

**Human Sciences Research Council**  
Annual Performance Plan  
**2020/21**



science  
& innovation

Department:  
Science and Innovation  
REPUBLIC OF SOUTH AFRICA



**HSRC**  
Human Sciences  
Research Council







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## Statement of the Executive Authority

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The Human Sciences Research Council's Annual Performance Plan 2020/21 is guided by the National Development Plan, government's Medium-Term Strategic Framework outcomes 2019–2024 and Agenda 2063. It also considers other relevant policies such as the 2019 White Paper on Science and Technology and its decadal plans, the White Paper for Post-School Education and Training and the United Nations Sustainable Development Goals. The Annual Performance Plan (APP) is fully aligned with the entity's Strategic Plan for 2020–2025, the organisation's mandate and government priorities.

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



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**Dr BE Nzimande, MP**

*Minister of Higher Education, Science and Technology*  
Executive Authority of the Human Sciences Research Council







## Statement of the Accounting Authority

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An Institutional Review of the Human Sciences Research Council (HSRC) was completed in the previous financial year, the recommendations of which provided critical input as the organisation embarked on the development of its new five-year Strategic Plan (2020–2025).

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

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

However, as recommended by the Review Panel, the approach to this will be through a much more focused and consolidated programme of work.

A priority focus will be to establish suitable strategies to enable the organisation to evolve from research generation only, to research use and research impact assessment. This work will be critical as the HSRC endeavours to position itself as a global leader in social sciences and humanities research. Over the medium term, the HSRC will also develop a set of impact metrics to be used across the science and innovation landscape in the country.

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



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**Prof. Mvuyo Tom**

*Chairperson: HSRC Board*  
for the Accounting Authority of the  
Human Sciences Research Council





## Official Sign-Off

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It is hereby certified that this Annual Performance Plan:

- Was developed by the Board and management of the Human Sciences Research Council (HSRC) under the guidance of the Minister of Higher Education, Science and Technology
- Takes into account all the relevant policies, legislation and other mandates for which the HSRC is responsible
- Accurately reflects the Impact, Outcomes and Outputs which the HSRC will endeavour to achieve over the period 2020/21.



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**Ms Jacomien Rousseau**  
Chief Financial Officer



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**Prof. Mvuyo Tom**  
Accounting Authority



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**Prof. Crain Soudien**  
Chief Executive Officer



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Approved  
**Dr BE Nzimande**  
Executive Authority





# Abbreviations

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<b>4IR</b>	Fourth Industrial Revolution
<b>AISA</b>	Africa Institute of South Africa
<b>APP</b>	Annual Performance Plan
<b>CEO</b>	Chief Executive Officer
<b>CFO</b>	Chief Financial Officer
<b>COP</b>	Community of Practice
<b>DHET</b>	Department of Higher Education and Training (now Ministry of Higher Education, Science and Technology)
<b>DPME</b>	Department of Planning, Monitoring and Evaluation
<b>ED</b>	Executive Director
<b>EE</b>	Employment Equity
<b>ENE</b>	Estimates of National Expenditure
<b>eRKC</b>	eResearch Knowledge Centre
<b>HDI</b>	Historically Disadvantaged Institutions
<b>HEI</b>	Higher Education Institution
<b>HR</b>	Human Resources
<b>H&amp;SS</b>	Human and Social Sciences
<b>HSRC</b>	Human Sciences Research Council
<b>IT</b>	Information Technology
<b>IPTT</b>	Intellectual Property and Technological Transfer
<b>ISBN</b>	International Standard Book Number
<b>MoU</b>	Memorandum of Understanding
<b>MTEF</b>	Medium-Term Expenditure Framework
<b>MTSF</b>	Medium-Term Strategic Framework
<b>NDP</b>	National Development Plan
<b>NSI</b>	National System of Innovation
<b>OHSA</b>	Occupational Health and Safety Act
<b>PFMA</b>	Public Finance Management Act
<b>PSET</b>	Post-School Education and Training
<b>RD</b>	Research Director
<b>RMS</b>	Research Management System
<b>SDG</b>	Sustainable Development Goal
<b>SRM</b>	Senior Research Manager
<b>SRS</b>	Senior Research Specialist
<b>STI</b>	Science, Technology and Innovation
<b>TIDS</b>	Technical Indicator Descriptions

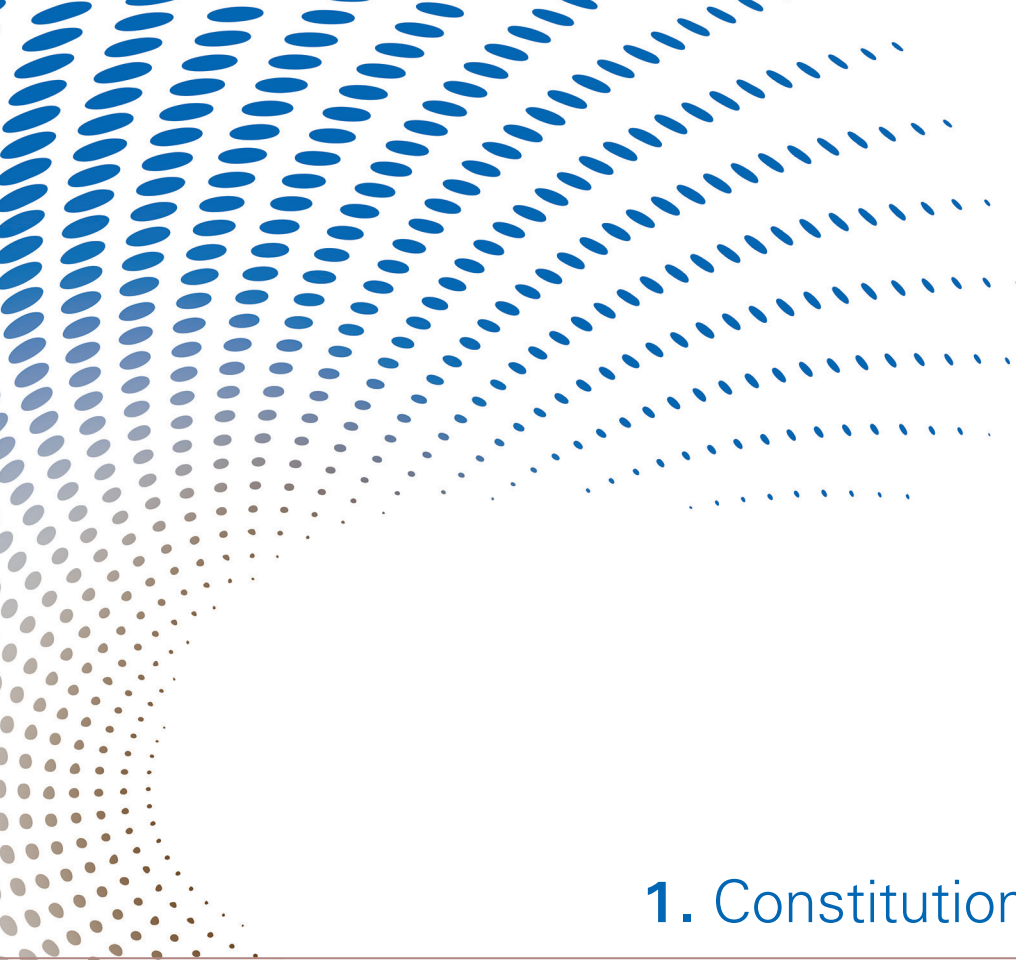




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## **Part A:** Our Mandate





# 1. Constitutional Mandate

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

mandate to fulfil in this, by informing the effective formulation and monitoring of policy, and evaluating the implementation of policy.

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





## 2. Legislative and Policy Mandates

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

- (a) Initiate, undertake and foster strategic basic and applied research in human sciences, and to address developmental challenges in the republic, elsewhere in Africa and in the rest of the world by gathering, analysing and publishing data relevant to such challenges, especially by means of projects linked to public sector oriented collaborative programmes
- (b) Inform the effective formulation and monitoring of policy, as well as evaluate the implementation thereof
- (c) Stimulate public debate through the effective dissemination of fact-based research results
- (d) Help build research capacity and infrastructure for the human sciences.
- (e) Foster research collaboration, networks and institutional linkages
- (f) Respond to the needs of vulnerable and marginalised groups in society through research and analysis of developmental issues, thus contributing to the improvement of the quality of their lives
- (g) Develop and make available data sets underpinning research, policy development and public discussion of developmental issues
- (h) Develop new and improved methodologies for use in the development of such data sets.

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

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

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

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





### 3. Institutional Policies and Strategies over the **Five-year Planning Period**

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

The overarching emphasis of the NDP and its five-year implementation plans is to eliminate income poverty and reduce inequality, by building on three pillars, namely Inclusive Economic Growth, Capabilities of South Africans, and a Capable State. The research agenda of the HSRC is strategically aligned around these pillars and purposes.

The MTSF 2019–2024 echoes the NDP implementation pillars and identifies seven priorities through which to achieve the aims of driving a strong and inclusive economy, building and strengthening the capabilities of South Africans and achieving a more capable state:

Priority 1:	<b>A Capable, Ethical and Developmental State</b>
Priority 2:	<b>Economic Transformation and Job Creation</b>
Priority 3:	<b>Education, Skills and Health</b>
Priority 4:	<b>Consolidating Social Wage through Reliable and Quality Basic Services</b>
Priority 5:	<b>Spatial Development, Human Settlements and Local Government</b>
Priority 6:	<b>Social Cohesion, Safer Communities</b>
Priority 7:	<b>A Better Africa and a Better World</b>

The cross-cutting focus areas of women, youth and people with disabilities point to a commitment to address the needs of all, including vulnerable and marginalised members of society. This commitment resonates well with the public-purpose mandate of the HSRC. Priority 1 introduces the President's District-Metro Co-ordination Model. The HSRC, in its renewed focus on the use and impact of its research, has an important contribution to make in monitoring and evaluating the implementation of the model, and assessing the social implications and potential impact thereof in the affected communities.





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

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

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

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

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

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

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

The SDGs seek to:

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

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

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





clear aspirations for “the Africa we want”, namely:

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

With its mandated focus on developmental issues that are of national, continental and global importance, the work of the HSRC, also in the context of this new strategic planning period, is integrally related to the aspirations of Agenda 2063. The Africa Institute of South Africa (AISA) of the HSRC will lead, provide strategic direction and co-ordinate the HSRC’s existing Pan-African programme of work, and stimulate new streams of research which are informed by the vision of transforming African societies into dynamic, prosperous, safe and secure spaces. Possible new projects to be developed include Africa’s Creative Economies and an African Human Security Index.

Against this background, the HSRC does not envisage the development of new institutional policies to support its Strategic Plan. Rather, it will continue to implement and, where appropriate, revise and strengthen existing policies to guide its strategic research focus, within the broader legal and policy framework outlined previously. These policies include, but are not limited to the:

- HSRC Research Policy
- HSRC Code of Research Ethics
- HSRC Data Management Policy

- HSRC Research Integrity Policy
- HSRC Authorship Policy
- HSRC Performance Information Management Policy.

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

- Human Resources Strategy:** A set of Human Resources (HR) strategies must support the organisation in transforming research capabilities, by building research capacity and transforming human capital. These strategies will focus on retention, transformation and capacity development.
- Information Technology Strategy:** The Information Technology (IT) Strategy will provide such support, processes and structures as are necessary to enable the organisation to implement its core strategy. The IT Strategy will provide solutions for global knowledge generation and dissemination; create an enabling research and technical environment; and foster new skills and capabilities by conducting research, and analysing and publishing data using Fourth Industrial Revolution (4IR) technologies. In addition to IT, a range of knowledge management activities will be established to oversee and manage data services, collections and resources. These will range from infrastructure that provides data access, and longitudinal studies, to platforms that enable data analytics.
- Research Use Strategies:** These strategies will focus on increasing research use through appropriate knowledge-brokering of outputs generated in the research portfolio. The strategies will enable and co-ordinate support and mechanisms for collaboration, convening and communicating.
- Business Development Strategy:** A robust Business Development Strategy is required to forge funding partnerships and unlock new funding sources in order to enhance the organisation’s sustainability.





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## **Part B:** Our Strategic Focus



## 4. Situational Analysis

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The following situational analysis assesses the HSRC's position in relation to government, the NSI and the external and internal forces impacting on its mandate, and is based on the Situational Analysis described in the HSRC's Strategic Plan 2020–2025.

### 4.1 The HSRC and Government

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

Most of the work that is carried out by the HSRC relates to social protection; community and human development; the economic sectors; employment and infrastructure development; and governance, state capacity and institutional development clusters in government.

The HSRC has become a regular partner on the Standing Committee on Appropriations, to which it is invited to make presentations twice annually.

### 4.2 The HSRC in the National System of Innovation

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

#### *Science councils*

The obvious distinctiveness of the HSRC is its mandate. It must focus on human behaviour and the

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

#### **Scientific capacity**

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

#### **Research**

The HSRC has an extensive complement of capabilities in project management, implementation of fieldwork projects, data analysis and data curation.

#### *University sector*

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





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

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

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

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

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

The NSI includes other agencies besides universities and science councils, such as think tanks, private sector research facilities and commercial

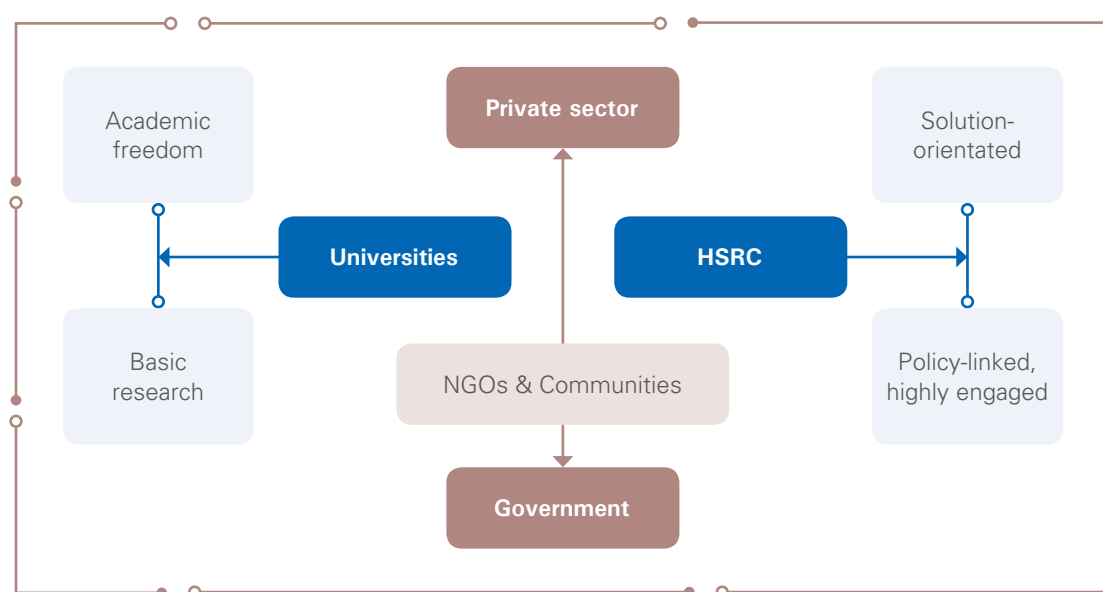


Figure 1: The research mandate of the HSRC in relation to universities





consultancies. While the HSRC will occasionally co-operate with these organisations, it is often in direct competition with them, including competition for government funding. The difference between the HSRC and these organisations is its obligation to concentrate on questions relating to public good.

The joining of the departments of Higher Education and Training, and Science and Innovation under the Ministry for Higher Education, Science and Technology, is an opportunity for much closer collaboration and complementary work with universities, as well as with the National Institute of Humanities and Social Sciences. Additionally, the HSRC will work with its Executive Authority to explore and unlock opportunities in the wider NSI to enable collaboration as opposed to competition.

### 4.3 External Environment Analysis

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

#### 4.3.1 The Political Landscape/ Government

- (i) An important point of departure in characterising the contemporary situation in South Africa is that it is still in a transition. It is consolidating the gains of becoming a democracy in 1994. In this process lie the challenges of building legitimate public institutions and governance arrangements in which citizens have trust. Following the 2019 elections, the HSRC has had to manage the following realities:
  - (a) Being able to inform government policy while, as a non-partisan state entity, simultaneously providing it with critical advice and analysis.
  - (b) Consolidating its position as a trusted public institution amid general public mistrust

and the disruptiveness of corruption and maladministration.

- (c) A realigned ministry and line department.
- (d) Changing government priorities.
- (ii) International dynamics, including support to the HSRC received from foreign governments, have a bearing on the financial support available to it. The major issue here is the deterioration of multilateralism, with an associated decline in support for international development agendas. Major players such as the USA, UK and European Union are becoming more internally focused, with global developmental agendas at risk of not receiving the attention and support pledged in the past.
- (iii) The HSRC business model and reporting standards comply with requirements set by the PFMA. While the PFMA intended to provide an enabling, performance-oriented, transparent and accountable business environment for government departments and public entities, some provisions are arguably a better fit for government departments than for entities such as the HSRC. For instance, the PFMA intends to promote a fair, open and transparent procurement process, and Treasury Regulations pertaining to supply chain management and preferential procurement are also clearly intended to promote these principles. However, the constraints placed by the promulgation and interpretation of some Treasury Regulations place a dual burden on the HSRC in terms of its business and funding model:

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





follow open and transparent procurement processes when looking for trusted collaborators in research projects. This principle works better when supplies are sourced than when specialised services are sourced. When the HSRC has to respond to competitive funding opportunities at short notice, such a procurement regimen is especially not viable.

- **Planning, management and reporting on predetermined objectives:** The HSRC's strategic and annual planning processes and the way in which predetermined performance objectives are set, managed and reported are aligned with requirements set by National Treasury as well as by the Department of Planning, Monitoring and Evaluation (DPME) in the Presidency. These principles and guidelines seek to promote transparency and accountability, but constrain entities whose planning strategies and cycles, as well as funding sources, are not entirely aligned with those of government departments.

#### 4.3.2 The Economic Landscape

- The global economic climate impacts on what the HSRC will do and how it will be supported:** The consequences of the Great Recession in 2008 continue to reverberate, with all the major advanced economies experiencing a slowdown. These conditions have had knock-on effects for exports and foreign direct investment in developing economies throughout the world, including those on the African continent. Countries such as China and India, after more than a decade of what appeared to be strong and sustained growth, are experiencing a slowdown in the growth of their economies, while more vulnerable developing economies such as Brazil and Turkey are in recession.
- Local economic climate:** The effects of global conditions have surfaced strongly in the South African economy, adversely affecting the HSRC. Economic growth over the past five years has fallen below 1 % per annum, exacerbating the country's existing weak fiscal capacity. In the

2019/20 financial year, National Treasury issued directives to government departments and state-owned entities, including the HSRC, to effect savings of R30 billion in salaries. This followed a baseline reduction of R21.2 million in 2018/19. The immediate response of the HSRC was to make a number of internal cost-saving measures and raise the external funding target. This intensified pressure on senior researchers to raise more external income while cutting costs. In turn, the pressure led to increased levels of competition with universities and international consulting firms, both for basic funding and for senior staff with the capacity to operate in this challenging funding environment. With very little or no prospect for financial incentives such as inflation-linked cost of living increases and/or performance awards, staff morale has been affected.

#### 4.3.3 Social Considerations

- Although many social and environmental factors affect the research agenda of the HSRC, the following critical occurrences directly impact on the HSRC's ability to respond to its mandate.
  - The bias in both the public and private sectors towards the 'hard sciences' as opposed to what are considered to be 'soft sciences'.
  - Changes in the burden of disease in the country. The increase in the incidence of TB is affecting funding streams available to the HSRC, e.g. for a particular stream such as HIV/AIDS.
- Public awareness, understanding and use of sciences. The uptake of knowledge among members of the public – the intended beneficiaries of the HSRC's work – is often not adequate because of a lack of trust and/or scientific literacy.

#### 4.3.4 Technology Considerations

- Fourth Industrial Revolution:** The acceleration of technological change the world is seeing is impacting on South Africa. South African institutions are responding to the 4IR through multiple, parallel, and sometimes interlinked





processes. An HSRC baseline study on 4IR influence in the strategies and resource allocations of higher education institutions in South Africa shows that the 4IR has been embraced in some areas of the system. For example, a group of universities (Witwatersrand, Fort Hare and Johannesburg) has partnered with Telkom to establish a platform for engagement, titled 'SA4IR'. It aims to inform the universities' strategies and practices. The HSRC has an important role to play in the context of the 4IR. As a statutory public research institute, the HSRC holds a critical position in the research-policy nexus, and has the necessary research capabilities to ask important questions. The HSRC's public mandate indicates a responsibility to engage with issues of technological disruption. A dedicated task team within the HSRC is currently examining how the organisation could champion the social sciences in the national 4IR policy response, with a focus on research and analysis in the context of poverty, unemployment, and inequality. This work will support, and also draw on, the work of the World Economic Forum 4IR Affiliate Centre, where the HSRC is represented.

- (ii) **Social Media:** Traditional and conventional methods of communication are limited in providing frameworks for optimal advocacy. The HSRC continues to struggle with opportunities and challenges to achieve the desired visibility to create impact. Social media platforms must be exploited intensively as part of a successful stakeholder relations strategy. Big data are currently being collected through social media and thus present an opportunity for developing new approaches to undertake research, especially in the social sciences. The HSRC also has a critical role to play in reflecting on the ethical considerations of conducting research involving social media, and big data derived from social or other commercial platforms.

#### 4.4 Internal Environment Analysis

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

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

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

- (i) Human Resources
- (a) The HSRC faces the challenges of a limited number of senior researchers, who are required not only to raise funds, but also to implement a range of contract research projects, and reach scholarship targets. At 30 September 2019, the HSRC employed 178 researchers. Of these, 84 were employed at the level of Senior Research Specialist (SRS)/Senior Research Manager (SRM) or above. This constitutes 44% of research staff. As was highlighted in all previous institutional reviews, as well as in a climate survey conducted among all HSRC staff in 2016, the organisation needs to employ more senior researchers on permanent conditions of service to ease the burden of fund raising, and to provide reliable mentoring to its research trainees.
- (b) The organisation has historically struggled to achieve its transformation targets at senior researcher levels. Resignation data show that black researchers are in demand and are offered very high salaries in the university and private sectors. The organisation loses its transformation capital when it loses these researchers.
- (ii) Information Technology
- (a) The organisation is working with outdated equipment and has no dedicated capital expenditure allocation for infrastructure. Although it has platforms to showcase longitudinal survey information and to share data, these are not state-of-the-art.





- (b) Moving beyond the purely technical aspects of infrastructure provision, the IT Unit has begun to be more strategic in supporting research. It leverages disruptive modern technologies such as mobility, cloud technologies and real-time data capturing at source to optimise the research environment and introduce efficiencies into the ways in which research is conducted. Although the HSRC has begun to embrace new technologies, it needs to ensure that it remains abreast of developments in the field if it is to become a major competitor in the social science arena. This, however, is largely dependent on access to resources.
- (iii) Information Services
  - (a) A critical partner to IT and to the rest of the organisation is the eResearch Knowledge Centre (eRKC). It supports the research process by providing professional research information services, establishing data standards, preserving and sharing HSRC data and research outputs, and offering spatial computation and data analytics.
- (iv) Financial Resources
  - (a) The current financial model of the HSRC depends significantly on external funding to support research and the broader mandate of the HSRC. The recently audited ratio of parliamentary funding to external income for the financial year ending 31 March 2019 is 54:46. This means that there is pressure on the HSRC to increase external income earnings at a faster pace than the growth in its parliamentary grant, to ensure that all necessary budget commitments in terms of staff, administration, infrastructure and research can be met. This unhealthy pressure is expected to increase over the Medium-Term Expenditure Framework (MTEF) period due to budget cuts to the HSRC's parliamentary budget allocation.

#### 4.5 HSRC Institutional Review, 2018

The preceding analyses of the external and internal environments represent considered viewpoints of the HSRC Board, management, senior researchers

and employees. A research planning lekgotla, involving HSRC management, senior researchers, directors of support units and external experts, as well as an externally-facilitated strategic planning session of the Board, formed part of the process of reflecting on trends in the external and internal environments relevant to the HSRC and its research agenda.

The HSRC at times relies on independent external experts to engage with its work, in order to obtain a balanced yet critical view of its work, including its strategic direction and focus, the overall leadership of the organisation, and the quality and impact of its work. An on-going series of external programme-level reviews took place from 2017 to 2019, and an institution-wide review in 2018. Trends emerging from self-reflection documents prepared for the reviews, as well as the reports of external review panels, were accommodated in the summarised analysis of the external and internal environment, presented earlier.

The report of the external Institutional Review Panel (2018) highlighted the current and future importance of the HSRC and its work in South Africa and the world. It urged the leadership of the HSRC to continue with its work, but with a sense of urgency, and to bring its work to a next level of impact and importance, to have a stronger influence over the processes of social change that are necessary to help overcome and address the challenges and opportunities faced by our society. In response, the Review Panel formulated ten broad recommendations that were intended to help the HSRC move from 'business as usual', to 'business unusual' over the next planning period. The recommendations were considered when developing the HSRC's Theory of Change for the next strategic period, and in the formulation of the overall HSRC Strategy. In some instances, the Five-year Strategic Plan for 2020–2025 already includes responses to some of the recommendations. An overview of the summarised recommendations and immediate HSRC commitments, forming part of its considered response to the Review Report, is illustrated in Figure 2.





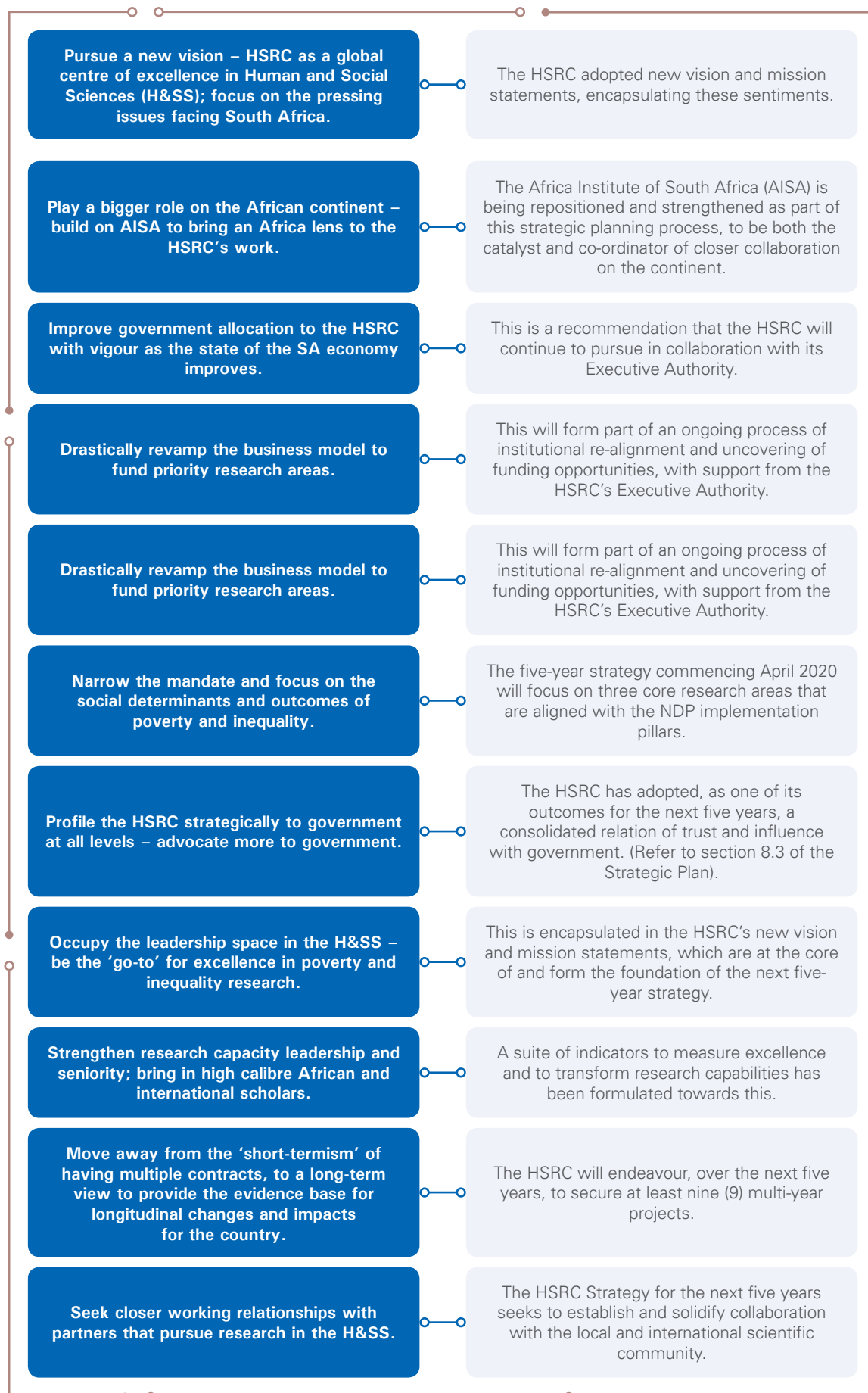
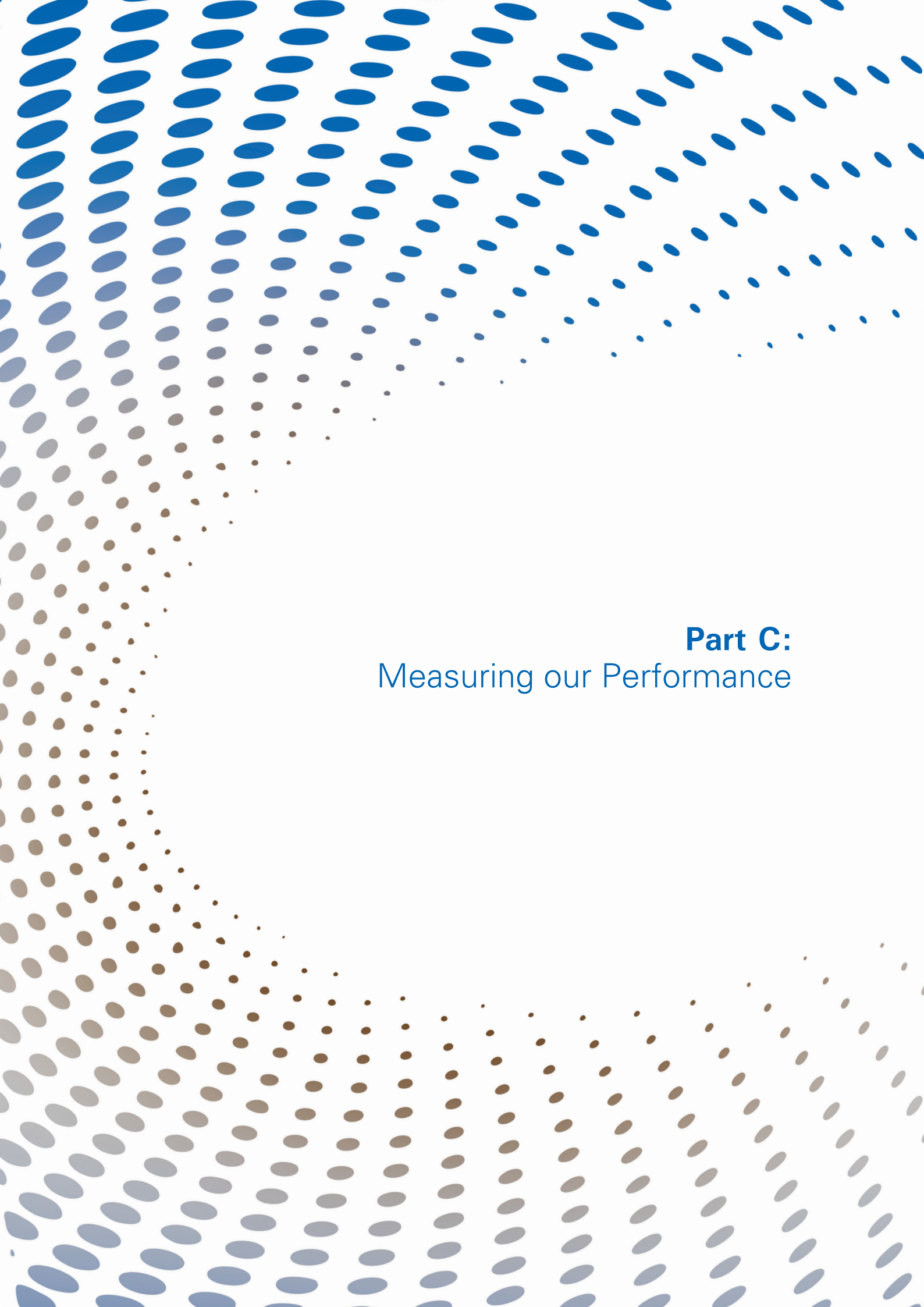


Figure 2: Summarised recommendations and immediate responses from the 2018 Institutional Review







## **Part C:** Measuring our Performance



## 5. Institutional Performance Information

Table 1: Institutional Outcomes, Outputs, Performance Indicators and Targets

Outcome	Output	Output indicators	
1. National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment	1.1. High-impact publications and knowledge products	1.1. The number of peer-reviewed journal articles published per HSRC researcher	
	1.2. High-impact publications and knowledge products	1.2. The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa	
	1.3. High-impact publications and knowledge products	1.3. The number of scholarly books published by HSRC researchers	
	1.4. High-impact publications and knowledge products	1.4. The number of scholarly book chapters published by HSRC researchers	
	1.5. High-impact publications and knowledge products	1.5. The number of HSRC research articles that achieved a citation count of at least 10 within five years of initial publication	
	1.6. High-quality research	1.6. The number of curated datasets downloaded for secondary use	
	1.7. Use mechanisms	1.7. The number of events dealing with the eradication of poverty, reduction of inequalities and/or promotion of employment convened by the HSRC	
2. A consolidated relationship of trust and influence with government to help guide and inform policy	2.1. High-impact publications and knowledge products	2.1. The number of policy briefs and/or evidence reviews completed and published	
	2.2. Use mechanisms	2.2. The number of structured research engagements with government, policy makers and implementers	





	Annual targets						
	Audited/actual performance			Estimated performance	MTEF period		
	2017/18	2018/19	2019/20 (annual target)	2020/21	2021/22	2022/23	2023/24
	1.1	1.06	1.0	1	1	1.1	1.1
	18	10	10	10	12	15	18
	16	18	15	7	8	8	9
	42	93	54	45	47	48	49
	187	171	10	160	160	165	170
	507	661	496	520	546	574	603
	New	New	New	1	2	1	2
	Revised	Revised	Revised	6	9	12	12
	New	New	New	3	6	7	8





Table 1: Institutional Outcomes, Outputs, Performance Indicators and Targets (continued)

Outcome	Output	Output indicators	
3. Recognition as a trusted and engaged research partner within scientific communities and civil society	3.1. Use mechanisms	3.1. The number of research-related engagements with communities and civil society forums	
	3.2. Use mechanisms: Partnerships	3.2. The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers	
	3.3. High-quality research use mechanisms	3.3. The number of community innovations supported or enabled by HSRC research	
	3.4. Partnerships	3.4. The number of collaborative research projects with universities (including Historically Disadvantaged Institutions (HDIs) and science councils in South Africa	
	3.5. Trained researchers: Skills	3.5. The number of incoming international exchange visits or fellowships active during the period under review	
4. Transformed research capabilities	4.1. Trained researchers: Skills	4.1. The percentage of senior researchers (SRS/SRM+) who are black	
	4.2. Trained researchers: Skills	4.2. The percentage of senior researchers (SRS/SRM+) who are female	
	4.3. Trained researchers: Skills	4.3. The percentage of researchers (excluding trainees) with PhDs	
	4.4. Trained researchers: Skills	4.4. The number of PhD trainees	
	4.5. Trained researchers: Skills	4.5. The number of conferences or training academies for emerging scholars	
5. Sustainable income streams	5.1. Partnerships	5.1. The percentage of total income that is extra-parliamentary	
	5.2. Partnerships	5.2. The number of internationally-funded collaborative projects involving multi-year grants of R5 million or more	





	Annual targets						
	Audited/actual performance			Estimated performance	MTEF period		
	2017/18	2018/19	2019/20 (annual target)	2020/21	2021/22	2022/23	2023/24
	New	New	New	5	6	7	8
	New	New	New	1	1	2	2
	New	New	New	1	1	1	1
	New	New	New	3	4	6	7
	Revised	Revised	Revised	6	8	9	10
	Revised	Revised	Revised	46%	48%	51%	53%
	Revised	Revised	Revised	35%	37%	39%	42%
	New	New	New	75%	76%	77%	78%
	23	20	45	40	42	43	44
	New	New	New	2	2	2	3
	52.03%	45.54%	48%	48%	48%	48%	48%
	New	New	New	2	3	5	7





## Programme 1: Administration

### Purpose

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

A new **Impact Centre** will focus on research use and impact, providing support and mechanisms for collaboration, convening and communicating the HSRC's work so that it is able to position itself as the flagship for human and social sciences research in the country. A coherent and articulated strategy that helps answer the questions underpinning

impact will be combined with a process for making the HSRC's work more visible. This work will inform reporting on a key indicator of the extent to which there is uptake and utilisation of the knowledge produced at the HSRC to create impact in communities.

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

Table 2: Outcomes, Outputs, Performance Indicators and Targets: Programme 1

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





**Programme 1 consists of:**

**The Office of the Chief Executive Officer (CEO)**

- CEO
- Board Secretariat
- Internal Audit
- Planning, Monitoring and Evaluation

**The Group Executive: Impact Centre**

- Impact Assessment
- Strategic Partnerships
- Communications

**The Office of the Chief Financial Officer (CFO)**

- Finance
- Supply Chain Management
- Enterprise Risk Management

**The Office of the Group Executive: Shared Services**

- Human Capital and Capacity Development
- Facilities and Occupational Health and Safety
- Legal Services, Intellectual Property and Compliance
- Information Technology

	Annual targets						
	Audited/actual performance			Estimated performance	MTEF period		
	2017/18	2018/19	2019/20 (annual target)	2020/21	2021/22	2022/23	2023/24
	187	171	10	160	160	165	170
	507	661	496	520	546	574	603
	New	New	New	1	2	1	2
	New	New	New	3	4	6	7
	Revised	Revised	Revised	46%	48%	51%	53%
	Revised	Revised	Revised	35%	37%	39%	42%
	New	New	New	75%	76%	77%	78%
	23	20	45	40	42	43	44
	New	New	New	2	2	2	3
	52.03%	45.54%	48%	48%	48%	48%	48%
	New	New	New	2	3	5	7





## Programme 2: Research, Development and Innovation

### Purpose

This programme conducts basic and applied research in order to generate and apply knowledge with a distinct social science and humanities focus to support national developmental priorities. Programme 2 includes the Africa Institute of South Africa (AISA).

### Sub-Programme 1: Inclusive Economic Development

#### Purpose

Research to identify priority actions to generate faster national economic growth

### Sub-Programme 2: Human and Social Capabilities

#### Purpose

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

Table 3: Outcomes, Outputs, Performance Indicators and Targets: Programme 2

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





### **Sub-Programme 3: Developmental, Capable and Ethical State**

#### **Purpose**

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

### **Sub-Programme 4: Africa Institute of South Africa**

#### **Purpose**

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

- Providing a hub for Africa-centred research and policy engagement
- Being a thought leader on key questions facing the continent, and a catalyst for change
- Connecting African scholars, practitioners and policymakers, amplifying African voices, and leveraging existing capacities to improve policy and practice
- Capacitating a new generation of young African scholars.

	Annual targets						
	Audited/actual performance			Estimated performance	MTEF period		
	2017/18	2018/19	2019/20 (annual target)	2020/21	2021/22	2022/23	2023/24
	1.1	1.06	1.0	1	1	1.1	1.1
	18	10	10	10	12	15	18
	16	18	15	7	8	8	9
	42	93	54	45	47	48	49
	Revised	Revised	Revised	6	9	12	12
	New	New	New	3	6	7	8
	New	New	New	5	6	7	8
	New	New	New	1	1	2	2
	New	New	New	1	1	1	1
	Revised	Revised	Revised	6	8	9	10





Table 4: Institutional Indicators – Annual and Quarterly Targets

	Cumulative Year-to-date
	Annual
	Non-cumulative

Output indicators	Annual target	Q1	Q2	Q3	Q4
<b>1. National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment</b>					
1.1 The number of peer-reviewed journal articles published per HSRC researcher	1	0.10	0.30	0.50	1.00
1.2 The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa	10	1	4	6	10
1.3 The number of scholarly books published by HSRC researchers	7	0	2	4	7
1.4 The number of scholarly book chapters published by HSRC researchers	45	4	15	25	45
1.5 The number of HSRC research articles that have achieved a citation count of at least 10 within five years of initial publication	160	n/a	n/a	n/a	160
1.6 The number of curated datasets downloaded for secondary use	520	n/a	n/a	n/a	520
1.7 The number of events dealing with the eradication of poverty, reduction of inequalities and/or promotion of employment convened by the HSRC	1	0	0	1	1
<b>2. A consolidated relationship of trust and influence with government to help guide and inform policy</b>					
2.1 The number of policy briefs and/or evidence reviews completed and published	6	0	2	4	6
2.2 The number of structured research engagements with government, policy makers and implementers	3	0	1	1	3





Output indicators	Annual target	Q1	Q2	Q3	Q4
<b>3. Recognition as a trusted and engaged research partner within scientific communities and civil society</b>					
3.1 The number of research-related engagements with communities and civil society forums	5	1	2	3	5
3.2 The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers	1	0	1	1	1
3.3 The number of community innovations supported or enabled by HSRC research	1	n/a	n/a	n/a	1
3.4 The number of collaborative research projects with universities (including HDIs) and science councils in South Africa	3	0	1	2	3
3.5 The number of incoming international exchange visits or fellowships active during the period under review)	6	1	2	4	6
<b>4. Transformed research capabilities</b>					
4.1 The percentage of senior researchers (SRS/ SRM+) who are black	46%	44%	45%	46%	46%
4.2 The percentage of senior researchers (SRS/ SRM+) who are female	35%	33%	34%	35%	35%
4.3 The percentage of researchers (excluding trainees) with PhDs	75%	73%	73%	74%	75%
4.4 The number of PhD trainees	40	25	30	35	40
4.5 The number of conferences or training academies for emerging scholars	2	n/a	n/a	n/a	2
<b>5. Sustainable income streams</b>					
5.1 The percentage of total income that is extra-parliamentary	48%	36%	40%	48%	48%
5.2 The number of internationally funded collaborative projects involving multi-year grants of R5 million or more	2	0	1	1	2





Table 5: Indicators, Annual and Quarterly Targets: Programme 1

	Cumulative Year-to-date
	Annual
	Non-cumulative

Output indicators	Annual target	Q1	Q2	Q3	Q4
<b>1. National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment</b>					
1.5 The number of HSRC research articles that have achieved a citation count of at least 10 within five years of initial publication	160	n/a	n/a	n/a	160
1.6 The number of curated datasets downloaded for secondary use	520	n/a	n/a	n/a	520
1.7 The number of events dealing with the eradication of poverty, reduction of inequalities and/or promotion of employment convened by the HSRC	1	0	0	1	1
<b>3. Recognition as a trusted and engaged research partner within scientific communities and civil society</b>					
3.4 The number of collaborative research projects with universities (including HDIs) and science councils in South Africa	3	0	1	2	3
<b>4. Transformed research capabilities</b>					
4.1 The percentage of senior researchers (SRS/ SRM+) who are black	46%	44%	45%	46%	46%
4.2 The percentage of senior researchers (SRS/ SRM+) who are female	35%	33%	34%	35%	35%
4.3 The percentage of researchers (excluding trainees) with PhDs	75%	73%	73%	74%	75%
4.4 The number of PhD trainees	40	25	30	35	40
4.5 The number of conferences or training academies for emerging scholars	2	n/a	n/a	n/a	2
<b>5. Sustainable income streams</b>					
5.1 The percentage of total income that is extra-parliamentary	48%	36%	40%	48%	48%
5.2 The number of internationally funded collaborative projects involving multi-year grants of R5 million or more	2	0	1	1	2





Table 6: Indicators, Annual and Quarterly Targets: Programme 2

	Cumulative Year-to-date
	Annual
	Non-cumulative

Output indicators	Annual target	Q1	Q2	Q3	Q4
<b>1. National, regional and global leadership in the production and use of targeted knowledge to support the eradication of poverty, the reduction of inequalities and the promotion of employment</b>					
1.1 The number of peer-reviewed journal articles published per HSRC researcher	1	0.10	0.30	0.50	1.00
1.2 The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa	10	1	4	6	10
1.3 The number of scholarly books published by HSRC researchers	7	0	2	4	7
1.4 The number of scholarly book chapters published by HSRC researchers	45	4	15	25	45
<b>2. A consolidated relationship of trust and influence with government to help guide and inform policy</b>					
2.1 The number of policy briefs and/or evidence reviews completed and published	6	0	2	4	6
2.2 The number of structured research engagements with government, policy makers and implementers	3	0	1	1	3
<b>3. Recognition as a trusted and engaged research partner within scientific communities and civil society</b>					
3.1 The number of research-related engagements with communities and civil society forums	5	1	2	3	5
3.2 The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers	1	0	1	1	1
3.3 The number of community innovations supported or enabled by HSRC research	1	n/a	n/a	n/a	1
3.5 The number of incoming international exchange visits or fellowships active during the period under review)	6	1	2	4	6





## 6. Explanation of Planned Performance over the **Medium-term Period**

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

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

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

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

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

By **conducting** basic and applied research, it will **generate and apply knowledge** with a distinct social sciences and humanities focus, to support

South Africa's national developmental priorities by:

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

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

Desired outputs to achieve this outcome are:

- (i) High-impact publications and knowledge products
- (ii) High-quality research to demonstrate research excellence and the capacity to initiate and lead in convening experts at appropriate fora; and
- (iii) Use mechanisms for effective knowledge-brokering.

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

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

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





The desired outputs in support of this outcome are:

- (i) High-impact publications and knowledge products to assist policy-makers through evidence
- (ii) Use mechanisms for effective knowledge-brokering
- (iii) Partnerships to become a preferred partner to government in response to its research needs.

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

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

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

Desired outputs in support of this outcome are:

- (i) Use mechanisms to effectively share and enhance the understanding and use of science by communities
- (ii) Partnerships to enable collaboration and multidisciplinary approaches to solution-oriented research
- (iii) High-quality research to stimulate and support community innovation
- (iv) Trained researchers and skills to build trust in research communities.

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

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

### **Transformed research capabilities**

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

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

The desired output to achieve this outcome is:

- Trained researchers and skills

Towards this end, the organisation will measure progress against a set of indicators on employment equity and learning and development.

### **Sustainable income streams**

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

The desired output in support of this outcome is:

- Partnerships

Partnerships are required to stimulate external income.

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





## 7. Programme Resource Considerations

Table 7: Budget Allocation for all Programmes as per the Estimates of National Expenditure (ENE)

	2016/17	2017/18	
Rand thousand	Audited outcome	Audited outcome	
<b>Objective/Activity</b>			
Administration	196 453	165 920	
Research, development and innovation	284 226	357 634	
Africa Institute of South Africa	27 805	32 678	
<b>Total</b>	<b>508 484</b>	<b>556 233</b>	
<b>Economic classification</b>			
Current payments	480 679	556 233	
Compensation of employees	271 009	282 656	
Salaries and wages	271 009	282 656	
Social contributions	-	-	
Goods and services	196 670	259 062	
of which:			
Agency and support/outsourced services	6 485	4 704	
Audit costs	5 922	4 502	
Bank charges	381	572	
Communication	13 592	17 524	
Computer services	-	-	
Contractors	11 420	13 068	
Inventory	5 136	5 185	
Lease payments	9 247	11 652	
Legal fees	444	569	
Non-life insurance	2 599	2 330	
Repairs and maintenance	16 792	13 701	
Research and development	109 536	175 137	
Training and staff development	4 481	2 109	
Travel and subsistence	6 466	3 869	
Other unclassified expenditure	4 169	4 140	
Other operational expenses	4 169	4 140	
Depreciation	11 250	13 045	
Interest, dividends and rent on land	1 750	1 469	
Interest	1 750	1 469	
Dividends	-	-	
Transfers and subsidies	-	-	
Departmental agencies and accounts	-	-	
<b>Total expenditure</b>	<b>480 679</b>	<b>556 233</b>	





	2018/19	2019/20	2020/21	2021/22	2022/23
	Audited outcome	Approved budget	Revised budget estimate	Revised budget estimate	Planning budget estimate
	189 436	214 184	221 723	227 505	238 425
	275 681	385 757	391 104	413 337	443 984
	20 434	-	-	-	-
	<b>485 551</b>	<b>599 941</b>	<b>612 827</b>	<b>640 842</b>	<b>682 409</b>
	485 551	558 195	568 952	594 772	634 129
	293 196	289 190	289 012	288 759	302 619
	293 196	289 190	289 012	288 759	302 619
	-	-	-	-	-
	176 725	255 698	263 954	289 228	313 919
	3 725	7 875	8 277	8 691	9 108
	4 720	4 475	4 703	4 939	5 176
	419	590	620	651	682
	14 588	19 195	20 174	21 183	22 199
	-	773	813	853	894
	13 254	15 237	16 014	16 815	17 622
	1 950	5 153	5 415	5 686	5 959
	11 814	12 953	13 613	14 294	14 980
	158	421	443	465	487
	2 122	2 694	2 832	2 973	3 116
	15 012	15 531	16 323	17 139	17 962
	94 087	122 824	129 088	135 543	142 049
	1 898	3 640	3 826	4 017	4 210
	3 954	4 960	5 213	5 473	5 736
	9 025	39 377	36 600	50 507	63 741
	9 025	39 377	36 600	50 507	63 741
	14 377	11 882	14 488	15 212	15 942
	1 252	1 426	1 498	1 573	1 649
	1 252	1 426	1 498	1 573	1 649
	-	-	-	-	-
	-	41 746	43 875	46 069	48 279
	-	41 746	43 875	46 069	48 279
	<b>485 551</b>	<b>599 941</b>	<b>612 827</b>	<b>640 842</b>	<b>682 409</b>





Table 8: Budget Allocation for Programme 1 as per the ENE

Expenses	2016/17	2017/18	
Rand thousand	Audited outcome	Audited outcome	
<b>Objective/Activity</b>			
Administration	196 453	165 920	
<b>Economic classification</b>			
Current payments	168 648	165 920	
Compensation of employees	82 544	82 617	
Salaries and wages	82 544	82 617	
Social contributions	-	-	
Goods and services	78 769	72 465	
of which:			
Agency and support/outsourced services	6 485	4 704	
Audit costs	5 736	4 073	
Bank charges	370	536	
Communication	11 183	13 085	
Contractors	11 420	13 046	
Inventory	5 136	3 999	
Lease payments	8 158	10 751	
Legal fees	385	269	
Non-life insurance	2 468	2 326	
Repairs and maintenance	15 873	13 406	
Research and development	-	-	
Training and staff development	3 054	1 173	
Travel and subsistence	6 436	3 819	
Venues and facilities	-	-	
Other unclassified expenditure	2 063	1 278	
Other operating expenses	2 063	1 278	
Depreciation	5 586	9 369	
Other	-	-	
Interest, dividends and rent on land	1 750	1 469	
Interest	1 750	1 469	
Transfers and subsidies	-	-	
Departmental agencies and accounts	-	-	
<b>Total expenditure</b>	<b>168 648</b>	<b>165 920</b>	





	2018/19	2019/20	2020/21	2021/22	2022/23
	Audited outcome	Approved budget	Revised budget estimate	Revised budget estimate	Planning budget estimate
	189 436	214 184	221 723	227 505	238 425
	189 436	199 572	206 366	211 380	221 525
	105 771	104 326	104 261	104 170	109 170
	105 771	104 326	104 261	104 170	109 170
	-	-	-	-	
	71 023	86 133	90 526	95 052	99 614
	3 131	5 792	6 087	6 391	6 698
	4 296	4 475	4 703	4 939	5 176
	359	590	620	651	682
	11 793	13 456	14 142	14 849	15 562
	13 201	15 111	15 882	16 676	17 477
	1 175	4 399	4 624	4 855	5 088
	10 831	12 453	13 088	13 742	14 402
	97	421	443	465	487
	2 110	2 694	2 832	2 973	3 116
	14 826	14 880	15 639	16 421	17 209
	395	-	-	-	-
	1 123	2 192	2 303	2 419	2 535
	3 528	4 103	4 312	4 528	4 745
	-	-	-	-	-
	4 157	5 567	5 851	6 143	6 438
	4 157	5 567	5 851	6 143	6 438
	11 390	7 688	10 080	10 584	11 092
	-	-	-	-	-
	1 252	1 426	1 498	1 573	1 649
	1 252	1 426	1 498	1 573	1 649
	-	14 612	15 357	16 125	16 899
	-	14 612	15 357	16 125	16 899
	<b>189 436</b>	<b>214 184</b>	<b>221 723</b>	<b>227 505</b>	<b>238 425</b>





Table 9: Budget Allocation for Programme 2 as per the ENE

Expenses	2016/17	2017/18	
Rand thousand	Audited outcome	Audited outcome	
<b>Objective/Activity</b>			
Administration	312 031	390 313	
<b>Economic classification</b>			
Current payments	312 031	390 313	
Compensation of employees	188 465	200 039	
Salaries and wages	188 465	200 039	
Social contributions	-	-	
Goods and services	117 902	186 598	
of which			
Agency and support/outsourced services	-	-	
Audit costs	185	429	
Bank charges	11	36	
Communication	2 409	4 440	
Computer services	-	-	
Contractors	-	22	
Inventory	-	1 186	
Lease Payments	1 090	901	
Legal fees	59	300	
Non-life insurance	131	4	
Repairs and maintenance	918	295	
Research and development	109 536	175 137	
Training and staff development	1 427	936	
Travel and subsistence	30	51	
Other unclassified expenditure	2 106	2 862	
Other operational expenses	2 106	2 862	
Depreciation	5 665	3 676	
Interest, dividends and rent on land	-	-	
Interest	-	-	
Dividends	-	-	
Transfers and subsidies	-	-	
Departmental agencies and accounts	-	-	
<b>Total expenditure</b>	<b>312 031</b>	<b>390 313</b>	





	2018/19	2019/20	2020/21	2021/22	2022/23
	Audited outcome	Approved budget	Revised budget estimate	Revised budget estimate	Planning budget estimate
	296 115	385 757	391 104	413 337	443 984
	296 114	358 623	362 586	383 393	412 604
	187 425	184 864	184 751	184 589	193 449
	187 425	184 864	184 751	184 589	193 449
	-	-	-	-	-
	105 702	169 565	173 428	194 176	214 305
	593	2 084	2 190	2 300	2 410
	424	-	-	-	-
	60	-	-	-	-
	2 794	5 739	6 032	6 333	6 637
	-	-	-	-	-
	53	126	132	139	145
	775	753	792	831	871
	983	500	525	552	578
	60	-	-	-	-
	12	-	-	-	-
	186	651	684	718	753
	93 693	122 824	129 088	135 543	142 049
	775	1 448	1 522	1 598	1 675
	427	857	901	945	991
	4 868	33 810	30 749	44 364	57 303
	4 868	33 810	30 749	44 364	57 303
	2 987	4 194	4 408	4 628	4 850
	-	-	-	-	-
	-	-	-	-	-
	-	-	-	-	-
	-	27 133	28 518	29 944	31 380
	-	27 133	28 518	29 944	31 380
	<b>296 114</b>	<b>385 757</b>	<b>391 104</b>	<b>413 337</b>	<b>443 984</b>





### **Explanation of the Contribution of Resources Towards Achievement of Outputs**

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

Being a research institute, human capital is central to the Council and as such, expenditure on compensation of employees accounts for 45%, or R880 million, of the total projected expenditure over the MTEF. The Council's staff complement for 2019/20 is estimated at 529 and is expected to reduce gradually over the next three years, with salary cost adjustments being effected annually in line with inflation and Treasury instructions. Expenditure amounting to R931 million, or 48% of total projected spending over the MTEF, is allocated to the implementation and support of research activities. The main cost drivers include direct research costs, which incorporate fieldwork expenses, travel, accommodation and other sundry research costs. Goods and services encompass expenses required to run the institution optimally, namely, research costs, operating costs, administrative costs and capital expenditure through depreciation and amortisation.





## 8. Updated Key Risks

Table 10: Key Risks and Mitigation

Key risk	Outcome	Risk mitigation
Sustainability	<ul style="list-style-type: none"> <li>• Sustainable income streams</li> <li>• Relationship of trust and influence with government</li> <li>• Transformed research capabilities</li> </ul>	<ul style="list-style-type: none"> <li>• SA Government (MTEF) funding covers a three-year cycle.</li> <li>• Multi-year external grants and funding (3 years and above).</li> <li>• Diversification of funding sources.</li> <li>• Develop innovative research ideas and methodologies.</li> <li>• Develop a communication and branding strategy to position the HSRC as the leading social and humanities research institution.</li> <li>• Review the relevance and effectiveness of the current business model.</li> <li>• Establish a Knowledge Commons to optimise the use of library resources and services in pursuit of enhancing the researcher's knowledge base and skills.</li> </ul>
Relevance and impact of HSRC	<ul style="list-style-type: none"> <li>• Relationship of trust and influence with government</li> <li>• Trusted and engaged research partner with communities and civil society</li> <li>• National, regional and global leadership in production and use of targeted knowledge</li> </ul>	<ul style="list-style-type: none"> <li>• Develop a stakeholder strategy (long- and short-term) to consolidate and initiate conversations and relationships with key role players in government and the broader funding community.</li> <li>• Apply baseline funding for emerging research and advocate the impact of the research to stakeholders and funders.</li> <li>• Broaden the outcomes to include advocacy and research impact.</li> <li>• Enhance the HSRC's African footprint.</li> <li>• Match opportunities with proven capabilities.</li> <li>• Surplus funds to be retained in programmes as seed capital to bankroll the research of emerging social and humanities challenges.</li> <li>• Ongoing monitoring of changes and priorities in the research markets.</li> <li>• Review and co-ordinate effective platforms for dissemination of research outputs to stakeholders.</li> <li>• Research ethics and governance structures in place to deliver quality research.</li> </ul>
Human resources	<ul style="list-style-type: none"> <li>• National, regional and global leadership in production and use of targeted knowledge</li> <li>• Transformed research capabilities</li> </ul>	<ul style="list-style-type: none"> <li>• Implement talent management and retention strategy.</li> <li>• Develop and articulate the employee value proposition.</li> <li>• Review and develop an HSRC remuneration/compensation philosophy.</li> <li>• Implement succession planning for executive management and key roles.</li> <li>• Develop and implement a performance model.</li> <li>• Design and implement an Accelerated Development Plan for black researchers.</li> <li>• Enhance the post-doctoral fellow and PhD researcher trainee programmes.</li> <li>• Develop new partnerships with research organisations.</li> </ul>





Table 10: Key Risks and Mitigation (continued)

Key risk	Outcome	Risk mitigation
Physical and IT infrastructure, systems and equipment	<ul style="list-style-type: none"> <li>Transformed research capabilities</li> </ul>	<ul style="list-style-type: none"> <li>Formulate a funding proposal for submission to the Department of Science and Innovation and National Treasury to address aging IT and physical infrastructure deficiencies.</li> <li>Information security controls in place.</li> <li>Governance oversight structures in place to monitor the effectiveness of mitigation and initiatives.</li> <li>Planned preventative maintenance programme in place to drive the Occupational Health and Safety Act, 1993 (Act No. 85 of 1993)(OHSA) and building regulation compliance.</li> <li>Regular OHSA audits conducted to drive compliance and flag risk practices.</li> <li>Establish a Records Management Office in compliance with requirements as stipulated in the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000).</li> <li>Develop a website to provide online access to information and resources for eResearch Knowledge production via the intranet.</li> <li>Develop an eResearch support strategy, in line with latest trends, to enable a support service in line with 4IR expectations.</li> </ul>





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## **Part D:** Technical Indicator Descriptions (TIDS)



# Technical Indicator Descriptions (TIDS)

Table 11: Technical Indicator Descriptions

Indicator title	1.1 The number of peer-reviewed journal articles published per HSRC researcher
<b>Definition</b>	<p>(a) Peer-reviewed journal articles: These are articles published in journals recognised by the Ministry of Higher Education, Science and Technology for subsidy purposes, and recognised as HSRC outputs during the period under review.</p> <p>To be recognised as an HSRC output, at least one of the authors or co-authors listed in the publication must be affiliated with the HSRC. Further detail on HSRC affiliation:</p> <ul style="list-style-type: none"> <li>• The contact address of an author appearing on the published research output must be the address of the HSRC, and the author must be employed by the HSRC during the financial year under review</li> <li>• A letter from the Executive Director or head of the research unit submitting the output (supported by relevant research project- or HR-related evidence) is required in the following cases: <ul style="list-style-type: none"> <li>• If the publication does not contain reference to institutional affiliation with the HSRC</li> <li>• In cases where the author claiming institutional affiliation was employed by the HSRC during a prior period but retired or left such employment before the financial year under review</li> <li>• In cases of visiting scholars or honorary research fellows claiming institutional affiliation.</li> </ul> </li> </ul> <p>(b) Researchers: These are HSRC research staff on the 'permanent' payroll (1 year or longer), appointed at the levels of researcher or above and excluding research interns/ trainees appointed in accordance with the HSRC researcher trainee policy, as at the last day of the reporting period.</p>
<b>Source of data</b>	<p>(a) Research Management System (RMS) research outputs</p> <p>(b) HR staff database</p>
<b>Method of calculation/ assessment</b>	<p>(a) Count total number of recognised articles</p> <p>(b) Count total number of researchers</p> <p>Calculate ratio: a/b expressed as a decimal fraction</p>
<b>Means of verification</b>	Copy of published output as captured in the RMS
<b>Assumptions</b>	Source data are complete and accurate
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<p>For journal articles:</p> <ul style="list-style-type: none"> <li>• Research programmes to deliver, and submit information for capture on the RMS</li> <li>• eResearch Knowledge Centre (eRKC) for verification prior to reporting</li> </ul> <p>For researcher information:</p> <ul style="list-style-type: none"> <li>• Director HR for updated staff information</li> </ul>





Indicator title	1.2 The number of peer-reviewed journal articles published with at least one non-HSRC co-author from an African country other than South Africa
<b>Definition</b>	<p>Peer-reviewed journal articles: As per Indicator 1.1 (a)</p> <p>At least one of the authors listed in the publication must be affiliated with the HSRC as per Indicator 1.1(a), and at least one of the other authors listed in the publication must be a non-HSRC researcher affiliated with an institution in an African country other than South Africa.</p>
<b>Source of data</b>	Research Management System (RMS) research outputs
<b>Method of calculation/assessment</b>	Count the total number of articles with at least one co-author from an African country other than South Africa
<b>Means of verification</b>	Copy of published output as captured in the RMS
<b>Assumptions</b>	Source data are complete and accurate
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research programmes to deliver, and submit information for capturing on RMS</li> <li>• e-Research Knowledge Centre (eRKC) to verify prior to reporting</li> </ul>





Indicator title	1.3 The number of scholarly books published by HSRC researchers
<b>Definition</b>	<p>Scholarly books are non-periodical scholarly or research publications, disseminating original research, that meet the requirements for recognition the 2015 DHET Policy on Research Outputs, and have been published in South Africa or internationally during the period under review:</p> <ul style="list-style-type: none"> <li>• Examples of scholarly books include monographs or collected works</li> <li>• The length of the book must be a minimum of 60 pages, excluding references, bibliography and appendices</li> <li>• The book must have an International Standard Book Number (ISBN)</li> <li>• The book must be peer-reviewed prior to publication, with supporting evidence of the review process provided in the book or obtained from the publishers of the book</li> <li>• In the case of the HSRC, books based on research commissioned and paid for by external organisations may be included on condition that they have been independently peer reviewed. Other than that, the 2015 DHET Policy on Research Outputs will be applied.</li> </ul> <p>To be recognised as an HSRC output, at least one of the authors or editors associated with the book publication as a whole must be affiliated with the HSRC, as per Indicator 1.1.</p>
<b>Source of data</b>	Research Management System (RMS) research outputs
<b>Method of calculation/assessment</b>	Count total number of scholarly books with at least one author or editor of the entire book affiliated with the HSRC
<b>Means of verification</b>	Copy of published output as captured in the RMS
<b>Assumptions</b>	Source data are complete and accurate
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research programmes to deliver, and submit information for capturing on RMS</li> <li>• eResearch Knowledge Centre (eRKC) to verify prior to reporting</li> </ul>





Indicator title	1.4 The number of scholarly book chapters published by HSRC researchers
Definition	<p>Scholarly book chapters are free-standing, peer-reviewed contributions to an edited scholarly book as per Indicator 1.3, consisting of substantially new material attributed to a chapter author or authors, and published during the period under review.</p> <p>In the case of the HSRC, book chapters based on research commissioned and paid for by external organisations may be included, on condition that they have been independently peer reviewed. Other than that, the 2015 DHET Policy on Research Outputs will be applied.</p> <p>To be recognised as an HSRC output, at least one of the authors associated with the book chapter must be affiliated with the HSRC, as per Indicator 1.1.</p>
Source of data	Research Management System (RMS) research outputs
Method of calculation/assessment	Count total number of scholarly book chapters with at least one author affiliated with the HSRC
Means of verification	Copy of published output as captured in the RMS
Assumptions	Source data are complete and accurate
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
Spatial transformation (where applicable)	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	<ul style="list-style-type: none"> <li>• Research programmes to deliver, and submit information for capturing on RMS</li> <li>• eResearch Knowledge Centre (eRKC) to verify prior to reporting</li> </ul>





Indicator title	1.5 The number of HSRC research articles that achieved a citation count of at least 10 within five years of initial publication
<b>Definition</b>	These are the number of HSRC research outputs, recognised as HSRC peer-reviewed journal articles in the five annual reporting periods preceding the year under review, but limited to only those articles indexed in the SCOPUS database, with at least 10 citations listed in the SCOPUS database as at the last day of the year under review.
<b>Source of data</b>	Research Management System (RMS) research outputs
<b>Method of calculation/assessment</b>	<ul style="list-style-type: none"> <li>• Identify all HSRC peer-reviewed journal articles captured in the RMS for the five years prior to the year under review (current reporting period)</li> <li>• Select from these articles only those listed on the SCOPUS database</li> <li>• Obtain and capture the number of citations listed on the SCOPUS database for each selected research output, as at the 31 March of the current reporting period</li> <li>• Identify those research outputs with a citation count of 10 or more</li> <li>• Count the total number of peer-reviewed journal articles with a citation count of 10 or more</li> </ul>
<b>Means of verification</b>	Copy of published output as captured in the RMS
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>• Source data are complete and accurate</li> <li>• The HSRC subscription to SCOPUS is maintained</li> </ul>
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Annual, i.e. non-cumulative
<b>Reporting cycle</b>	Annual
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	Director: eResearch Knowledge Centre (eRKC)





Indicator title	1.6 The number of curated datasets downloaded for secondary use
Definition	This is the number of instances where HSRC-curated datasets are downloaded for secondary use via the HSRC's research data repository during the period under review.
Source of data	Report as reflected in Research Management System (RMS)
Method of calculation/assessment	Count the number of downloads of curated data sets during the period under review
Means of verification	<ul style="list-style-type: none"> <li>• Register of downloads as prepared by IT and verified by Head: Digital Curation – the downloads are registered in a database linked to the HSRC's research data repository</li> <li>• IT is responsible for managing the HSRC's research data repository and extracting the required statistics from the database.</li> <li>• This is subsequently verified by the Head: Digital Curation at the eRKC</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>• At least ten new datasets are curated and released per year</li> <li>• The data repository and associated software for reporting will not be changed over the planning period</li> </ul>
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
Spatial transformation (where applicable)	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
Calculation type	Annual, i.e. non-cumulative
Reporting cycle	Annual
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	For reporting: Head of Data Curation in eRKC





Indicator title	1.7 The number of events dealing with the eradication of poverty, reduction of inequalities and/or promotion of employment convened by the HSRC
<b>Definition</b>	<p>This is an event with a thematic focus associated with the eradication of poverty, reduction of inequalities and/or promotion of employment, which is convened by the HSRC during the period under review. It must:</p> <ul style="list-style-type: none"> <li>• Have a trans-/cross-/interdisciplinary approach</li> <li>• Be problem oriented, involving presenters from different disciplines; and involving at least two institutions</li> <li>• Be at least a half-day event</li> <li>• Have at least 20 participants; with a signed attendance list</li> <li>• Have a resolution adopted by participants at the conclusion of the event.</li> </ul>
<b>Source of data</b>	Research Management System (RMS)
<b>Method of calculation/assessment</b>	Count the number of events convened
<b>Means of verification</b>	Event report with supporting documentation, approved by the Deputy CEO: Research or designate
<b>Assumptions</b>	Funding will be made available to support convening of the events
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Deputy CEO: Research to review, approve and authorise capturing on RMS for reporting purposes</li> <li>• Designated research programme(s)/project leader to deliver and report</li> </ul>





Indicator title	2.1 The number of policy briefs and/or evidence reviews completed and published
<b>Definition</b>	This constitutes the number of policy briefs, described in 2.1(a) below, PLUS the number of evidence reviews, described in 2.1(b) below, published by the HSRC during the period under review.
<b>Source of data</b>	(a) Policy briefs and (b) Evidence reviews published by HSRC and made available on the HSRC website
<b>Method of calculation/assessment</b>	(a) Count the number of policy briefs published during the period under review (b) Count the number of evidence briefs published during the period under review Total: (a) + (b)
<b>Means of verification</b>	Copy of research output as captured in the RMS
<b>Assumptions</b>	As per the more detailed descriptions for 2.1(a) and 2.1(b) below
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research units to deliver and submit</li> <li>• Corporate Communication to publish on-line</li> <li>• eRKC (outputs) to verify prior to reporting</li> </ul>





Indicator title	2.1 (a) The number of policy briefs completed and published
<b>Definition</b>	Policy briefs are short papers that convey policy issues and outline courses of action to resolve them. This indicator requires the number of policy briefs with at least one HSRC staff member serving as author or co-author, published by the HSRC during the period under review.
<b>Source of data</b>	Policy briefs published by HSRC and made available on the HSRC website
<b>Method of calculation/assessment</b>	Count the number of policy briefs published during the period under review
<b>Means of verification</b>	Copy of policy brief as captured in the RMS
<b>Assumptions</b>	<ul style="list-style-type: none"> <li>• Policy briefs are published by the HSRC according to guidelines approved by the Deputy CEO: Research</li> <li>• Quality control and sign-off prior to publication of the policy brief will be delegated to the executive directors or designated heads of research programmes</li> <li>• Policy briefs published by institutions other than the HSRC will be reflected as recognised research outputs of the HSRC, but not as 'policy briefs produced and published by the HSRC', unless an exception is explicitly approved by the Deputy CEO: Research, based on a motivated submission showing HSRC authorship and origination, as well as alignment of the said policy brief with existing HSRC guidelines</li> </ul>
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research units to deliver and submit</li> <li>• Corporate Communication to publish on-line</li> <li>• eRKC (outputs) to verify prior to reporting</li> </ul>





Indicator title	2.1 (b) The number of evidence reviews completed and published
<b>Definition</b>	<p>An evidence review is a rigorous study of available information about a particular issue or topic, guided by a predetermined question, to establish what has already been done, what is known, and what gaps remain. It serves as a tool for planning for future work and policy advice on appropriate interventions.</p> <p>HSRC evidence reviews will be planned by Executive Director-led research teams, and results published on-line after due consultation, engagement with policy makers, peer review and ED approval</p> <p>A brief report on the process followed to develop and publish the evidence review will be submitted to the Deputy CEO: Research (or designate) for approval prior to recognition as an evidence review of the HSRC.</p>
<b>Source of data</b>	Research Management System (RMS) and link to published evidence report
<b>Method of calculation/assessment</b>	Count the number of evidence reviews published during the period under review
<b>Means of verification</b>	Evidence review reports published on HSRC website
<b>Assumptions</b>	Funding and leadership to develop the evidence review are available
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research units to deliver and submit</li> <li>• Deputy CEO: Research to approve as HSRC evidence review</li> <li>• Corporate Communication to publish on-line eRKC (outputs) for verification prior to reporting</li> </ul>





Indicator title	2.2 The number of structured research engagements with South African government, policy makers and implementers
<b>Definition</b>	<p>These are structured engagements with South African government decision makers, policy makers and implementers (at national, provincial or local level) and are planned and arranged by HSRC researchers or research teams in consultation with counterpart units or contact persons in government or implementing agencies.</p> <ul style="list-style-type: none"> <li>• The event is planned around a specific topic (e.g. addressed in, or planned for, a policy brief or an evidence review)</li> <li>• At least half-day event</li> <li>• At least 15 participants, with an attendance list signed</li> <li>• Non-HSRC attendees should be the majority of attendees (at least 50%+1) and be from government, policy makers and/or implementing agencies</li> <li>• An Executive Director-approved meeting report is prepared and circulated to participants to encourage follow-up action or further communication</li> </ul>
<b>Source of data</b>	Research Management System (RMS)
<b>Method of calculation/assessment</b>	Count the number of ED-approved meeting reports submitted for capturing on the RMS
<b>Means of verification</b>	Meeting report with supporting information (including agenda and signed attendance list)
<b>Assumptions</b>	Government counterparts and decision makers will be available to attend and participate
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research programmes to deliver and report</li> <li>• Director Corporate Communications and Stakeholder Relations (or designate) to review, verify and capture on RMS reporting system</li> </ul>





Indicator title	3.1 The number of research-related engagements with communities and civil society forums
<b>Definition</b>	<p>A structured research-related engagement with community members and/or civil society forums is planned and arranged under the auspices of a Research Director (RD) or higher, and focuses on issues specific to a research project or research programme of work.</p> <ul style="list-style-type: none"> <li>• An engagement may involve (but is not limited to) consultation on an issue relevant to a research question; consultation with a view to obtaining gatekeeper permission to undertake research; or feedback to communities about the findings from a research project, but it excludes research project-related data gathering work</li> <li>• An agenda, programme, attendance list and report is prepared and submitted as evidence that the engagement took place</li> <li>• It is at least a half-day event</li> <li>• A Principal Investigator- or RD-approved meeting report is prepared and submitted for capturing on the RMS.</li> </ul>
<b>Source of data</b>	Research Management System (RMS)
<b>Method of calculation/assessment</b>	Count the number of approved meeting reports submitted for capturing on the RMS
<b>Means of verification</b>	Meeting report with supporting information (including agenda, signed attendance list showing community-related affiliation or designation of participants)
<b>Assumptions</b>	Community members will be available to attend and participate
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research programmes to deliver and report</li> <li>• eRKC to verify submitted report</li> </ul>





Indicator title	3.2 The number of solution-orientated communities of practice created or supported with active involvement of HSRC researchers
<b>Definition</b>	<p>A solution-orientated community of practice (COP) is a fit-for-purpose, short-term 'think tank', usually multi-disciplinary and problem orientated in nature. It has at least five regular members/active participants, of whom at least one is from the HSRC.</p> <p>Evidence of the active existence of a COP is a dedicated web presence with communication involving COP members and/or report(s) on activities added during period under review. The web presence will constitute at least a landing page that can be accessed via the HSRC website.</p>
<b>Source of data</b>	Research Management System (RMS)
<b>Method of calculation/assessment</b>	Count the number of COP reports, approved by the Deputy CEO: Research, and captured in the RMS
<b>Means of verification</b>	Report by convenor of the COP, including information on the hyperlink to web landing page as well as new or additional activities during the period under review, reviewed and approved by the Deputy CEO: Research or designate
<b>Assumptions</b>	COP coordinators will report on their work
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research programmes to deliver and report, and capture on RMS following approval by Deputy CEO: Research</li> <li>• Corporate Communications and Stakeholder Relations to provide support for COP web presence</li> <li>• Deputy CEO: Research to review and approve COP reports</li> </ul>





Indicator title	3.3 The number of innovations with community participation supported or enabled by HSRC research
<b>Definition</b>	<p>In the context of this indicator, the term 'community' refers to members of a group participating in, involved in, or affected by, a research project, but who are not researchers or employed as researchers on the project.</p> <p>An innovation with community participation is usually a social innovation, which is described as "a process or product that is new to the community, devised and used with active involvement of community members or stakeholders in a community, to resolve a social or environmental challenge affecting their community". Innovations with community participation are usually context-specific but have the potential to be adapted or modified to be effective in different contexts.</p> <p>For this indicator, innovations with community participation need not be strictly limited to social or environmental challenges affecting the community. For instance, innovations that relate to new ways of communication or improved research methods may also be recognised.</p> <p>Recognition of an innovation involving community participation for purposes of this indicator requires the following:</p> <ul style="list-style-type: none"> <li>• It must be identified or enabled in the course of a research intervention and written up with community participation (e.g. by a member of the research team, in consultation with the community)</li> <li>• The description of the innovation must be submitted to the Head: Intellectual Property and Technological Transfer (IPTT) in Legal Services who will review it and indicate whether or not it meets the requirements of an innovation with community participation.</li> </ul>
<b>Source of data</b>	Research Management System (RMS)
<b>Method of calculation/assessment</b>	Count the number of formal descriptions of research-related innovations with community participation accepted and filed by the IPTT Office
<b>Means of verification</b>	<ul style="list-style-type: none"> <li>• All descriptions submitted to the IPTT Office will be reviewed, categorised according to relevant criteria, and kept on file by the IPTT Office</li> <li>• A description lodged with and signed off by the IPTT Manager, confirming that the requirements for innovations with community participation have been met, will serve as evidence of performance against this indicator</li> </ul>
<b>Assumptions</b>	Examples of innovations with community participation will be recognised and reported
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Annual, i.e. non-cumulative
<b>Reporting cycle</b>	Annually
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• IPTT Manager to provide guidance, review, verify and capture on reporting system</li> <li>• Research programmes to deliver and report</li> </ul>





Indicator title	3.4 The number of collaborative research projects with universities (including HDIs) and science councils in South Africa
<b>Definition</b>	<p>Collaborative (current or completed during the year under review) research projects with universities and/or other science councils involve the following:</p> <ul style="list-style-type: none"> <li>• They are funded research projects, approved and registered on the RMS</li> <li>• The project team is listed on the RMS and includes at least one member from each of the recognised collaborating universities or science councils</li> <li>• A contractual agreement or Memorandum of Understanding (MoU) is signed, stipulating the nature of collaboration between HSRC and each of the recognised counterpart organisation(s).</li> </ul>
<b>Source of data</b>	RMS project information and contracts database
<b>Method of calculation/assessment</b>	Count the number of projects meeting the requirements
<b>Means of verification</b>	Summary report/checklist per project claimed as collaborative, prepared by lead research programme and captured on RMS
<b>Assumptions</b>	RMS and contract data are complete and correct
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research programmes to deliver and report</li> <li>• Deputy CEO: Research or designate to review and approve</li> <li>• Head: Legal Services to manage contract</li> </ul>





Indicator title	3.5 The number of incoming international exchange visits or fellowships active during the period under review
Definition	This is the number of incoming international exchange visitors or research fellows hosted during the period under review.
Source of data	Research Management System (RMS)
Method of calculation/assessment	Count the number of completed or on-going incoming international exchange visitors or research fellows hosted at the HSRC during the period under review, as reflected on the RMS
Means of verification	<ul style="list-style-type: none"> <li>• HR records and contractual agreements to support and report on incoming research visits or exchange visits</li> <li>• Relevant prerequisites for recognition of incoming international exchange visits or fellowships will be set and monitored by HR, in the context of an approved HR policy or policies</li> <li>• A minimum requirement for recognition of short-term incoming exchange visits is that at least one research-based seminar, led by the exchange visitor, must take place</li> </ul>
Assumptions	<ul style="list-style-type: none"> <li>• Funding for incoming and outgoing fellowships is available from HSRC or external sources</li> <li>• Relevant visa requirements are complied with before fellowships are taken up</li> </ul>
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
Spatial transformation (where applicable)	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	<ul style="list-style-type: none"> <li>• Director, HR as delegated to Head: Learning and Development (for co-ordination, facilitation and reporting)</li> <li>• Heads of research units (for delivery)</li> </ul>





Indicator title	4.1 The percentage of senior researchers (SRS/SRM + ) who are black
Definition	This is the number of HSRC researchers at senior level (SRS/SRM or above) who are black, according to the designated groups as defined in the Employment Equity Act. This number is divided by the total number of researchers at senior level (SRS/SRM or above) employed by the HSRC at the end of the reporting period, to express it as a percentage.
Source of data	Research Management System (RMS)
Method of calculation/assessment	(a) Count the total number of researchers who are employed at the level of Senior Research Specialist (SRS), Senior Research Manager (SRM) or higher on the 'permanent' payroll (1 year or longer) as at the last day of the period under review; excluding the CEO and Deputy CEO: Research, and also excluding staff on incoming exchange visits (b) Of the researchers identified in (a), count the number who are black, according to the designated groups as defined in the Employment Equity Act. Percentage: (b)/(a) x 100
Means of verification	HR data: HR spreadsheets as supported by staff files and letters of appointment
Assumptions	HR data are complete and accurate
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
Spatial transformation (where applicable)	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
Calculation type	Non-cumulative
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	<ul style="list-style-type: none"> <li>• Director: HR (for reporting)</li> <li>• Heads of research units (for delivery)</li> </ul>





Indicator title	4.2 The percentage of senior researchers (SRS/SRM + ) who are female
Definition	This is the number of HSRC researchers at senior level (SRS/SRM or above) who are female, from designated groups (in accordance with Employment Equity Act definition), divided by the total number of researchers at senior level (SRS/SRM or above) employed by the HSRC at the end of the reporting period, expressed as a percentage.
Source of data	Research Management System (RMS)
Method of calculation/assessment	(a) Count the number of researchers who are employed at the level of Senior Research Specialist (SRS), Senior Research Manager (SRM) or higher, who are on the 'permanent' payroll (1 year or longer) as at the last day of the period under review; excluding the CEO and Deputy CEO: Research, and also excluding staff on incoming exchange visits (b) Of the researchers identified in (a), count the number who are female, according to the designated groups as defined in the Employment Equity Act Percentage: (b)/(a) x 100
Means of verification	HR data: HR spreadsheets as supported by staff files and letters of appointment
Assumptions	HR data are complete and accurate
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> <li>Target for women: This indicator aims to increase the percentage of women among senior researchers (see annual and quarterly targets set)</li> <li>Target for youth N/A</li> <li>Target for people with disabilities N/A</li> </ul>
Spatial transformation (where applicable)	<ul style="list-style-type: none"> <li>Contribution to spatial transformation priorities N/A</li> <li>Description of spatial impact N/A</li> </ul>
Calculation type	Non-cumulative
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	<ul style="list-style-type: none"> <li>Director: HR (for reporting)</li> <li>Heads of research units (for delivery)</li> </ul>





Indicator title	4.3 The percentage of researchers (excluding trainees) with PhDs
Definition	This is the percentage of researchers (excluding trainees appointed in accordance with the HSRC researcher trainee policy) who are employed by the HSRC and have a doctoral degree from a recognised university.
Source of data	Research Management System (RMS)
Method of calculation/assessment	(a) Count the number of researchers (excluding trainees appointed in accordance with the HSRC researcher trainee policy) who have been on the 'permanent' payroll (1 year or longer), as at the last day of the period under review (b) Of the researchers identified in (a), count the number who have a doctoral degree Percentage: (b)/(a) x 100
Means of verification	<ul style="list-style-type: none"> <li>• Staff database (HR) showing appointment level during year under review</li> <li>• Supporting documents in HR staff files:</li> <li>• Copy of doctoral (PhD or equivalent, e.g. DSc, DPhil, i.e. recognised at NQF level 10) degree qualification obtained from a recognised university or HEI</li> <li>• Reported performance as captured in the RMS</li> </ul>
Assumptions	HR data are complete and accurate
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
Spatial transformation (where applicable)	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
Calculation type	Non-cumulative
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	<ul style="list-style-type: none"> <li>• Director: HR (for reporting)</li> <li>• Head: Learning and Development (for support)</li> </ul>





Indicator title	4.4 The number of PhD trainees
Definition	This is the number of persons employed by the HSRC during the reporting period as doctoral (PhD) level trainees
Source of data	Reported performance as captured on the RMS
Method of calculation/assessment	Count the total number of PhD level research trainees employed by the HSRC during the year under review
Means of verification	<ul style="list-style-type: none"> <li>• Staff database (HR) showing employment status during the year under review</li> <li>• Supporting documents in HR staff files – letters of appointment: Persons appointed in the context of the Board-approved HSRC researcher trainee policy, as a PhD Intern, Doctoral Intern, PhD Research Trainee or Doctoral Research Trainee</li> <li>• Proof of registration at a recognised higher education institution, in accordance with requirements set out in the relevant HSRC policy.</li> </ul>
Assumptions	HR data are complete and accurate
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
Spatial transformation (where applicable)	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
Calculation type	Cumulative (year-to-date)
Reporting cycle	Quarterly
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	<ul style="list-style-type: none"> <li>• Heads of research units (for delivery, and submission of supporting information)</li> <li>• Director: HR, supported by Head: Learning and Development (for quality control and reporting)</li> </ul>





Indicator title	4.5 The number of conferences or training academies for young African scholars
<b>Definition</b>	<p>These are events specifically designed to offer opportunities to emerging scholars (from South Africa and/or other countries on the African continent) to participate in presentations or interactive activities aimed at building capacity in research, research methods or research communication and help establish future research networks.</p> <p>A recognised conference and/or training event will involve:</p> <ul style="list-style-type: none"> <li>• A planning or steering committee representing at least two institutions (the HSRC and at least one counterpart institution)</li> <li>• Criteria to identify and select young African scholars to participate as identified by the planning or steering committee – participants may differ from event to event</li> <li>• An academic or research programme involving the HSRC and other experts to facilitate engagements, and young African scholars who actively participate</li> <li>• Evaluation/feedback forms or a feedback session with the young scholars</li> <li>• A conference report or published proceedings</li> </ul>
<b>Source of data</b>	Research Management System (RMS)
<b>Method of calculation/assessment</b>	Count the number of approved conference reports submitted and captured on the RMS for reporting
<b>Means of verification</b>	Conference report and supporting information as approved by the Deputy CEO: Research and submitted to the RMS for capturing
<b>Assumptions</b>	Funding will be allocated for these events at the beginning of each financial year
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Annual, i.e. non-cumulative
<b>Reporting cycle</b>	Annually
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Deputy CEO: Research to co-ordinate and approve report(s)</li> <li>• Research programmes to deliver and report</li> </ul>





Indicator title	5.1 The percentage of total income that is extra-parliamentary
Definition	This is the percentage of total income to the HSRC that comes from sources other than its parliamentary allocation.
Source of data	Financial information (actual income received) as reflected in the 'statement of financial performance' at the end of the reporting period
Method of calculation/assessment	Identify the following sources of income: (a) Research revenue (b) Parliamentary grants (c) Other income Percentage: $[(a)+(c)/(a)+(b)+(c)] \times 100$
Means of verification	Approved statement of financial performance report for the period under review
Assumptions	Financial records are correct and complete
Disaggregation of beneficiaries (where applicable)	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
Spatial transformation (where applicable)	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
Calculation type	Non-cumulative
Reporting cycle	Quarterly (non-cumulative)
Desired performance	Equal to, or higher than targeted performance
Indicator responsibility	Director: Finance





Indicator title	5.2 The number of internationally-funded collaborative projects involving multi-year grants of R5 million or more
<b>Definition</b>	<p>This is the number of current (approved) research projects that are supported by contracts or grant agreements with international (non-South African) funders. These contracts must:</p> <ul style="list-style-type: none"> <li>• Run over a period of at least three budget years</li> <li>• Have total grant value (inclusive of VAT) of at least R5 million over the duration of the contractual period</li> <li>• Have a contractual agreement (main contract or sub-contract) to involve at least one researcher from another research institution as a member of the research project team.</li> </ul>
<b>Source of data</b>	Research Management System (RMS)
<b>Method of calculation/assessment</b>	Count the number of research projects that meet the requirements set in the definition
<b>Means of verification</b>	<ul style="list-style-type: none"> <li>• RMS (current research projects)</li> <li>• Original contracts in the contracts database (Legal)</li> </ul>
<b>Assumptions</b>	RMS data as well as the contracts database are correct, current and complete
<b>Disaggregation of beneficiaries (where applicable)</b>	<ul style="list-style-type: none"> <li>• Target for women N/A</li> <li>• Target for youth N/A</li> <li>• Target for people with disabilities N/A</li> </ul>
<b>Spatial transformation (where applicable)</b>	<ul style="list-style-type: none"> <li>• Contribution to spatial transformation priorities N/A</li> <li>• Description of spatial impact N/A</li> </ul>
<b>Calculation type</b>	Cumulative (year-to-date)
<b>Reporting cycle</b>	Quarterly
<b>Desired performance</b>	Equal to, or higher than targeted performance
<b>Indicator responsibility</b>	<ul style="list-style-type: none"> <li>• Research programmes: For reporting and delivery</li> <li>• Head: Legal (for contract management, monitoring and reporting)</li> </ul>











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