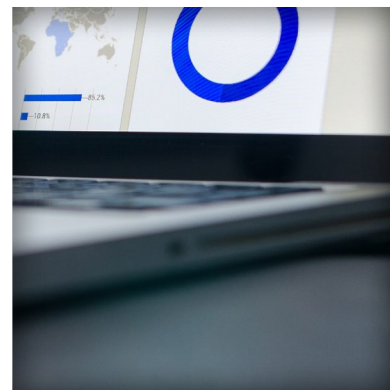
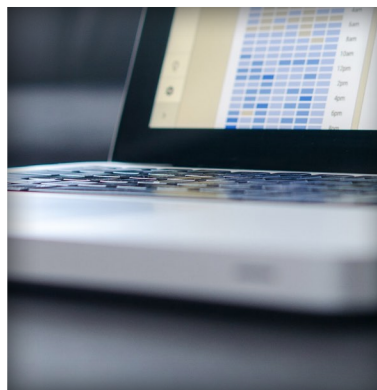
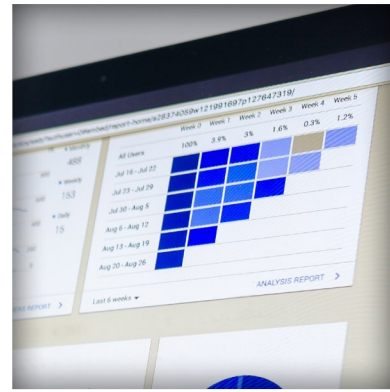


Centre for Science, Technology and Innovation Indicators

Guidelines for Public Data Access

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WHO WE ARE

The Centre for Science Technology and Innovation indicators (CeSTII) at South Africa's Human Sciences Research Council carries out statistical surveys for the Department of Science and Innovation (DSI) within the Ministry of Higher Education, Science and Technology.

These include the South African National Survey of Research and Experimental Development (R&D Survey) and the Business Innovation Survey.

Survey results provide regular snapshots of key indicators for science, technology and innovation in South Africa, which are essential for institutional and policy planning.

Collected survey data also give rise to official statistics, in terms of the Statistics Act (1999), which can be compared internationally.

Learn more about CeSTII | <http://www.hsrc.ac.za/en/departments/cestii>

CONTACTS

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CESTII DATASETS

PROJECT NAME	NUMBER OF DATASETS*	KEY INDICATORS
R&D Survey	15	COMPANY INFORMATION; R&D HEAD COUNTS BY EMPLOYMENT CATEGORY; RACE; GENDER AND QUALIFICATION; TIME SPENT ON R&D; AVERAGE ANNUAL LABOUR COST; R&D EXPENDITURE BY STANDARD ACCOUNTING CATEGORIES; SOURCES OF FUNDING; PROVINCIAL EXPENDITURE ON R&D; CLASSIFICATION BY CODES; MULTIDISCIPLINARY AREAS OF R&D; COLLABORATION; OUTSOURCING
Business Innovation Survey	3	GENERAL INFORMATION ABOUT ENTERPRISES; PRODUCT INNOVATION; PROCESS INNOVATION; ORGANISATIONAL AND MARKETING INNOVATION; ONGOING OR ABANDONED INNOVATION ACTIVATES; INNOVATION FUNDING ACTIVITIES AND EXPENDITURES; SOURCES OF INFORMATION AND COLLABORATION; INNOVATION OUTCOMES; BARRIERS TO INNOVATION; IP RIGHTS; INNOVATION CAPABILITIES
Intellectual Property and Technology Transfer Survey	1	CAPABILITIES AND STRUCTURE OF THE TECHNOLOGY TRANSFER FUNCTION: PROFILE OF THE TECHNOLOGY TRANSFER FUNCTION; PERCEIVED GAPS IN THE SKILLS BASE OF THE TECHNOLOGY TRANSFER FUNCTION; THE TECHNOLOGY TRANSFER FUNCTION: ACTIVITIES; SYSTEMS AND RESOURCES; FACTORS WHICH PROMOTE OR INHIBIT THE TECHNOLOGY TRANSFER FUNCTION; EXPENDITURE ASSOCIATED WITH THE TTF IP PORTFOLIO: DISCLOSURES; TECHNOLOGIES; PATENTS; TRADE MARKS; DESIGNS; IP RELATED ACTIVITIES PER BILLION RAND OF INSTITUTIONAL RESEARCH EXPENDITURE

*Correct as at 2 August 2019. Each year new datasets are added.

CESTII DATA IS PUBLIC DATA

Sharing data is essential if the maximum value and benefit to society is to come from the statistical information collected through CeSTII surveys.

Proper sharing also assists in avoiding duplication of collection by different organisations.

WHY WE NEED TO SAFEGUARD OUR DATA

The surveys CeSTII conducts are undertaken in accordance with strict conditions for confidentiality, and the South African Statistics Quality Assessment Framework (SASQAF) proposes that sharing of statistical data is governed by a data access protocol.

This document sets out the structures and processes that enable safe public access to and use of CeSTII datasets.

HOW YOU CAN ACCESS CESTII DATA

As a general rule, survey-related data will not be provided prior to official publication and/or curation.

Data that is not available from curated datasets in the public domain may be provided on request.



In general, no costs will be charged on data requests.

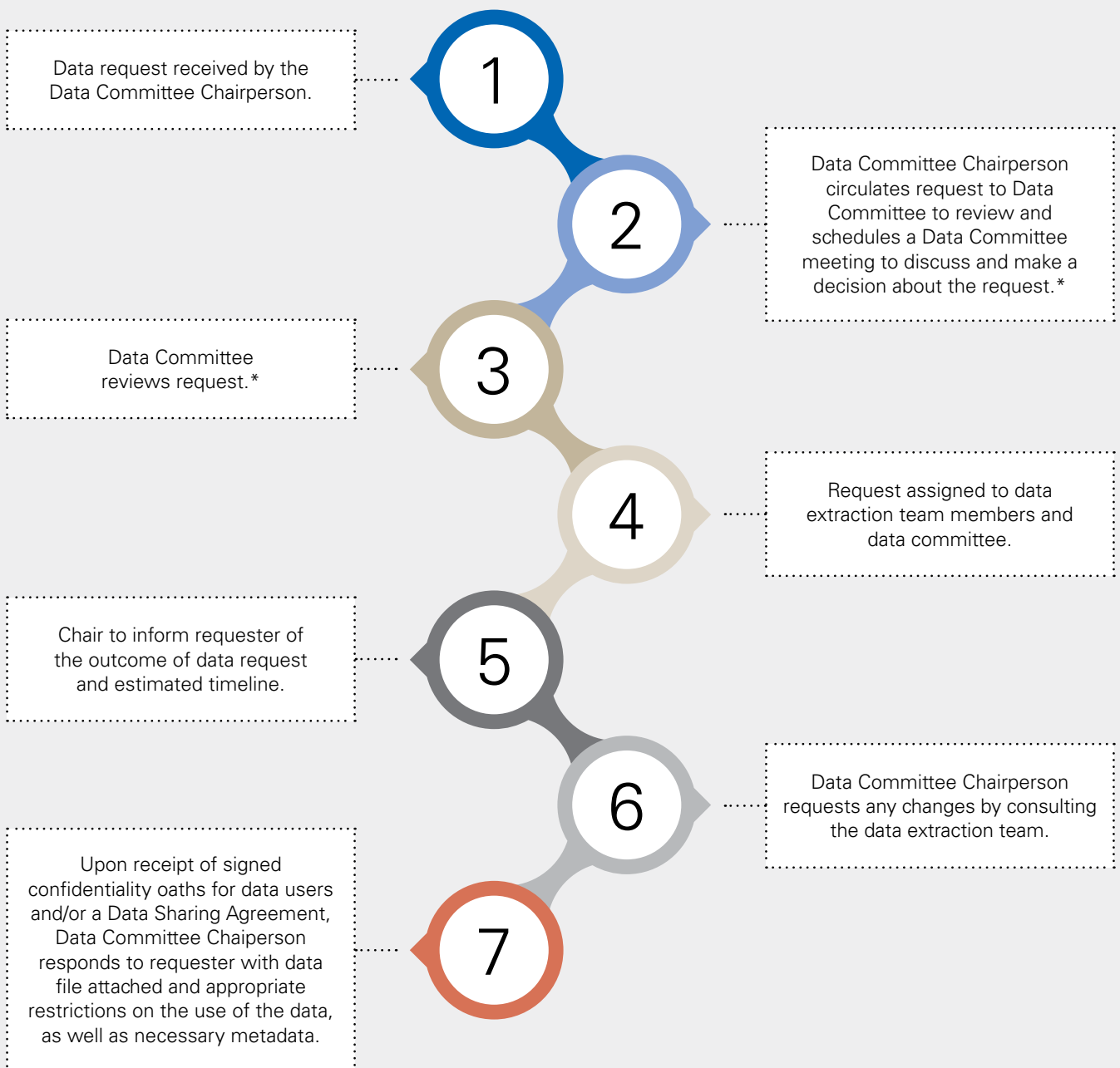
Requesters must complete a request form (Appendix A) with all the relevant details of a request to ensure prompt and timeous delivery, and returned to the Chairperson of the Data Committee.

Data requesters will be expected to complete and sign a confidentiality form (Appendix B) in the event that access to data is granted and the data request is approved.

For very complex data requests, including requests to curate data online in data or data visualisation portals, a Data Sharing Agreement between the requester and CeSTII may be required (Appendix C). In cases where the data is shared through a Data Sharing Agreement, the costs of preparing the data will be governed by the conditions of the Agreement.

DIAGRAM 1: DATA ACCESS APPROVAL PROCESS

The process followed by CeSTII when determining whether data can be provided is outlined in Diagram 1.



* This process is subject to the data owner and/or data custodian being satisfied that the requesting person or organisation has a valid need for the level of data requested.

DATA REQUEST REFUSALS

If data is refused the Data Committee will provide the reason for refusal. In some cases, data may be provided at a higher level of aggregation than that requested, i.e, appropriate aggregation level or unit level usually to ensure confidentiality.

HOW WE DELIVER DATA

- CeSTII data will protect respondent identifying information in accordance with national legislation and HSRC policy. All data will be anonymised sufficiently at the discretion of the data committee.
 - Data will be provided in Excel tabular format (unless otherwise specified) and will be reviewed on a case-by-case basis to ensure confidentiality of data.
 - The data file will be emailed to requesters.
 - For specific products, such as the R&D and business innovation surveys, the relevant project managers and Data Committee Chairperson will jointly determine the modality and content of data releases on a case-by-case basis.
 - As a requirement, users of the CeSTII data will be requested to share copies of their outputs, or web links in the case of online use, with CeSTII to monitor external uses of CeSTII survey data.
-

ON-SITE ACCESS

In certain instances, access to anonymised unit level data may be requested.

These will be accommodated on a CeSTII-secured, offline computer ('sterile terminal') at the CeSTII offices in Pretoria.

This is subject to signing a confidentiality agreement, and an undertaking that the data will not be used for other than the stated purpose.

Human Sciences Research Council



134 Pretorius Street,
Pretoria, South Africa,
0002

ACKNOWLEDGEMENTS OF THE DATA SOURCE

All data requests and extractions used should acknowledge CeSTII and its related data products as a data source.

Acknowledgements should be given in the acknowledgements section of a publication.

Sample text: *I/We acknowledge the Centre for Science, Technology and Innovation Indicators at the Human Sciences Research Council for the use of data referred to in this publication/report/article.*

The source of data should also be acknowledged as a citation below a data representation (a graph, for example) **and** as a bibliographic reference.

Sample citation: *Centre for Science, Technology and Innovation Indicators (CeSTII). YEAR DATA PUBLISHED. NAME OF DATASET USED. Human Sciences Research Council: Pretoria. www.hsrc.ac.za*




APPENDIX A

DATA REQUEST FORM

REQUEST FOR DATA FOR RESEARCH OR RESEARCH DISSEMINATION PURPOSES

Requester Information		
Full name & Job title:		
Organisation:		
Email address:		
Phone number:	Mobile:	Landline:

Please provide a detailed description of data required, including the dataset, timeframe (i.e. calendar years), and specific purpose (i.e. research and/or research dissemination project) for which data is to be used. Provide as much detail as possible, to enable the CeSTII Data Committee to evaluate your request as efficiently and effectively as possible.

KEY TERMS AND CONDITIONS

Indemnity

CeSTII through its Data Committee and executive management will consistently ensure that its data releases adhere to the strictest quality assurance procedures.

All data will be subject to applicable national, institutional or CeSTII policies related to confidentiality and anonymity (available on the CeSTII website).

Every assurance has been made to ensure that the data is accurate at the time of release, however data revisions are part of the data production process and any changes to data will be communicated on the HSRC website (<http://www.hsrc.ac.za/en/departments/CeSTII/updates-and-errata>) as the need arises.

Through acceptance of CeSTII's terms and conditions users indemnify CeSTII and the HSRC against any anomalous or other data related inaccuracies.

Compliance

Prioritisation or denial of data provision is at CeSTII's discretion and may be dependent on the workload of the unit, the availability of the data requested and the complexity of the request.

Data users are required to agree to specific terms of use of data, including not sharing it with third party, nor attempting to match it with other sources outside the negotiated scope.

No information can be released in any research output in which it may be possible to reasonably identify an individual or organisation.

If the Centre is informed or suspects non-compliance any of the following responses may occur:

- Immediate termination of access to datasets;
- Suspension and/or revocation of data access approval;
- Denial of any further access to data holdings (or other data holdings) of the Centre;
- Reporting of non-compliance to the Research Ethics Board that provided funding for the project;
- Reporting of non-compliance to all agencies that provided funding for the project;
- Reporting of non-compliance to any organisations who have published findings from the study.



Signature of Requester:	Date:
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For Internal Use Only

Approval given by:
Limitations of data request (if any):
Where data provision is denied please include comments:

APPENDIX B

OATH OF CONFIDENTIALITY: STATISTICS ACT No. 6 OF 1999

OATH OF CONFIDENTIALITY: STATISTICS ACT (NO. 6 OF 1999)

Preamble

The Centre for Science, Technology and Innovation Indicators (CeSTII) of the Human Sciences Research Council (HSRC) performs regular national R&D, innovation and other surveys on behalf of the Department of Science and Innovation (DSI) within the Ministry of Higher Education, Science and Technology (MHEST). The DSI, formerly called the Department of Science and Technology (DST), is a member of the National Statistics System (NSS) and works with Statistics South Africa according to their Memorandum of Agreement of July 2004. All parties are bound by the provisions of the Statistics Act (No. 6 of 1999), insofar as the collection of official statistics is concerned. Survey respondents have the right to expect that information given will be used for the purpose it was intended for, and that it will not be disclosed to others without respondents' permission.

A formal request to the Chairperson of the Data Committee to use CeSTII data, including information relating to how it will be used and/or disseminated, is required to be approved prior to the release of data by CeSTII to data requesters. All reports, scientific publications, conference presentations, fact sheets, policy briefs, web-based platforms, or other outputs, emanating from R&D, innovation and other surveys performed by CeSTII for DSI, must only contain data that is aggregated so that no individual entities are recognisable. Where the identity of the entity/ies concerned might be speculated from aggregate data (e.g. a few companies with large R&D budgets in a business sub-sector), the person(s) accessing the data must first consult with the CeSTII Deputy-Executive Director and the Chair of the CeSTII Data Committee to ensure anonymity of data. To preserve respondent confidentiality, CeSTII reserves the right to further anonymise data.

Oath of Confidentiality

As a person accessing CeSTII data, sensitive matters or material might come to your knowledge, which you will be bound not to disclose without authority. Therefore, you are required to take and subscribe the following oath or solemn affirmation as appropriate:

I, _____ ID/Passport No.: _____ do solemnly swear (or affirm) that I will faithfully and honestly fulfill my duties as a person accessing CeSTII data in conformity with the requirements of the Statistics Act (No. 6 of 1999), and of all rules and instructions thereunder and that I will not without due authority disclose or make known any matter, data or information that comes to my knowledge by reason of my access to the data.



Signed: _____
At: _____
Date: _____

HSRC Board: Prof. Mxoliso Tom (Chairperson), Prof. Lindaw Zungu, Ms Precious Sibya, Dr Abidulla Hamid, Ms Nasima Baibisa, Prof. Radebe/le Molekane, Advocate Rehan Dabhi, Prof. Mark Bousso, Prof. Dean Swales (DSI)
www.hsrc.ac.za

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DURBAN OFFICE: The Durban Office, 402 Westville Road, Durban, South Africa. PO Box 37423, Durban, South Africa. Tel: +27 31 241 5000 Fax: +27 31 241 5004
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APPENDIX C

DATA SHARING AGREEMENT

DATA SHARING AGREEMENT PERTAINING TO THE SUPPLY OF CONFIDENTIAL XXX SURVEY DATA

Agreement between
THE HUMAN SCIENCES RESEARCH COUNCIL (HSRC)
A statutory body established in terms of the Human Sciences Research Council Act, No. 17 of 2008 ("the HSRC")
Specifically, the HSRC's Centre for Science, Technology and Innovation Indicators ("CeSTII")
and
xxxxxx (name of contracting organisation)
("the DATA USER")

HSRC Board: Prof. Mxoliso Tom (Chairperson), Prof. Lindaw Zungu, Ms Precious Sibya, Dr Abidulla Hamid, Ms Nasima Baibisa, Prof. Radebe/le Molekane, Advocate Rehan Dabhi, Prof. Mark Bousso, Prof. Dean Swales (DSI)
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