/19 | |
| Objective statement: By end of the financial year 2018/19, the HSRC will have championed implementation of good corporate governance principles and produced quarterly reports on risk management, compliance, anti-corruption initiatives and facilitated activities related to the governance of the Board, to ensure financial sustainability. | | | | | | | | | | | |
| 34 | Officials attending the anti-corruption campaign: The percentage of officials attending the anti-corruption campaign. | 18% | 92% | 39% | 60% | 70% | 80% | 80% | 80% | 80% | Non-cumulative |
| 35 | Eligible officials who have declared their interests: The percentage of eligible officials who have declared their interests. | 43% | 71% | 73.66% | 80% | 100% | 100% | 100% | 100% | 100% | Non-cumulative |
| 36 | Compliance reports produced: The number of compliance reports presented and approved. | New | 2 | 4 | 4 | 4 | 4 | 4 | 4 | 4 | Non-cumulative |
| Objective 6.4: Effective and efficient systems of financial management and internal control | | | | | | | | | | | |
| Objective statement: By end of the financial year 2018/19, the HSRC will have championed implementation of good corporate governance principles and produced quarterly reports on risk management, compliance, anti-corruption initiatives and facilitated activities related to the governance of the Board, to ensure financial sustainability. | | | | | | | | | | | |
| 37 | Unqualified external audit report: 100% unqualified results of the annual statutory audits achieved for the period under review. | New | New | 100% | 100% | 100% | 100% | 100% | 100% | 100% | Non-cumulative |
| 38 | BBBEE Status: The level of BBBEE status achieved for the period under review. | New | New | 3 | 3 | 3 | 2 | 2 | 2 | 1 | Non-cumulative |
| 39 | PPPFA compliance: Percentage compliance with the PPPFA requirements during the period under review. | New | New | 100% | 100% | 100% | 100% | 100% | 100% | 100% | Non-cumulative |
| Objective 6.5: Improved stakeholder relations | | | | | | | | | | | |
| Objective statement: The HSRC will have developed stakeholder intelligence for targeted need satisfaction at national, regional and international levels, through 24 stakeholder engagements and 2 research projects registered to develop the research domain of science communication and public understanding of science by end of the financial year 2018/19. | | | | | | | | | | | |
| 40 | Stakeholder engagement: The number of stakeholder engagements during the period under review. | New | New | New | 8 | 16 | 16 | 18 | 20 | 24 | Non-cumulative |
| 41 | Registered research projects to improve public understanding of science: The number of research projects registered to develop the research domain of science communication and public understanding of science during the period under review. | New | New | New | 2 | 2 | 2 | 2 | 2 | 2 | Non-cumulative |

Annexure D: HSRC Pretoria building infrastructure upgrade requirements

The list below contains a summary of urgent and essential upgrades required to ensure business continuation and to comply with legislation such as the Occupational Health and Safety Act, National Building Regulations, Electrical Regulations and Local Authority Regulations.

| EQUIPMENT/SYSTEM/BUILDING | REASONS FOR REPLACEMENT/UPGRADE | CONSEQUENCES IF NOT UPGRADED |
|---|---|---|
| Uninterruptable Power Supply (UPS) | <ul style="list-style-type: none"> 24 year old technology Unreliable Spare parts obsolete | <p>A breakdown would force HSRC to connect sensitive equipment directly to municipal power supply.</p> <p>Breakdown in municipal supply or surges in this supply could cause major damage to computer network servers, fire detection and other security equipment.</p> |
| Heating, Ventilation, Air conditioning (HVAC) | <ul style="list-style-type: none"> 24 yr old pneumatic control system outdated and unreliable Pneumatic system spares obsolete | <p>Unable to achieve optimum energy savings due to outdated and inefficient equipment.</p> |
| Energy and water control | <ul style="list-style-type: none"> No water usage monitoring result in water wastage More equipment to be added to existing Building Management System (BMS), for example, pumps, fan motors, etc. to control energy consumption Speed drives to be installed on large, high-consumption, electric motors to achieve up to 50% saving on electricity | <p>If we do not spend Capex on the improvement and modernization of existing control systems, we will never be able to further improve on energy and water savings, thereby being unable to achieve targets for energy saving in public buildings.</p> |
| Fire Evacuation System | <ul style="list-style-type: none"> 24-year old public address system for emergency announcements System unreliable due to ageing Spare parts obsolete | <p>The system failed us on a few occasions during evacuation drills resulting in a communication breakdown and chaos.</p> <p>A stampede in evacuation stairwells can lead to serious injuries.</p> |
| Lifts | <ul style="list-style-type: none"> Lift control gear is outdated and unreliable Some components difficult to source | <p>Extended equipment downtime due to scarce components cause congestions in lift foyers and long lift waiting periods. Outdated and unreliable equipment can lead to occupational safety hazard due to equipment failure during lift travel.</p> |
| Water Reticulation System | <ul style="list-style-type: none"> Galvanized storm water pipes from roofs to ground are rusted in areas and leaking Chilled water shut-off valves on floors corroded and unable to shut fully | <p>Should storm water pipes not be replaced, flood damage to office floors and building could occur during heavy rain.</p> <p>Shut-off valves need to be closed should an AC pipe burst on a floor. If the valve cannot be closed serious water damage in offices will occur.</p> <p>Occupational health and safety hazard.</p> |

| EQUIPMENT/SYSTEM/BUILDING | REASONS FOR REPLACEMENT/UPGRADE | CONSEQUENCES IF NOT UPGRADED |
|---|---|---|
| | <ul style="list-style-type: none"> Pipes in sewerage pit rusted and pitted due to high uric acid concentrations | |
| Conference Auditoriums | <ul style="list-style-type: none"> The seating shows wear and tear in swing mechanisms Light dimmer control system is obsolete and no longer functioning correctly Conference delegate facilities obsolete and scaled down facility in use Carpets needs to be replaced after 24 years due to serious wear and tear | <p>A failure in a chair swing arm can result in serious injury.</p> <p>Poor light dimmer control cause flickering which is inconvenient and also a health hazard.</p> <p>Difficulty in communication from the floor during conferences.</p> |
| Videoconferencing facilities | <ul style="list-style-type: none"> Ageing videoconference facilities in Pretoria, Cape Town and Durban (no videoconference link to Port Elizabeth) Components and interfacing equipment became obsolete and equipment thus difficult to repair Equipment no longer compatible with those of other institutions using state-of-the art facilities | <p>Due to the fact that equipment becomes unreliable it breaks down more often causing long delays in link-ups resulting in wasting of precious time during meetings.</p> |
| Facilities for differently abled staff and visitors | <ul style="list-style-type: none"> Building does not fully comply with required standards, e.g. reception counter, absence of ramps in auditorium, only a few ablution facilities that comply with new industry standards | <p>We do not fully comply with industry standards and the relevant legislation that regulate these facilities</p> |
| Building paint coat and waterproofing | <ul style="list-style-type: none"> Building was painted 13 years ago and shows serious wear and tear in some areas Waterproofing of roof and horizontal surfaces as well as joint sealing of window frames deteriorating | <p>Regular painting protects the building structure while waterproofing and joint sealing prevent water penetration into basements and concrete structure</p> |
| Cafeteria kitchen walk-in fridges and freezers | <ul style="list-style-type: none"> 24 yr old custom built refrigeration rooms (ageing and unreliable) Isolation in walls deteriorating resulting in inefficient cooling/freezing Floors corroded | <p>The corrosion of wall and floor panels together with isolation deterioration causes water build-up and bacterial growth. This creates a health risk in the proximity of food and we may no longer comply with food industry standards.</p> |

Annexure E: Technical indicator descriptions

Indicator 1: PEER-REVIEWED JOURNAL ARTICLES

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

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| | <ul style="list-style-type: none"> African Research Fellows are excluded for purposes of calculating performance against this target, hence a publication by an African Research Fellow employed by the HSRC will count towards the numerator if co-published with another HSRC staff member or staff members, but African Research Fellows will not be counted in the denominator. |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of publications) Efficiency Indicator - measures research excellence i.e. number of publications per senior researcher Quality Indicator - Measures research output quality against international industry standards |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Publications: IS (quality control and capturing of data submitted by research programmes) Staff: HR Ratio: RMS (IT) |

Indicator 2: SCHOLARLY BOOKS PUBLISHED

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| Indicator title | Scholarly books published |
| Short definition | Number: The number of recognised books with at least one HSRC researcher listed as author or co-author, published during the period under review. |
| Purpose/importance | Indicator for research excellence: Productivity of HSRC research staff (number of recognised book chapters or books authored or co-authored) and quality of HSRC work (recognised / scholarly books published). Proof of research excellence is critical for research to be taken seriously, and to be able to attract research collaborators and research funding. Publication in books ensure that research findings are made broadly available, and have an impact over a relatively long period of time – this is aligned with HSRC mandated objectives |
| Source/collection of data | Research Management System (RMS), drawing information from <ul style="list-style-type: none"> Research outputs database (IS) (book chapters or books captured in the database) |
| Method of calculation | a. Count number of scholarly book chapters or books with one or more HSRC researcher recognised as author (i.e. no adjustment for multiple authors), published during the period under review. |
| Data limitations | Recognised (scholarly) book chapters or books: <ul style="list-style-type: none"> Peer-reviewed, non-periodical scholarly or research publications disseminating original research on developments within specific disciplines, sub-discipline or field of study, published in South Africa or internationally. 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. Such evidence must accompany the copy of the book or book chapter submitted to IS for purposes of capturing. The DCEO: Research or designate will confirm recognition of the publication as a scholarly book chapter or book, prior to capturing. The minimum contribution from a book that will be counted for reporting purposes is a complete division of a book such as a chapter. In the case of the HSRC, books based on research commissioned and paid for by external organisations may be included. Excluded: <ul style="list-style-type: none"> Dissertations and theses Text books, manuals and study guides Inaugural speeches Works of fiction Translations Documentation of case studies |

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| | <ul style="list-style-type: none"> ○ Book reviews ○ Dictionaries ○ Encyclopaedia ○ Autobiographies. <p>More detail on count of book chapters / books:</p> <ul style="list-style-type: none"> ○ Count of book chapters / books: Recognised for period under review. <p>More detail on HSRC researchers:</p> <ul style="list-style-type: none"> ○ Researchers at all levels included, not only SRS/SRM or higher. ○ Publications by authors who are in senior executive management positions (CEO, DCEO) are counted, and attributed to the research programme on whose work the book or book chapter was based, as indicated by the author when submitting the publication for consideration and possible subsequent capturing by IS ○ Publications produced by staff who were employed, but left the employment of the HSRC in the course of the reporting period (financial year to date) will be counted during the reporting period, irrespective of when they left the HSRC. ○ Publications by staff who had already left the HSRC may be reflected in subsequent reporting period(s) as long as the research unit concerned is able to submit proof, with the hard copy of the publication, that the publication had been completed and submitted to the publisher concerned while the staff member was still employed by the HSRC. Such proof must be signed by the Executive Director concerned and accompany the publication submitted to Information Services (IS) for capturing. ○ Publications by persons not appointed as staff members of the HSRC (e.g. assignees, staff on secondment from another institution, staff on joint appointment by agreement, Honorary Research Fellows or Honorary Research Associates): Will only count if proof of institutional affiliation is provided by the Executive Director concerned. . ○ A publication by an African Research Fellow employed by the HSRC will count towards the numerator if proof of institutional affiliation is provided by the Executive Director concerned. <ul style="list-style-type: none"> ● HSRC researcher: <ul style="list-style-type: none"> ○ Proof of institutional affiliation: Author affiliation with the HSRC should be stated on the hardcopy publication (whether at the start or in a footnote printed in the publication). If the Author's affiliation is not given in the publication, a letter confirming the author's affiliation to the HSRC, signed by the ED concerned, must be provided with every submission. The letter should confirm the author's affiliation to HSRC, (e.g. Honorary Research Associate, with proof of appointment letter as HRA), and should also state that the research leading to the publication was conducted whilst the said person was based at HSRC, or formally associated with HSRC. |
| Type of indicator | <ul style="list-style-type: none"> ● Quantity Indicator - Output (measures number of publications) ● Efficiency Indicator - measures research excellence i.e. number of publications per senior researcher ● Quality Indicator - Measures research output quality against international industry standards |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Publications: IS (quality control and capturing of data submitted by research programmes) Staff: HR Number count: RMS (IT) |

Indicator 3: SCHOLARLY BOOK CHAPTERS PUBLISHED

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| Indicator title | Scholarly book chapters published |
| Short definition | <p>Number:</p> <p>The number of recognised book chapters with at least one HSRC researcher listed as author or co-author, published during the period under review.</p> |
| Purpose/importance | <p>Indicator for research excellence:</p> <p>Productivity of HSRC research staff (number of recognised book chapters authored or co-authored) and quality of HSRC work (recognised / scholarly book chapters published).</p> <p>Proof of research excellence is critical for research to be taken seriously, and to be able to attract research collaborators and research funding.</p> <p>Publication of book chapters ensure that research findings are made broadly available, and have an impact over a relatively long period of time – this is aligned with HSRC mandated objectives</p> |
| Source/collection of data | Research Management System (RMS), drawing information from |

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| | <ul style="list-style-type: none"> Research outputs database (IS) (book chapters captured in the database) |
| Method of calculation | a. Count number of scholarly book chapters with one or more HSRC researcher recognised as author (i.e. no adjustment for multiple authors), published during the period under review. |
| Data limitations | <p>Recognised (scholarly) book chapters:</p> <ul style="list-style-type: none"> Peer-reviewed, non-periodical scholarly or research publications disseminating original research on developments within specific disciplines, sub-discipline or field of study, published in South Africa or internationally. The book in which the chapter is published must have an International Serial Book Number (ISBN). The book chapter must be peer-reviewed prior to publication, with supporting evidence of the review process provided by the publishers of the book. Such evidence must accompany the copy of the book chapter submitted to IS for purposes of capturing In the case of the HSRC, book chapters based on research commissioned and paid for by external organisations may be included. Excluded: <ul style="list-style-type: none"> Chapters in text books, manuals and study guides <ul style="list-style-type: none"> Inaugural speeches Works of fiction Translations Book reviews Dictionaries Encyclopaedia Autobiographies. <p>More detail on count of book chapters:</p> <ul style="list-style-type: none"> Count of book chapters: Recognised for period under review. <p>More detail on HSRC researchers:</p> <ul style="list-style-type: none"> Researchers at all levels included, not only SRS/SRM or higher. Publications by authors who are in senior executive management positions (CEO, DCEOs) are counted, and attributed to the research programme on whose work book chapter was based, as indicated by the author when submitting the publication for review and subsequent capturing by IS Publications produced by staff who were employed, but left the employment of the HSRC in the course of the reporting period (financial year to date) will be counted during the reporting period, irrespective of when they left the HSRC. Publications by staff who had already left the HSRC may be reflected in subsequent reporting period(s) as long as the research unit concerned is able to submit proof, with the hard copy of the publication, that the publication had been completed and submitted to the publisher concerned while the staff member was still employed by the HSRC. Such proof must be signed by the Executive Director concerned and accompany the publication submitted to Information Services (IS) for capturing. Publications by persons not appointed as staff members of the HSRC (e.g. assignees, staff on secondment from another institution, staff on joint appointment by agreement, Honorary Research Fellows or Honorary Research Associates): Will only count if proof of institutional affiliation is provided by the Executive Director concerned. . A publication by an African Research Fellow employed by the HSRC will count towards the numerator if proof of institutional affiliation is provided by the Executive Director concerned. <ul style="list-style-type: none"> HSRC researcher: <ul style="list-style-type: none"> Proof of institutional affiliation: Author affiliation with the HSRC should be stated on the hardcopy publication (whether at the start or in a footnote printed in the publication). If the Author's affiliation is not given in the publication, a letter confirming the author's affiliation to the HSRC, signed by the ED concerned, must be provided with every submission. The letter should confirm the author's affiliation to HSRC, (e.g. Honorary Research Associate, with proof of appointment letter as HRA), and should also state that the research leading to the publication was conducted whilst the said person was based at HSRC, or formally associated with HSRC. |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of publications) Efficiency Indicator - measures research excellence i.e. number of publications per senior researcher Quality Indicator - Measures research output quality against international industry standards |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |

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| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Publications: IS (quality control and capturing of data submitted by research programmes) Staff: HR Number count: RMS (IT) |

Indicator 4: HSRC RESEARCH SEMINARS CONVENED

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| Indicator title | HSRC research seminars convened |
| Short definition | Number: The number of HSRC research seminars convened during the period under review. |
| Purpose/importance | Indicator for research relevance and potential use (application / impact): Type of output focused on knowledge dissemination. |
| Source/collection of data | Research Management System (RMS), drawing information from <ul style="list-style-type: none"> Research outputs database (IS) (policy or science seminars captured in the database) – source document is the covering letter and draft report on the seminar issued by the DCEO: Research |
| Method of calculation | Count number of research seminars convened by the HSRC during the period under review. |
| Data limitations | Research seminars: The seminars will generally run a maximum of one working day. Topics and invited delegates are identified based on the study and nature of information to be disseminated. The standard format of a seminar will be a presentation by subject-matter experts followed by group debate and a plenary session aimed at identifying key issues, policy options and/or a research agenda building on the issues identified. After the seminar, a draft report will be produced for distribution to delegates and possibly other interested parties. |
| Type of indicator | Quantity Indicator - Output (number of seminars), also measures effectiveness as it relates to achievement of HSRC mandate. |
| Calculation type | Non-Cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Research outputs: RIA (capturing of data submitted by DCEO: Research) |

Indicator 5: HSRC REVIEW PUBLICATIONS

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| Indicator title | <i>HSRC Review</i> publications produced. |
| Short definition | Number: The number of <i>HSRC Review</i> publications produced during the year under review. |
| Purpose/importance | Proof of research excellence: Knowledge dissemination to external stakeholders to ensure that research findings are made broadly available – this is aligned with HSRC mandated objectives. |
| Source/collection of data | Research Management System (RMS), drawing information from Research Impact Assessment reports. |
| Method of calculation | a. Count number of publications produced and published during the period under review (publications can be hard copy or electronic). |
| Data limitations | None |
| Type of indicator | Quantity Indicator - Output (number of seminars), also measures effectiveness as it relates to achievement of HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |

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| Indicator responsibility | Quality control and capturing of data submitted by RIA: Staff: RIA Number count: RMS (IT) |
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Indicator 6: NEW PUBLISHING IMPRINT

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| Indicator title | New publishing imprint. |
| Short definition | Number: The number of titles published under the new imprint during the period under review. |
| Purpose/importance | Proof of research excellence: Knowledge dissemination to external stakeholders to ensure that research findings are made broadly available – this is aligned with HSRC mandated objectives. |
| Source/collection of data | Research Management System (RMS), drawing information from HSRC Press reports. |
| Method of calculation | a. Count number of titles published during the period under review. |
| Data limitations | None |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of titles) Quality Indicator - Measures research output quality against international industry standards |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by RIA: Staff: RIA Number count: RMS (IT) |

Indicator 7: POLICY BRIEFS

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| Indicator title | The number of policy briefs produced and published by the HSRC |
| Short definition | Number: The number of policy briefs with at least one HSRC staff member serving as author or co-author, published by the HSRC Press during the period under review. |
| Purpose/importance | Indicator for research relevance and excellence: Productivity (number publications) of HSRC work. This is also an indicator of performance required by the DST Type of publication focused on the needs of decision makers, hence focusing on relevance and impact of the publication Policy briefs are only published following a review process to ensure that they are relevant, timely and meet internal criteria of good research communication |
| Source/collection of data | Research Management System (RMS), drawing information from <ul style="list-style-type: none"> Research outputs database (IS) (policy briefs captured in the database) |
| Method of calculation | Count number of policy briefs published by the HSRC during the period under review. |
| Data limitations | Recognised policy briefs: <ul style="list-style-type: none"> Policy briefs are short papers that convey policy issues and outline courses of action to resolve them. Policy briefs are published by the HSRC Press according to a format, approved by the DCEO; Research or the ED workshop. Policy briefs published by institutions other than the HSRC Press will be reflected as recognised research outputs of the HSRC, but will not contribute towards this indicator for “policy briefs produced and published by the HSRC” |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of publications). Efficiency Indicator - measures research excellence i.e. number of policy briefs. Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-Cumulative |

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| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Publications: IS (quality control prior to capturing of data: RIA) |

Indicator 8: ACTIVE MOUs

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| Indicator title | The number of active Memoranda of Understanding (MoUs) with other research institutions or associations in place |
| Short definition | Number: Number of active Memoranda of Understanding between the HSRC and other South African or international research institutions, higher education institutions, or research associations in place, with activities under the MoU taking place during the year under review. |
| Purpose/importance | Counts the number of active MoUs with other research institutions, to get an understanding of the range of formalised inter-institutional collaboration that go beyond single collaborative research projects |
| Source/collection of data | Contracts database (Legal) MoU management database RMS (IT) |
| Method of calculation | Count the total number of MoUs that meet the requirements |
| Data limitations | Active Memoranda of Understanding: <ul style="list-style-type: none"> Signed on behalf of the HSRC by the CEO or designate Registered in the contracts repository as an MoU Expiry date of the MoU not yet reached, or expiry date extended to a date beyond the reporting period At least one verifiable activity conducted under the MoU during the year under review, captured in the MoU reporting module by the MoU owner and confirmed by IL or CE. |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of MoUs). Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | MoUs: Legal Activity reporting: Owner of MoU, supporting documents to be lodged with IL (international MoUs) or CE (South African MoUs) |

Indicator 9: RESEARCH PROJECTS COMPLETED

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| Indicator title | Research projects completed. |
| Short definition | Number: The number of research projects completed during the period under review. |
| Purpose/importance | Indicator of nature of data collected: Counts the number of research projects completed within a specific period to get an understanding of nature of data available for analysis. |
| Source/collection of data | Research Management System (RMS), drawing information from reports of various units. |
| Method of calculation | Count number of research projects completed (data collection phase completed) during the period under review as evidenced by completed questionnaires/ data sets/confirmation of project deliverables/ status report on project milestones or implementation plan. |
| Data limitations | None |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of research projects) Quality Indicator - Measures research output quality against industry standards Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |

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| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by business units: Research Project Managers or Primary Investigators & unit Administrators Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 10: RESEARCH REPORTS PRODUCED

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| Indicator title | Research reports produced. |
| Short definition | Number: The number of client reports produced during the period under review. |
| Purpose/importance | Indicator of project status: Counts the number of reports produced within a specific period to get an understanding of progress made in achieving project milestones. |
| Source/collection of data | Research Management System (RMS), drawing information from reports of various units. |
| Method of calculation | Count number of client research reports produced and signed off by respective ED/DCEO or CEO. |
| Data limitations | None |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of research reports) Quality Indicator - Measures research output quality against industry standards Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by business units: Research Project Managers or Primary Investigators & unit Administrators Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 11: AFRICAN RESEARCH FELLOWS

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| Indicator title | The number of research fellows from elsewhere in Africa at the HSRC |
| Short definition | Number: Number of persons employed by the HSRC during the reporting period as research fellows from elsewhere in Africa |
| Purpose/importance | Counts the number of persons from elsewhere in Africa serving as a research fellow at the HSRC, to strengthen research links and help contribute to Africa's progress through research |
| Source/collection of data | Staff database (HR) |
| Method of calculation | Count the total number of African research fellows employed by the HSRC during the period under review. |
| Data limitations | <p>Persons indicated as African research fellows in their appointment letters, and who had assumed duty in this capacity at the HSRC</p> <p>Further clarification::</p> <ul style="list-style-type: none"> Level of appointment: SRS/SRM and above Period of appointment: at least six months, and no longer than five years. The time spent at the HSRC may also be spread over a year, as long the total period spent at the HSRC as African Research Fellow is at least six months during the year covered by the appointment. Should be housed in a specific research unit and office space allocated Should not be a citizen of permanent resident of South Africa: Passport or identity card information should show person is a citizen of an African country outside South Africa. If not a citizen of an African country outside South Africa, the person should be a non-South African employed by an institution based in an African country outside South Africa, and return to that institution after the fellowship period at the HSRC. |

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| | <ul style="list-style-type: none"> If citizenship status changes in the course of the year (e.g. person becomes a permanent resident or citizen of South Africa), classification (and letter of appointment) must change, but the “credit” for having appointed an African research fellow will remain in place for the year under review. |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of African Research Fellows) Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Cumulative – for the year |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Staff: HR Total (cumulative) number: RMS (IT) |

Indicator 12: STRUCTURED COLLABORATION RESEARCH PROJECTS COMPLETED

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| Indicator title | Structured collaboration research projects completed. |
| Short definition | Number: The number of structured collaboration research projects completed during the period under review. |
| Purpose/importance | Indicator of nature of data collected: Counts the number of collaborative research projects completed within a specific period to get an understanding of nature of data available for analysis. |
| Source/collection of data | Research Management System (RMS), drawing information from reports of various units. |
| Method of calculation | Count number of structured collaborative research projects completed during the period under review as evidenced by active inter-programme MoUs. |
| Data limitations | None. |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of research projects) Quality Indicator - Measures research output quality against industry standards Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by business units: Research Project Managers or Primary Investigators & unit Administrators Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 13: MASTER’S LEVEL INTERNS

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| Indicator title | The number of interns (research trainees) enrolled in a Master's programme, appointed at the HSRC |
| Short definition | Number: Number of persons employed by the HSRC during the reporting period as Master’s level interns |
| Purpose/importance | Counts the number of persons employed by the HSRC as Master’s level interns during the period under review, as an indication of capacity development initiatives |
| Source/collection of data | Staff database (HR) |
| Method of calculation | Count the total number of Master’s level interns (research trainees) employed by the HSRC during the period under review. |
| Data limitations | Persons who in their appointment letters are indicated as Master’s Intern or Master’s Research Trainee that have assumed duty at the HSRC Further clarification:: <ul style="list-style-type: none"> Appointment and period of appointment in accordance with Board-approved Researcher Training Policy The necessary supporting documentation (e.g. proof of registration at higher education institution, agreement with HSRC mentor) must be available on file at HR for auditing purposes |

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| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of Master's interns appointed) Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Cumulative – for the year |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Submission of supporting documents: Research programmes, coordinated by CE Staff: HR Total (cumulative) number: RMS (IT) |

Indicator 14: PhD LEVEL INTERNS

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

Indicator 15: POST-DOCTORAL FELLOWS

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| Indicator title | The number of post-doctoral fellows (research associates) appointed at the HSRC |
| Short definition | Number: Number of persons employed by the HSRC during the reporting period as post-doctoral fellows (research associates) |
| Purpose/importance | Counts the number of persons employed by the HSRC as post-doctoral fellows during the period under review, as an indication of capacity development initiatives |
| Source/collection of data | Staff database (HR) |
| Method of calculation | Count the total number of post-doctoral fellows (research associates) employed by the HSRC during the period under review. |
| Data limitations | Persons who in their appointment letters are indicated as post-doctoral fellows that have assumed duty at the HSRC Further clarification:: <ul style="list-style-type: none"> Appointment and period of appointment in accordance with Board-approved Researcher Training Policy The necessary supporting documentation (e.g. proof of successful completion of doctoral studies; approved development plan) must be available on file at HR for auditing purposes |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of Post Doctoral Fellows appointed) Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Cumulative – for the year |

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| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Submission of supporting documents: Research programmes, coordinated by CE Staff: HR Total (cumulative) number: RMS (IT) |

Indicator 16: STUDENTS REACHED IN THE RESEARCH SEMINARS/CAMPUS LECTURE SERIES

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|----------------------------------|---|
| Indicator title | Students reached in the research seminars/campus lecture series |
| Short definition | Number: The number of students reached in the research seminars/campus lecture series during the period under review. |
| Purpose/importance | Counts the number of students reached as an indication of capacity development initiatives. |
| Source/collection of data | Attendance registers for the seminars obtained from AISA |
| Method of calculation | Counts the number of students reached during the period under review as per attendance register. |
| Data limitations | Only names accompanied by ID/student numbers shall be counted. |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of students reached) Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Submission of supporting documents: AISA, coordinated by ED Operations. Total (non-cumulative) number: RMS (IT) |

Indicator 17: SCHOOLS ENGAGED IN OUTREACH PROGRAMME

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| Indicator title | Schools engaged in outreach programme |
| Short definition | Number: The number of schools engaged in the school outreach programme during the period under review. |
| Purpose/importance | Counts the number of schools engaged in the schools outreach programme as an indication of capacity development initiatives. |
| Source/collection of data | Confirmation of sessions by attendance registers or letters issued by the schools engaged obtained by AISA. |
| Method of calculation | Counts the number of schools engaged in the schools outreach programme during the period under review as evidenced by a stamped letter from the school reached. |
| Data limitations | Only registered schools will be counted. |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of schools reached) Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Submission of supporting documents: AISA, coordinated by ED Operations. Total (non-cumulative) number: RMS (IT) |

Indicator 18: COMPLETED MASTER'S LEVEL RESEARCH INTERNSHIP

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|---------------------------|--|
| Indicator title | Completed Master's level research internship |
| Short definition | Number: Number of interns (Research trainees) enrolled in a Master's programme who have completed the programme during the period under review. |
| Purpose/importance | Counts the number of Master's level interns who have completed their programme during the period under review, as an |

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| | indication of capacity development initiatives. |
| Source/collection of data | Staff database (HR) |
| Method of calculation | Count the total number of Master's level interns (research trainees) employed by the HSRC who have completed their programme during the period under review. |
| Data limitations | Persons who in their appointment letters are indicated as Master's Intern or Master's Research Trainee that have assumed duty at the HSRC Further clarification: <ul style="list-style-type: none"> • Appointment and period of appointment in accordance with Board-approved Researcher Training Policy • The necessary supporting documentation (e.g. proof of registration at higher education institution, agreement with HSRC mentor and proof of completion) must be available on file at HR for auditing purposes |
| Type of indicator | <ul style="list-style-type: none"> • Quantity Indicator - Output (measures number of interns completed) • Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Submission of supporting documents: Research programmes, coordinated by CE Staff: HR Total (cumulative) number: RMS (IT) |

Indicator 19: PEER-REVIEWED JOURNAL ARTICLES PER MASTER'S INTERN

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|----------------------------------|--|
| Indicator title | Peer-reviewed journal articles per Master's intern |
| Short definition | Ratio: The number of articles with at least one HSRC Master's intern listed as author or co-author, published during the period under review in internationally accredited peer-reviewed journals divided by the number of Master's interns employed by the HSRC at the end of the reporting period. |
| Purpose/importance | Indicator for research excellence: Productivity (number of articles per researcher) and quality (peer-reviewed, internationally accredited journals) of HSRC work. Peer-review process ensures that HSRC work is subject to independent scrutiny and quality control Proof of research excellence is critical for research findings to be taken seriously, and to be able to attract research collaborators and research funding. Publication in internationally accredited journals ensure that research findings are made publicly available – aligned with HSRC mandated objectives |
| Source/collection of data | Research Management System (RMS), drawing information from <ul style="list-style-type: none"> • Research outputs database (IS) (internationally accredited peer-reviewed publications captured in the database) • Staff database (HR) |
| Method of calculation | a. Count number of peer-reviewed journal articles with one or more HSRC Master's intern listed as author (i.e. no adjustment for multiple authors) published during the period under review. b. Count number of HSRC staff appointed as Master's intern, as at the last day of the reporting period. Calculate: a/b expressed as a ratio |
| Data limitations | Recognised journals: <ul style="list-style-type: none"> • Journals appearing in the following International indices are recognised. <ul style="list-style-type: none"> ○ The Sciences Citation Index of the Institute of Scientific Information (ISI) ○ The Social Sciences Citation Index of the ISI ○ The Arts and Humanities Citation Index of the ISI ○ The International Bibliography of Social Sciences (IBSS) More detail on count of peer-reviewed articles: <ul style="list-style-type: none"> • The following types of contributions appearing in journals are not counted as articles: <ul style="list-style-type: none"> ○ Correspondence to the editors ○ Abstracts or extended abstracts ○ Obituaries ○ Book reviews ○ News articles ○ Advertorials ○ Editorials |

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| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of publications) Efficiency Indicator - measures research excellence i.e. number of publications per Master's intern Quality Indicator - Measures research output quality against international industry standards |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Publications: IS (quality control and capturing of data submitted by research programmes) Staff: HR Ratio: RMS (IT) |

Indicator 20: COMPLETED PHD LEVEL RESEARCH INTERNSHIP

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|----------------------------------|--|
| Indicator title | Completed PhD level research internship |
| Short definition | Number: Number of interns (Research trainees) enrolled in a PhD programme who have completed the programme during the period under review. |
| Purpose/importance | Counts the number of PhD level interns who have completed their programme during the period under review, as an indication of capacity development initiatives. |
| Source/collection of data | Staff database (HR) |
| Method of calculation | Count the total number of PhD level interns (research trainees) employed by the HSRC who have completed their programme during the period under review. |
| Data limitations | Persons who in their appointment letters are indicated as PhD Intern or Master's Research Trainee that have assumed duty at the HSRC Further clarification: <ul style="list-style-type: none"> Appointment and period of appointment in accordance with Board-approved Researcher Training Policy The necessary supporting documentation (e.g. proof of registration at higher education institution, agreement with HSRC mentor and proof of completion) must be available on file at HR for auditing purposes |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of interns completed) Effectiveness Indicator - Measures extent of achieving HSRC mandate. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Submission of supporting documents: Research programmes, coordinated by CE Staff: HR Total (cumulative) number: RMS (IT) |

Indicator 21: PEER-REVIEWED JOURNAL ARTICLES PER PHD INTERN

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|---------------------------|--|
| Indicator title | Peer-reviewed journal articles per PhD intern. |
| Short definition | Ratio: The number of articles with at least one HSRC PhD intern listed as author or co-author, published during the period under review in internationally accredited peer-reviewed journals divided by the number of PhD interns employed by the HSRC at the end of the reporting period. |
| Purpose/importance | Indicator for research excellence: Productivity (number of articles per researcher) and quality (peer-reviewed, internationally accredited journals) of HSRC work. Peer-review process ensures that HSRC work is subject to independent scrutiny and quality control Proof of research excellence is critical for research findings to be taken seriously, and to be able to attract research collaborators and research funding. Publication in internationally accredited journals ensure that research findings are made publicly available – aligned with HSRC mandated objectives |

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| Source/collection of data | Research Management System (RMS), drawing information from <ul style="list-style-type: none"> Research outputs database (IS) (internationally accredited peer-reviewed publications captured in the database) Staff database (HR) |
| Method of calculation | a. Count number of peer-reviewed journal articles with one or more HSRC PhD intern listed as author (i.e. no adjustment for multiple authors) published during the period under review. b. Count number of HSRC staff appointed as PhD intern, as at the last day of the reporting period. Calculate: a/b expressed as a ratio |
| Data limitations | Recognised journals: <ul style="list-style-type: none"> Journals appearing in the following International indices are recognised. <ul style="list-style-type: none"> The Sciences Citation Index of the Institute of Scientific Information (ISI) The Social Sciences Citation Index of the ISI The Arts and Humanities Citation Index of the ISI The International Bibliography of Social Sciences (IBSS) More detail on count of peer-reviewed articles: <ul style="list-style-type: none"> The following types of contributions appearing in journals are not counted as articles: <ul style="list-style-type: none"> Correspondence to the editors Abstracts or extended abstracts Obituaries Book reviews News articles Advertorials Editorials |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of publications) Efficiency Indicator - measures research excellence i.e. number of publications per PhD intern Quality Indicator - Measures research output quality against international industry standards |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Publications: IS (quality control and capturing of data submitted by research programmes) Staff: HR Ratio: RMS (IT) |

Indicator 22: PEER-REVIEWED JOURNAL ARTICLES PER POST DOCTORAL FELLOW

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|----------------------------------|--|
| Indicator title | Peer-reviewed journal articles per Post Doctoral Fellow. |
| Short definition | Ratio: The number of articles with at least one HSRC Post Doctoral Fellow listed as author or co-author, published during the period under review in internationally accredited peer-reviewed journals divided by the number of Post Doctoral Fellows employed by the HSRC at the end of the reporting period. |
| Purpose/importance | Indicator for research excellence: Productivity (number of articles per researcher) and quality (peer-reviewed, internationally accredited journals) of HSRC work. Peer-review process ensures that HSRC work is subject to independent scrutiny and quality control Proof of research excellence is critical for research findings to be taken seriously, and to be able to attract research collaborators and research funding. Publication in internationally accredited journals ensure that research findings are made publicly available – aligned with HSRC mandated objectives |
| Source/collection of data | Research Management System (RMS), drawing information from <ul style="list-style-type: none"> Research outputs database (IS) (internationally accredited peer-reviewed publications captured in the database) Staff database (HR) |
| Method of calculation | a. Count number of peer-reviewed journal articles with one or more HSRC Post Doctoral Fellow listed as author (i.e. no |

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| | <p>adjustment for multiple authors) published during the period under review.</p> <p>b. Count number of HSRC staff appointed as Post Doctoral Fellow, as at the last day of the reporting period.</p> <p>Calculate: a/b expressed as a ratio</p> |
| Data limitations | <p>Recognised journals:</p> <ul style="list-style-type: none"> Journals appearing in the following International indices are recognised. <ul style="list-style-type: none"> The Sciences Citation Index of the Institute of Scientific Information (ISI) The Social Sciences Citation Index of the ISI The Arts and Humanities Citation Index of the ISI The International Bibliography of Social Sciences (IBSS) <p>More detail on count of peer-reviewed articles:</p> <ul style="list-style-type: none"> The following types of contributions appearing in journals are not counted as articles: <ul style="list-style-type: none"> Correspondence to the editors Abstracts or extended abstracts Obituaries Book reviews News articles Advertorials Editorials |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of publications) Efficiency Indicator - measures research excellence i.e. number of publications per Post Doctoral Fellow Quality Indicator - Measures research output quality against international industry standards |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | <p>Publications: IS</p> <p>(quality control and capturing of data submitted by research programmes)</p> <p>Staff: HR</p> <p>Ratio: RMS (IT)</p> |

Indicator 23: PRESERVED DATASETS

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|----------------------------------|---|
| Indicator title | Preserved datasets |
| Short definition | <p>Number:</p> <p>The number of HSRC research datasets that were preserved (archived/curated) during the period under review and recognised as such by the HSRC's Data Reference Group.</p> |
| Purpose/importance | Counts the number of unique datasets that were preserved for future use, for the first time during the period of review. This serves as an indicator of the extent to which the HSRC responds to its mandated objective of developing and making publicly available new datasets to underpin research, policy development and public discussion |
| Source/collection of data | List of datasets preserved during the period under review, as approved by the HSRC Data Reference Group |
| Method of calculation | Count of the total number of unique datasets that were preserved for future use, for the first time during the period of review, from the list approved by the HSRC Data Reference Group |
| Data limitations | <p>Data refer to computer-readable research data and may be</p> <ul style="list-style-type: none"> quantitative data files consisting of a matrix of numbers or words and its related metadata, such as variable labels, code labels and missing value definitions, including data with spatial references and maps based on these references, or summary data tables. The final dataset might include both raw data and derived variables which would be described in the documentation associated with the dataset, and / or qualitative data sets that might include transcripts, thematic coding and conceptual maps, photographs, videos, and audio data with the related documentation. <p>A dataset as an entity for performance measuring purposes refers to a collection of measurements that describe a particular phenomenon under review.</p> <p>The Data Reference Group will confirm that the dataset complies with the necessary criteria in terms of scope and complexity, and that it has been preserved according to the required procedures.</p> |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of publications) Effectiveness Indicator - measures extent of achieving HSRC mandate |
| Calculation type | Non-cumulative |

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| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | ED: Research Methodology Centre Total number: RMS (IT) |

Indicator 24: DATASETS GENERATED AND PREPARED FOR PRESERVATION

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|----------------------------------|---|
| Indicator title | Datasets generated and prepared for preservation |
| Short definition | Number: Number of unique datasets developed in the course of HSRC research projects, preserved for the first time during the reporting period and recognised as such by the HSRC's Data Reference Group. |
| Purpose/importance | Counts the number of unique datasets that were generated for future use, for the first time during the period of review. This serves as an indicator of the extent to which the HSRC responds to its mandated objective of developing and making publicly available new datasets to underpin research, policy development and public discussion |
| Source/collection of data | List of datasets ready for preservation during the period under review, as approved by the HSRC Data Reference Group |
| Method of calculation | Count of the total number of unique datasets that were preserved for future use, for the first time during the period of review, from the list approved by the HSRC Data Reference Group |
| Data limitations | Data refer to computer-readable research data and may be <ul style="list-style-type: none"> quantitative data files consisting of a matrix of numbers or words and its related metadata, such as variable labels, code labels and missing value definitions, including data with spatial references and maps based on these references, or summary data tables. The final dataset might include both raw data and derived variables which would be described in the documentation associated with the dataset, and / or qualitative data sets that might include transcripts, thematic coding and conceptual maps, photographs, videos, and audio data with the related documentation. A dataset as an entity for performance measuring purposes refers to a collection of measurements that describe a particular phenomenon under review. The Data Reference Group will confirm that the dataset complies with the necessary criteria in terms of scope and complexity, and that it has been preserved according to the required procedures. |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of publications) Effectiveness Indicator - measures extent of achieving HSRC mandate |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | Yes |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | DCEO: Research Total number: RMS (IT) |

Indicator 25: PRESERVED LIBRARY HOLDINGS

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|----------------------------------|--|
| Indicator title | Preserved library holdings. |
| Short definition | Number: Digitised library holdings; maps and photo collection during the period under review. |
| Purpose/importance | Counts the number of digitised library holdings (maps & photos) that were preserved for future use during the period of review. This serves as an indicator of the extent to which the HSRC responds to its mandate. |
| Source/collection of data | Data shall be collected from the Library by AISA on a quarterly basis. |
| Method of calculation | Count the total number of digitised library holdings (maps & photos) that were preserved for future use during the period of review. |
| Data limitations | None |
| Type of indicator | <ul style="list-style-type: none"> Quantity Indicator - Output (measures number of library holdings) Effectiveness Indicator - measures extent of achieving HSRC mandate |
| Calculation type | Non-cumulative |

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| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | The head: Data Curation Total number: RMS (IT) |

Indicator 26: SENIOR RESEARCHERS WHO ARE AFRICAN

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| Indicator title | Researchers at senior level (SRS/SRM and above) who are African |
| Short definition | Percentage: The number of researchers at senior level (SRS/SRM and above) who are African, divided by The total number of researchers at senior level (SRS/SRM and above) employed by the HSRC at the end of the reporting period, expressed as a percentage |
| Purpose/importance | Tracks the relative growth in senior researchers who are African, as an indicator of the progress made in achieving equity and excellence in a highly skilled and scarce category of staff |
| Source/collection of data | Staff database (HR) |
| Method of calculation | a Number of African South African citizens appointed at SRS/SRM level and above b Number of African South African permanent residents or African foreign nationals (excluding African Research Fellows) appointed at SRS/SRM level and above c Number of all researchers appointed at SRS/SRM level and above (excluding African Research Fellows) <u>Percentage:</u> $[(a+b)/c] \times 100$ |
| Data limitations | As above |
| Type of indicator | Equity indicator – Measures extent of achieving equity targets |
| Calculation type | Cumulative – for the year |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Staff: Deputy Executive Director HR & CE Total number: RMS (IT) |

Indicator 27: SENIOR RESEARCHERS WHO ARE FEMALE

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|----------------------------------|--|
| Indicator title | Researchers at senior level (SRS/SRM and above) who are female. |
| Short definition | Percentage: The number of researchers at senior level (SRS/SRM and above) who are female, divided by The total number of researchers at senior level (SRS/SRM and above) employed by the HSRC at the end of the reporting period, expressed as a percentage |
| Purpose/importance | Tracks the relative growth in senior researchers who are female as an indicator of the progress made in achieving equity and excellence in a highly skilled and scarce category of staff. |
| Source/collection of data | Staff database (HR) |
| Method of calculation | a Number of female senior researchers appointed at SRS/SRM level and above b Number of all researchers appointed at SRS/SRM level and above (excluding African Research Fellows) <u>Percentage:</u> $[a/b] \times 100$ |
| Data limitations | As above |
| Type of indicator | Equity indicator – Measures extent of achieving equity targets |
| Calculation type | Cumulative – for the year |
| Reporting cycle | Quarterly |
| New indicator | No |

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| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Staff: Deputy Executive Director HR & CE Total number: RMS (IT) |

Indicator 28: ANNUAL EMPLOYMENT EQUITY REPORTS PRODUCED

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| Indicator title | Annual Employment equity reports produced. |
| Short definition | Number: The number of annual employment equity reports produced during the period under review. |
| Purpose/importance | Indicator of transformation status: Counts the number of reports produced within a specific period to get an understanding of progress made in achieving employment equity targets. |
| Source/collection of data | Research Management System (RMS), drawing information from human resource management systems. |
| Method of calculation | Count number of reports produced during the period under review. |
| Data limitations | None. |
| Type of indicator | Quantity indicator - Output: Measures number of reports issued. Quality indicator - Measures outputs against legislative standards. |
| Calculation type | Non-cumulative |
| Reporting cycle | Annually |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by business units: Human Resource Management Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 29: QUARTERLY EMPLOYMENT EQUITY REPORTS PRODUCED

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|----------------------------------|---|
| Indicator title | Quarterly Employment equity reports produced. |
| Short definition | Number: The number of quarterly employment equity reports produced during the period under review. |
| Purpose/importance | Indicator of transformation status: Counts the number of reports produced within a specific period to get an understanding of progress made in achieving employment equity targets. |
| Source/collection of data | Research Management System (RMS), drawing information from human resource management systems. |
| Method of calculation | Count number of reports produced during the period under review. |
| Data limitations | None. |
| Type of indicator | Quantity indicator - Output: Measures number of reports issued. Quality indicator - Measures outputs against legislative standards. |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by business units: Human Resource Management Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 30: DIVERSITY AWARENESS EVENTS HOSTED

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| Indicator title | Diversity awareness events hosted |
| Short definition | Number: The number of diversity awareness events hosted by the HSRC during the period under review. |
| Purpose/importance | Indicator for capacity building and transformation. |
| Source/collection of data | Research Management System (RMS), drawing information from Human Resources & Capacity Enhancement. Source document is a management report regarding the event including attendance, relevance and focus. |
| Method of calculation | Count number of events hosted by the HSRC during the period under review. |
| Data limitations | Diversity awareness events will generally run a maximum of one working day and exclude training on diversity. |
| Type of indicator | Quantity indicator - Output: Measures number of events hosted. |
| Calculation type | Non-cumulative |
| Reporting cycle | Annually |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Research outputs: Human Resources & Capacity Enhancement (capturing of data submitted by DED: HR & CE) |

Indicator 31: GENDER AWARENESS EVENTS HOSTED

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|----------------------------------|--|
| Indicator title | Gender awareness events hosted |
| Short definition | Number: The number of gender awareness events hosted by the HSRC during the period under review. |
| Purpose/importance | Indicator for capacity building and transformation. |
| Source/collection of data | Research Management System (RMS), drawing information from Human Resources & Capacity Enhancement. Source document is a management report regarding the event including attendance, relevance and focus. |
| Method of calculation | Count number of events hosted by the HSRC during the period under review. |
| Data limitations | Gender awareness events will generally run a maximum of one working day and exclude training on gender. |
| Type of indicator | Quantity indicator - Output: Measures number of events hosted. |
| Calculation type | Non-cumulative |
| Reporting cycle | Annually |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Research outputs: Human Resources & Capacity Enhancement (capturing of data submitted by DED: HR & CE) |

Indicator 32: EXTRA-PARLIAMENTARY INCOME

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| Indicator title | The percentage of total income that is extra-Parliamentary |
| Short definition | The percentage of total income of the HSRC that comes from sources other than its Parliamentary allocation |
| Purpose/importance | Tracks the extent to which the HSRC is able to augment its Parliamentary income with external income, and monitors the balance between Parliamentary and extra-Parliamentary income as an indicator of financial sustainability linked to relative independence |
| Source/collection of data | Source: Financial information (actual income received) as reflected in “statement of financial performance” at the end of the reporting period |
| Method of calculation | Identify the following sources of income: a Research revenue b Parliamentary grants c Parliamentary grants ring-fenced |

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| | d Other income <u>Percentage:</u> $[(a+d)/(a+b+c+d)] \times 100$ |
| Data limitations | As above |
| Type of indicator | Effectiveness Indicator – Measures extent to which outputs achieve the desired outcomes |
| Calculation type | Cumulative: all income achieved by the end of the reporting period |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Data: CFO |

Indicator 33: MULTI-YEAR GRANTS

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|----------------------------------|---|
| Indicator title | The percentage of research grants that are multi-year (at least three years) |
| Short definition | The number of approved current research contracts or agreements that run over a period of at least three budget years, as a percentage of the number of approved current research contracts or agreements that are in place for the year under review. |
| Purpose/importance | Tracks the extent to which the HSRC is able to depend on longer-term external research funding sources to achieve external funding targets, as a measure of financial sustainability over time. |
| Source/collection of data | Contract information from Contracts Registry: Income-generating contracts only. Ring-fenced information from MTEF allocation letter |
| Method of calculation | a. Select from the contracts repository, all approved current (open), income-generating contracts in the “research contracts” folder – a b. From (a) select all contracts with a total value that is equal to or greater than R500 000 (excluding VAT) over the total life span of the contract – b c. From (b) select all the contracts with a start date and end date indicating that the contract has a life span of at least 3 financial years (Multi-year research grants – c <u>Percentage:</u> $c/b \times 100$ |
| Data limitations | <u>Clarification:</u> The following research-related contracts are excluded for reporting purposes: Contracts with a total monetary value of less than R500 000 (excluding VAT). <u>Current open contract:</u> The contract has an end date in the course of, or after the current financial year, and is linked to a project in a research programme, as approved by Finance. <u>Modifications / extensions of research contracts</u> are not treated as separate contracts, but as forming part of the original contract that has been modified or extended. Such modifications / extensions to contracts may have an impact on the total duration of the contract, as well as to the total value of the contract. <u>Total duration of the contract:</u> Read start date and end date of contract as recorded by Legal Services when capturing the original contract on the contracts repository <i>To accommodate any approved formal amendments to original contract:</i> Read start date as per original contract and end date as per most recent formal amendment, as approved and recorded by Legal Services. <u>Total Rand value over the full life time of the contract:</u> Calculate the total Rand value of the contract, excluding VAT if applicable, and as recorded by Legal Services when capturing the original contract on the contracts repository. <i>To accommodate any approved formal amendments to original contract:</i> Add or subtract any additions or reductions to the agreed original total contract amount (excluding VAT) as per formal amendment(s) approved and recorded by Legal Services <u>For a ring-fenced allocation from the MTEF allocation letter:</u> The amount and purpose must be clearly stated in the MTEF letter, allocated to a research programme for the stated purpose, and linked to a project in a research programme, as approved by Finance. |

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| | Total value of the ring-fenced MTEF allocation: total value of the ring-fenced allocation over the current 3-year MTEF period, excluding VAT. |
| Type of indicator | Effectiveness Indicator – Measures extent to which outputs achieve the desired outcomes |
| Calculation type | Cumulative: all research grants awarded by the end of the reporting period |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Data: CFO & RMS Contract information – Head Legal services |

Indicator 34: OFFICIALS ATTENDING THE ANTI-CORRUPTION CAMPAIGN

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|----------------------------------|---|
| Indicator title | Officials attending the anti-corruption campaign |
| Short definition | Percentage: The percentage of HSRC officials attending the anti-corruption campaign during the period under review. |
| Purpose/importance | Indicator of good governance, capacity building and transformation. |
| Source/collection of data | Research Management System (RMS), drawing information from Human Resources & Capacity Enhancement. Source document is a management report regarding the event including attendance, relevance and focus. |
| Method of calculation | a. Count number of officials on the attendance register for the anti-corruption campaign b. Count number of HSRC officials listed on the Payroll system (no distinction on the length of service/ employment status or duration of employment contract) Calculate: $a/b \times 100$ expressed as a percentage |
| Data limitations | Where the campaign runs for more than one day, officials attending both days are only counted once. |
| Type of indicator | Quantity Indicator – Output (Measures number of officials attending) |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Research outputs: Enterprise Risk Management (ERM) (capturing of data submitted by Director: ERM) |

Indicator 35: ELIGIBLE OFFICIALS WHO HAVE DECLARED THEIR INTERESTS

| | |
|----------------------------------|---|
| Indicator title | Eligible officials who have declared their interests |
| Short definition | Percentage: The percentage of eligible HSRC officials who have declared their interests during the period under review. |
| Purpose/importance | Indicator of good governance, capacity building and transformation. |
| Source/collection of data | Research Management System (RMS), drawing information from the e-declarations system and reports captured for those employees who are not on the payroll system. Source document is a management report of the status of declaration by Board members and board committee members and the payroll report. |
| Method of calculation | a. Count number of officials who have completed the declaration of interests forms during the reporting period. b. Count number of HSRC officials listed on the Payroll system who are at employment level Deputy Director (DD) and above. c. Count number of HSRC officials listed on the Payroll system who are in Finance Department d. Calculate: $[a/b+c] \times 100$ expressed as a percentage |
| Data limitations | Officials who have declared their interests manually but are not part of the eligible officials are not counted. |
| Type of indicator | Quantity Indicator - Output (Measures number of officials who have declared) Effectiveness Indicator - Measures the extent to which outputs achieve the desired outcome |
| Calculation type | Cumulative |

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| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Research outputs: Enterprise Risk Management (ERM) (capturing of data submitted by Director: ERM) |

Indicator 36: COMPLIANCE REPORTS PRODUCED

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|----------------------------------|--|
| Indicator title | Compliance reports produced. |
| Short definition | Number: The number of compliance reports produced during the period under review. |
| Purpose/importance | Indicator of progress in implementing good corporate governance principles. |
| Source/collection of data | Research Management System (RMS), drawing information from reports of the ERM Unit. |
| Method of calculation | Count number of reports produced during the period under review. |
| Data limitations | None. |
| Type of indicator | Quantity Indicator - Output (Measures number of reports) Effectiveness Indicator - Measures the extent to which outputs achieve the desired outcome |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by the ERM Unit. Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 37: UNQUALIFIED EXTERNAL AUDIT REPORT

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| Indicator title | Unqualified External Audit Report |
| Short definition | Number: Unqualified results of the annual statutory audits achieved for the period under review. |
| Purpose/importance | Indicator of progress in implementing good corporate governance principles. |
| Source/collection of data | Report issued by the Auditor-General |
| Method of calculation | Count number of findings listed in the Management Letter |
| Data limitations | None. |
| Type of indicator | Effectiveness Indicator - Measures the extent to which outputs achieve the desired outcome |
| Calculation type | Non-cumulative |
| Reporting cycle | Annually |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by the CFO. Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 38: BBBEE STATUS

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|-------------------------|--|
| Indicator title | BBBEE Status |
| Short definition | Number: The level of BBBEE status achieved for the period under review. |

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|----------------------------------|---|
| Purpose/importance | Indicator of progress in implementing BBBEE principles. |
| Source/collection of data | Report issued by the BBBEE certification board. |
| Method of calculation | Count number of gaps in the BBBEE certification letter. |
| Data limitations | None. |
| Type of indicator | Effectiveness Indicator - Measures the extent to which outputs achieve the desired outcome |
| Calculation type | Non-cumulative |
| Reporting cycle | Annually |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by the CFO. Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 39: PPPFA COMPLIANCE

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|----------------------------------|---|
| Indicator title | PPPFA Compliance |
| Short definition | Number: Percentage compliance with the PPPFA requirements during the period under review. |
| Purpose/importance | Indicator of progress in implementing good corporate governance principles. |
| Source/collection of data | Quarterly compliance assessment by ERM |
| Method of calculation | a. Count number of compliance areas achieved b. Count number of compliance requirements (a/b) X 100 expressed as a percentage |
| Data limitations | None. |
| Type of indicator | Effectiveness Indicator - Measures the extent to which outputs achieve the desired outcome |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by the CFO. Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 40: STAKEHOLDER ENGAGEMENT

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|----------------------------------|---|
| Indicator title | Stakeholder engagement |
| Short definition | Number: The number of stakeholder engagements convened during the period under review. |
| Purpose/importance | Indicator of progress in implementing good corporate governance principles. |
| Source/collection of data | Research Management System (RMS), drawing information from reports of the RIA Unit. |
| Method of calculation | Count number of stakeholder engagements convened during the period under review. |
| Data limitations | None |
| Type of indicator | Quantity Indicator - Output (Measures number of engagements) |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |

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|---------------------------------|--|
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by the RIA Unit. Data validation & performance reporting: ERM Number count: RMS (IT) |

Indicator 41: REGISTERED RESEARCH PROJECTS TO IMPROVE PUBLIC UNDERSTANDING OF SCIENCE

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|----------------------------------|---|
| Indicator title | Registered research projects to improve public understanding of science |
| Short definition | Number: The number of research projects registered to develop the research domain of science communication and public understanding of science during the period under review. |
| Purpose/importance | Indicator of research excellence and progress in addressing the mandated objectives of the HSRC. |
| Source/collection of data | Research Management System (RMS), drawing information from various research programmes. |
| Method of calculation | Count number of research projects registered addressing public understanding of science. |
| Data limitations | None |
| Type of indicator | Quantity Indicator - Output (Measures number of projects) Effectiveness Indicator - Measures the extent to which outputs achieve the desired outcome |
| Calculation type | Non-cumulative |
| Reporting cycle | Quarterly |
| New indicator | No |
| Desired performance | Equal to or more than the agreed target. |
| Indicator responsibility | Quality control and capturing of data submitted by the RIA Unit. Data validation & performance reporting: ERM Number count: RMS (IT) |