

## Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |  |   |   |
|--|--|---|---|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |  | <b>Output Name</b><br>Instruments to support knowledge utilisation  | <b>Date</b><br>31 March 2017  |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |  |   |   |
| <b>Programme #</b>   |  | Programme 2   |   |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |  | Facilitate and resource R&D in strategic STI areas  |   |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |  | <b>To facilitate and resource investments in space science, energy, bioinnovation, nanotechnology, robotics, photonics, IKS, IP management, technology transfer and technology commercialisation.</b> |   |
| <b>Indicator title</b>   |  | Number of instruments funded in support of knowledge utilisation  |   |
| <b>Purpose of indicator</b>  | This indicator seeks to measure and track the number of instruments funded in support of knowledge utilisation especially in the strategic, emerging and converging areas of science and technology.                           | <b>Type of indicator</b>  | Process indicator   |
| <b>Measure / Indicator Definition</b>  | An instrument refers to a formally established (by contract) entity /initiative (also virtual) that is used to support for increased localisation, competitiveness, R&D led industry development and service delivery support. | <b>Measure / Indicator Formula</b>  | Total number of instruments funded to support knowledge utilisation at the end of the financial year = the sum of the instruments funded during each quarter of the financial year. |

|                                   |   |                                   |  |
|-----------------------------------|---|-----------------------------------|--|
| <p><b>New Indicator</b></p>       | <p>Refinement of a previous indicator as explained below.<br/> Instruments funded in support of knowledge utilisation are inclusive of the initiatives that were included in the 2015/16 APP under the Number of innovation-enabling programmes indicator, namely the hosting of the Innovation Bridge Technology Showcase and Matchmaking Event, the implementation of the Innovation Bridge Portal, the implementation of public-private sector initiatives such as the industry internship programme, the implementation of the Commercialisation Framework Programme (and any associated policies / strategies / programmes that emerge as a consequence, such as the Emerging Industries Action Plan Programme), and initiatives in support of Offices of Technology Transfer activities.<br/> The scope has been broadened to include other initiatives resulting in an increase in the target in the 2016/17 FY.</p> | <p><b>Desired performance</b></p> | <p>While high numbers of instruments funded to support knowledge utilisation are desirable, it is also important to understand that the benefits derived from a few well implemented, focused / targeted programmes may be greater than having many poorly managed programmes.</p> |
| <p><b>Measure / Indicator</b></p> | <p>Chief Director: Innovation</p>   | <p><b>Worked example</b></p>      | <p>E.g. If 3 Centres of Competence in H&amp;E are</p>  |

|   |   |                        |   |
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| <b>Owner</b>  | <p>Priorities and Instruments<br/>Head: National Intellectual Property Management Office.</p> <p>Chief Director: Hydrogen and Energy</p> <p>Chief Director: Bio-economy</p> <p>Chief Director: Space Science</p>  |                        | funded by quarter 2; and 7 Health Innovation initiatives are funded by quarter 4; a total of 10 instruments would have been funded at the end of quarter 4. |
| <b>Target set for current year</b>                                      | <p><b>Annual: 25 instruments funded in support of knowledge utilisation</b></p> <p>Q1 – no target</p> <p>Q2 – 12 instruments funded in support of knowledge utilisation by 30 September 2016.</p> <p>Q3 – no target</p> <p>Q4 – 13 instruments funded in support of knowledge utilisation</p>   | <b>Target achieved</b> | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :  |
| <b>Data limitations</b>   | <p>In some cases there may be a delay in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained. Moreover a number of programmes/projects other than those clarified above may fall within the definition of instruments funded to support knowledge utilisation and may be included in totals for the financial year.</p> <p><b>Caveat:</b> In some cases, some of the instruments (Health Innovation initiatives) will not be separately contracted as the implementing agency is the same. There may also be instances where due to prevailing circumstances (financial, performance, strategic etc.), a decision is taken not to fund a specific instrument and the allocated funds are directed to support another instrument.</p> |                        |   |
| <b>Reasons for variances between the target set and actual achieved</b> | There is no variance at this stage  |                        |   |

| 2. Collection of source data to enable effective reporting on the adopted output measure / indicator |  |
|--|--|
| Source data  | <p><b>Innovation Priorities and Instruments</b></p> <ul style="list-style-type: none"> <li>• Approved MMM or Executive management submissions for programmes; or</li> <li>• Signed contracts / agreements to implement programme where relevant; or</li> <li>• Signed Project work plans / business plans for the programme; or</li> <li>• Signed Minutes of meetings where relevant; or</li> <li>• Signed Programme / project progress reports and closure reports, or</li> <li>• Downloads / snapshots of website / portal / database as may be relevant</li> </ul> <p><b>NIPMO-% of eligible claims awarded a rebate from the IP Fund in line with the requirements of the IP Fund Guideline</b></p> <ul style="list-style-type: none"> <li>• Approved submission;</li> <li>• Payment stubs and signed letters informing institutions of rebate decision and signed acknowledgement of receipt letter from institutions awarded a rebate.</li> </ul> <p><b>NIPMO- Number of OTTs supported for capacity development</b></p> <ul style="list-style-type: none"> <li>• Approved submission</li> <li>• Signed funding agreements;</li> <li>• Payment stub and signed letters informing institutions of OTT Support Funds provided;</li> </ul> <p><b>Hydrogen and Energy</b></p> <ul style="list-style-type: none"> <li>• Approved submission;</li> <li>• Signed funding agreements;</li> <li>• Payment stub and/or signed letters informing institutions of funds provided.</li> </ul> <p><b>Bio-innovation</b></p> <ul style="list-style-type: none"> <li>• Approved submission</li> <li>• Signed funding agreements;</li> <li>• Payment stub and/or signed letters informing institutions of funds provided.</li> <li>•</li> </ul> |
| Collection Frequency of Source data  | Annually, bi-annually or as contractually agreed   |
| Archiving of Source Data   | <p><b>IPI, Hydrogen and Energy, and Bio-economy</b></p> <p>Alfresco</p> <p><b>NIPMO</b></p> <p>All supporting documentation are stored manually</p>  |
| Type of information to be extracted from   | <b>IPI, Hydrogen and Energy and Bio-economy</b>  |

|  |  |   |  |
|--|--|---|--|
| <p><b>the source data</b></p>  | <p>Proof on the progress of the instruments funded to support knowledge utilisation during the period.</p> <p><b>NIPMO</b></p> <p>Status of the process in rewarding 100% of eligible claims with a rebate from the IP Fund in line with the requirements of the IP Fund Guideline at the end of quarter.</p> <p>Status of the process in supporting OTTs for capacity development</p> |   |  |
| <p><b>IT Systems/ Tools used to capture extracted data</b></p>         | <p><b>IPI, Hydrogen and Energy, and Bio-economy</b></p> <p>No specific IT systems or tools are required to capture data. All evidence will be saved in word or pdf format on Alfresco.</p> <p><b>NIPMO</b></p> <p>A detailed knowledge information system is in the process of being developed. Until then, all evidence will be saved in word/Excel or pdf format.</p>                |   |  |
| <p><b>Source Data Capturing Frequency</b></p>                          | <p>Annually, bi-annually or on delivery and synthesis of data as contractually agreed</p>  |   |  |
| <p><b>Individual(s) responsible for collecting the source data</b></p> | <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation</p>                               | <p><b>Individual(s) responsible for filing/ archiving the collected source data</b></p> | <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p> <p>Director Earth Observation.</p> <p>Director: Space Systems</p> |

|  |  |  |   |
|--|--|--|---|
|  | <p>Priorities and Instruments</p> <p>Director: Advisory and Support<br/>Director: Regulatory and Compliance<br/>Director: Fund &amp; Incentives Management</p> <p>Director Earth Observation.</p> <p>Director: Space Systems</p>   |  |   |
| <p><b>Individual(s) responsible for extracting the required information from the source data</b></p> | <p>Director: Agricultural Biotechnology<br/>Director: Industry and Environment<br/>Director: IK-based Technology Innovation<br/>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy<br/>Director: Power<br/>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b></p> | <p>Director: Agricultural Biotechnology<br/>Director: Industry and Environment<br/>Director: IK-based Technology Innovation<br/>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy<br/>Director: Power<br/>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support<br/>Director: Regulatory and Compliance<br/>Director: Fund &amp; Incentives Management</p> <p>Director Earth Observation.</p> <p>Director: Space Systems</p> |

|  |   |   |  |
|--|---|---|--|
|  | <p>Director:<br/>Advisory and Support</p> <p>Director:<br/>Regulatory and Compliance</p> <p>Director:<br/>Fund &amp; Incentives Management</p> <p>Director Earth Observation.</p> <p>Director:<br/>Space Systems</p>  |   |  |
| <p><b>Individual(s) responsible for capturing the extracted information onto the IT System</b></p> | <p>Director:<br/>Agricultural Biotechnology</p> <p>Director:<br/>Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director:<br/>Health Innovation</p> <p>Director:<br/>Transport and Renewable Energy</p> <p>Director:<br/>Power</p> <p>Director:<br/>Alternative Energy</p> <p>Director:<br/>Emerging Research Areas</p> <p>Director:<br/>Innovation Priorities and Instruments</p> | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b></p> | <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p> <p>Director Earth Observation.</p> <p>Director: Space Systems</p> |

|  |   |  |  |
|--|---|--|--|
|  | Director:<br>Advisory and Support<br>Director:<br>Regulatory and Compliance<br>Director:<br>Fund & Incentives Management<br><br>Director Earth Observation.<br><br>Director:<br>Space Systems |  |  |
|--|---|--|--|

| 3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information                                   |  |   |  |
|---|--|---|--|
| <b>Performance Information Source</b>   |  | Alfresco  |  |
| <b>Type of performance information to be extracted/ used</b>  |  | Name and number of instruments funded to support knowledge utilisation during the period.                             |  |
| <b>Calculations required on extracted information</b>   |  | Sum of all the instruments funded to support knowledge utilisation over each semester of the financial year           |  |
| <b>Archiving of Extracted / Recalculated Information</b>  |  | Bi-annual and Annual Performance Reports of Programme 2.  |  |
| <b>Return Format</b>  |  | Numerical format on a bi-annual and annual basis.   |  |
| <b>Reporting Frequency</b>  |  | Bi-annually   |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>               | Deputy Director:<br>Office of the DDG<br>Programme 2 |



## Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |   |   |  |
|--|---|---|--|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |   | <b>Output Name</b><br>Regulatory recommendations for decision support   | <b>Date</b><br>31 March 2017   |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |   |   |  |
| <b>Programme #</b>   |   | Programme 2   |  |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |   | Facilitate and resource R&D in strategic STI areas  |  |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |   | <b>To facilitate and resource investments in space science, energy, bioinnovation, nanotechnology, robotics, photonics, IKS, IP management, technology transfer and technology commercialisation.</b> |  |
| <b>Indicator title</b>   |   | Number of regulatory recommendations for decision support by government by 31 March 2017.   |  |
| <b>Purpose of indicator</b>  | This indicator seeks to track and measure the number of regulatory recommendations with the aim of supporting the work of other government departments.                               | <b>Type of indicator</b>  | Output indicator   |
| <b>Measure / Indicator Definition</b>  | Regulatory recommendations refer to recommendations made to support the work of other government departments as mandated by specific laws, regulations, guidelines and specifications | <b>Measure / Indicator Formula</b>  | Total number of regulatory recommendations for decision support by government at the end of the financial year = the sum of all the regulatory recommendations for decision support by government during each quarter of the financial year. |
| <b>New Indicator</b>   | New   | <b>Desired performance</b>  | Higher performance is desired  |
| <b>Measure / Indicator Owner</b>   | CD: Bio-innovation  | <b>Worked example</b>   | If 8 regulatory recommendations are made following the evaluation of GMO applications in quarter 2; and 7 regulatory   |

|   |  |                        |  |
|---|--|------------------------|--|
|   |  |                        | recommendations are made following the evaluation of GMO applications in quarter 4; a total of 15 regulatory recommendations would have been made at the end of quarter 4. |
| <b>Target set for current year</b>                                      | <p><b>Annual:</b><br/>27 regulatory recommendations for decision support by government by 31 March 2017</p> <p><b>Q1 – 6</b> regulatory recommendations for decision support by June 2016.</p> <p><b>Q2 – 8</b> regulatory recommendations for decision support by 30 September 2016.</p> <p><b>Q3 – 9</b> regulatory recommendations for decision support by 31 December 2016.</p> <p><b>Q4 – 4</b> regulatory recommendations for decision support by 31 March 2017.</p> | <b>Target achieved</b> | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :   |
| <b>Data limitations</b>   | The targets are dependent on the number of applications received by Government.  |                        |  |
| <b>Reasons for variances between the target set and actual achieved</b> | No Variance at this stage.   |                        |  |

| <b>2. Collection of source data to enable effective reporting on the adopted output measure / indicator</b> |  |
|---|--|
| <b>Source data</b>  | <p><b>Bio-innovation</b></p> <ul style="list-style-type: none"> <li>Letters of recommendation to DAFF on GMO applications evaluated by the Chief Directorate; in terms of the GMO Act, 1997</li> </ul> |
| <b>Collection Frequency of Source data</b>  | Quarterly  |

|   |   |   |   |
|---|---|---|---|
| <b>Archiving of Source Data</b>   |   | Manual or Alfresco  |   |
| <b>Type of information to be extracted from the source data</b>                               |   | Letters of recommendations to DAFF.   |   |
| <b>IT Systems/ Tools used to capture extracted data</b>                                       |   | Word/Excel/PDF documents for Recommendation letters.  |   |
| <b>Source Data Capturing Frequency</b>  |   | Quarterly   |   |
| <b>Individual(s) responsible for collecting the source data</b>                               | Director: Agricultural Biotechnology<br>Director: Industry & Environment<br>Director: Health Innovation | <b>Individual(s) responsible for filing/ archiving the collected source data</b>                          | Director: Agricultural Biotechnology<br>Director: Industry & Environment<br>Director: Health Innovation |
| <b>Individual(s) responsible for extracting the required information from the source data</b> | Director: Agricultural Biotechnology<br>Director: Industry & Environment<br>Director: Health Innovation | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b> | Director: Agricultural Biotechnology<br>Director: Industry & Environment<br>Director: Health Innovation |
| <b>Individual(s) responsible for capturing the extracted information onto the IT System</b>   | Director: Agricultural Biotechnology<br>Director: Industry & Environment<br>Director: Health Innovation | <b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b>  | Director: Agricultural Biotechnology<br>Director: Industry & Environment<br>Director: Health Innovation |

| <b>3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information</b> |   |
|--|---|
| <b>Performance Information Source</b>  | Alfresco  |
| <b>Type of performance information to be extracted/ used</b>                             | Name and Number of GMO applications evaluated   |
| <b>Calculations required on extracted information</b>                                    | The sum of all regulatory recommendations for decision support by government at the end of the financial year |
| <b>Archiving of Extracted / Recalculated Information</b>                                 | Quarterly and Annual Performance Reports of Programme 2.  |
| <b>Return Format</b>   | Numerical format on an annual basis.  |

|   |  |   |  |
|---|--|---|--|
| <b>Reporting Frequency</b>  |  | Annually  |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>               | Deputy Director:<br>Office of the DDG<br>Programme 2 |

## Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |   |   |  |
|--|---|---|--|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |   | <b>Output Name</b><br>Commercial outputs in designated areas  | <b>Date</b><br>31 March 2017   |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |   |   |  |
| <b>Programme #</b>   |   | Programme 2   |  |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |   | <b>Support the development and translation of scientific R&amp;D outputs into commercial products, processes and services</b>   |  |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |   | <b>To support, promote, and advocate for the development and translation of scientific research and development outputs into commercial products, processes and services that will contribute towards economic growth and a better quality of life.</b> |  |
| <b>Indicator title</b>   |   | Number of commercial outputs in designated areas by 31 march 2017.  |  |
| <b>Purpose of indicator</b>  | This indicator tracks the number of commercial outputs in the strategic, emerging and converging areas (designated areas).  | <b>Type of indicator</b>  | Output indicator   |
| <b>Measure / Indicator Definition</b>  | This indicator seeks to measure and track the number of outputs commercialised in designated areas; i.e. licenses, assignments, options successfully concluded; new companies created; products, processes and services as a result of DST-funded RDI initiatives. The commercialisation of products, processes and services involves other departments, entities and the market players and therefore falls outside the Department's | <b>Measure / Indicator Formula</b>  | Total number of commercial outputs at the end of the financial year=the sum of all the commercialised outputs during each quarter of the financial year. |

|                                    |  |                            |  |
|------------------------------------|--|----------------------------|--|
|                                    | control. The target has been increased from 3 to 8 in the corresponding year, i.e. 2016/17 financial year due to the strong likelihood of deals being concluded.   |                            |  |
| <b>New Indicator</b>               | Not new, but the title of the indicator has been re-worded from the previous indicator, "Number of new technology products, processes and/or services commercialised".   | <b>Desired performance</b> | Higher performance is desirable  |
| <b>Measure / Indicator Owner</b>   | Chief Director: Innovation Priorities and Instruments; and/or<br>Head: National Intellectual Property Management Office.; and/or<br>Chief Director: Hydrogen and Energy; and / or<br>Chief Director: Bio-innovation; and/or<br>Chief Director: Space Science and Technology  | <b>Worked example</b>      | If 2 IKS based products are realised during quarter 3 and 1 Health Innovation- based product is funded and ready to be commercialised during quarter 4, then the total is 3 at the end of quarter 4. |
| <b>Target set for current year</b> | <b>Annual: 8 commercial outputs in the strategic, emerging and converging areas</b><br><b>Quarterly:</b><br><b>Q1 – no target</b><br><b>Q2 – no target</b><br><b>Q3 – no target</b><br><b>Q4 –8 commercial outputs in the strategic, emerging and converging areas</b>   | <b>Target achieved</b>     | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :   |
| <b>Data limitations</b>            | In some cases there could be delays in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained. <b>Caveat:</b> Given the uncertainties associated with commercialisation of outputs, a number of outputs other than those specified may fall within the definition of commercial outputs and may be included in totals for the financial year. It should be noted that the baseline will fluctuate from year to year because of the uncertainty associated with deals being negotiated. |                            |  |

Reasons for variances between the target set and actual achieved

No variance at this stage.

## 2. Collection of source data to enable effective reporting on the adopted output measure / indicator

### Source data

Commercial outputs include licenses, assignments, options successfully concluded; new companies created; products, processes and services emanating from DST-funded RDI initiatives.

#### Bio-economy

- Signed Project funding agreement/Memorandum/contracts
- Signed Annual report/ draft annual reports indicating number and an appendix with the names of all potential commercial outputs supported during the reporting period.
- Approved submission and proof of payment, where appropriate.
- Photos of the relevant outputs where appropriate.

#### Hydrogen and Energy

- Signed Project funding agreement/Memorandum/contracts
- Signed Annual report/ draft annual reports indicating number and an appendix with the names of all potential commercial outputs supported during the reporting period.
- Approved submission and proof of payment, where appropriate.
- Photos of the relevant outputs where appropriate.

#### Innovation Priorities and Instruments

- Signed Contract and submission.
- Signed Annual report/ draft annual reports indicating number and an appendix with the names of all potential commercial outputs supported during the reporting period.
- Approved submission and proof of payment, where appropriate.
- Photos of the relevant outputs where appropriate.

#### NIPMO

- Signed Project funding agreement/Memorandum/contracts, where appropriate.
- Signed Annual report/ draft annual reports indicating number and an appendix with the names of all potential commercial outputs supported during the reporting period.

|   |  |   |
|---|--|---|
|   |  | <ul style="list-style-type: none"> <li>• Approved submission and proof of payment, where appropriate.</li> <li>• Photos of the relevant outputs where appropriate.</li> </ul> <p><b>Space Science and Technology</b></p> <ul style="list-style-type: none"> <li>• Signed Project funding agreement/Memorandum/contracts</li> <li>• Signed Annual report/ draft annual reports indicating number and an appendix with the names of all potential commercial outputs supported during the reporting period.</li> <li>• Approved submission and proof of payment, where appropriate.</li> <li>• Photos of the relevant outputs where appropriate.</li> </ul> |
| <b>Collection Frequency of Source data</b>                      |  | Annually  |
| <b>Archiving of Source Data</b>                                 |  | Alfresco  |
| <b>Type of information to be extracted from the source data</b> |  | Name and Number of commercial products during the period.   |
| <b>IT Systems/ Tools used to capture extracted data</b>         |  | No Specific IT system or tool is required at this point.  |
| <b>Source Data Capturing Frequency</b>                          |  | Annually  |
| <b>Individual(s) responsible for collecting the source data</b> | Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br>Director: Health Innovation<br><br>Director: Transport and Renewable Energy<br>Director: Power<br>Director: Alternative Energy<br><br>Director: Emerging Research Areas<br><br>Director: Innovation Priorities and Instruments<br><br>Director: Advisory and Support<br>Director: Regulatory | <b>Individual(s) responsible for filing/ archiving the collected source data</b><br><br>Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br>Director: Health Innovation<br><br>Director: Transport and Renewable Energy<br>Director: Power<br>Director: Alternative Energy<br><br>Director: Emerging Research Areas<br><br>Director: Innovation Priorities and Instruments<br><br>Director: Advisory and Support<br>Director: Regulatory  |



|  |  |  |  |
|--|--|--|--|
|  | <p>and Compliance<br/> Director: Fund &amp; Incentives Management<br/> Director: Earth Observation<br/> Director: Space Systems</p>  |  | <p>and Compliance<br/> Director: Fund &amp; Incentives Management<br/> Director: Earth Observation<br/> Director: Space Systems</p>  |
| <p><b>Individual(s) responsible for extracting the required information from the source data</b></p> | <p>Director: Agricultural Biotechnology<br/> Director: Industry and Environment<br/> Director: IK-based Technology Innovation<br/> Director: Health Innovation</p> <p>Director: Transport and Renewable Energy<br/> Director: Power<br/> Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support<br/> Director: Regulatory and Compliance<br/> Director: Fund &amp; Incentives Management<br/> Director: Earth Observation<br/> Director: Space Systems</p> | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b></p> | <p>Director: Agricultural Biotechnology<br/> Director: Industry and Environment<br/> Director: IK-based Technology Innovation<br/> Director: Health Innovation</p> <p>Director: Transport and Renewable Energy<br/> Director: Power<br/> Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support<br/> Director: Regulatory and Compliance<br/> Director: Fund &amp; Incentives Management<br/> Director: Earth Observation<br/> Director: Space Systems</p> |
| <p><b>Individual(s) responsible for capturing the extracted information onto the IT System</b></p>   | <p>Director: Agricultural Biotechnology<br/> Director: Industry and Environment<br/> Director: IK-based Technology Innovation<br/> Director: Health Innovation</p> <p>Director: Transport and Renewable</p>  | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b></p>  | <p>Director: Agricultural Biotechnology<br/> Director: Industry and Environment<br/> Director: IK-based Technology Innovation<br/> Director: Health Innovation</p> <p>Director: Transport and Renewable</p>  |

|  |   |  |   |
|--|---|--|---|
|  | <p>Energy<br/>Director: Power<br/>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support<br/>Director: Regulatory and Compliance<br/>Director: Fund &amp; Incentives Management<br/>Director: Earth Observation<br/>Director: Space Systems</p> |  | <p>Energy<br/>Director: Power<br/>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support<br/>Director: Regulatory and Compliance<br/>Director: Fund &amp; Incentives Management<br/>Director: Earth Observation<br/>Director: Space Systems</p> |
|--|---|--|---|

| 3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information                            |  |  |  |
|--|--|--|--|
| Performance Information Source   |  | Alfresco   |  |
| Type of performance information to be extracted/ used  |  | Number of commercial outputs during the period.  |  |
| Calculations required on extracted information   |  | Sum of all of the commercial outputs in the financial year   |  |
| Archiving of Extracted / Recalculated Information  |  | Annual Performance Reports of Programme 2.   |  |
| Return Format  |  | Numerical format on an annual basis  |  |
| Reporting Frequency  |  | Annually   |  |
| Individual(s) responsible for extracting, calculating and consolidating the reported performance information | Deputy Director:<br>Office of the DDG<br>Programme 2 | Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| Individual(s) responsible for archiving the extracted/ recalculated performance information                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | Individual(s) responsible for sending the information in the required return format to the -----               | Deputy Director:<br>Office of the DDG<br>Programme 2 |

## Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |   |   |  |
|--|---|---|--|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |   | <b>Output Name</b><br>Decision support interventions  | <b>Date</b><br>31 March 2017   |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |   |   |  |
| <b>Programme #</b>   |   | Programme 2   |  |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |   | <b>Facilitate and resource R&amp;D in strategic STI areas</b>   |  |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |   | <b>To facilitate and resource investments in space science, energy, bioinnovation, nanotechnology, robotics, photonics, IKS, IP management, technology transfer and technology commercialisation.</b> |  |
| <b>Indicator title</b>   |   | Number of decision support interventions developed or maintained  |  |
| <b>Purpose of indicator</b>  | This indicator seeks to track and measure the number of decision support interventions developed or maintained to improve the delivery of government services or functions.   | <b>Type of indicator</b>  | Output indicator   |
| <b>Measure / Indicator Definition</b>  | Decision support interventions help people think about choices they face; they describe where and why choice exists; they provide information about options, including, where reasonable, the option of taking no action. These interventions | <b>Measure / Indicator Formula</b>  | $A=B+C$<br>Where A= total number of decision support interventions maintained<br>B= decision support intervention maintained<br>C=Decision support intervention maintained<br><br>For the 2016/17 Financial Year, two decision support tools will be |

|  |  |  |                    |
|--|--|--|--------------------|
|  | <p>aim to help people to deliberate, independently or in collaboration with others, about options by considering relevant attributes to help them forecast how they might feel about short, intermediate and long-term outcomes which have relevant consequences. They support the process of constructing preferences and eventual decision making, appropriate to their individual situation. A decision support intervention will be considered "developed" once it has been approved by a designated member(s) of the EXCO. In addition, a decision support tool will be considered maintained: once funding has been transferred to the relevant institution or support is provided through promotional activities e.g., workshops that would be used as a marketing tool for the Portal.</p> |  | <p>maintained.</p> |
|--|--|--|--------------------|

|   |   |                            |   |
|---|---|----------------------------|---|
| <b>New Indicator</b>  | New   | <b>Desired performance</b> | Higher performance is desired   |
| <b>Measure / Indicator Owner</b>  | CD: Space Science<br><br>CD: Hydrogen and Energy  | <b>Worked example</b>      | 2 decision support interventions = 2 decision support interventions maintained. If one Bioenergy atlas is maintained during quarter 4 and the SAEOS Portal is maintained in the same quarter, a total of 2 decision support interventions would have been maintained by the end of quarter 4. |
| <b>Target set for current year</b>                                      | <b>Annual:<br/>2 decision support interventions maintained</b><br><br>Q1 – no target<br>Q2 – no target<br>Q3 –no target<br>Q4 –<br>2 decision support interventions maintained by 31 March 2017   | <b>Target achieved</b>     | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :  |
| <b>Data limitations</b>   | In some cases there may be a delay in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained. “Approved” will include “noted” as there will be circumstances in which approval is not required. Given the needs / requirements of government, a number of interventions other than those specified may fall within the definition of decision support interventions and may be included in totals for the financial year. It should be noted that the baseline will fluctuate from year to year because of the uncertainty associated with the requirements of government and the DST’s ability to respond. |                            |   |
| <b>Reasons for variances between the target set and actual achieved</b> | No Variance at this stage.  |                            |   |

| 2. Collection of source data to enable effective reporting on the adopted output measure / indicator |   |
|--|---|
| <b>Source data</b>   | <b>Hydrogen and Energy</b> <ul style="list-style-type: none"> <li>• Signed Contract;</li> <li>• Signed annual report/ draft annual report indicating number and an appendix with the name of decision support intervention supported; or</li> <li>• Website;</li> </ul> |

|   |  |   |  |
|---|--|---|--|
|   |  | <ul style="list-style-type: none"> <li>• Approved submission and proof of payment Space Science and Technology</li> <li>• Website link to an interactive Portal; or</li> <li>• Workshop report or report of stakeholder engagements on the SAEOS Portal approved by a designated member of EXCO.</li> </ul> |  |
| <b>Collection Frequency of Source data</b>  |  | Annually  |  |
| <b>Archiving of Source Data</b>   |  | Manual or Alfresco  |  |
| <b>Type of information to be extracted from the source data</b>                               |  | Name and Number of decision support interventions maintained  |  |
| <b>IT Systems/ Tools used to capture extracted data</b>                                       |  | Word/Excel/PDF documents  |  |
| <b>Source Data Capturing Frequency</b>  |  | Annually  |  |
| <b>Individual(s) responsible for collecting the source data</b>                               | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Alternative Energy<br>Director: Space Systems<br>Director: Earth Observations | <b>Individual(s) responsible for filing/ archiving the collected source data</b>  | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Alternative Energy<br>Director: Space Systems<br>Director: Earth Observations |
| <b>Individual(s) responsible for extracting the required information from the source data</b> | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Alternative Energy<br>Director: Space Systems<br>Director: Earth Observations | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b>   | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Alternative Energy<br>Director: Space Systems<br>Director: Earth Observations |
| <b>Individual(s) responsible for capturing the extracted information onto the IT System</b>   | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Alternative Energy<br>Director: Space Systems<br>Director: Earth Observations | <b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b>  | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Alternative Energy<br>Director: Space Systems<br>Director: Earth Observations |

| <b>3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information</b>                            |  |   |  |
|---|--|---|--|
| <b>Performance Information Source</b>   |  | Alfresco  |  |
| <b>Type of performance information to be extracted/ used</b>  |  | Number of decision support interventions maintained during the financial year.  |  |
| <b>Calculations required on extracted information</b>   |  | The sum of all decision support interventions maintained  |  |
| <b>Archiving of Extracted / Recalculated Information</b>  |  | Annual Performance Reports of Programme 2.  |  |
| <b>Return Format</b>  |  | Numerical format on an annual basis.  |  |
| <b>Reporting Frequency</b>  |  | Annually  |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>               | Deputy Director:<br>Office of the DDG<br>Programme 2 |

## Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |   |   |   |
|--|---|---|---|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |   | <b>Output Name</b><br>knowledge products  | <b>Date</b><br>31 March 2017  |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |   |   |   |
| <b>Programme #</b>   |   | Programme 2   |   |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |   | <b>Facilitate and resource R&amp;D in strategic STI areas</b>   |   |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |   | <b>To facilitate and resource investments in space science, energy, bioinnovation, nanotechnology, robotics, photonics, IKS, IP management, technology transfer and technology commercialisation.</b> |   |
| <b>Indicator title</b>   |   | Number of knowledge products generated 31 March 2017.   |   |
| <b>Purpose of indicator</b>  | This indicator is meant to track the number of knowledge outputs (Intellectual Property Rights (IPRs) applications/filings or granted/registered and publications produced/generated as a result of research, development and innovation initiatives funded by the Programme. | <b>Type of indicator</b>  | Output indicator  |
| <b>Measure / Indicator Definition</b>  | Knowledge products refer to filings/applications or registration/granting of IPRs and publications generated in space science, energy, ERAs and the bioeconomy. IPRs are inclusive of the categories of IPRs that were included in the 2014/15 APP,                           | <b>Measure / Indicator Formula</b>  | Total number of number of knowledge products generated at the end of the financial year = the sum of the IPRs applications/filings or granted/registered and publications produced during each quarter of the financial year. |



|   |   |                            |  |
|---|---|----------------------------|--|
|   | namely Patents and Trade marks.<br>Similarly, publications refer to scientific articles in journals (both ISI and non ISI publications) published during the 2016/17 financial year, with the date of online publication being used as the date of publication.   |                            |  |
| <b>New Indicator</b>  | No  | <b>Desired performance</b> | Higher performance is desirable  |
| <b>Measure / Indicator Owner</b>  | CD: Bio-economy<br>CD: Hydrogen and Energy<br>CD: Innovation Priorities and Instruments   | <b>Worked example</b>      | If there are 2 IPRs applications/filings or IPRs registered/granted during quarter 4 and 1 publication produced during quarter 4, then the total is 3 at the end of quarter 4. |
| <b>Target set for current year</b>                                      | <b>Annual:</b><br>119 knowledge products<br><br><b>Quarterly:</b><br><br><b>Q1 – no target</b><br><br><b>Q2 – no target</b><br><br><b>Q3 – no target</b><br><br><b>Q4 – 119</b><br>knowledge products by 31 March 2017.   | <b>Target achieved</b>     | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :   |
| <b>Data limitations</b>   | In most cases there are delays in obtaining the final data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained/reported. Moreover, given that the results of research and development are difficult to predict, variations from the planned outputs can be expected. |                            |  |
| <b>Reasons for variances between the target set and actual achieved</b> | No variance at this point of time   |                            |  |

**2. Collection of source data to enable effective reporting on the adopted output measure / indicator**

|  |  |
|--|--|
| <p><b>Source data</b></p>  | <p>Only scientific articles in ISI and non-ISI publications during the period 1 April 2016 to 31 March 2017, with the date of publication being the date of online publication, will be counted. First publication – may not be online</p> <p>Only IPR applications/filings or registered/granted during the period 1 April 2016 to 31 March 2017 either in South Africa or in other countries will be counted.</p> <p><b>Hydrogen and Energy</b></p> <ul style="list-style-type: none"> <li>➤ Signed Project funding agreement/Memorandum of Agreements/contracts;</li> <li>➤ Signed Annual reports/draft annual reports with number and list of IPRs applications/filings or IPRs registered/granted and publications produced over the period attached as an appendix; or proof of application/filing or registration/granting of IPRs;</li> <li>➤ Approved submission and proof of payment</li> </ul> <p><b>Innovation Priorities and Instruments</b></p> <ul style="list-style-type: none"> <li>➤ Signed Contracts;</li> <li>➤ Signed Annual reports/ draft annual reports with number and list of IPRs applications/filings or IPRs registered/granted and publications produced over the period attached as an appendix; or proof of application/filing or registration/granting of IPRs;</li> <li>➤ Approved submission and proof of payment</li> </ul> <p><b>Bio-innovation</b></p> <ul style="list-style-type: none"> <li>➤ Signed Contracts;</li> <li>➤ Signed Annual reports/ draft annual reports with number and list of IPRs applications/filings or IPRs registered/granted and publications produced over the period attached as an appendix; or proof of application/filing or registration/granting of IPRs;</li> <li>➤ . Approved submission and proof of payment</li> </ul> |
| <p><b>Collection Frequency of Source data</b></p>                      | <p>Annual</p>  |
| <p><b>Archiving of Source Data</b></p>                                 | <p>Alfresco</p>  |
| <p><b>Type of information to be extracted from the source data</b></p> | <p>Names, and number of IPRs applications/filings or IPRs registered/granted and publications produced during the financial year.</p> <p>Only scientific articles in ISI and non-ISI</p>   |

|   |   |  |   |
|---|---|--|---|
|   |   | <p>publications during the period 1 April 2016 to 31 March 2017, with the date of publication being the date of online publication, will be counted.</p> <p>Only IPRs applications/filings or registered/granted during the period 1 April 2016 to 31 March 2017 either in South Africa or in other countries will be counted.</p> |   |
| <b>IT Systems/ Tools used to capture extracted data</b>                                       |   | No specific IT systems or tools are required to capture data. All evidence will be saved in word or pdf format on Alfresco   |   |
| <b>Source Data Capturing Frequency</b>  |   | Annual.  |   |
| <b>Individual(s) responsible for collecting the source data</b>                               | <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Hydrogen and Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Health Innovation</p> <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> | <b>Individual(s) responsible for filing/ archiving the collected source data</b>   | <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Hydrogen and Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Health Innovation</p> <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> |
| <b>Individual(s) responsible for extracting the required information from the source data</b> | <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Hydrogen and Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Health Innovation</p> <p>Director: Agricultural Biotechnology</p> <p>Director: Industry</p>   | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b>  | <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Hydrogen and Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Health Innovation</p> <p>Director:</p>  |

|   |  |  |  |
|---|--|--|--|
|   | and Environment<br>Director: IK-based<br>Technology<br>Innovation  |  | Agricultural<br>Biotechnology<br>Director:<br>Industry and<br>Environment<br>Director: IK-<br>based<br>Technology<br>Innovation  |
| <b>Individual(s) responsible for capturing the extracted information onto the IT System</b> | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Hydrogen and Energy<br><br>Director: Emerging Research Areas<br><br>Director: Health Innovation<br>Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation | <b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b> | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Hydrogen and Energy<br><br>Director: Emerging Research Areas<br><br>Director: Health Innovation<br>Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation |

| <b>3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information</b> |  |
|--|--|
| <b>Performance Information Source</b>  | Alfresco   |
| <b>Type of performance information to be extracted/ used</b>                             | Number of IPR applications /filings or IPRs registered/granted and publications produced during the financial year       |
| <b>Calculations required on extracted information</b>                                    | Sum of all of the IPR applications /filings or IPRs registered/granted and publications produced over the financial year |
| <b>Archiving of Extracted / Recalculated Information</b>                                 | Annual Performance Reports of Programme 2.   |
| <b>Return Format</b>   | Numerical format on an annual basis  |
| <b>Reporting Frequency</b>   | Annually   |

|   |  |   |  |
|---|--|---|--|
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>               | Deputy Director:<br>Office of the DDG<br>Programme 2 |

## Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |  |  |                              |
|--|--|--|------------------------------|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |  | <b>Output Name</b><br>New disclosures reported by publicly-funded institutions in terms of the development and translation of research and development outputs into products, processes and services                               | <b>Date</b><br>31 March 2017 |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |  |  |                              |
| <b>Programme #</b>   |  | Programme 2  |                              |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |  | <b>Oversee relevant Departmental agencies and initiatives</b>  |                              |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |  | <b>To oversee, monitor and regulate key policy initiatives, including institutions/agencies and support interventions in the key strategic areas of space science, energy, bio-innovation, nanotechnology, robotics, photonics</b> |                              |
| <b>Indicator title</b>   |  | Number of new disclosures reported by publicly-funded institutions by 31 March 2017.   |                              |
| <b>Purpose of indicator</b>  | This indicator is used to measure the number of new disclosures reported by publicly-funded institutions to the National Intellectual Property Management Office as required in terms of the Intellectual Property from Publicly Financed Research and Development Act (IPR-PFRD Act). This indicator is important to track as an increase/decrease in the number of | <b>Type of indicator</b>   | Process indicator            |

|                                       |  |                                    |  |
|---------------------------------------|--|------------------------------------|--|
|                                       | disclosures corresponds to an increase/decrease in the development and translation of scientific research and development outputs into commercial products, processes and services which are crucial to developing a knowledge based economy.  |                                    |  |
| <b>Measure / Indicator Definition</b> | New disclosures reported by publicly-funded institutions include only those disclosures reported to the National Intellectual Property Management Office (NIPMO) institutions, ideally on a biannual basis. In particular disclosures refer to IP status and commercialisation reports (IP7 forms) received from publicly funded institutions that include Higher Education Institutions and Science Councils. | <b>Measure / Indicator Formula</b> | The total number of disclosures reported by publicly-funded institutions at the end of the financial year=the sum of the disclosures received by the NIPMO during Quarters 1 to 4. |
| <b>New Indicator</b>                  | No   | <b>Desired performance</b>         | A high and continuously increasing performance on this indicator is desired  |
| <b>Measure / Indicator Owner</b>      | Head: National Intellectual Property Management Office   | <b>Worked example</b>              | If 97 new disclosures were received from institutions during quarter 1, then the total is 97 for quarter 1   |
| <b>Target set for current year</b>    | <b>Annual:</b> 275 new disclosures <sup>1</sup> reported by publicly-funded institutions by 31   | <b>Target achieved</b>             | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :   |

<sup>1</sup> IP7Form – IP status and Commercialisation Report

|   |  |  |  |
|---|--|--|--|
|   | <p>March 2017</p> <p><b>Quarterly:</b></p> <p><b>Q1 – 120 new</b><br/>Disclosures received in terms of biannual IP7 form submissions</p> <p><b>Q2 – no target</b></p> <p><b>Q3 – 100 new</b><br/>Disclosures received in terms of biannual IP7 form submissions</p> <p><b>Q4 – 55 new</b><br/>disclosures received from publicly-funded institutions</p> |  |  |
| <b>Data limitations</b>   | In some cases there may be a delay in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained.  |  |  |
| <b>Reasons for variances between the target set and actual achieved</b> | There is no variance at this stage.  |  |  |

| <b>2. Collection of source data to enable effective reporting on the adopted output measure / indicator</b> |   |  |                                |
|---|---|--|--------------------------------|
| <b>Source data</b>  | <ul style="list-style-type: none"> <li>➤ IP7 forms with complete details of the disclosure being made to NIPMO (ideally this is biannually) from any of the 29 higher education institutions and 10 science councils as per the IPR-PFRD Act (dependent on whether they have disclosures in the period under review); and/or</li> <li>➤ Database of IP7 forms received, approved by the Head: NIPMO; and/or</li> <li>➤ Signed Acknowledgement letter of IP7 forms received</li> </ul> |  |                                |
| <b>Collection Frequency of Source data</b>  | Quarterly   |  |                                |
| <b>Archiving of Source Data</b>   | Disclosures database at NIPMO   |  |                                |
| <b>Type of information to be extracted from the source data</b>   | Number of IP7 forms (disclosing IP status and commercialisation) received from publicly funded institutions   |  |                                |
| <b>IT Systems/ Tools used to capture extracted data</b>   | Disclosures database at NIPMO based on EXCEL.   |  |                                |
| <b>Source Data Capturing Frequency</b>  | Quarterly   |  |                                |
| <b>Individual(s) responsible for collecting the source</b>  | Senior Administrative Officer-NIPMO   | <b>Individual(s) responsible for filing/ archiving the collected source data</b> | Senior Administrative Officer- |



|   |                                     |   |                                     |
|---|-------------------------------------|---|-------------------------------------|
| <b>data</b>   |                                     |   | NIPMO                               |
| <b>Individual(s) responsible for extracting the required information from the source data</b> | Director: Regulatory and Compliance | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b> | Director: Regulatory and Compliance |
| <b>Individual(s) responsible for capturing the extracted information onto the IT System</b>   | Director: Regulatory and Compliance | <b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b>  | Director: Regulatory and Compliance |

| <b>3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information</b>                            |  |   |  |
|---|--|---|--|
| <b>Performance Information Source</b>   | Director: Office of the DDG Programme 2  |   |  |
| <b>Type of performance information to be extracted/ used</b>  | Number of IP status and commercialisation forms (IP7 forms) received from publicly funded institutions                       |   |  |
| <b>Calculations required on extracted information</b>   | Sum of all the IP status and commercialisation (IP7 forms) received from publicly funded institutions in the financial year. |   |  |
| <b>Archiving of Extracted / Recalculated Information</b>  | Quarterly and Annual Performance Reports of Programme 2  |   |  |
| <b>Return Format</b>  | Numerical format on a quarterly and annual basis.  |   |  |
| <b>Reporting Frequency</b>  | Quarterly  |   |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director: Office of the DDG Programme 2   | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b> | Deputy Director: Office of the DDG Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director: Office of the DDG Programme 2   | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>               | Deputy Director: Office of the DDG Programme 2 |

## Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |   |   |   |
|--|---|---|---|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |   | <b>Output Name</b><br>New technologies developed in terms of products, processes and services   | <b>Date</b><br>31 March 2017  |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |   |   |   |
| <b>Programme #</b>   |   | Programme 2   |   |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |   | <b>Support the development and translation of scientific R&amp;D outputs into commercial products, processes and services</b>   |   |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |   | <b>To support, promote, and advocate for the development and translation of scientific research and development outputs into commercial products, processes and services that will contribute towards economic growth and a better quality of life.</b> |   |
| <b>Indicator title</b>   |   | Number of new technology products, processes and/or services developed by 31 March 2017.  |   |
| <b>Purpose of indicator</b>  | This indicator tracks the number of new technology innovation products, processes and services developed in the strategic, emerging and converging areas.   | <b>Type of indicator</b>  | Output indicator  |
| <b>Measure / Indicator Definition</b>  | This indicator refers to technology prototypes, technology demonstrators and pilots, technology platforms and technology based systems and tools developed as a result of technological innovation in the | <b>Measure / Indicator Formula</b>  | Total number of new technology products, processes and/or services developed at the end of the financial year = the sum of the new technology products, processes and/or services developed during each quarter of the financial year |

|                                    |   |                            |  |
|------------------------------------|---|----------------------------|--|
|                                    | strategic, emerging and converging areas. "New" in this context applies to continuous support of the development of products, processes and services until such time that they are ready for assessment for potential commercialisation.  |                            |  |
| <b>New Indicator</b>               | No  | <b>Desired performance</b> | Higher performance is desirable  |
| <b>Measure / Indicator Owner</b>   | CD: Bio-innovation; and/or<br>CD: Hydrogen and Energy; and/or<br>CD: Space Science; and/or<br>CD: Innovation Priorities and Instruments   | <b>Worked example</b>      | If 2 prototypes supported during quarter 4, then the total is 2 at the end of quarter 4. |
| <b>Target set for current year</b> | <b>Annual:</b><br>4 new technology innovation products, processes and/or services developed 31 March 2017<br><b>Quarterly:</b><br><br><b>Q1 – no target</b><br><br><b>Q2 –no target</b><br><br><b>Q3 – 2</b> new technology products, processes and/or services developed by 30 December 2016 | <b>Target achieved</b>     | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :                       |

|   |  |  |
|---|--|--|
|   | <p><b>Q4 - 2 new technology products, processes and/or services developed by 31 March 2017</b></p>   |  |
| <b>Data limitations</b>   | <p>In some cases there may be a delay in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained. Caveat: Depending on the design and implementation of initiatives, consultation with stakeholders, resources limitations / reprioritisation and other factors impacting on this KPI, the development of new technology products, processes and/or services may be postponed or terminated or replaced or merged with another relevant new technology products, processes and/or services, and a number of technologies developed other than those specified may be included in the totals for the financial year.</p> |  |
| <b>Reasons for variances between the target set and actual achieved</b> | <p>No variance at this point.</p>  |  |

| <b>2. Collection of source data to enable effective reporting on the adopted output measure / indicator</b> |  |
|---|--|
| <b>Source data</b>  | <p><b>Bio-innovation</b></p> <ul style="list-style-type: none"> <li>• Signed Contracts;</li> <li>• Signed reports as appropriate with number and names of new technology products/processes and services developed during period attached as appendix.</li> <li>• Approved submission and proof of payment</li> </ul> <p><b>Hydrogen and Energy</b></p> <ul style="list-style-type: none"> <li>• Signed Project funding agreement/Memorandum of Agreement and Contracts</li> <li>• Signed reports as appropriate with number and names of new technology products/processes and services developed during period.</li> <li>• Approved submission and proof of payment</li> </ul> <p><b>Space Science and Technology</b></p> <ul style="list-style-type: none"> <li>• Signed Contracts</li> <li>• Signed reports as appropriate with number and names of new technology products/processes and services developed during period.</li> </ul> |

|   |   |   |
|---|---|---|
|   |   | <ul style="list-style-type: none"> <li>Approved submission and proof of payment</li> </ul> <p><b>Innovation Priorities and Instruments</b></p> <ul style="list-style-type: none"> <li>Signed Contracts</li> <li>Signed reports as appropriate with number and names of new technology products/processes and services developed during period.</li> <li>Approved submission and proof of payment</li> </ul> |
| <b>Collection Frequency of Source data</b>                      |   | Quarterly and Annually  |
| <b>Archiving of Source Data</b>                                 |   | Alfresco  |
| <b>Type of information to be extracted from the source data</b> |   | Name and Number of new technology products/processes and services developed during the period   |
| <b>IT Systems/ Tools used to capture extracted data</b>         |   | No Specific IT system or tool is required at this point.  |
| <b>Source Data Capturing Frequency</b>                          |   | Quarterly and Annually  |
| <b>Individual(s) responsible for collecting the source data</b> | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Hydrogen and Energy<br><br>Director: Emerging Research Areas<br><br>Director: Health Innovation<br>Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br><br>Director: Space Systems<br>Director: Earth Observations | <b>Individual(s) responsible for filing/ archiving the collected source data</b>  |
|   |   | Director: Transport and Renewable Energy<br>Director: Power<br>Director: Hydrogen and Energy<br><br>Director: Emerging Research Areas<br><br>Director: Health Innovation<br>Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br><br>Director: Space Systems<br>Director: Earth  |

|   |  |   | Observations  |
|---|--|---|---|
| <b>Individual(s) responsible for extracting the required information from the source data</b> | <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Hydrogen and Energy</p><br><p>Director: Emerging Research Areas</p><br><p>Director: Health Innovation</p> <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p><br><p>Director: Space Systems</p> <p>Director: Earth Observations</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p><br><p>Director: Emerging Research Areas</p><br><p>Director: Space Systems</p> <p>Director: Earth Observations</p> | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b> | <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Hydrogen and Energy</p><br><p>Director: Emerging Research Areas</p><br><p>Director: Health Innovation</p> <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p><br><p>Director: Space Systems</p> <p>Director: Earth Observations</p> |
| <b>Individual(s) responsible for capturing the extracted information onto the IT System</b>   | <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Hydrogen and Energy</p><br><p>Director: Emerging Research Areas</p><br><p>Director: Health Innovation</p>  | <b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b>  | <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Hydrogen and Energy</p><br><p>Director: Emerging Research</p>   |

|  |   |  |   |
|--|---|--|---|
|  | Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br><br>Director: Space Systems<br>Director: Earth Observations |  | Areas<br><br>Director: Health Innovation<br>Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br><br>Director: Space Systems<br>Director: Earth Observations |
|--|---|--|---|

| 3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information                                   |  |  |  |
|---|--|--|--|
| <b>Performance Information Source</b>   |  | Alfresco   |  |
| <b>Type of performance information to be extracted/ used</b>  |  | Name of new technology innovation products, processes and services developed during the period                             |  |
| <b>Calculations required on extracted information</b>   |  | Sum of all new technology innovation products, processes and services developed during all quarters of the financial year. |  |
| <b>Archiving of Extracted / Recalculated Information</b>  |  | Quarterly/Bi-annual and Annual Performance Reports of Programme 2.   |  |
| <b>Return Format</b>  |  | Numerical format on an annual basis  |  |
| <b>Reporting Frequency</b>  |  | Bi-annually and annually   |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director: Office of the DDG Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b>      | Deputy Director: Office of the DDG Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director: Office of the DDG Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>                    | Deputy Director: Office of the DDG Programme 2 |

## Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |   |   |   |
|--|---|---|---|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |   | <b>Output Name</b><br>Policy directives development in science and technology   | <b>Date</b><br>31 March 2017  |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |   |   |   |
| <b>Programme #</b>   |   | Programme 2   |   |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |   | Facilitate and resource R&D in strategic STI areas  |   |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |   | <b>To facilitate and resource investments in space science, energy, bioinnovation, nanotechnology robotics, photonics, IKS, IP management, technology transfer and technology commercialisation</b> |   |
| <b>Indicator title</b>   |   | Number of policy directives developed and adopted by government by 31 March 2017.   |   |
| <b>Purpose of indicator</b>  | These indicators seek to measure and track the number of policy directives developed and approved by government.            | <b>Type of indicator</b>  | Process indicator   |
| <b>Measure / Indicator Definition</b>  | Policy directives developed and approved by government include appropriate policies, acts, regulations, cabinet and cluster | <b>Measure / Indicator Formula</b>  | Total number policy directives developed and approved by government at the end of the financial year=the sum of the policy directives developed and approved by government during each quarter of the financial year. |

<sup>2</sup> Adopted refers to policy directives approved by Government (where Government includes the DST, other government departments, clusters and the Cabinet)



|                                    |   |                            |  |
|------------------------------------|---|----------------------------|--|
|                                    | <p>memoranda, strategies, implementation plans, policy briefs, research, and technical reports developed and submitted for approval to DST, other government departments, clusters and the Cabinet in the strategic, emerging and converging areas of science and technology.</p> |                            |  |
| <b>New Indicator</b>               | No  | <b>Desired performance</b> | <p>Policy directives developed and approved by government that are widely accepted and implemented - directives should as appropriate be applicable across directorates / chief directorates / programmes and / or departments. Directives should where appropriate be consultatively developed for optimum uptake and impact.</p> |
| <b>Measure / Indicator Owner</b>   | <p>Chief Director: Innovation Priorities and Instruments<br/> Chief Director: Hydrogen and Energy<br/> Chief Director: Space Science and Technology<br/> Chief Director: Bio-economy<br/> Head: NIPMO</p>   | <b>Worked example</b>      | <p>If 1 new chapter on technology innovation is developed for inclusion in Industrial Policy Action Plan during quarter 4 by DST and 1 Cabinet Memo is presented to Cabinet during quarter 4, a total of 2 policy directives would have been developed and approved by government at the end of quarter 4.</p>                     |
| <b>Target set for current year</b> | <b>Annual: 5</b> technology development   | <b>Target achieved</b>     | <p>Actual target achieved.<br/> Q1 –<br/> Q2 –</p>   |

|   |   |  |  |
|---|---|--|--|
|   | <p>and innovation policy directives developed and adopted by government</p> <p><b>Q1</b> – No target</p> <p><b>Q2</b> – No target</p> <p><b>Q3</b> – No target</p> <p><b>Q4</b> – 5 technology development and innovation policy directives developed and adopted by government by 31 March 2017.</p> |  | <p>Q3 –</p> <p>Q4 –</p> <p>YTD - :</p> |
| <b>Data limitations</b>   | <p>In some cases there may be a delay in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained. “Approved” will include “noted” as there will be circumstances in which approval is not required.</p>          |  |  |
| <b>Reasons for variances between the target set and actual achieved</b> | <p>No variance at this point of time.</p>   |  |  |

| <b>2. Collection of source data to enable effective reporting on the adopted output measure / indicator</b> |   |
|---|---|
| <b>Source data</b>  | <ul style="list-style-type: none"> <li>• Final approved policies, acts, regulations, cabinet and cluster memoranda, strategies, implementation plans, policy briefs, research and technical reports.</li> <li>• Proof of approval (signed of document or signed minutes of relevant meeting)</li> </ul> |
| <b>Collection Frequency of Source data</b>  | Annually  |
| <b>Archiving of Source Data</b>   | Alfresco  |
| <b>Type of information to be extracted from the source data</b>   | Number and name of policy directives developed and approved by government   |

|   |  |  |  |
|---|--|--|--|
| <b>IT Systems/ Tools used to capture extracted data</b>         |  | No specific IT systems or tools are required to capture data. All evidence will be saved in word or pdf format on Alfresco |  |
| <b>Source Data Capturing Frequency</b>                          |  | Annually   |  |
| <b>Individual(s) responsible for collecting the source data</b> | <p>Director: Innovation Instruments</p> <p>Director: Emerging Research Areas</p> <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Space Systems</p> <p>Director: Earth Observations</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p> | <b>Individual(s) responsible for filing/archiving the collected source data</b>  | <p>Director: Innovation Instruments</p> <p>Director: Emerging Research Areas</p> <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Space Systems</p> <p>Director: Earth Observations</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p> |
| <b>Individual(s) responsible for</b>                            | Director: Innovation   | <b>Individual(s) responsible for</b>   | Director: Innovation   |

|  |   |   |   |
|--|---|---|---|
| <p><b>extracting the required information from the source data</b></p>                             | <p>Instruments<br/> Director: Emerging Research Areas<br/> Director: Agricultural Biotechnology<br/> Director: Industry and Environment<br/> Director: IK-based Technology Innovation<br/> Director: Health Innovation</p> <p>Director: Transport and Renewable Energy<br/> Director: Power<br/> Director: Alternative Energy</p> <p>Director: Space Systems<br/> Director: Earth Observations</p> <p>Director: Advisory and Support<br/> Director: Regulatory and Compliance<br/> Director: Fund &amp; Incentives Management</p> | <p><b>verifying the accuracy and completeness of the extracted information</b></p>                              | <p>Instruments<br/> Director: Emerging Research Areas<br/> Director: Agricultural Biotechnology<br/> Director: Industry and Environment<br/> Director: IK-based Technology Innovation<br/> Director: Health Innovation</p> <p>Director: Transport and Renewable Energy<br/> Director: Power<br/> Director: Alternative Energy</p> <p>Director: Space Systems<br/> Director: Earth Observations</p> <p>Director: Advisory and Support<br/> Director: Regulatory and Compliance<br/> Director: Fund &amp; Incentives Management</p> |
| <p><b>Individual(s) responsible for capturing the extracted information onto the IT System</b></p> | <p>Director: Innovation<br/> Instruments<br/> Director: Emerging Research Areas<br/> Director: Agricultural Biotechnology<br/> Director: Industry and Environment<br/> Director: IK-based</p>   | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b></p> | <p>Director: Innovation<br/> Instruments<br/> Director: Emerging Research Areas<br/> Director: Agricultural Biotechnology<br/> Director:</p>  |

|  |  |  |  |
|--|--|--|--|
|  | <p>Technology Innovation<br/>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy<br/>Director: Power<br/>Director: Alternative Energy</p> <p>Director: Space Systems<br/>Director: Earth Observations</p> <p>Director: Advisory and Support<br/>Director: Regulatory and Compliance<br/>Director: Fund &amp; Incentives Management</p> |  | <p>Industry and Environment<br/>Director: IK-based Technology Innovation<br/>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy<br/>Director: Power<br/>Director: Alternative Energy</p> <p>Director: Space Systems<br/>Director: Earth Observations</p> <p>Director: Advisory and Support<br/>Director: Regulatory and Compliance<br/>Director: Fund &amp; Incentives Management</p> |
|--|--|--|--|

| 3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information |   |
|---|---|
| <b>Performance Information Source</b>   | Alfresco  |
| <b>Type of performance information to be extracted/ used</b>                      | Number of policy directives developed and approved by government during the quarters of the financial year.   |
| <b>Calculations required on extracted information</b>                             | Sum of all the policy directives developed and approved by government over each quarter of the financial year |
| <b>Archiving of Extracted / Recalculated Information</b>                          | Quarterly and Annual Performance Reports of Programme 2.  |

|   |  |   |  |
|---|--|---|--|
| <b>Return Format</b>  |  | Numerical format on a quarterly and annual basis.   |  |
| <b>Reporting Frequency</b>  |  | Annually  |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>               | Deputy Director:<br>Office of the DDG<br>Programme 2 |

### Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |   |  |                              |
|--|---|--|------------------------------|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |   | <b>Output Name</b><br>Evaluation and assessment reports  | <b>Date</b><br>31 March 2017 |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |   |  |                              |
| <b>Programme #</b>   |   | Programme 2  |                              |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |   | Oversee relevant Departmental agencies and initiatives <sup>3</sup>  |                              |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |   | <b>To oversee, monitor and regulate key policy initiatives, including institutions/agencies and support interventions in the key strategic areas of space science, energy, bio-innovation, nanotechnology, robotics, photonics</b> |                              |
| <b>Indicator title</b>   |   | Number of evaluation and assessment reports developed and approved by DST EXCO   |                              |
| <b>Purpose of indicator</b>  | These indicators seek to measure and track the number of evaluation and assessment reports developed and approved by DST in pursuit of its mandate of overseeing, monitoring and regulating key policy initiatives, institutional arrangements and support interventions. | <b>Type of indicator</b>   | Process/Output indicator     |

<sup>3</sup> This includes the monitoring, evaluation, verification and coordination of the performance of institutional arrangements and support interventions in line with strategies, annual performance plans and implementation plans, as well as relevant legislative requirements. These will be measured and evaluation and assessment reports issued, as well as disclosures (provision of full details of potential intellectual property to NIPMO) in terms of the Intellectual Property Rights from Publicly Funded Research and Development Act.

|                                       |   |                                    |   |
|---------------------------------------|---|------------------------------------|---|
| <b>Measure / Indicator Definition</b> | Evaluation and assessment reports refer to the reports on the performance of institutional arrangements (e.g Technology Innovation Agency) in line with strategies, annual performance plans, implementation plans, programme / project plans, as well as regulatory actions in line with legislative requirements, as may be relevant. | <b>Measure / Indicator Formula</b> | Total number of evaluation and assessment reports developed and approved at the end of the financial year=the sum of the evaluation and assessment reports developed and approved during each quarter of the financial year                                   |
| <b>New Indicator</b>                  | No  | <b>Desired performance</b>         | While higher numbers of evaluation and assessment reports maybe desirable in certain circumstances, it is also important to understand that the benefits derived from a few evaluation and assessment reports may be greater than having a number of reports. |
| <b>Measure / Indicator Owner</b>      | CD: Innovation Priorities and Instruments<br><br>CD: Space Science  | <b>Worked example</b>              | If 1 quarterly report reviewed, analysed and submitted during quarter 4 and 2 quarterly reports are reviewed in quarter 4, the total for the year will be 3 evaluation and assessment reports.  |
| <b>Target set for current year</b>    | <b>Annual:</b><br>12 evaluation and assessment reports developed<br><b>Quarterly:</b><br><b>Q1</b> – 2 evaluation and assessment reports developed<br><br><b>Q2</b> – 4 evaluation and assessment reports developed   | <b>Target achieved</b>             | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :  |



|   |   |  |  |
|---|---|--|--|
|   | <p><b>Q3</b> – 2 evaluation and assessment reports developed</p> <p><b>Q4</b> – 4 evaluation and assessment reports developed</p>   |  |  |
| <b>Data limitations</b>   | In some cases there may be a delay in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained. Caveat: In some instances “Approved” will include “noted” as there will be circumstances in which approval is not required. |  |  |
| <b>Reasons for variances between the target set and actual achieved</b> | There is no variances at this stage   |  |  |
|   |   |  |  |
|   |   |  |  |

## 2. Collection of source data to enable effective reporting on the adopted output measure / indicator

|   |   |   |   |
|---|---|---|---|
| <b>Source data</b>  | <ul style="list-style-type: none"> <li>Approved evaluation and assessment report (In some instances “Approved” will include “noted” as there will be circumstances in which approval is not required. Moreover, in some instances, where it is not appropriate /possible for EXCO to approve / note, then sign-off by the Minister or designated member(s) of the EXCO will meet the EXCO requirements.<br/>Or</li> <li>Proof of approval (signed of document or approved / signed minutes of relevant meetings)</li> </ul> |   |   |
| <b>Collection Frequency of Source data</b>  | Quarterly   |   |   |
| <b>Archiving of Source Data</b>   | Alfresco  |   |   |
| <b>Type of information to be extracted from the source data</b>                               | Name and Number of evaluation and assessment reports developed and approved by DST  |   |   |
| <b>IT Systems/ Tools used to capture extracted data</b>                                       | No Specific IT system or tool is required at this point.  |   |   |
| <b>Source Data Capturing Frequency</b>  | Quarterly   |   |   |
| <b>Individual(s) responsible for collecting the source data</b>                               | Director: Innovation Instruments<br>Director: Space Science   | <b>Individual(s) responsible for filing/ archiving the collected source data</b>                          | Director: Innovation Instruments<br>Director: Space Science |
| <b>Individual(s) responsible for extracting the required information from the source data</b> | Director: Innovation Instruments<br>Director: Space Science   | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b> | Director: Innovation Instruments<br>Director: Space Science |

|   |   |  |   |
|---|---|--|---|
| <b>Individual(s) responsible for capturing the extracted information onto the IT System</b> | Director: Innovation Instruments<br>Director: Space Science | <b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b> | Director: Innovation Instruments<br>Director: Space Science |
|---|---|--|---|

| <b>3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information</b>                            |  |   |  |
|---|--|---|--|
| <b>Performance Information Source</b>   |  | Alfresco  |  |
| <b>Type of performance information to be extracted/ used</b>  |  | Number of evaluation and assessment reports developed and approved by DST EXCO during the quarters of the financial year.   |  |
| <b>Calculations required on extracted information</b>   |  | Sum of all the evaluation and assessment reports developed and approved by DST EXCO over each quarter of the financial year |  |
| <b>Archiving of Extracted / Recalculated Information</b>  |  | Annual Performance Reports of Programme 2.  |  |
| <b>Return Format</b>  |  | Numerical format on a quarterly and annual basis.   |  |
| <b>Reporting Frequency</b>  |  | Quarterly and annually  |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b>       | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>                     | Deputy Director:<br>Office of the DDG<br>Programme 2 |

### Annual Information Collection and Reporting Matrix

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |   |  |   |
|--|---|--|---|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |   | <b>Output Name</b><br>Postgraduate research students   | <b>Date</b><br>31 March 2017  |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |   |  |   |
| <b>Programme #</b>   |   | Programme 2  |   |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |   | <b>Coordinate and support high-end skills development</b>  |   |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |   | <b>To coordinate and support high end and skills development in the strategic and emerging S&amp;T areas of space science, energy, bioinnovation, nanotechnology, robotics, photonics synthetic biology, structural biology, systems biology and functional genomics (collectively the South African BioDesign Initiative (SABDI), IP management, technology transfer and technology commercialisation</b> |   |
| <b>Indicator title</b>   |   | Number of postgraduate students (MSc & PhD) supported through DST funded research and development initiatives by 31 march 2017.  |   |
| <b>Purpose of indicator</b>  | This indicator tracks the Postgraduates (masters and doctorates) supported in order to build capacity, capability and specialised skills and knowledge in key strategic areas | <b>Type of indicator</b>   | Process indicator   |
| <b>Measure / Indicator Definition</b>  | This indicator refers to masters and doctorates supported as a result of the Department funding   | <b>Measure / Indicator Formula</b>   | Total number of postgraduates (masters and doctorates) supported at the end of the financial year=the sum of the postgraduates (masters and doctorates) supported during each quarter of the financial year |

|                                    |   |                            |   |
|------------------------------------|---|----------------------------|---|
|                                    | initiatives in the strategic areas of space science, Bioeconomy, Energy, Indigenous Knowledge Systems, Robotics, Nanotechnology and Photonics.  |                            |   |
| <b>New Indicator</b>               | Not new   | <b>Desired performance</b> | Higher performance is desired   |
| <b>Measure / Indicator Owner</b>   | CD: Bio-economy<br>CD: Hydrogen and Energy<br>CD: Innovation Priorities and Instruments<br>CD: Space Science  | <b>Worked example</b>      | If 10 postgraduate students supported during quarter 4 and 15 postgraduate students supported during quarter 3, then total supported at the end of quarter 4 is 25. |
| <b>Target set for current year</b> | <b>Annual:</b><br>392 postgraduate students (MSc & PhD) supported through DST funded research and development initiatives<br><br><b>Q1 – No target</b><br><br><b>Q2 – 40</b> postgraduate students (MSc & PhD) supported through DST research, development and innovation initiatives <b>by 30 September 2016</b><br><br><b>Q3 – .no target</b><br><br><b>Q4 – 352</b> postgraduate | <b>Target achieved</b>     | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - :  |

|   |   |  |  |
|---|---|--|--|
|   | students (MSc & PhD) supported through DST research, development and innovation initiatives by 31 March 2017  |  |  |
| <b>Data limitations</b>   | The postgraduate students are produced by the Universities. The Programme only provides funding support, infrastructure and resource support through the Universities and the Science Councils. Given this scenario there may be delays in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained. There may also be variances from the planned target as students may complete their research over a shorter or longer period. Caveat: Depending on the design and implementation of initiatives, consultation with stakeholders, resources limitations / reprioritisation and other factors impacting on this KPI, the development and / or implementation of a programme may be postponed or terminated or replaced or merged with another relevant programme. |  |  |
| <b>Reasons for variances between the target set and actual achieved</b> | There is no variances at this stage   |  |  |

## 2. Collection of source data to enable effective reporting on the adopted output measure / indicator

|                    |  |
|--------------------|--|
| <b>Source data</b> | <p>Only post-graduate students from DST funded initiatives will be counted. In addition, only students supported within the 2016 calendar year will be used towards the final calculation.</p> <p><b>Bio-Innovation</b></p> <ul style="list-style-type: none"> <li>➤ Signed contracts;</li> <li>➤ Signed reports which indicates total number of post-graduate (masters and doctorates) students supported during the 2016 year with student list attached as an appendix; or</li> <li>➤ Stamped proof of enrollment for each individual post-graduate students from institution;</li> <li>➤ Approved submission and proof of payment</li> </ul> <p><b>Hydrogen and Energy</b></p> <ul style="list-style-type: none"> <li>➤ Project funding agreement/Memorandum funding Agreement/contracts;</li> <li>➤ Signed reports which indicates total number of post-graduate (masters and doctorates) students supported during the 2016 year with student list attached as an appendix; or</li> <li>➤ Stamped proof of enrollment for each individual post-graduate students from institution;</li> <li>➤ Approved submission and proof of payment</li> </ul> <p><b>Innovation Priorities and Instruments</b></p> <ul style="list-style-type: none"> <li>➤ Signed Contracts;</li> <li>➤ Signed reports which indicates total number of post-graduate (masters and</li> </ul> |
|--------------------|--|

|   |  |  |
|---|--|--|
|   | <p>doctorates) students supported during the 2016 year with student list attached as an appendix; or</p> <ul style="list-style-type: none"> <li>➤ Stamped proof of enrolment for each individual post-graduate students from institution;</li> <li>➤ Approved submission and proof of payment</li> </ul> <p><b>Space Science and Technology</b></p> <ul style="list-style-type: none"> <li>➤ Project funding Agreement/contracts;</li> <li>➤ Signed reports which indicates total number of post-graduate (masters and doctorates) students supported during the 2016 year with student list attached as an appendix; or</li> <li>➤ Stamped proof of enrolment for each individual post-graduate students from institution;</li> <li>➤ Approved submission and proof of payment</li> </ul> |  |
| <b>Collection Frequency of Source data</b>                      | Bi-annually  |  |
| <b>Archiving of Source Data</b>                                 | Manual or Alfresco   |  |
| <b>Type of information to be extracted from the source data</b> | For each initiative (e.g. NIC/ NTeMBI) supported: the total number of students enrolled, their names, qualification enrolled for, year of enrolment and the institution where they are enrolled. Additional details can be obtained as required  |  |
| <b>IT Systems/ Tools used to capture extracted data</b>         | Word/Excel/PDF documents   |  |
| <b>Source Data Capturing Frequency</b>                          | Bi-annually  |  |
| <b>Individual(s) responsible for collecting the source data</b> | <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research</p>   | <p><b>Individual(s) responsible for filing/archiving the collected source data</b></p> <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Space Systems</p> <p>Director: Earth Observations</p> |

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|  | <p>Areas</p> <p>Director:<br/>Space<br/>Systems</p> <p>Director:<br/>Earth<br/>Observations</p>  |  |   |
| <p><b>Individual(s) responsible for extracting the required information from the source data</b></p> | <p>Director:<br/>Agricultural<br/>Biotechnology</p> <p>Director:<br/>Industry and<br/>Environment</p> <p>Director: IK-<br/>based<br/>Technology<br/>Innovation</p> <p>Director:<br/>Health<br/>Innovation</p> <p>Director:<br/>Transport and<br/>Renewable<br/>Energy</p> <p>Director:<br/>Power</p> <p>Director:<br/>Alternative<br/>Energy</p> <p>Director:<br/>Emerging<br/>Research<br/>Areas</p> <p>Director:<br/>Space<br/>Systems</p> <p>Director:<br/>Earth<br/>Observations</p> | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b></p> | <p>Director: Agricultural<br/>Biotechnology</p> <p>Director: Industry and<br/>Environment</p> <p>Director: IK-based Technology<br/>Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and<br/>Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research<br/>Areas</p> <p>Director: Space Systems</p> <p>Director: Earth Observations</p> |
| <p><b>Individual(s) responsible for capturing the extracted information onto the IT System</b></p>   | <p>Director:<br/>Agricultural<br/>Biotechnology</p> <p>Director:<br/>Industry and<br/>Environment</p> <p>Director: IK-<br/>based<br/>Technology<br/>Innovation</p> <p>Director:<br/>Health</p>   | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b></p>  | <p>Director: Agricultural<br/>Biotechnology</p> <p>Director: Industry and<br/>Environment</p> <p>Director: IK-based Technology<br/>Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and<br/>Renewable Energy</p> <p>Director: Power</p>   |

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|  | <p>Innovation</p> <p>Director:<br/>Transport and Renewable Energy</p> <p>Director:<br/>Power</p> <p>Director:<br/>Alternative Energy</p> <p>Director:<br/>Emerging Research Areas</p> <p>Director:<br/>Space Systems</p> <p>Director:<br/>Earth Observations</p> |  | <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Space Systems</p> <p>Director: Earth Observations</p> |
|--|--|--|---|

| 3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information                                   |  |   |  |
|---|--|---|--|
| <b>Performance Information Source</b>   |  | Alfresco  |  |
| <b>Type of performance information to be extracted/ used</b>  |  | Number of postgraduate students (Masters and Doctorates) supported per initiative.  |  |
| <b>Calculations required on extracted information</b>   |  | Sum of all the postgraduate Masters and Doctorates) supported through DST funded initiatives over each quarter of the financial year. |  |
| <b>Archiving of Extracted / Recalculated Information</b>  |  | Annual Performance Reports of Programme 2.  |  |
| <b>Return Format</b>  |  | Numerical format on an annual basis.  |  |
| <b>Reporting Frequency</b>  |  | Bi-annually   |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b>                 | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>                               | Deputy Director:<br>Office of the DDG<br>Programme 2 |



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**Annual Information Collection and Reporting Matrix**

For **each of the outputs** as per the Strategic Plan and Individual Programmes' Annual Performance Plans to be reported on during the current financial year, the following matrix is to be completed. The guidance provided in each of the blocks below should be used to assist in completing this template for each of the outputs.

|  |  |  |                              |
|--|--|--|------------------------------|
| <b>Medium-term objectives, measure/indicator, outputs, and targets</b>                               |  | <b>Output Name</b><br>Trainees in the strategic, emerging and converging areas   | <b>Date</b><br>31 March 2017 |
| <b>1. Overview of the objective, output, measure / indicator and target to be reported on</b>        |  |  |                              |
| <b>Programme #</b>   |  | Programme 2  |                              |
| <b>Programme's Strategic Objectives (as per the Strategic Plan and the annual Performance Plans)</b> |  | <b>Coordinate and support high-end skills development</b>  |                              |
| <b>Objective Statement and definition (also supported by Indicator Definitions)</b>                  |  | <b>To coordinate and support high end and skills development in the strategic and emerging S&amp;T areas of space science, energy, bioinnovation, nanotechnology, robotics, photonics , synthetic biology, structural biology, systems biology and functional genomics (collectively the South African BioDesign Initiative (SABDI), IP management, technology transfer and technology commercialisation</b> |                              |
| <b>Indicator title</b>   |  | Number of trainees supported in the strategic and emerging research areas by 31 March 2017   |                              |
| <b>Purpose of indicator</b>  | This indicator tracks the number of people supported for training in order to build capacity, capability and specialised skills and knowledge in the strategic, emerging and converging areas of science and | <b>Type of indicator</b>   | Output indicator             |

|                                       |   |                                    |   |
|---------------------------------------|---|------------------------------------|---|
|                                       | technology. However this excludes the support of post graduates students for degree purposes  |                                    |   |
| <b>Measure / Indicator Definition</b> | This indicator refers to students, graduates, interns, technicians, mentors, academics, researchers, innovators, entrepreneurs, OTT representatives IP candidates, or other representatives of the NSI supported. Support refers to financial aid that may take the form of bursaries, internships, high-end skills development initiatives, such as workshops, conferences and the like, including the provision of facilities, resources and equipment. | <b>Measure / Indicator Formula</b> | Total number of trainees supported in the strategic, emerging and converging areas of science and technology =the sum of trainees supported during each quarter of the financial year |
| <b>New Indicator</b>                  | Not new   | <b>Desired performance</b>         | Higher performance is desired   |
| <b>Measure / Indicator Owner</b>      | CD: Bio-economy;<br>and/or<br>CD: Innovation Priorities and Instruments;<br>and/or<br>Head: National Intellectual Property Management Office; and/or<br>CD: Space   | <b>Worked example</b>              | If 40 IP candidates trained in quarter 4 and 140 IP candidates trained during quarter 4, then the total is 180 at the end of quarter 4.   |

|   |  |                        |  |
|---|--|------------------------|--|
|   | Science  |                        |  |
| <b>Target set for current year</b>                                      | <p><b>Annual:</b><br/>280 trainees supported in the strategic and emerging research areas</p> <p><b>Q1</b> – no target</p> <p><b>Q2</b> – No target</p> <p><b>Q3</b> – 190 trainees supported in the strategic and emerging research areas by 31 Dec 2016.</p> <p><b>Q4</b> – 90 trainees supported in the strategic and emerging research areas by 31 march 2017</p>  | <b>Target achieved</b> | Actual target achieved.<br>Q1 –<br>Q2 –<br>Q3 –<br>Q4 –<br>YTD - : |
| <b>Data limitations</b>   | In some cases there may be a delay in obtaining the relevant data given dependencies on other internal or external stakeholders. This also impacts on the quality of data obtained. Caveat: Depending on design and implementation of initiatives, consultation with stakeholders, resources limitations / reprioritisation and other factors impacting on this KPI, the development and / or implementation of a programme may be postponed or terminated or replaced or merged with another relevant programme, and a number of trainees supported other than those specified may be included in the totals for the financial year.. |                        |  |
| <b>Reasons for variances between the target set and actual achieved</b> | No Variance at this stage.   |                        |  |

|   |  |
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| <b>2. Collection of source data to enable effective reporting on the adopted output measure / indicator</b> |  |
| <b>Source data</b>  | <p><b>Bio-economy</b></p> <ul style="list-style-type: none"> <li>• Signed Contract where applicable with service provider (where applicable); or</li> <li>• Proof of payments/support provided to service provider where applicable; or</li> </ul> |

|  |  |   |  |  |
|--|--|---|--|--|
|  |  | <ul style="list-style-type: none"> <li>Signed Attendance registers or equivalent from service provider</li> </ul> <p><b>Hydrogen and Energy</b></p> <ul style="list-style-type: none"> <li>Signed Contract where applicable with service provider (where applicable); or</li> <li>Proof of payments/support provided to service provider where applicable; or</li> <li>Signed Attendance registers or equivalent from service provider</li> </ul> <p><b>Innovation Priorities and Instruments</b></p> <ul style="list-style-type: none"> <li>Signed Contract where applicable with service provider (where applicable); or</li> <li>Proof of payments/support provided to service provider where applicable; or</li> <li>Signed Attendance registers or equivalent from service provider</li> <li></li> </ul> <p><b>NIPMO</b></p> <ul style="list-style-type: none"> <li>Signed Contract where applicable with service provider (where applicable); or</li> <li>Proof of payments/support provided to service provider where applicable; or</li> <li>Signed Attendance registers or equivalent from service provider</li> </ul> |  |  |
| <b>Collection Frequency of Source data</b>                                       |  | Quarterly   |  |  |
| <b>Archiving of Source Data</b>  |  | Manual or Alfresco  |  |  |
| <b>Type of information to be extracted from the source data</b>                  |  | For each initiative: the total number of trainees trained, their names, and the institution/service provider through which they were trained. Additional details can be obtained as required  |  |  |
| <b>IT Systems/ Tools used to capture extracted data</b>                          |  | Word/Excel/PDF documents  |  |  |
| <b>Source Data Capturing Frequency</b>   |  | Quarterly   |  |  |
| <b>Individual(s) responsible for collecting the source data</b>                  | Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br>Director: Health Innovation<br><br>Director: Transport and Renewable Energy<br>Director: Power | <table border="1"> <tr> <td style="background-color: yellow;"><b>Individual(s) responsible for filing/ archiving the collected source data</b></td> <td>           Director: Agricultural Biotechnology<br/>           Director: Industry and Environment<br/>           Director: IK-based Technology Innovation<br/>           Director: Health Innovation<br/><br/>           Director:         </td> </tr> </table>   | <b>Individual(s) responsible for filing/ archiving the collected source data</b> | Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br>Director: Health Innovation<br><br>Director: |
| <b>Individual(s) responsible for filing/ archiving the collected source data</b> | Director: Agricultural Biotechnology<br>Director: Industry and Environment<br>Director: IK-based Technology Innovation<br>Director: Health Innovation<br><br>Director:   |   |  |  |

|  |  |  |   |
|--|--|--|---|
|  | <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p>   |  | <p>Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p>           |
| <p><b>Individual(s) responsible for extracting the required information from the source data</b></p> | <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the extracted information</b></p> | <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director:</p> |

|  |  |   |  |
|--|--|---|--|
|  | <p>Director: Fund &amp; Incentives Management</p>  |   | <p>Innovation Priorities and Instruments</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p>  |
| <p><b>Individual(s) responsible for capturing the extracted information onto the IT System</b></p> | <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p> | <p><b>Individual(s) responsible for verifying the accuracy and completeness of the captured information</b></p> | <p>Director: Agricultural Biotechnology</p> <p>Director: Industry and Environment</p> <p>Director: IK-based Technology Innovation</p> <p>Director: Health Innovation</p> <p>Director: Transport and Renewable Energy</p> <p>Director: Power</p> <p>Director: Alternative Energy</p> <p>Director: Emerging Research Areas</p> <p>Director: Innovation Priorities and Instruments</p> <p>Director: Advisory and Support</p> <p>Director: Regulatory and Compliance</p> <p>Director: Fund &amp; Incentives Management</p> |

| <b>3. Quarterly and Annual Reporting of Collected/ Extracted Performance Information</b>                            |  |   |  |
|---|--|---|--|
| <b>Performance Information Source</b>   |  | Alfresco  |  |
| <b>Type of performance information to be extracted/ used</b>  |  | Number and names of trainees trained during the quarters of the financial year.                                       |  |
| <b>Calculations required on extracted information</b>   |  | Sum of all the Number of trainees trained over each quarter of the financial year                                     |  |
| <b>Archiving of Extracted / Recalculated Information</b>  |  | Annual Performance Reports of Programme 2.  |  |
| <b>Return Format</b>  |  | Numerical format on an annual basis.  |  |
| <b>Reporting Frequency</b>  |  | Quarterly   |  |
| <b>Individual(s) responsible for extracting, calculating and consolidating the reported performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for verifying the accuracy and completeness of the extracted performance information</b> | Deputy Director:<br>Office of the DDG<br>Programme 2 |
| <b>Individual(s) responsible for archiving the extracted/ recalculated performance information</b>                  | Deputy Director:<br>Office of the DDG<br>Programme 2 | <b>Individual(s) responsible for sending the information in the required return format to the -----</b>               | Deputy Director:<br>Office of the DDG<br>Programme 2 |

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